



SIMON  
BUSINESS SCHOOL  

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UNIVERSITY *of* ROCHESTER

**Faculty Handbook**  
**5/5/25**

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## 1. **SIMON BUSINESS SCHOOL'S MISSION, VISION, AND GUIDING PRINCIPLES**

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

### **1.1. Mission**

*To develop business leaders who have an exceptional level of clarity about business and about themselves. We achieve this through research and teaching focused on analytics and economics, and by being home to a tight-knit community that is among the most diverse of any business school.*

### **1.2. Vision**

*As a part of the University of Rochester community, our character is defined by “Meliora”: a relentless endeavor to be ever better in the ideas we bring to the world, in the opportunities we offer our students, and in our commitment to inclusiveness.*

### **1.3 Goals**

The Simon School four guiding principles.

#### *Seek Clarity*

Students come to Simon because they want a deeper understanding of how business works. We use analytics and economics as a lens to reveal the true nature of a problem and the scientific method to ask better questions. This approach prompts us to challenge biased inclinations, binary thinking, and the premature acceptance of “the next big thing,” making the skills we teach durable.

#### *Invest in Relationships*

Collegiality and an analytical mindset complement each other at Simon. We believe that strong teams and strong communities are the result of ongoing, collective efforts to address complex, multifaceted problems by leveraging each other's strengths. Our students develop the confidence to effectively communicate their ideas, empowering them to add value to their organizations.

#### *Embrace Diversity*

We're a small school that's home to a diverse group of people with a wide range of

perspectives—and we intentionally incorporate those perspectives into everything we do. This makes research and classes more relevant and forward-thinking, and collaborations more productive.

### *Make an Impact*

Business benefits society when good intentions are combined with the right skill set and a strong work ethic. Simon students and graduates know how to build and lead the kind of evidence-based organizations that improve lives, drive economic development, and make communities more resilient.

## **1.4 SimonStrong Values**

The mission and values of the school are communicated to students in the Student Handbook, as follows:

Simon is committed to maintaining a professional atmosphere in the classroom, at school-related activities, beyond campus, and online. Through #SimonStrong Values we strive to respect one another, show humility, support each other, act with integrity, and be professional. It is up to everyone to bring these five values to life. Students are expected to:

### **Respect One Another**

Respectfully engage with peers, faculty, and staff, and value differences as much as similarities. In the classroom, students are expected to provide thoughtful and timely input; create a safe and welcoming learning environment; value the diverse viewpoints, experiences, and styles of faculty and classmates; and keep the classroom clean and orderly.

### **Show Humility**

Support each other and celebrate accomplishments, strive to do what is in the best interest of others, and leverage their education in ways that support others. In the classroom, students are expected to be excited to learn from peers, faculty, and staff, and welcome and provide honest and well-intentioned feedback.

### **Support Each Other**

Recognize we are more powerful as a community than as individuals, seek opportunities to collaborate with one another, strive to make a difference within our community, participate and support one another's clubs, organizations, and community events, and encourage one another's success. In the classroom, students are expected to emphasize each other's strengths, provide constructive feedback, and honor team charters.

### **Act with Integrity**

Act on behalf of our community, lead by example, and hold one another accountable for our actions. In the classroom, students are expected to hold themselves and one another accountable to Simon's Code of Academic Integrity.



### **Be Professional**

Honor commitments, be on time, represent the Simon brand, and act as in a business. In the classroom, students are expected to limit electronics, arrive on time, and be prepared to participate at a high level, remain present, display name tents, and dress appropriately.

## **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 to provide 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 University 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 Universiteit in 1995.

In 1987, the Center for Research in Government Policy and Business was renamed the Bradley Policy Research Center because 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 Universität Bern, Institut für 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 is among the world's leading business schools in data analytics and economics.. A key pillar of its success is educational innovation. The School currently offers a variety of MBA, Master of Science, and PhD programs. It partners with the College of Arts and Sciences in offering an undergraduate degree in business, which has become among the most popular majors on campus. The School also partners with the Ain Center for Entrepreneurship and Innovation and the Hajim School of Engineering and Applied Sciences to offer a Master of Science in Technical Entrepreneurship and Management [TEAM Program].

### **3. ORGANIZATION**

#### **3.1 Academic Areas**

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

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

Tenure-track faculty typically have a primary appointment in one of ACC, IST, 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 research, teaching and service that span 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 substantially contribute to research in an area outside of 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 members who attend recruiting seminars, or meet with recruiting candidates, should share their impressions of the candidates with the search committee.

The Simon Faculty Directory can be found at:

<https://simon.rochester.edu/faculty-research/faculty-directory>

### **3.2 Administrative Areas**

To view a full list of Simon Staff, visit:

<https://simon.rochester.edu/contact-us>

### **3.3 Faculty and Research**

The Office for Faculty and Research focuses on hiring, developing, and retaining the strongest faculty possible. This office, which is headed by the Senior Associate Dean of Faculty and Research (SADFR), has primary responsibility for all faculty-related matters particularly pertaining to recruiting, development, evaluation, and support for research and teaching. The SADFR is an ex officio member of the Ph.D. Committee and the Promotion and Tenure Committee and has major responsibility for the development of our faculty as researchers and teachers.

The SADFR works closely with the Senior Associate Dean of Education and Innovation (SADEI) on matters of faculty teaching assignments and teaching evaluations. Each term the SADFR and SADEI review course evaluations for all faculty, making comments related to a job well done or helping identify and address possible problems.

In addition, the SADFR works with the Executive Director of Simon Advancement on issues pertaining to opportunities for outside funding in support of faculty research and to help identify opportunities for faculty to engage with Simon alumni.

Simon's Director of Academic Personnel works closely with the SADFR to oversee faculty affairs, which includes faculty-related matters pertaining to recruiting, development, compensation, evaluation, and research support. The Director of Academic Personnel coordinates all faculty office moves and the onboarding of new faculty.

### **3.4 Education and Innovation**

The Office of Education and Innovation focuses on managing and innovating existing and new programs. The office has primary responsibility for all education and educational innovation

related matters including program design and delivery. The SADEI provides oversight to the admissions, part-time programs, student experience, career services, and equity and inclusion functions. The office is an ex officio member of all program committees, the GCC, the academic standards committee, the academic integrity committee, and the professional standards committee.

The SADEI supervises the Assistant Deans of Students and Benet Career Center who oversees the Ainslie Office of Student Engagement and the Benet Career Management Center respectively. The SADEI also supervises the Assistant Dean of Strategic Partnerships who oversees the Office of Equity and Inclusion and Corporate Engagement at Simon.

The SADEI also works closely with the faculty directors of each of the programs and supervises staff supporting strategic projects (SPS) . They regularly collect data from students, staff, faculty, alumni, recruiters, and companies as input to the program improvement process. They meet with faculty to present data, assess and review the programs, and identify improvements to better serve constituents.

Along with the Academic Operations function described below and under the SADEI's direction, the SPS manages key aspects of program coordination and data collection. This includes for core course pre-term coordination of assignments, exams, and office hours, and post-term collection of assessment of learning outcomes for courses deemed as demonstration courses for the program goals. In addition, the SPS helps to collect curriculum and instruction data.

The SADEI also supervises the Director of Instructional Technology and Innovation (ITI), who oversees the ITI team. The ITI team includes instructional technologists who support instructional technology and design for Simon graduate and undergraduate courses and provide events support to faculty, including conferences, recruiting, and seminars as well as support for more complex expense reimbursement filings.

### **3.5 Academic Operations**

The Director of Academic Operations oversees the scheduling of all graduate courses, coordinating with the Undergraduate Office to avoid conflicts for faculty teaching both undergraduate and graduate students. Faculty should inform both the SADFR and the Director of Academic Operations of any constraints they face regarding upcoming teaching as soon as they are aware of such constraints.

The Director of Academic Operations oversees the Registrar's Office, which is responsible for all aspects of Simon School registration of graduate students, from pre-registration through graduation. In addition, they assign classrooms, exam proctors, hire tutors, oversee TA and grader assignments, produce exam schedules, and process and post grades. The Registrar's office also performs the degree audits to identify which graduate students have earned a Cumulative GPA (CGPA) of at least 3.0 and have satisfied the degree requirements of their

respective programs. The SADFR shares the list of graduate degree candidates (and their CGPAs) with the faculty when the degree conferral vote is solicited.

The Registrar's Office provides the various forms needed by the students such as the 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. All Simon Registrar forms are available on the Simon Registrar website.

Simon and the university use UR Student to provide faculty their class rosters and for the entering and changing of grades. The Registrar's office can assist with these functions for faculty learning how to use UR Student.

### **3.6 Facilities Management**

This office is responsible for all buildings, 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.

### **3.7 Finance and Budget**

The finance office oversees 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.

### **3.8 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.).

### **3.9 Simon Advancement**

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.

### **3.10 Jay S. and Jeanne Benet Career Management Center (Benet CMC)**

The Jay S. and Jeanne Benet Career Management Center offers services ranging from résumé development to mock interviews and career counseling to support the educational and professional development needs of Simon MBA and MS students. Simon's specialized approach to career services includes dedicated professionals covering the core job functions that target graduate students, including finance, consulting, business analytics, brand management, energy, accounting, health care, operations, technology, and more. The Benet CMC connects graduates with leading companies and recruiters who value Simon MBA and MS talent. See the Benet CMC's webpage for additional details. [Simon Blog: Talent Connect Inside Simon: Jay Benet discusses the value of the Benet Career Management Center | Simon Business School \(rochester.edu\)](#)

### **3.11 Admissions Office**

The office includes functions for recruiting, admissions management, financial aid, and admissions operations, and admissions events. The group is responsible for some aspects of 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, teamwork 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, admissible candidates are interviewed prior to an admission decision.

### **3.12 Andrew Ainslie Office of Student Engagement**

The Andrew Ainslie Office of Student Engagement (or Ainslie OSE, for short) helps to maintain an environment that enables students to get the most out of their management education. The Assistant Dean of Students heads the office, which is made up of three groups each

headed by a director or senior director. Academic advising advises students on matters such as course selection, academic problems, team effectiveness, and personal issues that may affect academic performance. Student life is responsible for oversight of clubs, organizations, and other extracurricular activities as well as core program experiences like orientation, re-orientation, and welcome week. Experiential learning provides support for case competitions, vision consulting projects, project courses, immersion courses, and a range of other experiential learning experiences inside and outside of the classroom.

Faculty have more frequent contact with Ainslie OSE representatives. They currently manage the waitlist process and handle a range of other unusual requests. An academic advisor serves as the Academic Integrity Liasson and a Student Life representative serves as the Professional Standards Liasson. Faculty are sometimes requested to participate in activities related to admissions and student engagement activities.

### **3.13 Office of Equity and Inclusion**

The office of equity and inclusion provides oversight of our Equity, Diversity, and Inclusion (EDI) activities, including counseling support for students, EDI events, and representation of our EDI efforts. The office provides support for faculty EDI training, student orientation, and student and staff trainings.

### **3.14 Corporate Engagement Office**

The Corporate Engagement (CE) Office provides support for corporate engagement through alumni or non-alumni based relationships. This support includes career and recruiting contacts, experiential project contacts, contacts for and support to operate the corporate board, executive education, event sponsorships, and an avenue for obtaining information relevant to curriculum and setting school priorities.

### **3.15 PhD Program Office**

This PhD Office works with the PhD Committee in the marketing, managing, and overseeing the school's PhD Program. The Office interacts with Simon PhD students on an ongoing basis. Currently, the School's PhD Program has Five Fields of Excellence: accounting, finance, information systems, marketing, and operations.

### **3.16 Simon Technology Services (STS)**

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

STS 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:



- Research computing consultation and hosting
- Network data storage and back-up
- Faculty website hosting
- Ad hoc consultation
- Virtual TA technical set-up and development

### **3.17 Marketing & Communications**

The Simon School maintains a website and 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.

Faculty are asked to contribute posts of current interest to the Dean's Corner. This is a blog for the Simon community experts, scholars, inquisitive minds to discuss their research discoveries, current topics in business, economics, policy and regulation and future of management. See <https://simon.rochester.edu/blog/deans-corner>

### **3.18 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 helps 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).

### **3.19 Bradley Policy Research Center**

The Business and Policy Initiative at the Simon Business School seeks to promote high-quality research about the interaction of business strategy and public policy. It serves as a hub for thought leadership on topics like antitrust and merger policy, financial regulation, monetary and fiscal policy, health care policy, and labor market policy. The initiative fosters research by Simon faculty and dialogue between researchers, policymakers, industry leaders, and students through events like topical workshops, panel discussions, seminars, and invited speaker series. The initiative is partly sponsored by the Bradley Policy Research Center at the Simon Business School. [It is directed by a faculty member with the support of a steering committee consisting of faculty members from Simon and the economics department at the University of Rochester.]

## **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 concentrations 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 PMBA program degree requirements and various concentrations and minors that are offered. Most PMBA courses are offered in the evening format. Some elective courses are offered in the weekend format in conjunction with the Executive MBA (EMBA) program. PMBA admissions start in the Fall A and Spring A terms of each academic year. Students who have not yet been accepted to a program, so called non-matriculantes, start courses in any term.

#### **4.1.3 Executive MBA**

The EMBA 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 most of the program. Study teams are chosen to reflect a variety of talents, industries, cultures, and backgrounds.

During our team-building workshops, we take teams through the steps to becoming a high performing work team. Each team documents a team charter – their commitments to one another – before classes even start. Quantitative and Excel refreshers are also available to incoming students prior to the start of the program.

The program follows closely to our mini terms with only minor modifications. One course meets once weekly on a weekday (usually Wednesday) and on every other Saturday for 4.5 hours from August to June in the first year and from August to May in the second year. EMBA students can join class in person or via zoom but local students are encouraged to join in person, especially during the weekend class sessions.

Students can select international immersion courses as electives. Other elective options include courses offered on the regular EMBA schedule and during the evening MBA that are scheduled as HyFlex or Online courses, or with special permission.

#### **4.1.4 Rochester-Bern Executive MBA Program**

We also have an EMBA program in Bern, Switzerland, offered in collaboration with the Institut für Finanzmanagement at the Universität Bern. The Rochester-Bern foundation is part of Simon and coordinates the partnership with Bern and the Rochester Simon operations. The Rochester-Bern Foundation staff meet regularly with Simon faculty and staff to go over student feedback and learning outcomes for the program.

The Bern program is a concentration in the Simon EMBA and closely follows the Rochester curriculum. Courses are taught by both Rochester-based Simon faculty and European-based 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 approximately four-week residency in Rochester, during which they take three credit-bearing courses. During this Rochester stay, students from both programs can experience the various cultural and business perspectives and widen their business network to include colleagues from around the world.

#### **4.2 Full-time Master of Science Programs**

Simon offers five full-time MS programs, all of which are STEM-designated degree programs. These programs are designed for early and pre-experience students seeking training in a specialized field. 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 in Artificial Intelligence in Business
- MS Finance
- MS Marketing Analytics

Each of these programs reflects a specialized training in the field of study and each of the curricula includes at least 30 credits and a capstone project. Each of the programs has a limited number of elective slots in the program of study. Some electives are shared with the MBA programs. The details of these programs can be found in the Simon Course Catalog.

The MSF program offers three concentrations (recognized by NYS): Investment Management and Financial Analysis, Corporate Finance and Investment Banking, and Financial Technology and Innovation. Students take two required courses as part of the concentration, as well as choose two courses from a set of concentration-related electives. Instead of concentrations, all other FT MS programs have Advanced Certificate of Achievement options to demonstrate a student’s specialization in a particular area. Certificates are discussed below.

#### **4.3 Part-Time Masters in Medical Management (MMM)**

The part-time MMM program is designed to fit the schedules of busy working professionals. Students typically take two courses per term for one year, September through August; this is followed by a capstone project course in which they apply the learnings from the coursework to a real problem faced by a health care institution.

The curriculum is presented in a format that delivers core business material while simultaneously applying that material to the healthcare 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. 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 Part-Time Online Masters of Science in Business Analytics and Applied AI (OMSBAAAAI)**

Simon’s OMSBAAAI program focuses on helping students strengthen and build their analytical skills, while keeping pace with the latest advancements in AI. Students learn to apply analytics to solve complex business problems and create custom business applications powered by AI technologies.

This part-time program meets twice per week in the weekday evenings, synchronously, for approximately 2 hours per session. Instruction includes a balanced approach of synchronous and asynchronous instructional activities that feature a high-touch online program.

#### **4.5 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 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 Ph.D. 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.

#### **4.6 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. Prospective students may submit a GRE or GMAT score in support of their application to the Simon School but are not required to do

so. Taken separately, the MD is four years, and the MBA is two years. Requirements include:

- All MBA core courses completed during the 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

#### **4.7 Certificate Programs**

The Simon Business School offers two types of graduate certificates:

*Advanced Certificates of Achievement:* These credentials are only open to matriculating graduate students of primary academic programs at Simon.

*Advanced Certificates:* Credentials recognized by New York State. Students do not have to be affiliated with Simon to apply for these certificate programs. These serve as a way for students to specialize in a particular area without or prior to committing to a full master's.

##### **4.7.1 Advanced Certificates of Achievement**

###### *Advanced Certificate of Achievement in AI*

Open to enrolled Simon MSBA students. Represents a technical competence in AI for business students. 7.5 credits.

###### *Advanced Certificate of Achievement in Pricing*

Open to enrolled Simon MSBA and MA students. Represents a competence in Pricing for business students. 7.5 credits.

###### *Advanced Certificate of Achievement in Customer and Campaign Analytics*

Open to enrolled Simon MSMA students. Represents competence in managing products/projects to serve customer needs/campaign objectives for business students. 7.5 credits.

###### *Advanced Certificate of Achievement in Analytics*

Open to enrolled Simon MS AI in Business students. Represents a competence in analytics, for business students.. 7.5 credits.

###### *Advanced Certificate of Achievement in Systems and Data Architectures*

Open to enrolled Simon MS AI in Business students. Represents a competence in data systems and management. 7.5 credits.

#### *Advanced Certificate of Achievement in Forensic Accounting and Fraud Examination*

Open to enrolled Simon MSA students. Provides a competence in Forensic Accounting and Fraud Examination. 10.5 credits.

#### *Advanced Certificate of Achievement in Tax*

Open to enrolled Simon MSA students. Represents a competence in tax. 7.5 credits.

### **4.7.2 Advanced Certificates**

#### *Advanced Certificates in Health Care Analytics and Artificial Intelligence, Health Care Strategy and Marketing, Health Care Finance, and Health Care Leadership*

For health care professionals who want to focus on a particular topic. Up to two certificates can be stacked toward the MMM degree. Credits can also be applied toward the PMBA or EMBA. Each certificate is three courses (7.5 total credits).

### **4.8 Health Care Leadership Development Program**

The HCLDP certificate is split into 4 modules, focusing on HC strategy, HC finance, organization, and leadership, and quality and performance improvement. Initially only open to URMH physicians, the program is now open to faculty/staff health care leaders who hold an advanced degree. If a student completes all four .5 credit modules, they can do an independent .5 credit study to transfer one course worth of credit into the MMM, EMBA or PMBA. Students can earn CME credit through the HCLDP.

### **4.9 Undergraduate Program**

Simon partnered with the University of Rochester's college of Arts, Sciences & Engineering (AS&E) 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 6 tracks: Accounting, Finance, Marketing, Business Analytics, Information Systems, 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 and follow their semester calendar.

### **4.10. Educational Innovation**

The Simon Business School has a long tradition of innovating in the business education space. From being an early mover to internationally based delivery of programs to an early mover



in specialized masters programs to an early mover in the STEM MBA, Simon has consistently demonstrated its prowess at innovation. Simon continues to devote resources and attention to innovating on the educational front, and regularly develops new programs that broaden access to new populations, cultivate partnerships with new organizations, and increase the brand presence of Simon programs and research, and the University of Rochester.

## **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 high-quality students and faculty colleagues. Consequently, research, teaching and service make up the three aspects that the School evaluates in retentions and promotion process (see Sections 6 and 7). All three elements are also reviewed by the Dean's Office in making annual evaluations of faculty performance.

The School is committed to maintaining a highly qualified faculty to accomplish its research and teaching missions. Faculty skills should ideally reflect a mix of outstanding academic preparation, intellectual contributions, and professional achievement. Appendix A summarizes the standards the School uses to categorizes faculty into the five categories required in ASCSB accreditation reviews: Scholarly Academic (SA), Practice Academic (PA), Scholarly Practitioner (SP), or Instructional Practitioner (IP). Otherwise, faculty members are classified as Additional Faculty (A).

The absence of individual faculty members from campus interferes with the educational program of students and deprives colleagues of important intellectual stimulation. Accordingly, Simon faculty are expected to spend a significant amount of time on campus from the beginning of the fall semester through the end of the semester in May. Except as allowed by the *University Faculty Handbook*, faculty members are expected to devote full-time efforts to performing assigned duties for the University during the academic year.

#### **5.1.1 Research**

Central to the School's 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 their academic area. Faculty are encouraged to "take risks" by pursuing pathbreaking 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 the 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. Faculty comments and insights are not only helpful to 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. While research plays the dominant role in the retention and promotion decisions for tenure-track faculty, all faculty members are expected to teach at a satisfactory level. While some service activities are expected of each faculty member, in general younger scholars are not expected to devote significant time to service. Rather they should concentrate on building their research portfolio and developing adequate teaching skills. Non-tenure track faculty play important roles in providing service to the School.

## **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 for faculty participation in non-classroom activities can outstrip the available faculty. Faculty receive notice of or requests to attend more student and/or alumni related events than any individual faculty member can attend. Of course, no one expects all faculty to attend all these events. Thus, balancing the need for participation with the need for faculty to focus on other research, teaching, and service responsibilities benefits from clarification about the priorities for activities.

Major student related activities and/or administrative tasks (i.e., those falling outside the usual committee structure) have been divided 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 a mix of professional, governance, and social events. Social events are intended to be fun for all involved.

These lists should not be viewed as exhaustive, but more as a guide to help faculty to prioritize the activities they choose to attend. The items in each category are not listed in any order.

### 5.2.1 High Priority

- **Commencement.** All faculty are strongly encouraged to attend student Commencements (as requested by the School).
- **Admissions Events for Various Programs.** Faculty may be asked to participate in recruiting events. Most typically the faculty involved are faculty directors for the respective programs for information sessions and faculty for recruiting case competitions. Faculty may also be asked to allow prospective students to attend their classes as appropriate and are expected to accommodate.
- **Catalog Revisions/Updates and Area Brochures.** These are important marketing pieces for the School and the faculty must take some responsibility ensuring the intellectual accuracy of course descriptions and philosophy. Area Coordinators are 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.
- **Open Guest Lectures such as Kalmbach.** 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 attend one or two lectures a year.
- **Alumni Receptions and Events.** Alumni are an important constituency for the School. Their good feelings about the School, and hence the giving—in the form of money, time, and helping to find jobs for graduates—that follows, must be cultivated. One way

to do that is to give them the opportunity to interact with the faculty they learned from. In particular, senior faculty should attend at least one alumni event each year.

- **Media Contacts / Faculty News / Research Highlight / Dean's Blog.** An important part of marketing the School is marketing the research 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. Faculty contributions to the Dean's Blog also help to market the School and faculty research.
- **Simon Case Competition Judging.** Simon hosts some case competitions and typically requests alumni, staff, and faculty volunteer judges.
- **Professional Club Learning Sessions.** Professional clubs at times hold sessions to bring members up to speed on a topic in anticipation of career-relevant activities. Faculty are sometimes requested to give a short lecture on a topic related to an area of their expertise.
- **Career Services Support.** Relationships with recruiters are important for the School. Faculty should be receptive when Career Services seeks their 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 many of the significant events.

- Simon signature events, including prespective student and alumni events.
- GBC and MAC Events (including faculty lunches)
- Dean's Coffee Hour
- Dean's Picnic on Commencement Weekend
- EMBA, PMBA, and other Part-time Programs 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. Faculty will continue to be invited to events. Faculty are typically asked to RSVP to help ensure an

adequate turnout. In general, it is expected that senior tenure-track faculty will devote much more time to these activities as junior tenure-track faculty. Their knowledge of the School, relationships with alumni, and perspectives on business topics are particularly important, for example, at Admissions Receptions and Alumni events. Non-tenure track faculty also are expected to devote significant time to these activities.

### **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 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 students in the Student Handbook, as well as 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 breach of the academic integrity policy should be reported immediately to the Chair of the Academic Integrity Committee (AIC). Course instructors may not come to a private agreement with a student in a case of suspected academic dishonesty. Course instructors may not ask or allow a student to drop or withdraw from a course or impose a penalty of any kind on a student through any means that fall outside of the procedures outlined below.

1. When an academic integrity matter is discovered by the instructor or reported to the instructor, the instructor will write up the suspected infraction using the appropriate template and submit this to the AIC Chair. As part of this submission, the instructor will indicate their preference on whether to use the instructor or committee resolution process.
2. When an academic integrity matter is reported or discovered, the instructor has two choices. The first is to handle the matter through the instructor resolution process. The second is to forward this to the committee resolution process, which can replace the instructor resolution process. The instructor resolution process is intended to allow expeditious resolution of matters that the instructor feels comfortable directly addressing with the assistance of the AIC Chair. The committee resolution process is for cases when the instructor is unwilling or unable to use the instructor resolution process.
3. Once a matter is initiated and until resolved, the student may not drop or withdraw from the relevant course during this process. If the student drops or withdraws, s/he will be reinstated in the course.
4. If course grades are due, and there is a pending case(s) in a course, the instructor should submit a grade of “N” for the student(s). “N” is a temporary grade which will be replaced by the appropriate letter grade (which may include grade sanctions) once the case is resolved.

For further information, please see the Academic Integrity Policy in the Student Handbook, which can be found on the Registrar [webpage](#).

## 5.4 Faculty Recognition

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

### 5.4.1 Teaching Awards and Teaching Honor Roll

Teaching excellence is also important to the School. Currently, the students offer the following awards each year for outstanding teaching: one from first-year MBAs, one from second- year MBAs, one from each group of full-time 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. For this reason, faculty who win an award in one year are not allowed to win the same award again for the next two years.

**The Simon School Dean's Teaching Honor Roll** was established to recognize the faculty who achieve the highest average scores on student evaluations (average of the overall course and overall instructor scores) in each term. Four faculty are honored for having the highest average ratings among MBA/MS level graduate courses in the given mini semester. Four are honored for having the highest average ratings among undergraduate courses in the given semester. To be eligible, a minimum of 15 students must complete the course evaluation. If a faculty member teaches multiple courses or sections in a term, only the one with the highest average rating is considered. MGC461 sections are combined for each instructor because they are smaller than most classes. A plaque in Schlegel Hall recognizes those faculty on the teaching honor roll during the most recent semesters. Summer and Pre-fall is treated as one semester for the purposes of the teaching Honor Roll. The number of faculty honored for the "summer term" can vary depending on the number of courses offered in the term. At the end of each semester, the names of the new honorees are added. 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 they receives a \$500 bonus to their 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 tenure-track 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 selects the recipient of the Gitner Prize each year, and the award is presented during Commencement ceremonies.

**Education Innovation Awards** recognize educational innovations developed by full-time

Simon faculty. These awards encourage the continuous development and sharing of new ideas for teaching undergraduate, MBA, and MS students across a range of instructional settings—from large core classes to small elective classes. Awards support innovations in instructional approach, course development, or a new course. Up to two finalists and one winner for each of the four categories listed below may be selected and designated as *Spotlight Innovations*. Spotlight innovations will share with the faculty in an open forum. The dean's office solicits applications from Simon faculty for education innovation awards each May. A faculty committee that includes past winners reviews and selects winners and finalists, all of whom receive a cash award after completing a workshop in which they present to the faculty their innovation. Innovations are considered in three categories—core skills, career/experiential, and online/hybrid. Winners cannot win again the next year, and the committee is made up of recent winners and finalists.

#### **5.4.2 Faculty Mentorship Awards**

To recognize the importance of mentorship among Simon faculty, the dean's office solicits nominations from Simon faculty to recognize colleagues who have had a significant impact on their development. The SADFR reviews the nominations with a faculty committee to make a recommendation to the Dean. Nominations may be submitted at any time to the SADFR for consideration.

#### **5.4.3 Emeritus Titles**

Retiring tenured faculty (full professors and associate professors) with a sufficient length of fulltime service are considered for the title “emeritus professor,” “emerita professor,” “emeritum professor,” or “emeritx professor” (the faculty member chooses among these titles). Faculty holding chaired professorships must have served the School for at least 10 years, while non-chaired faculty must have served the School for a minimum of 15 years. Clinical Full Professors with a distinguished history of teaching and/or service are also considered for the title if they have served the School fulltime for at least 15 years. Exceptional cases that don't satisfy the above service requirements may also qualify for an Emeritus title.

While the primary criterion for the title is length of service, the title also requires that the faculty member has continued to consistently contribute to the Simon School over their career. The title can be withheld if the faculty member has exhibited conduct inconsistent with the UR's ethical standards.

Retiring faculty who want to be considered for the emeritus title should notify the Simon School Dean's Office. The Simon Promotion and Tenure Committee will review the case to assure that the candidate meets the above criteria. Formal action ultimately must go through the Dean's Office to the Provost. Approval by the Executive Committee of the Board of Trustees is required. Conditional on approval, the choice of the specific title is to be determined by the individual who will hold the title. Faculty holding chaired professorships



will carry the name of the chair forward with the added emeritus title.

#### **5.4.4 New Parent Benefits**

Short-term disability leave is potentially available to mothers expecting to give birth or just after giving birth. This benefit is described in Section VI.C of the UR Faculty Handbook (11/22 edition).

Eligible faculty can take up to 12 weeks of unpaid leave during the 12-month period following the birth or care of a newborn child or the placement of a child for adoption or foster care and care for the newly placed child under the *Family Medical Leave Act* (FMLA). This benefit is described in Section VI.J of the *UR Faculty Handbook* (11/22 edition).

*Primary caregivers* immediately following the birth or adoption of a child aged 18 or younger are eligible to receive up to two consecutive weeks of paid parental leave. In the case of adoption, the eligible faculty member may instead elect to take part or all of the two-week paid parental leave for bonding time in advance of bringing the child home when a country or state requires it for the adoption. This paid leave runs concurrently with other leaves for which members of the faculty may be eligible, including paid short-term disability leave following the birth of a child and unpaid Family Medical Leave, and does not result in double payment for the same time-period. If both parents work for the University, only one parent can be designated as a primary caregiver. The benefit is described in Section VI.K of the UR Faculty Handbook (11/22 edition). The definition of primary caregiver is also given in this section.

As an additional benefit, the Simon School grants a one-course reduction to the primary caregiver following the birth or adoption of a child aged 18 or younger. The reduced course load must occur in either the semester of the addition of the new child or the following semester. If both parents are employed by the Simon School, only one can be designated as the primary caregiver. Expecting primary caregivers should discuss the course reduction with the SADFR in as far advance as possible. [This policy applies only to births or adoptions occurring after 2/1/23]

Additional modifications in duties and timing of teaching assignments may be possible, depending on the ability of the school to accommodate these modifications without serious effects on its academic programs or operations.

Full-time tenure-track faculty receive an automatic postponement of contract, promotion, and tenure reviews when a new child is added to the family either by birth or adoption for a maximum of two postponements. Contracts and tenure clocks are extended accordingly. See Section IV.A.3 of the UR Faculty Handbook (1/25 edition) for details.

While some of the new parent benefits above, such as course reductions, are governed solely by Simon, most are not. Those set forth in the UR Faculty Handbook are not intended to

replace or supersede applicable personnel policies set forth in the University's Human Resources Policies which can be found at <http://www.rochester.edu/working/hr/policies>. In the event of a conflict or inconsistency between the UR Faculty Handbook and the University's Human Resources Policies, the University's Human Resources Policies and procedures will govern.

## **6 FACULTY DEVELOPMENT – TENURE TRACK**

The Simon faculty consists of tenure-track (TT) and non-tenure-track (NTT) faculty. This section focuses on faculty development for TT faculty. Section 7 covers faculty development for NTT faculty. Both sections are consistent with the University Faculty Handbook, sections IV.A.3 and IV.C.1 on appointments, renewals, and promotions.

### **6.1. Contract Renewal, Promotion and Tenure**

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 a packet consisting of 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 other significant course materials such as exams and major project assignments, and a service statement. For promotion and tenure reviews, they also supply the names and affiliations of 12 individuals whom they suggest as outside reviewers.

The University allows up to seven years as an assistant professor, not including time from authorized postponements in the review process (review postponements are discussed below). The Simon School has a four-three contract structure for assistant professors. The first contract as assistant professor is for four years. In the Spring of the third year, assistant professors are reviewed for a three-year contract extension. Promotion and tenure decisions are made in subsequent years as described below.

#### **6.1.1 Third-Year Review**

The contract renewal decision in year three is based primarily on the candidate's research. Teaching and service contributions to the area and/or School are considered. Junior faculty are expected to be "good citizens" in contributing to the School's research environment (e.g., in the recruitment of new faculty, helping to organize/host their area's outside seminar series, and in contributing to the development of PhD students) but are not expected to spend significant time on service-related activities.

The evaluation focuses largely on evidence that the candidate is making significant progress towards producing high-quality research that will ultimately be published in top academic journals. Such evidence includes publications, acceptances, and RRs (invitations to revise and

submit) from good journals, as well as promising new working papers and presentations at good conferences and invited seminars. High-quality research can take significant time to produce, and the journal process can be slow. Accepted papers and/or RRs are neither a necessary nor sufficient condition for extending the contract. Although the typical outcome at this stage is a three-year contract extension, insufficient progress on the research front (e.g., 'as evidenced by the failure to produce new working papers of high quality, not presenting papers at internal or external seminars, and/or the failure to respond to referee's reports within a reasonable time frame) will result in a decision not to extend the contract. Contracts also will not be renewed in cases of poor teaching performance if it is expected to continue.

The initial stage of the third-year review is conducted by an ad hoc committee of three faculty members. At least one member is from the Simon School's Promotion and Tenure Committee (P&T), at least one is a senior faculty member from the candidate's primary area, and usually there is one junior faculty member. Members of the committee are selected by the SADFRI in consultation with the Chair of the P&T. 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 close to the research of the faculty member being reviewed. The names of the ad hoc committee members, aside from the Chair, are not revealed to the candidate. All are encouraged to reach out to the candidate if they have additional comments to provide on their research.

The ad hoc committee 1) reads the candidate's research papers, 2) reviews their CV and other materials in their packet, and 3) produces a written report to the P&T. The report includes an attachment that is given to the candidate with specific suggestions and feedback on their research papers. The main part of the memo is addressed to the P&T and not shared with the candidate. It provides a more general assessment of the candidate's teaching, research, and service.

In the second stage of the process, the P&T reviews the subcommittee's report and the materials in the candidate's packet. Afterward, it makes a formal recommendation to the Dean on whether to extend the contract.

The final decision and suggestions for improvement are communicated to the junior faculty member by the SADFRI, the Chair of the P&T, and one or more members of the ad hoc committee, usually the member of the P&T Committee. Promotion decisions are based on multiple factors, some of which are hard to measure quantitatively (e.g., the quality and importance of the candidate's research). Therefore, while providing guidance, the School avoids explicit contracting, e.g., if you do x and y, you will be promoted.

The third-year review serves a dual purpose. In addition to being used to determine whether the contract should be renewed, the process generates information that provides useful comments on specific papers, as well as more general advice and counsel, to the candidate.

### **6.1.2 Promotion to Untenured Associate Professor.**

The review for promotion to untenured associate professor typically occurs in year six of the assistant professor period (not including authorized postponements). With the consent of the faculty member, the promotion review and decision can be earlier. Success at this stage typically results in a five-year, nonrenewable contract with a tenure decision no later than in the fourth year of the contract (not including authorized postponements).

The promotion review is a serious step. The University and School limits promotion to candidates who have a “good” chance to meet the School’s tenure standards within a few years. The review concentrates primarily on the candidate’s research, but the quality of the candidate’s teaching and service is also considered.

The School does not base promotion decisions on a simple counting of articles published in a pre-determined set of desirable journals. Instead, the committee assesses how the research will potentially impact the profession. Fewer, but more path-breaking papers are preferred to a long list of papers with little potential for impact. Citations (and their trend), assessments by external letter writers, media mentions, and inclusion on PhD syllabi (elsewhere) are all indicators of research impact considered in the process.

Candidates for promotion typically submit their packets by October 1 of the review year. As a first step, the P&T solicits letters from outside reviewers. Approximately twelve outside reviewers are selected, half from a list supplied by the candidate and the others selected by the Committee. The candidate is not told who supplied the outside reviews. During the fall, the P&T reads and discusses the candidate’s research papers and reviews the other materials in their packet. The external letters generally arrive by the middle of January. Based on its own assessment and the content of the external letters, the P&T makes a formal recommendation on the promotion to the Dean. Subsequently, the Dean makes a recommendation (when positive) to the University Provost. The Provost forwards untenured promotion cases to a University Standing Committee. The Provost considers the recommendation from the School and the report from the Standing Committee and makes the final decision on the case. The SADFR or the Chair of the P&T notifies the candidate of the status of the case when it leaves the School and again when it is approved by the Provost.

The School asks the external letter writers in promotion cases if their reviews lead them to conclude that “promotion to associate professor with tenure is more appropriate” than a promotion without tenure (relative to peer-school standards). Based on the P&T’s review and the external letters, sufficiently strong candidates can be tenured and promoted to associate professor at the same time (subject to approval by the Dean, Provost, and Board of Trustees). Successful promotion candidates, who are not tenured concurrently with the promotion, are given a 5-year nonrenewable contract as an untenured associate professor. This contract is the longest allowed under the University’s rules. Candidates must be considered for tenure no later than year 4 of this contract.

### 6.1.3 Tenure

“For tenure it is not enough that intellectual distinction is promised; it must be achieved” (*University Faculty Handbook*, sections IV.A.3). Evidence of this achievement includes the publication of high-quality, well-cited papers in top journals, working papers that have the potential to be published in good journals, and letters from external reviewers stating that the candidate would be tenured at peer institutions. The primary emphasis is on research, but teaching and service are also considered, as is the “expectation that the faculty member will continue to play a leadership role in the future” (*University Faculty Handbook*, sections IV.A.3).

The process within the Simon School for considering a candidate for tenure is the same as for the promotion to untenured associate professor (described above). After receiving a positive recommendation from the Dean of the School, the Provost appoints an ad hoc committee to review the case. After receiving the committee’s report, the Provost decides whether to approve the case and forward it to the Board of Trustees (BOT) for final approval. Approval by the BOT typically occurs in the latter part of the spring. The SADF or the Chair of the P&T notifies the candidate of the status of the case at each major step in the process.

Faculty do not have to wait until year four of their untenured associate contract to be considered for tenure. As described above, highly productive faculty have been tenured at the same time as being promoted to associate professor. Others have been considered for tenure before the penultimate year of their associate professor contract.<sup>1</sup> Each spring the P&T reviews the CVs of all untenured associate professors to determine if any appear ready to be reviewed for tenure. The discussion is led by a P&T member from the same area as the candidate who is most likely to be familiar with the candidate’s research.

Faculty members who fail in a formal attempt for early tenure (where outside letters are sought) can go through the formal process again through the 4th year of their contract as an untenured associate professor. A faculty member, however, bears potential reputational costs if they fail to obtain tenure after going through the formal process. Therefore, the P&T is careful to provide informed advice to candidates about whether they are ready to be considered for tenure based on its knowledge of their research and the likely content of the outside letters.

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<sup>1</sup>There were nine internal tenure cases at Simon from 2010 through 2022 (not counting tenure given to external senior recruits). Of these, only one faculty member was considered in the penultimate year of their 5-year contract as an untenured associate professor. Four were assistant professors who were tenured at the same time as they were promoted to associate professor. Three were tenured in year 2 and one in year 3 of their associate professor contracts. Historically, faculty who were not on a reasonable track for tenure left the School without going through the formal tenure process.

Although faculty have often been considered for tenure before the 4th year of their associate professor contract (or before the 10th year in the combined rank of assistant and untenured associate professor), the long maximum time to tenure gives faculty additional time to meet the University and School's tenure standards when needed. The School encourages faculty to tackle difficult, but riskier, research agendas. These pursuits may result in "dead ends" and can require a longer time to fruition. The longer maximum time to tenure is consistent with providing incentives to address larger, potentially more impactful, research questions.<sup>2</sup>

#### **6.1.4 Review Postponements<sup>2</sup>**

*The University Faculty Handbook*, section IV.A.3, grants all fulltime tenure-track faculty members up to two automatic one-year postponements in the promotion and tenure review next following the addition of a new child to the family either by birth or adoption. The term of the employment contract is correspondingly extended. Faculty may also request review postponements for health or personal problems that impose severe burdens on their progress. These requests are made through the Dean and must be approved by the Provost.

The University's policy applies only to reviews for promotion and tenure. Extensions of other reviews are left to the School. The Simon School extends all contract reviews (including third-year reviews), as well as subsequent promotion and tenure decisions, when a new child is added to the family either by birth or adoption (limited to two automatic extensions) or when other postponements are authorized by the Dean and Provost. In all cases, the term of the contract is adjusted accordingly.

Faculty can "bank" postponements in the following sense. If a faculty member is granted a postponement for being reviewed for promotion, the maximum time to be considered for tenure is also extended by the same amount of time. If the faculty member decides not to postpone the review for promotion, they still get the extra time to be considered for tenure. In this case, their contract as an untenured associate professor would be for six years, rather than the standard five years. The same policy is followed in the case of contract extension reviews for tenure-track assistant professors. For example, if an assistant professor declines an authorized postponement for the third-year contract review, they still have the option to get the extra time added to when they are considered for promotion and for tenure. A successful review would result in a four-year, rather than a three-year, contract extension.

### **6.2 Criteria and Processes for Promotion to Full Professor**

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<sup>2</sup>While the typical candidate has not exercised the option to postpone the tenure review until the fourth year of the associate professor contract (the University limit), the option has proven to be valuable both to the candidate and School in some cases. Between 2000 and 2022, there were three Simon faculty members who were tenured in the penultimate year of their associate professor contracts. All three published important papers in their post-tenure periods and were subsequently promoted to full professor.

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

### **6.2.1 Promotion Criteria for Full Professor**

#### **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. 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 their academic area.

To be promoted to Professor, a Simon faculty member must have achieved international distinction as a leading researcher in their 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 their 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 holding editorial positions in leading journal in the field.

#### **Teaching**

Candidates for promotion to Professor must have achieved and maintained a record of successful 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. 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 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. 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. 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 in 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.

#### **6.2.2 Timing of Promotions to Full Professor**

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 successful 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.

#### **6.2.3 Process for Promotion to Full Professor**

In the spring of each school year, the full professors on the P&T Committee review the vitas and activity reports (as summarized by theSADFR) 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. At least once every three years, tenured associate professors will receive written feedback based on these reviews. 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 full professors on the P&T Committee to evaluate them for promotion to Professor at any time. They can also request



informal feedback from the full professors on 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 2023-2024 school year, the full professors on the P&T Committee will offer a formal review to each tenured associate professor every five years on a staggered basis. If the associate professor accepts the offer, they must 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 that school year. The Committee will review the case in the winter/spring. The primary purpose of the review is for faculty development. In late spring after the review is completed, the Chairman of the P&T Committee and the SADR will meet with the faculty member to discuss the Committee's assessment of the progress toward promotion to full professor and its specific suggestions. Written feedback will be provided. If the full professors on the P&T think that the candidate's record likely merits promotion to full professor, this will be discussed with the candidate. The candidate can decide if they want to go through the formal promotion process, which includes the solicitation of outside letters, during the next school year. Those opting to go through the formal promotion process in the following school year should submit their promotion packets by October 1.<sup>3</sup>

### **6.3 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.

### **6.4. Midlevel and Senior Appointments from Outside the University<sup>4</sup>**

The Simon School conducts open rank searches at the junior, midlevel, and senior faculty

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<sup>3</sup>The 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 candidate wants to be considered in the evaluation, and 5) the names, addresses of 12 recommenders whom the candidate thinks are qualified to evaluate their research.

<sup>4</sup>Approved by the UCTP on 8/14/20

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 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.

## **7. FACULTY DEVELOPMENT – NON-TENURE TRACK<sup>5</sup>**

### **7.1 NTT Faculty Titles and Terms of Contract**

Consistent with current practices in the School of Medicine, School of Nursing, and the Warner School at the University of Rochester, the Simon School employs non-tenure track (NTT) faculty on a full-time or part-time basis. Like tenure track faculty positions, NTT appointments include titles with defined career progression. The primary career path of these appointments is the clinical faculty career path which are appointed at one of the following ranks<sup>6</sup>:

- Clinical Assistant Professor
- Clinical Associate Professor
- Clinical Professor

These ranks represent a progression in expectations and responsibilities as described below.

In addition to this defined career path, NTT track faculty can also be appointed to titles without such career progression. The title “Executive Professor” represents an NTT track appointment that is reserved for senior business executives who bring special expertise to their service at the Simon School and is normally considered a terminal appointment without progression. The title of “Senior Lecturer” is used for individuals with limited teaching experience, who upon success are expected to transition to a clinical career path or executive professor. The Senior Lecturer title can also be used for individuals who perform more limited teaching service to the school.<sup>6</sup>

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<sup>5</sup>Approved by the UCTP on 11/15/22

<sup>6</sup>The University's human resource job codes for the Simon's Clinical Assistants, Associates, and Professors are 0110, 0111 and 0012, respectively. They are 0010 and 0019 for Executive Professor and Senior Lecturers. All these positions involve both teaching (T) and service (S). None are tenure eligible (TE), and none require research (R).

As consistent with current university-wide regulations, hiring decisions are made by the Dean in consultation with the existing faculty, following the process articulated below.<sup>7</sup> The Provost must approve the appointment of Clinical Associate and Clinical Professors. The Provost does not need to approve the appointment of a Senior Lecturer, Clinical Assistant, or Executive Professor.

NTT track faculty terms of appointment are always for a specific number of years (up to a maximum of five). Regardless of the type of appointment, a major “reappointment review” is conducted in the penultimate year of the contract. As explained below, this review requires the faculty member to prepare and submit a “case” for reappointment, to be reviewed and evaluated by the Promotion and Tenure (P&T) Committee with input from other faculty. Reappointment decisions are made by the Dean upon review of the P&T Committee’s report. The Provost must review and approve reappointments of Clinical Associate Professors and Clinical Professors.

Promotion decisions (to Clinical Associate or Clinical Professor) are made by the Provost upon recommendation by the Dean, following the process articulated below. 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 NTT track faculty.

## **7.2 Criteria for Hiring, Reappointing, and Promoting NTT Faculty at Various Ranks<sup>7</sup>**

Teaching excellence is generally a necessary condition for the hiring, promotion, and retention of NTT faculty. In addition, to meeting a high standard in teaching, NTT faculty are expected to contribute to the school’s mission and strategy in other important ways, which can take a variety of forms. Examples include program development/leadership and connection to practice (corporate engagement, projects/innovation incubator, practice-oriented scholarship, etc.). Other service roles include serving on committees and attending events, such as those hosted by the Admissions Office or Benet Career Management Center and commencement. As a “pool of strategic assets, NTT faculty provide a connection to practice, provide program leadership, and engage in program activities that provide substantial support to admissions, the Benet Center, student life, and/or experiential learning. While some NTT faculty contribute to the school through their research efforts (original and/or practice oriented), NTT can be successful at the school by making other significant contributions to the school’s mission and strategy.

The primary criterion for the initial appointment as a Clinical Assistant Professor is the potential for excellence in teaching, as typically demonstrated by past teaching performance or educational background. The term of the initial contract is two to three years depending

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<sup>7</sup>The School’s governance policies empower the faculty to make recommendations to the Dean on new faculty hiring and existing faculty contract extensions, promotions, and tenure. While the Dean frequently accepts these recommendations, ultimate authority lies with the Dean, Provost and/or Board of Trustees, depending on the decision.

on teaching and academic experience. Faculty who are reappointed as Clinical Assistant Professors are normally given three-year contracts. Reappointments as a Clinical Assistant Professor are based primarily on sustained excellence in the classroom.

The criteria for appointment at the rank of Clinical Associate Professor is demonstrated excellence in classroom teaching (for example at another university) and the potential to provide other significant contributions to the school and its strategic mission (for example, in program development/leadership or practice-oriented scholarship). The initial appointment is two to three years depending on teaching and academic experience.

Promotion of Clinical Assistant Professors to the rank of Clinical Associate Professor and reappointments at the Clinical Associate rank are based on sustained excellence in classroom teaching and in making other important contributions to the school and its strategic mission, such as the introduction of successful new courses or teaching methods and extracurricular activities that serve the cause of school. The term of the contract is normally three years.

The criteria for appointment at the rank of Clinical Professor are evidence of exceptional classroom teaching and the potential to make highly significant contributions to the school and its strategic mission, such as serving as a mentor for less experienced faculty, area leadership, promoting collaborations across areas of the school or university, and/or increasing external visibility of the school. The term is normally from three to five years. Promotions to Clinical Professor and reappointments at that rank are based on a sustained record of exceptional classroom teaching and in making important contributions to the school and its strategic mission, as well as the demonstrated ability and willingness to exercise leadership within one's area and/or the school. The term of the contract is normally three to five years.

The initial appointment as a Senior Lecturer is typically for two years. Reappointments (as a Senior Lecturer or transitions to the clinical path or Executive Professor) are based primarily on excellence in the classroom. The typical contract is three years.

The initial appointment as an Executive Professor is normally for three years. The primary criteria for reappointment as Executive Professor are excellent classroom performance and having made important contributions to the school and its strategic mission. The typical term of the contract is three to five years.

### **7.3 Process for Deciding on New NTT Faculty Positions**

Final decisions about faculty positions [whether a position will be continued and/or a new one created, the definition of the position (field of specialization and scope), and whether it will be tenure-track or NTT] are made by the Dean. In making these decisions, the Dean is expected to consult with the relevant existing faculty (for example, the area coordinator, the SADF, and the SADEI) to ensure that their knowledge and input can be taken into full consideration in making these critical decisions – including decisions to pursue NTT faculty

members instead of, or in addition to, tenure-track faculty members.

#### **7.4 Hiring Process for NTT Faculty**

NOTE: The following process assumes that a decision has already been made about the nature and availability of the NTT position to be filled.

The process for the hiring of fulltime NTT faculty at all ranks has been designed to parallel our current practices in the hiring process of tenure-track faculty and consists of the following main steps<sup>8</sup>:

The Dean appoints an ad hoc committee, which includes at least some tenure-track faculty, to advise on the appointment of a NTT faculty member, unless the Chair of the P&T Committee approves proceeding without tenure-track faculty representation. The Dean should also consider appointing at least one NTT faculty member who holds a rank equal to or above the rank of the NTT faculty being sought. The area coordinator should either serve on the committee or in some other way play an active role in the hiring process.

Recommendations for new fulltime appointments at all levels are reviewed by the Chair of the P&T Committee, who can choose to refer them to the full Committee for additional input.

The Dean makes the final decision (to be approved by the Provost if the appointment is at the Clinical Associate or Clinical Professor rank).

#### **7.5 Reappointment and Promotion Process for NTT Faculty**

All NTT faculty undergo a review for reappointment in the penultimate year of their contract. The process consists of the following steps.

1. The NTT faculty member prepares their “case,” which includes:
  - CV
  - Personal statement
  - 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 service and other contributions to the school’s mission and strategy
  - Evidence of scholarly work (if applicable)
  - Other relevant documents/artifacts as appropriate to provide supporting evidence for the Personal Statement

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<sup>8</sup>Parttime “adjunct” faculty are hired to teach specific courses. With the approval of the Dean, the Senior Associate Dean of Faculty and Research has the authority to hire adjunct faculty, after consulting with the relevant area coordinator.

2. An ad-hoc reappointment committee is appointed by the SADFRT to manage the reappointment process and provide a written recommendation to P&T Committee. The reappointment committee includes the SADFRT, the SADEI, and at least one additional Simon faculty member of “appropriate rank.” Appropriate rank for reappointment as Clinical Associate Professor includes tenure-track and clinical associate professors and professors, as well as Executive Professors who have been on the faculty for at least five years. Appropriate rank for reappointment as Clinical Professor includes Clinical Professors and tenured faculty.
3. Based on all this information, the reappointment committee prepares a written recommendation for the P&T Committee, which reviews the case and sends its recommendation to the Dean.
4. The Dean reviews the case and the committee’s recommendation. The final decision on reappointments at the same rank is made by the Dean.,
5. The Dean’s Office will must notify the faculty member of the decision in writing at least one year before the appointment expires as to the status of their reappointment (consistent with the University’s policies for tenure-track faculty – UR Faculty Handbook, Section IV.A.1).

The P&T can conclude during this process that a faculty member warrants promotion to a higher rank. Prior to making a promotion recommendation to the Dean, the P&T solicits input from all faculty at or above the proposed rank.<sup>9</sup> If the recommendation is to promote a Clinical Assistant to Clinical Associate, all tenure-track and clinical associate and full professors are solicited for input (including Executive Professors who have been on the faculty for at least five years). For promotions to Clinical Professor, only tenure-track and nontenure track professors are solicited for input.

Promotion reviews for NTT faculty can be initiated at other times by the Dean’s Office. The same process as described above is followed. Provost approval is required for all clinical faculty promotions recommended by the Dean.

At the end of the review process, the Senior Associate Dean of Faculty and the SADEI and Innovation meet with the faculty member to provide performance related feedback and to discuss goals for the future.

## **8 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

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<sup>9</sup>Additional faculty input is not sought when the P&T recommends that a Senior Lecturer transition to either Clinical Assistant Professor or Executive Professor.

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. To ensure proper forecasting of our expenditures, please let the Senior Associate Dean of Faculty and Research (SADFR) know in advance if you believe you need to exceed the current year allocation and liquidate some of your previous available balance.

### **8.1 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](#). All faculty should be familiar with the policy (it is found on the university website via the provided link). 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.

Effective November of 2022, Simon is using the Workday Expenses tool to process employee expense reports. Appendix B has information to help you prepare an expense report using this tool.

### **8.2 Buying and Paying Guide**

All computers and computer accessories should be purchased through the [UR Tech Store](#). The Simon IT staff should be contacted to place the order. If the equipment needed is not available through the Tech store, the staff will seek other vendors. Purchasing elsewhere requires prior approval from the Dean's Office.

As per University policy, sales tax for equipment, such as computers and accessories, purchased using personal funds is not reimbursable. Expense reports that include sales tax for these purchases will be returned for revision. To facilitate your purchases and ensure



compliance with the policy, contact Simon IT whenever you need computer equipment or accessories. They can purchase anything you might need from the UR Tech Store, Amazon, and other vendors tax-free using the Pcard. If you need to have your order shipped to your home, they can arrange that as well.

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

<b>Office Supplies</b>	supplies (toner, paper, pens, etc.) should be purchased by the faculty assistants from our preferred supplier, WB Mason. This process avoids sales tax and costs related to processing such expenses.
<b>Conference Registration fees</b>	can be paid ahead of time using Simon's purchasing card (Pcard)
<b>Office furniture</b>	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.
<b>Subscriptions, professional membership fees, book purchases, and peripherals</b>	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.

Faculty can book extra legroom seats on flights (e.g., Economy Plus on United, Comfort+ on Delta, and Main Plus on American). However, faculty need to pay for the upgrade from standard economy. Some airline receipts show the cost for extra legroom seats as a separate charge. In other cases, faculty should document the cost of a standard economy seat at the time of booking and include it in their expense report along with the actual receipt. Only the lower amount should be billed to the school.

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.

Nonrefundable payments, such as conference registration fees, can be reimbursed if you are unable to attend the event.

Some of faculty use outside contractors for services, such as proofreading research papers. Due to IRS and legal concerns, the UR requires the completion of paperwork for this before a contract is entered into (unless they are already in our system) and direct payment by the school. Do not pay an outside contractor directly and expect to get reimbursed through an expense report. The Simon School finance staff can assist in completing the necessary step if needed.

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). [While included in the \$90 limit, faculty should separate alcohol expenses from meal expenses on expense reports. The alcohol expense item is EX239.]

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.

The school will pay for digital descriptions of work-related periodicals and newspapers. It will only pay for home delivery if there is a business justification for the additional expense.

### **8.3. 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.

#### **8.4. 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.

Bank or Credit card statements are not a substitute when a receipt is required. Statements are a summary of your bank or credit card activity but do not provide a description of the goods purchased

**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.

#### **8.5. 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 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 (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](#).
  - 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 Meals and Incidentals Expense (M&IE) rate is being reimbursed, these fees cannot also be reimbursed since they are included in the M&IE rate.**
  - 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 M&IE table (see above example) has a column showing the calculated amount for the "First and Last Day of Travel."**

- 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.

## **8.6. 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.

## **8.7. 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 because of engaging in activities not directly related to University business
- Charges incurred because 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, headphones, ear buds, backpack, briefcase, computer cases, eyeglasses, etc.)
- Maid Services
- Office decorations & comforts (artwork, flowers, rugs, expensive computer speakers, etc.)
- Cell phones and cell phone plans

## 8.8. 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.  
145 Rue De Ville  
Rochester, NY 14618  
Phone: 585-442-8900 option 3  
Email: UofRtravel@depreztravel.com or  
UofRgroups@depreztravel.com  
Website: [www.deprezmeetings.com](http://www.deprezmeetings.com)

Town & Country Travel  
732 Pittsford-Victor Rd  
Pittsford, NY 14534  
(585) 381-2850 / fax (585) 381-1987  
\*Classified as Woman-owned business  
Website: [www.towncountrytravel.com](http://www.towncountrytravel.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
- Auto rentals
- Requesting refunds from airline carrier
- Tracking credits received from airline carriers and applying to future travel, and
- Providing “after-hours” services (cancellations, changes)

## 8.9. General Operating Procedure

The Workday Expenses process is described in the Appendix B.

Faculty receive a periodic statement (or on demand) 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 1.5 times the previous year's level) require prior approval from the SADFR.

#### **8.10. 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.

#### **8.11. 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.

#### **8.12. 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.

## **9. TEACHING**

The School has expectations concerning the teaching activities of faculty. These expectations are not constrained to the time limits of the term, starting well before the term, and ending well after the term. These expectations are laid out in Appendix C. Below some key points related to resources and interactions are highlighted.

### **9.1. Teaching Assignments**

Work on the yearly teaching schedule begins in January and is typically not completed until June. The SADFR works with the Area Coordinators, the faculty directors, and the SADEI, to produce the annual teaching assignments and the semester teaching schedules. Your specific teaching requests should be directed to the SADFR and the area coordinator. When the schedule is completed or nearly completed sometime in the spring, you will receive a Teaching Statement which lists the courses you are scheduled to teach in the coming year, along with any course credits or deficits you'll have going into the next year. A course load deficit or credit of up to one course may be carried forward to facilitate efficient teaching assignments across years. Larger deficits and credits may be carried forward if mutually desired by the faculty member and the dean's office. Upon departure, credits are paid out at the rate of 1/8th of the 9-month academic salary. If there are problems with the Teaching Statement or the proposed teaching assignment, contact the area coordinator or the SADFR.

#### **9.1.1 Class Size, Cancellation, Waitlists, and Splitting Sections**

The School aims to minimize disruptions to students and faculty due to over or under-enrollment. For classes available to a student, the student can self-enroll directly into a course section. Students enrolling in sections outside of their available sections or into sections requiring special permissions must gain these permissions prior to enrolling. Such non-standard enrollments generally should not be approved directly by the instructor and should be directed to the dean's office. The dean's office maintains guidelines for how permissions operate to allow course substitutions beyond the standard curricula, including cross-program enrollments.

Every course section has a class size cap, based on program needs, the instructional design, the modality, classroom space, and specific needs of an instructor. Class size caps can be modified by specific permission from the SADFR and SADEI. Extra sections may be added or removed based on scheduling, student demand, instructor and classroom availability. When students want to enroll in a course that has reached its cap, they are placed on a waitlist. Instructors are sometimes asked to make exceptions to the cap to accommodate a small number of additional students. If the excess demand is large, the course section might be split into two sections, or if another section is available, students might be asked to consider shifting sections.

Courses, including individual sections of multiple-section courses, are reviewed for possible cancellation when most students have registered for courses (about two weeks after registration has opened) and after the course has been determined as at *risk of cancelation*. A course is considered at risk of cancellation if it has fewer than 15 students enrolled, unless it has at least 10 registered students and is either being offered for the first or second time, or the last time it was offered it had at least 15 students enrolled.

The decision to cancel a course is made by the SADFR, after consulting with the SADEI, the instructor, the relevant faculty area coordinator, and the directors of any affected programs. The decision should account for several factors including the importance of the course for our programs and specializations, availability of suitable alternative courses and when these are offered, elapsed time since the course had been previously offered and the past enrollments of the course, the importance of the course for other strategic school initiatives, prior commitments to the instructor (particularly for new courses), and impact of the cancellation on the instructor (particularly if they are working towards tenure).

The instructor is informed of a likely cancellation before the decision is finalized, to ensure all faculty-relevant factors are considered. If a course is canceled, Ainslie OSE advisors inform each student who was enrolled and advise them of alternative courses that may appeal to them. Instructors are not normally compensated for canceled courses. If the course was part of the instructor's contract load, a course deficit will be carried forward that will be made up with a mutually agreeable section of a course in the future.

## **9.2 Support**

### **9.2.1 Teaching Assistants/Graders**

Teaching assistant assignments for graduate courses are coordinated through the Dean's office, and through the Undergrad program office for undergraduate courses. PhD student TA assignments are made by the PhD office in coordination with the Dean's office.

Faculty should refrain from approaching PhD students directly. All requests for PhD TA assignments should be made through the TA process and communication with the PhD office.

First-year Ph.D. students are not eligible for teaching assistantships, either paid or hourly. Ph.D. students in their second through fourth years of study are required to receive three teaching assistantships per academic year as assigned by the PhD Office. PhD students fifth year and above are not required to TA however the student can communicate their interest with the PhD office and may be assigned as needed.

Faculty will be contacted prior to the start of each term to determine what their TA needs are. The Dean's office coordinator will work off the needs/requests from faculty feedback in effort to find suitable TA candidates who can best support their classroom.

Faculty are required to get approval from the Sr. Associate Dean for Faculty and Research when requesting TA support for courses which do not meet enrollment criteria. In this case, faculty may be asked to provide the name of potential candidates.

After a student is hired through student employment, the faculty member is charged with meeting with the student to define responsibilities and to regularly review their work to ensure the delivery of the course meet Simon quality standards. In addition, the faculty member is expected to review the hours worked of any TAs assigned to ensure reported hours are consistent with expectations.

### **9.2.2 Instructional Technology and Innovation (ITI) Team**

The ITI team provides support for course-related technology needs other than audiovisual equipment. This includes preparing blackboard sites, supporting the use of panopto and related video integration for asynchronous videos, Qwickly attendance tracking, discussion tools (yellowsig, blackboard, harmonize, and slack), ChatGPT prompts for instructional use, and broader instructional methodology support. The team also provides HyFlex and Online course technology support.

Faculty are invited to meet with the team ahead of the start of their class to make a plan for the support the team will provide during the term. Faculty teaching some courses, including HyFlex and Online courses, are expected to meet with the team to ensure coordination.

### **9.2.3 Audiovisual Equipment**

Audiovisual requirements for classrooms in Schlegel Hall are handled by the Simon Technology Services. The standard approach is now for a laptop in the classroom to login to Zoom and then the instructor logs into Zoom to project to the connected laptop. This approach is common to all Simon classrooms. Faculty should not deviate from this approach without first contacting Simon Technology Services.

### **9.3. Grading Policy**

The Simon Business School faculty voted to require the average GPA within a course not exceed 3.5. The dean's office requests each faculty member not exceed the required 3.5 average GPA for each graduate business course taught in each term. A faculty member teaching multiple sections of a course in each term 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 SADFR prior to the grade submission deadline.

Additional details regarding grades, such as the grade-point value of each letter grade, and when to assign grades of N, E, or I, are available in the 'Grading' section of the Simon Student Handbook.

Please do not hesitate to ask either the SADFR or the SADEI for clarification of our grading policy or for guidance regarding grading norms at Simon Business School.

#### **9.3.1 Grade Posting**

Instructors are required to submit grades for summer and fall semesters to the Registrar's Office within four business days after the final exam, or four business days after the last class if there is no exam. In the spring semester, faculty must turn in their grades within four calendar days of the exam for cohort courses, and 48 hours for all other courses.

#### **9.3.2 Grade Dispute Policy**

The Simon graduate school considers instructors to have broad authority to assign grades based on the expertise in their subject area and related instructional practices. Instructors should provide a grade dispute process for errors in grading or recording of grades within their course that directs students how to handle concerns.

In gracircumstances, the dean's office will consider grade disputes based on a narrowly defined set of conditions. These conditions are limited to procedural (either a procedural error or the instructor was negligent of their duties) or bias-related (a serious and specific accusation, not a sense of being treated unfairly). Such bias-related disputes will be referred as a Title IX complaint, where appropriate. Grade disputes that justify the dispute based on losing scholarships or being put on probation will not be considered. The Dean's office will

also generally not consider the scoring of specific questions unless the concern was procedural or bias related.

A student's first step in a grade appeal is to raise the case to the instructor following the procedure defined in the instructor's syllabus. The dispute must be raised no later than six weeks following the release of the grade. After the instructor provides the response to a grade dispute or if the instructor fails to respond within a reasonable time, the student can raise the concern to their advisor. If the student deems the case to be a valid appeal after conferring with the advisor, the student needs to write a description of the appeal, the basis of the appeal, and provide evidence or argument for the procedural or bias concern. The advisor advises on whether the write-up is sufficient, and when it is sufficient, the advisor would assist the student to share that with the dean's office.

The two Senior Associate Deans address the dispute. The Senior Associate Deans would first determine whether a case meets the standard for consideration. If a case does not meet the standard, the Deans would notify the instructor, advisor and student(s) involved, possibly through the advisor, and provide at least minimal guidance on why it was not considered for appeal. If the case is considered for dispute resolution, the Deans can choose to consult with the instructor, advisor, and student, but need not consult any of them beyond the initial written complaint by the student. The Senior Associate Deans make the decision together, but in the case of a disagreement or absence, the Dean of the school can be consulted. The Senior Associate Deans provide the final determination in written form back to the student, advisor, and instructor, possibly through the advisors.

### **9.3.3 Grade Changes**

If it becomes necessary to change a grade after it has been reported to the Registrar, the instructor can submit the revised grade through the UR Student grading portal. The grade change will be sent to the Senior Associate Dean of Faculty and Research for approval before the new grade can be posted. Requests to change a grade (either for the course or an exam) will not be considered if they are made more than 6 weeks after the instructor submits the final grades to the Registrar's Office.

## **9.4. Examination Administration**

### **9.4.1 Exam Scheduling – Midterm and Final Exams**

Midterm Exams: Instructors wishing to hold mid-term exams outside of class time need to submit a request to Academic Operations for an out of class activity. Typically, these arise from having an exam held jointly for multiple sections at once. Not all such requests can be met. If such a request can be met, proctors and seating charts will be provided as described below. For in-class midterm exams, instructors can request proctors on an exceptional basis, and the academic operations team will attempt to provide options.

Final Exams: The final exam schedule is produced by the Registrar's Office and is planned to minimize student exam conflicts. The academic operations and registrar's offices create seating charts, and provide proctors for all final exams. Instructors need to respond to requests information regarding the final exam in a timely manner to ensure these services are available.

Instructors can choose to accommodate students' requests for make-up exams. Make-up exams can be held before or after the regular exam. Make-ups should not include allowing a student to take an exam via zoom at the same time as the class that otherwise are required to take it in person.

#### **9.4.2 Proctors**

Each course scheduled for a final exam is also scheduled to have sufficient proctors to monitor the exam. This planning assumes the faculty member will be present during the exam. Your proctors will likely include PhD students and non-PhD students. You should look over the list of proctors to identify any concerns prior to the exam.

Although proctors are provided and instructed on how to serve in the role, instructors are responsible for ensuring the proctors follow instructions and know how to handle questions when they arise. In investigating cases of cheating, 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 Integrity Committee.

It is also important that the instructor make regular appearances in the exam room(s) during the exam, even if sufficient proctors are available. 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.

#### **9.4.3 Exam Procedures**

Prior to the final exam period, professors are reminded about exam-related policies, informed about getting support for exam administration, and provided exam procedures for various types of exams. These procedures are provided to ensure a high standard of academic integrity in our exams. Instructors are expected to meet or exceed this standard if they modify the procedures. In addition to guarding against potential academic integrity violations, instructors must ensure fairness across students. Finally, some students have accommodations that are handled by the Office of Disability Resources. The procedures for exams are updated and instructors should use the latest procedures.

## **9.5 Course Evaluations**

Course evaluations are required for all courses taught at the Simon School. To increase response rates, faculty are strongly encouraged to express the importance of their feedback for you to learn what they like and to hear their suggestions for how to possibly improve the course. Approximately 1 week prior to the last day of classes, students will receive an email with directions for completing their evaluations online using AEFIS. If you would like a staff member from the Ainslie OSE to visit your last class to emphasize the importance of course evaluations and to oversee the use of class time for completing the course evaluations, please contact the Assistant Dean of Students.

The evaluations will be available to you on AEFIS one to two weeks after grades are submitted. These evaluations are used when determining teaching schedules, salary increases, contract renewals, promotions, and tenure cases. A summary of each term's evaluations is distributed to the faculty when it is completed.

If an instructor pursues violations of our Academic Integrity Code against students, those students' complete evaluations will be held out from the course report and scores, unless the committee fails to find them in violation of the code.

These course evaluations serve as the basis for determining the Simon Dean's Teaching Honor Roll, as described in section 5.4 Faculty Recognition.

## **10. GOVERNANCE**

### **10.1 The Faculty's Role in Shared Governance**

There are many tasks that must be performed at universities. The board of trustees, senior administration, school administrators, faculty, staff, students, and others play interdependent roles in "shared governance." The participants in shared university governance vary in roles, knowledge and/or expertise and thus in the weight of their voice in making specific decisions. *The Simon Faculty Council Bylaws* (Appendix D) provide a relatively detailed discussion of the faculty's role in governance.

The faculty's primary governance responsibilities are in the areas of curriculum/programs, faculty hiring, promotion/tenure, academic standards, academic integrity, and the PhD program. The power to review and approve faculty recommendations in the above-stated areas lies with the Dean, Provost and/or Board of Trustees. While these authorities typically defer to the faculty in these areas, they can pursue different actions for appropriate reasons, such as when budget constraints, personnel limitations, strategic goals, or time considerations limit the realization of faculty advice.

All tenure-track (TT) and non-tenure-track (NTT) faculty participate and have a voice in various aspects of shared governance at the Simon School. Many of the faculty's governance responsibilities are delegated to faculty committees (described in section 9.4). Most fulltime TT faculty and NTT faculty, with more than one year of service, serve on at least one committee. All TT faculty and NTT faculty are entitled to vote at the committee level, regardless of rank or length of service.

Committees are empowered to make many programmatic and other decisions without a vote of the full faculty. Particularly important or broad issues, such as major changes in the curricula and the grading policy, require discussions at meetings of the entire Simon faculty and a faculty vote. Any two faculty can also request discussion and a faculty vote on program- and curriculum-related committee decisions they feel warrant consideration by the full faculty.

Married faculty and others in significant relationships should never be involved in contract renewal, promotion, tenure, or other personnel decisions affecting their spouse or partner.

## **10.2 Faculty Meetings & Faculty Votes**

All full-time, part-time faculty (TT and NTT), Deans, and Directors are invited to attend faculty meetings. The Deans can invite additional attendees as they deem warranted.

Each academic year, the Deans convene at least one faculty meeting in which they update the faculty on the "state of the school." At least once a year, the Deans also provide information about the school's financial situation in as much detail as is consistent with reasonable confidentiality requirements.

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. The agendas for faculty meetings are set by the Dean's Office in consultation with the Simon Faculty Council, Area Coordinators, and relevant committee chairs.

Only TT faculty are entitled to vote on matters pertaining specifically to TT faculty, to research or to governance (as determined by the Faculty Dean in consultation with the Simon Faculty Council). Faculty entitled to vote on general matters (for example, proposed curriculum changes) include:

- All TT faculty
- All fulltime NTT faculty members at the rank of Clinical Associate Professor or Clinical Full Professor (or equivalent)
- Executive Professors who have been on the Simon faculty for five or more years



The annual vote on the composition of faculty committees is categorized as a general issue.<sup>10</sup>

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

The default method of voting is a secret ballot. Votes are typically conducted electronically using web-based survey software, which records who votes but not how they voted. Eligible voters are given at least two working days in which to consider and cast their votes. Polls close at 5 pm on the final date to vote. No proxy voting is allowed. The quorum requirement for a vote to be official is 50% of the faculty who are entitled to vote on the specific issue. Ballots cast abstaining from a vote are counted for quorum purposes. Ranked-choice voting (excluding abstentions) is used to determine the vote outcome. For simple Yes/No proposals, this process is equivalent to a simple majority rule.

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 reports, with copies handouts attached as appendices. Faculty discussions, however, are to be kept confidential and should not be included in the minutes.

The Simon Faculty Council will select one of its members to serve as the official faculty secretary for faculty meeting who will oversee the creation and posting of the minutes to the faculty intranet.

### **10.3 Simon Faculty Council**

The Simon Faculty Council (SFC) consists of four TT faculty members and one NTT faculty member elected by their respective constituencies. The general purposes of the Simon School's SFC are to 1) foster communication by serving as a two-way liaison between the faculty and the Dean's Office, 2) recommend to the voting faculty the composition of Simon faculty committees, 3) represent the Simon faculty on the University's Senate Executive Committee, and 4) respond to requests from the Provost's office for the names of Simon faculty to serve on decanal reviews and Dean searches. *The SFC Bylaws*, which discuss the purposes/charge, organization, and processes of the SFC are contained in Appendix D.

### **10.4 Simon School Standing Committees**

#### **10.4.1 Academic Standards Committee**

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<sup>10</sup>The Dean's Office is responsible for selecting committee chairs with input from the Simon Faculty Council (SFC), while the SFC has final authority to recommend other faculty to serve on committees with input from the Dean's Office.

The Academic Standards Committee is responsible for the maintenance of academic standards in all degree-awarding programs. This faculty committee, supported by administrators and Simon staff, meets after each term or as needed for programs not matching regular terms. It considers, on a case-by-case basis, all students who are in academic probation, i.e., their cumulative G.P.A. is below 3.0. The Committee oversees the Academic Recovery Plans that the Ainslie OSE develops with students to help them return to good standing. As part of this oversight, the Academic Standards Committee, for example, warn students that improvement is required, require students to retake courses, limit the number of credits students can take in a subsequent term, 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.

#### **10.4.2 Academic Integrity Committee**

The Academic Integrity Committee (AIC) is a faculty committee that comprised convenes as needed to hear cases of breaches of the Simon School Code of Academic Integrity (see the Student 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 Chair convenes an ad-hoc hearing panel as defined in the AIC policy.

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.

#### **10.4.3 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, all tenure-track appointments at the level of Associate Professor or above, all Clinical Track appointments, and all contract renewals.

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, which was approved by the Faculty Senate at that time.

#### **10.4.4 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).

#### **10.4.5 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

#### **10.4.6 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 Artificial Intelligence in Business
- Online MS in Business Analytics and Applied AI

Each program committee consists of voting members that are tenure-track, executive, or clinical professors, and ex-officio members, including the Senior Associate Dean of Faculty and Research and the SADEI. The ex-officio members do not have voting rights within the committee. Additional ex-officio members are determined by the SADEI and the Senior Assistant Dean of Admissions and Programs. These determinations are as needed but will be reviewed each year to coincide with the Simon Faculty Council nominations.

After review and approval by the committee, motions for the change of any aspect of a program are reviewed by the program committee chair, the GCC chair, and the SADEI to determine whether they need further approval by the Graduate Curriculum Committee or the full faculty.

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.

#### **10.4.7 Graduate Curriculum Committee**

The Graduate Curriculum Committee (GCC) consists of faculty members drawn from the major areas of the school (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 for the MBA and MS programs. Its responsibility, in particular, is to evaluate proposals made by program committees 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 10.1. 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 or the SADEI. 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.

#### **10.4.8 Undergraduate Curriculum Committee**

The Undergraduate Curriculum Committee (UCC) oversees our undergraduate programs (BA, BS, and minor) and advises the Deans and the Undergraduate Program Faculty Director on any matters related to the undergraduate curriculum and teaching. All of Section 10.4.6 (regarding Graduate Program Committees) applies to the UCC as well, with the exception that instead of the GCC providing oversight, the UCC recommendations are first reviewed by the Undergraduate Advisory Committee which typically includes faculty from Psychology, Political Science, and Economics and then must be approved by the College Curriculum Committee and sometimes the AS&E Faculty Council.

## Appendix A: AACSB Faculty Classifications

The School is committed to maintaining a highly qualified faculty to accomplish its research and teaching missions. Faculty skills should ideally reflect a mix of outstanding academic preparation, intellectual contributions, and professional achievement. Adopting a faculty categorization system that is consistent with AACSB standards is directed toward this end – it helps to assure that Simon sustains a faculty that is professionally competent and current.

This document summarizes the standards the School uses to categorize its faculty. The classification of a faculty member represents a baseline standard and should not be taken to signify performance levels required for continuation of employment, renewal of contract, satisfactory annual performance evaluation, or the granting of tenure or promotion.

### AACSB STANDARD 3.2

The AACSB's Standard 3.2 specifies how business schools should classify their faculty:

*Faculty are qualified through initial academic or professional preparation and sustain currency and relevancy appropriate to their classification, as follows: Scholarly Academic (SA), Practice Academic (PA), Scholarly Practitioner (SP), or Instructional Practitioner (IP). Otherwise, faculty members are classified as Additional Faculty (A).*

The Senior Associate Dean of Faculty and Research (SADFR) reviews the CVs, activity reports and performance of Simon faculty each spring. Each faculty member is categorized for the following school year into one of the above categories, based on their activities in the few months of the given calendar and the previous five calendar years.

### FACULTY CLASSIFICATIONS

#### ➤ Scholarly Academic (SA) Faculty

An SA faculty member normally must have a terminal degree in their area of teaching or be in the final phase of completing it.

Receipt of a terminal degree (usually PhD) in the area of teaching is treated as equivalent to an A publication for purposes of SA status. Thus, faculty who have earned such a degree within five years of entry or just after entry would have a minimum of a five-year period in SA status.<sup>11</sup>

Other existing faculty and newly hired faculty are classified as SA only if they meet the

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<sup>11</sup> The UR grants one-year review postponements when new children are added to the family (up to two such postponements) and other purposes (e.g., the COVID crisis). Postponement years are not counted toward the five-year total.

standards specified below for maintaining SA status.

While the Simon School has not historically used PhD students as primary instructors, they would also be classified as SA, if they have passed their comprehensive exams and are at the dissertation stage.

### *Maintaining SA Status*

To maintain SA status, a faculty member must meet both a publication and an engagement standard. To meet the publication standard a faculty member normally must achieve **at least one** of the following over the five-plus year evaluation period:

1. One publication (forthcoming papers are counted) in an A-level peer-reviewed journal (as defined by having a Five-Year Impact Factor of at least 6). Serving as a managing or co-editor of an A-level journal counts as meeting this standard.
2. Two publications in peer-reviewed journals (forthcoming papers are counted) ranked by their *Journal Citation Index* factor as being in either the first or second quartile of journals within the field. Serving as managing or co-editor of a JCI quartile 1 or quartile 2 counts the same as one publication in such a journal.
3. Three publications in peer-reviewed journals (forthcoming papers are counted)

It is possible that situations will arise where a faculty member does not meet one of these conditions and still warrants the SA designation (e.g., the faculty member is actively involved in a longer-term grant-supported, research project or the faculty member publishes in a highly respected field journal that is not in a JCI first or second quartile, which are based on more broadly defined fields). In such cases, the SADFR will consult with the Dean. If both agree that the SA designation is appropriate, the faculty member will be so classified for the following school year.

To maintain SA status, the faculty member must also be *reasonably engaged* in other scholarly activities. Examples of demonstrating such activity include but are not limited to:

- Producing working papers that have the potential to be published on high-quality journals
- Presenting or discussing papers at academic conferences
- Refereeing papers for peer-reviewed journals
- Serving on editorial boards of academic journals
- Organizing conferences or sessions at academic meetings
- Presenting papers at external conferences and workshops
- Disseminating research to broader audiences through media interviews, op-eds, etc.
- Authoring a research monograph
- Publishing an article in a non-refereed national professional journal

- Publishing an article in a non-refereed national magazine
- Publishing a book review
- Publishing a refereed magazine article
- Publishing a business case in a refereed outlet
- Authoring a textbook
- Serving as an elected officer of an international or national professional organization
- Serving as a program chair for major academic conference that involves review of and decisions on numerous full manuscripts
- Serving as a special edition editor for an academic journal
- Winning a research award or a grant
- Participating in Simon research seminars and other research activities at the school
- Participating in recruitment of tenure-track faculty in their area

Thus, the Simon School uses an objective measure for the required number of publications in good journals (the major research output of interest), coupled with an assessment by the SADFR of whether the faculty member is reasonably engaged in the intellectual life at the school and profession to warrant SA classification. An example of reasonable engagement is as follows: over the past five years the faculty member has presented a paper at an academic conference or external seminar, has refereed papers for peer-reviewed journals, has conducted interviews as a media expert, and has played an active role in the Simon research community (attending the area's workshop series, helping to recruit faculty, etc.).

The responsibilities carried by senior administrators in any business school are considerable. With this level of responsibility, expectations for maintaining SA status cannot be the same as for non-administrators. Individuals serving as Dean, Senior Associate Dean or in an equivalent administrative role within the school must satisfy the normal requirements for SA classification at the time of initial appointment to a continuous period of administrative service. In addition, they must continue to be reasonably engaged in scholarly activities, such as conducting media interviews related to research, participating in research related webinars, publishing op-eds, and attending research seminars or conferences. Upon leaving these positions, individuals with SA status, maintain this status for three years. After that they must meet the standards discussed above for all faculty to maintain SA status.

### ➤ **Practice Academic (PA) Faculty**

PA faculty must have terminal degrees in their area of teaching or be in the final phase of completing them.

To achieve and maintain this status, the faculty member must have made academic contributions at some point in their careers (e.g., published papers in good academic journals) and have demonstrated significant practice-related contributions over the past five-year plus period. These contributions can take a variety of forms, including but not limited to:

- Publishing practice related articles, books, business cases, op-eds, etc.
- Significant interaction with the business community, alumni, and the media, e.g.,



- through presentations or webinars
- Organizing/judging student case competitions
- Participating at professional conferences and workshops, e.g., as a presenter or discussant
- Leadership in professional associations
- Consulting
- Teaching project related courses
- Serving on boards
- Obtaining a new professional certification or maintaining a new one (e.g., CFA).
- Participation in high-quality teaching workshops
- Significant teaching innovations
- Participating in Simon research seminars and other research activities at the school
- Participating in recruitment of tenure-track faculty in their area
- If the faculty member qualified as a PA at initial appointment and it is within five years of that initial appointment, the faculty member remains qualified as a PA.

#### ➤ **Scholarly Practitioner (SP) Faculty**

SP faculty must normally have terminal degrees in their area of teaching or be in the final phase of completing them. Newly hired clinical faculty (including executive professors) with terminal degrees in the relevant field obtained more than 5 years prior are initially classified as SP faculty and maintain that status for five years. Clinical faculty with more recent terminal degrees are classified as SA's. Other faculty are designated as SP faculty when they achieve the standard discussed below for maintaining it.

To maintain SP status the faculty member must continue to be reasonably engaged in scholarly and practitioner-related activities. In contrast to the requirements for SA status, this does not have to be in the form of publications in high quality academic journals. Scholarly/practitioner contributions to maintain SP status can take a variety of forms, including but not limited to:

- Publishing practice related articles, books, op-eds, etc.
- Significant interaction with the business community, alumni, and the media, e.g., through presentations or webinars
- Leadership in professional associations
- Organizing/judging student case competitions
- Participating at professional conferences and workshops, e.g., as a presenter or discussant
- Continuing education
- Maintaining professional licenses and certifications (e.g., CPA),
- Leadership in professional associations
- Consulting
- Teaching project related courses
- Serving on boards

- Significant teaching innovations

➤ **Instructional Practitioner (IP) Faculty**

Instructional practitioner (IP) faculty generally must have 1) at least a master's degree in a field directly related to the faculty member's teaching responsibilities and 2) professional experience that is current, significant in duration and level of responsibility, and is directly related to the field in which the faculty member is expected to teach.

If the faculty member qualified as an IP at initial appointment and it is within five years of that initial appointment, the faculty member remains qualified as an IP.

The faculty member must maintain professional relevancy for the courses they teach to be classified as IP over the longer run. This can be done through continuing education, frequent interactions with the business community, consulting, and other methods. Continued good teaching, e.g., as evidenced by average instructor/course ratings of at least four, is also required.

➤ **Additional (A) Faculty**

Additional (A) Faculty include all faculty members who fail to maintain the standards for one of the above listed categories. This is largely a remedial classification. A-faculty are expected to work with the SADFR to develop a plan, which if successfully implemented, will result in the faculty being classified in one of the above categories.

## Appendix B: Workday Expenses

Workday Expenses replaced the historical process supported by Excel spreadsheets and email approvals for Simon in November of 2022. The entire University is expected to use the new tool by the end of AY 22-23.

This appendix includes instruction helpful to you when using Workday to create an expense report

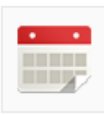
In general, there are several sources you can go to in order to get support for your use of Workday Expenses. They are:

- On-line training materials. The University has a library of reference resources available to all users of Workday Expenses. This library can be found by using the following link

<https://www.rochester.edu/adminfinance/urfinancials/training/expense-management-training/expense-management-reference-materials/>

- In person training. As the system has been rolled out to the University, training sessions have been created that you can attend live. To find these sessions, go to MyPath and search for the following:

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**Workday Expenses**  
Event | UR: Finance | \$0.00  
The University has implemented a new expense management solution for reimbursement of business and travel expenses purchased using personal funds called **Workday Expenses**. This 90 minute session will show how to: Add Payment Elections in Workday Set Up Delegations (if applicable) Create Spend Authorizations Create Expense Reports Approver ...

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- Simon Finance office. If you have any questions about Workday Expenses, you can reach out to the Simon Finance Office and we can address a specific question or set up a 30 minute 1:1 session to step you thru the creation of your first report.

**Payment Election** – you must set this up BEFORE creating your first expense report. To do this, you must

### ***Access the “Payment Elections” report while logged into Workday***

Upon seeing that you have no Payment Elections designated, you should click Select “Add” Scroll down, you are then prompted to fill in our bank account information. Click OK when complete

You will get confirmation your changes have been made and then your screen will update to reflect your Bank Account and Payment Elections

### **Create Expense Report**

To create an expense report in Workday (online), you must do the following:

Access the “Create Expense Report” task while logged into Workday

The default option is to “Create New Expense Report”

Enter the required fields on the Expense Report Header

**Memo** – this is where you provide information on why this is a justified business expense (what was the business purpose?).

Memo – This is where you should write a complete business justification for the expenses that you are requesting reimbursement for to ensure the reviewer understands the reason for the expense. Some examples below of a good memo would be:

- ❖ I presented my paper “xxxxxx” at the Winter Conference of the ABC which took place from Nov 1 thru Nov 5 in Nashville, TN.
- ❖ On Oct 1 I took research seminar speaker J Jones to lunch at Good Luck as part of his visit to Rochester
- ❖ I purchased books to prepare for teaching GBA 123 in Fall 2023

**Company** (Simon = 023). System may default to 001, if so it should be changed to 023.

**Expense Report date** (will default to current date – leave as is)

**Business Purpose** (select from options provided)

**Company on Expense Line** (will default to 023 – Simon)

**Worktag** – The FAO to be charged.

Worktag – in this case, Workday only needs your FAO. Typically, your expense reports will require one of the following FAOs (once you enter the FAO, the other worktags necessary will automatically populate)

OP211131	If the expense is to be tied to your research/professional expenses budget
OP211300	If you are meeting with a seminar speaker (meal for example during their visit)
OP211299	If you are meeting with a potential recruit for an open position
Not sure	If you don’t think the purpose of your expense fits into one of these categories, contact Simon Finance

Select **OK** to add expense items. Adding expense items is where you will upload receipts for reimbursement and categorize them for their entry into the financial system. The rule of thumb is there will be one expense item for each receipt you are requesting reimbursement for.

### **Attach the receipt**

**Date** = purchase date from the receipt (not the date of the expense report)

**Expense item** – select the appropriate expense item from the drop-down menu OR type the description of the expense into the field and hit enter then select from the search results.

**Total Amount** – payment amount from the receipt

**Memo** – identify supplier, describe item purchased

There is a spreadsheet describing all the expense items as part of the reference materials (see the earlier link to the online training materials). This spreadsheet defines each available expense item and provides the details that will need to be entered to support the expense. For example

If you enter the expense item “Hotel – domestic”, the item details will ask for your arrival date, your departure date and the destination.

If you enter the expense item “Group meal”, the item details will ask you to list the attendees at the meal. You must provide all the information requested where you see a red star \*

Upon entering the required item details for the receipt, you can :

- ✓ Click Add (upper left portion of screen) to report another receipt
- ✓ Click Submit if all receipts are entered
- ✓ Click Save for Later if you want to enter more receipts at a later date
- ✓ Click Close – this will close the expense report WITHOUT saving your changes

After it is submitted, it will go to the Sr Assoc Dean for Faculty and Research to be approved.

### **Delegation of the ability to create an expense report.**

Workday does allow you to delegate to someone the ability to create an expense report. Even though you may set up a delegation (instructions below) to allow a faculty assistant to complete your expense report, the expectation is that all but the more complex requests (e.g., those involving multiple receipts from attending conferences) will be completed by the faculty member. In order for a faculty assistant to create an expense report on your behalf, you will need to provide them with the following information.

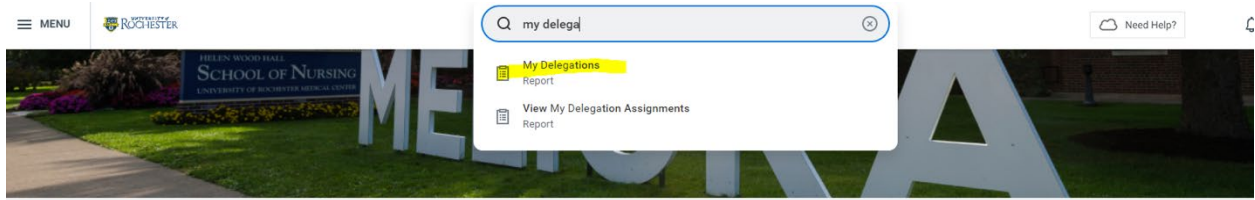
- The business purpose (what you would have written yourself in the header memo as discussed above)
- Individual PDFs or JPGs of your receipts (no hardcopies please)
- Answers to key questions (for example, if a group meal is involved– who were all the attendees)

Given the handoffs involved, the potential need for clarifying questions and the current workloads, you should expect the process to take longer using the delegation route vs. doing it yourself. Also, even when you delegate the creation of the report, you will have to review and approve the report in Workday before it is sent for the Sr. Assoc Dean for Faculty and Research for approval.

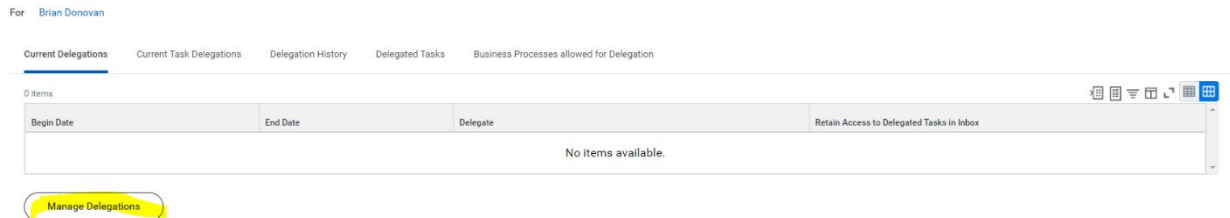
The following steps are required to delegate the creation of an expense report to another employee.

Log into Workday (URStudent) and in the search bar at the top of the home screen, enter “My

Delegation” and then select the report My Delegations



Once you have the My Delegations report, you will see an option at the bottom of the screen to “Manage Delegations”. Select that option



To create the new delegation, you will need to complete the input as follows:

- Begin Date – today date (the date you are creating the delegation)
- End Date – 365 days into the future (the system will only allow annual delegations)
- Delegate – Enter “Faculty Assistant name 1”
- Uncheck the box “Use Default Alternate”
- Delete the default Alternate delegate
- Alternate Delegate – Enter “ Faculty Assistant name 2”
- Start on My Behalf – Enter “Create Expense Report”
- Leave the none of the above selection for Do inbox tasks on my behalf checked
- Hit Submit

Note – when you hit submit, you will get a warning message letting you know that once you do the delegation, those you have delegated to will be able to see your prior expense reports in addition to any created in the future.

Just hit submit again and the request will be complete and will go to the Sr. Assoc Dean for Faculty and Research for approval.

## **Mobile App**

Workday has a mobile app that can be used to use your phone to capture receipts and create expense reports while away from your computer. There are several resources available to you (see the link provided earlier to the “on-line training materials” including

Workday mobile app installation – instruction on how to get the mobile app onto your phone

Workday Mobile App\_Enter quick expenses function – this will show you how to use the app to take a picture of a receipt so it can be used later as part of an expense report. This basically just takes a picture of your receipt and then allows you to input the key details (date, amount, merchant etc.)

Workday Mobile App\_Scan Receipt function - like quick expense, except the tool reads data from the receipt to populate key fields (date, amount, merchant etc....) that you would otherwise enter manually with the quick expense function in item b. This function takes longer (as it does more than just take a picture of the receipt but tries to identify key data) but could save you the effort of manually entering the receipt data.

Workday Mobile App\_Create New Expense report – The creation of the expense report would be like doing it on the phone or on your computer.

Once you have the receipt data captured (either via quick expense or scan receipt) it is then transferred into Workday where it is available either on your computer or your phone to create the expense report. The creation of the expense report would be like doing it on the phone or on your computer.

## Appendix C: Course Teaching Expectations for Instructors

### Annual requirements:

- Catalog process in spring/summer: Confirm or adjust pre-requisites and course description with Academic Operations/Registrar
- Annual course planning process: confirm course schedule commitment with SADFR
- Well before the course begins:
  - Confirm section days/times, and lab days/times (if applicable) and special instructions, including needing combined midterms
  - Provide, and later confirm, teaching support request well in advance, in response to request from Academic Operations (Kelly Brown)
- If creating an introductory video for the course, contact Meredith Bircher for instructions on creating a video and best practices. Three weeks before course begins:
  - Prepare Blackboard site and syllabus following provided templates— post 2 weeks in advance, but no later than 1 week in advance
  - Request out of class time such as review sessions, non-standard make-up days, midterm exams
  - For required courses: coordinate with Faculty Director or the Academic Operations (Jon Ramsey) about assignments, exams, and office hours; for MSMA/MSBA/MSAIB enter this information into the blackboard calendar if not a BB assignment/test.
- For courses with AoL demonstration (as indicated in the curriculum map for the program): plan for assessment of learning. Meredith Bircher will reach out with details.
- During the term:
  - Maintain required contact hours, office hours (2 hour per week)
  - Report any classroom IT issues to help desk
  - Report professionalism issues to Student Dean (Dennis Proulx)
  - Report suspected academic integrity infractions to AIC Chair (David Oliveiri) or by completing Instructor Resolution form. Information can be found in the Academic Integrity Policy in the Simon Student Handbook. Report concerning trends or issues that might be relevant to later or concurrent instructors to SADEI and SADFR or Faculty Director of the relevant program. Confirm plans to offer exam and check the exam schedule when posted to ensure it will work (sent from Academic Operations/Registrar)
  - Confirm proctors plan will work with your exam approach that is sent from Academic Operations (Jon Ramsey)
  - For required courses: Coordinate with relevant program teaching team
- On course completion:
  - Submit grades following grading curve, for course by the deadline through UR Student. If need an exception to the grading curve, request one from SADFR



- For courses with AOL Demonstration: Provide AOL information to Director of Strategic Projects (Meredith Bircher) using Blackboard or AEFIS spreadsheet (for project courses)
  - Course reflection: Reflect on ways to adjust and improve course for next time
- After course evals are available:
  - Reflect on course evals; write brief summary of reflection laying out any possible changes. Address concerns in course evals. Connect with SADFR and/or SADEI if either you have questions or they seek you out.

## **Appendix D: Simon School Faculty Council Charter and Bylaws**

May 26, 2022

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## ARTICLE I: SHARED GOVERNANCE

There are many tasks that must be performed at universities. The board of trustees, senior administration, school administrators, faculty, staff, students, and others play interdependent roles in “shared governance.” The participants in shared university governance vary in roles, knowledge and/or expertise and thus in the weight of their voice in making specific decisions. This article places the Simon Faculty Council (SFC) within the broader context of shared governance at the University of Rochester, in general, and more specifically within the Simon School.

At Simon and at most universities/colleges the faculty has primary responsibilities (subject to review and approval by the Dean, Provost, and/or Board of Trustees, depending on the decision) for:<sup>12</sup>

- The education of Simon School students, including the curriculum, grading, academic standards, program design, and academic integrity. [Deans in their leadership role can and do recommend specific programs, curriculum changes, and the like to be considered by the faculty.]
- New faculty hiring and existing faculty contract extensions, promotions, and tenure.
- Assigning faculty to approved committees.
- Working with the Senior Associate Deans on teaching assignments (area coordinators play a role in this and individual faculty members can express their preferences).
- PhD student admissions.
- Providing advice, feedback, and suggestions to the Dean’s Office on various issues, such as the school’s strategy, priorities, new programs, facilities, and information technology.
- Advising the Provost in Dean searches and decanal performance reviews [The Dean reports to the Provost and has primary authority for managing the school while in office, but the faculty provide input for hiring the Dean and in monitoring the Dean’s performance.]

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<sup>12</sup>The following list of primary responsibilities for the Simon faculty is consistent with the school’s historic/current practices and the AAUP’s *Statement of Government of Colleges and Universities*. This list, as well as the list of the Dean’s primary responsibilities in section 1.3 are highly consistent with the historic and prevailing practices of other universities and colleges (see, *The 2021 AAUP Shared Governance Survey: Findings on Faculty Roles by Decision- Making Areas*).

- The power to review and approve faculty recommendations in the above-stated areas lies with the Dean, Provost and/or Board of Trustees. While these authorities typically defer to the faculty in these areas, they can pursue different actions for appropriate reasons, such as when budget constraints, personnel limitations, strategic goals, or time considerations limit the realization of faculty advice.

The Dean serves as the chief academic and administrative officer of the school and has overall responsibility for its supervision and management. To succeed in this top-level management and leadership role, the Dean must have primary responsibility (subject to review and approval by the Provost, and/or Board of Trustees, depending on the decision) in the following areas:

- Leading and coordinating strategic planning and managing strategy implementation (faculty have a voice in strategic planning, along with alumni, donors, and other possible stakeholders).
- Developing the college budget.
- Managing college resources and finances.
- Determining faculty salaries, teaching loads, office space, and the like.
- Evaluating the ongoing contributions of individual faculty members to the school through the review of annual activity reports, CVs, teaching evaluations, Google Scholar pages, and the like. [The Simon P&T Committee plays an active role in evaluating faculty research, teaching, and service, as part of the promotion/tenure process. Other faculty participate in the second and third-year reviews of junior faculty and depending on rank in providing input into promotion and tenure decisions].
- Negotiating with potential new hires and to retain existing faculty.
- Leading the processes for selecting and retaining college administrators (e.g., Associate Deans) and staff.
- Determining the administrative structure of the college.
- Managing non-faculty staff members.
- Leading college fundraising efforts.
- Managing the use, construction and possible demolitions of buildings and facilities.

The Dean can and often does solicit advice from faculty in these areas. Faculty and faculty committees are free to provide feedback and to make suggestions to the Dean. The Dean, however, is not expected or required to seek faculty approval in these areas. The Dean may ask for a faculty vote to secure faculty approval on key decisions, even if it is not required under Simon's governance policies.

As described below, a primary purpose of the SFC is to foster two-way communication between the Dean's Office and the faculty.

Many of the faculty's governance responsibilities are delegated to faculty committees. The school's standing faculty committees correspond with the major responsibilities of the faculty. The SFC does not replace existing committees or the full faculty in their roles in shared governance at the Simon School.<sup>13</sup>

## **ARTICLE II: PURPOSE AND CHARGE OF THE SFC**

The general purposes of the Simon School's Faculty Council (SFC) are to 1) foster communication by serving as a two-way liaison between the faculty and the Dean's Office, 2) represent the Simon faculty on the University's Senate Executive Committee and 3) respond to requests from the Provost's office for the names of Simon faculty to serve on decanal reviews and Dean searches. More specifically, the SFC will:

- Meet as reasonably required with the Dean and Senior Associate Deans to discuss faculty-related issues brought to the SFC's attention and to suggest possible agenda items for meetings of the full faculty.
- Serve as a source for faculty feedback and input on issues at the request of the Dean.
- Recommend to the voting faculty the composition of Simon faculty committees. The Dean's Office is responsible for selecting committee chairs with input from the SFC, while the SFC has final authority to recommend other faculty to serve on committees with input from the Dean's Office.

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<sup>13</sup>Simon is a small school, and it does not require a faculty council to serve as a representative legislative or policy making body. All TT and NTT faculty participate and have a voice in various aspects of shared governance at the Simon School. Many of the faculty's governance responsibilities are delegated to faculty committees. Most fulltime TT and NTT, with more than one year of service, serve on at least one committee. All TT and NTT faculty are entitled to vote at the committee level, regardless of rank or length of service. The school's standing committees correspond to the faculty's primary areas of responsibility in shared governance (for example, curriculum/programs, promotion/tenure, academic standards, academic integrity, and the PhD program). Committees are empowered to make many programmatic and other decisions without a vote of the full faculty. Particularly important or broad issues, such as major changes in the curricula and the grade distribution policy, require discussions at meetings of the entire Simon faculty and a faculty vote. Any two faculty can also request discussion and a faculty vote on program- and curriculum-related committee decisions they feel warrant consideration by the full faculty.

- Manage the process for nominating Simon faculty for decanal reviews and searches (Article VII).
- Have the Chair of the SFC serve as an ex officio member of the UR Faculty Senate's Executive Committee.

All proceedings and recommendations made by the SFC are confidential within the Simon School.

As noted in the *UR Faculty Handbook* (p. 8), "Faculty participation in governance promotes diversity of ideas, shared responsibility, collaboration, collegiality, and institutional excellence." It is incumbent upon the SFC to maintain a respectful environment and process.

### **ARTICLE III: ORGANIZATION**

The SFC is composed of four tenure-track (TT) faculty members elected by the TT faculty and one non-tenure-track faculty member elected by the NTT faculty. All full-time faculty are eligible to vote in their respective elections. SFC members must either be tenured or have been full-time faculty at the Simon School for at least 5 years. The default method of voting is a secret ballot. Votes are typically conducted electronically using web-based survey software, which records who votes but not how they voted. Ranked-choice voting (excluding abstentions) is used to determine the vote outcome

Two TT members are elected in May each year for two-year terms. The NTT member is elected every other May for a two-year term. Nominations for the SFC can be made by any full-time TT or NTT faculty member for their respective elections. Self-Nominations are allowed. The terms of elected SFC members begin on June 1.3

Faculty who are serving as Dean, Associate Dean or Assistant Dean of the Simon School are not eligible to serve as elected/voting members of the SFC during their terms in office. The Dean and Senior Associate Deans serve as ex officio members and are generally expected to attend SFC meetings. All faculty in the Dean's Office are eligible to vote in SFC elections.

SFC members can serve no more than two consecutive terms. After one year of not serving on the SFC, they again become eligible to be elected. TT faculty nominated for election to the SFC must have primary research areas different from those of continuing TT members. An exception to this rule is allowed when fewer TT faculty from other areas are nominated than available seats in the election. No two or more TT faculty members with the same primary research area can be elected at the same time, unless there are no unelected candidates with different primary research areas running in the election. If two or more TT faculty members with the same primary research area are elected at the same time, only the one with the most votes may serve a two-year term, the remainder will serve one-year terms.

For this Article, each faculty member has exactly one primary research area. The primary research area for a faculty member is determined upon hiring and typically remains unchanged. In exceptional cases, a faculty member can request a change in primary research area. Such a request must be approved by the Senior Associate Dean for Research in consultation with the Area Coordinators of the research areas involved before it can take effect. The Senior Associate Dean for Research will maintain a list of all TT faculty members with their primary research areas. This list will always be available to all (TT and NTT) faculty members.

If a member resigns or is removed from the SFC for nonattendance (Article VI-4), a special election is held to designate a replacement for the remainder of the departing member's term. The electorate is either the fulltime TT or NTT faculty, depending on the faculty status of the departing member.

The SFC may establish subcommittees or workgroups to conduct business, as it deems necessary. These groups shall have a specific task for a specified duration and shall report progress and accomplishments directly to the SFC. Membership of such groups can include TT faculty, NTT faculty and/or staff who are not members of the SFC.

#### **ARTICLE IV: VOTING**

A majority of SFC members (**three**) constitutes a quorum, subject to the requirement that either the Chair or Secretary must attend the meeting (Article V-2).

Conditional on a quorum, the voting rule for passage of a FC resolution or recommendation is a majority of votes cast.

Each elected member of the SFC will have one vote. Ex officio members are not entitled to vote. Proxy votes are not permitted.

Votes on an SFC matter may be submitted in-person by members present at an official SFC meeting or via email by those members present at an official SFC meeting within a reasonably designated time afterward by the Chair. In rare and unavoidable situations, the Chair may request an email vote by all SFC members on a specified matter without an official meeting; in that circumstance the matter will only pass if the email vote is unanimous.

#### **ARTICLE V: OFFICERS**

1. **Chair:** In early June, the elected members of the SFC elect from among themselves a member to serve as Chair for a one-year term. A member can be elected to serve as Chair in consecutive years. The Chair is generally expected to be present at all SFC meetings. The Chair is responsible for conducting SFC meetings and has primary responsibility for setting the agenda for each SFC meeting. The Chair consults with the Dean's Office in setting meeting agendas (for example, concerning issues the Dean's

Office would like to discuss with the SFC).

Under the *UR Faculty Senate Charter* (page 4), the “chairs of elected governance bodies of each school” serve as nonvoting members of the UR Faculty Senate’s Executive Committee, which sets the agendas for Senate meetings and may make recommendations to the Senate. The Chair of the SFC performs this role.

If the Chair leaves the SFC during their term of office, the elected members elect from among themselves a new chair.

2. **Secretary:** In early June, the elected members of the SFC elect from among themselves a member to serve as Secretary for a one-year term. A member can be elected to serve as Secretary in consecutive years. The Secretary is responsible for drafting the minutes of meetings and serves as the Chair if the Chair is unable to attend a meeting due to illness or other unforeseen circumstances. A meeting is cancelled if both the Chair and the Secretary are unable to attend. If the Secretary leaves the SFC during their term of office, the elected members elect from among themselves a new secretary. The Secretary also serves as the official secretary for faculty meetings and will oversee the creation and posting of minutes to the faculty intranet.

## **ARTICLE VI: MEETINGS**

1. The SFC meets in early June each year to orient newly elected members and to elect the Chair and Associate Chair. The SFC meets at least once each fall and spring. The SFC can hold additional or more frequent meetings as the need in the SFC’s opinion arises.
2. The SFC meets in closed session to facilitate open and frank discussions among its members. The Chair can invite other faculty or staff to attend meetings as the demand arises.
3. The agenda for each meeting is sent by the Chair to all members a reasonable time before the meeting and is organized as follows:
  - Chair’s report and updates
  - Formal business
  - Confidential session
4. Formal business items include such things as the election of officers, nominations for faculty committees, and other items formally voted on, including the approval of reports and communications to be circulated to the faculty at large.
5. Confidential sessions are used for open and frank discussions among SFC members and the Dean’s Office on a broad range of potentially sensitive topics. Participants are expected to respect the strict confidentiality of these discussions.



6. The minutes of meetings summarize the formal business agenda items and the corresponding motions, and actions taken by the SFC. Copies of formal reports and other communications intended for distribution to the faculty at large are included as appendices. SFC discussions are confidential and are not included in the minutes, and voting outcomes are reported anonymously. The topics discussed in In Camera sessions are not included in the minutes. Minutes are not official and subject to posting until approved by a majority of the SFC. Minutes can be approved among the members via email within a reasonable time frame and are to be posted on the faculty intranet within two weeks of when they are approved by the SFC members.
7. The Deans do not attend SFC meetings that are held to manage the process of nominating faculty to serve on Dean review and search committees (Article VII).
8. Members are expected to notify the Chair in advance if they are unable to attend a meeting. If a member repeatedly misses meetings with unexcused absences, the other SFC members can vote to remove the member with an affirmative vote of three out of the four remaining members.

#### **ARTICLE VII: DECANAL REVIEWS AND DEAN SEARCHES**

The *UR's Faculty Handbook* specifies:

*The selection of faculty members for search and reappointment review committees should be the result of collaboration between the administration and the relevant faculty governing body, either the Faculty Senate or, for decanal searches and reviews, the faculty council or similar body of a school (page 20).*

In accordance with the UR's policy, the SFC is responsible for managing the process for recommending faculty to the Provost for service on decanal reviews and dean searches.

Upon the Provost's request, the process begins by the SFC developing a list of nominees for the given decanal review or Dean search (without the current Deans being in attendance). The Simon faculty at large can nominate additional faculty for these positions and self-nominations are allowed. The final slate of faculty to be submitted to the Provost is determined by a vote of the Simon faculty who are eligible to vote on governance issues, as specified in the *Simon Faculty Handbook*. Faculty currently serving as Dean, Associate Dean or Assistant Dean are not eligible to vote in these elections, nor can they be nominated by the faculty to serve on these review and search committees. The number of candidates requested by the Provosts will be chosen by a secret ballot using the Single Transferable Vote method.

The SFC is responsible for assuring the integrity of the voting process in these elections.

## **ARTICLE VIII: AMENDMENTS**

The Simon faculty can amend this Charter & By-Laws as it deems necessary subject to the concurrence of the Simon School Dean. Amendments can be proposed by the SFC or by other faculty. Such amendments require approval of at least two-thirds of votes cast by faculty who are eligible to vote on Simon governance issues. Votes are conducted by secret ballot. For this purpose, a quorum consists of 50% of the eligible voters. Proposed changes of this Charter and By-Laws must be discussed at two separate faculty meetings held at least 30 days apart. A vote cannot be taken until after the second meeting.

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