

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

Proposal for a Clinical Faculty Track

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1. Rationale and Objectives of the Proposal

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

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

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

This document will be reviewed by the faculty, and modified as needed, within the next three years based on the results of its first implementation, and on a regular basis thereafter.

2. The Simon School Mission and its Implications for Faculty

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

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

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

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

1. Teaching:

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

2. Scholarship:

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

3. Service:

(a) To the institution:

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

(b) To the profession:

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

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

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

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

3. General Principles and Premises

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

- o As clinical faculty will not be eligible for tenure, their term of contract will necessarily be for a specified number of years. However, we recognize that the effectiveness of these faculty members and, therefore, their contributions to the Simon School mission, would be greatly diminished without some long-term commitment on their part as well as on the part of the institution.
- o We recognize the need for differentiation not only between tenure-track and clinical faculty, but also within clinical faculty, as different individuals may bring expertise that is more appropriate to fulfill a different set of goals within the Simon School mission. At the same time, clinical faculty should be responsible for doing their share of service for the institution and their profession and also have some minimum involvement in all the three prongs of the Simon School mission – i.e., teaching, scholarship and service.
- o We recognize that individual faculty will perform best if they have clear expectations and well-articulated promotion criteria. In this document, we have tried to articulate expectations and promotion criteria for clinical faculty based on (a) our analysis of the specific functions required to accomplish the Simon School’s mission (as articulated in the previous section) and the identification of which sub-sets of these functions will be among the main responsibilities of clinical faculty, (b) the identification of minimum expectations common to all clinical faculty as well as acceptable variations in roles and responsibilities across individual clinical faculty members, (c) the identification of what constitutes “Excellent” and “Outstanding” performance in specific tasks that clinical faculty may be expected to address, and (d) the identification of what level of performance, and in which tasks, is expected at various ranks.
- o In articulating the various processes for hiring, reappointing and promoting clinical faculty, we have tried as much as possible to use the same principles and practices currently used for tenure-track faculty, while making the needed adaptations when called for because of the different scope of the positions and of their term of contract.
- o While recognizing the importance of clinical faculty and the critical role they can play in accomplishing the Simon School mission, we also want to state our continuing commitment to remaining a research school of business. This will require ensuring that the addition of new clinical faculty positions will not occur at the expense of existing tenure-track lines.
- o Because clinical faculty will often have more specialized roles within the Simon School, their roles in the governance of the School will also be more specialized. Clinical faculty will not participate in the promotion and tenure process for tenure track faculty, except

that they are free to submit letters expressing opinions about individual cases to the School's Committee on Promotion and Tenure. At the request of the School's Committee on Promotion and Tenure and the Dean's Office, clinical faculty may be invited to participate in the evaluation and review of other clinical faculty members.

- o If clinical faculty members are assigned to committees within the School, which will usually involve curriculum or external relations issues, they would have full voting rights on those committees. If curriculum or external relations issues are brought to a full vote of the faculty, clinical faculty members are entitled to vote on these matters.
- o Part-time clinical faculty members would not have any voting rights.

4. Clinical Faculty Roles and Responsibilities

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

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

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

2. Clinical Scholarship

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

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

3. Practice Toward Improving Business Policies and Practices

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

4. Service

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

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

devoted to each area will also be identified at the time of hiring. Subsequent changes in the definition of primary areas and/or time distribution across areas should be approved by the Dean's Office.

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

1. A clinical faculty member regularly interacts with business institutions and professionals, is current on the issues and problems facing these institutions/professionals, and works with them on significant matters.
2. This work is relevant to and informs what the clinical faculty member teaches. A clinical faculty member is, thus, an effective teacher who can improve the professional practice of Simon students.
3. A clinical faculty member discusses and analyzes in an informed way the issues and problems being wrestled with by business institutions, bringing to bear relevant current research.
4. A clinical faculty member is familiar with the promise and limits of research and in light of that knowledge suggests interesting lines of future research (for example, by suggesting hypotheses worth further investigation) that they as well as other researchers (including Simon students) could undertake.
5. A clinical faculty member has the capacity to identify what is and is not "quality" research and "wisdom of practice" relevant to specific contexts and goals and as such helps Simon students find, analyze and translate research into practice.
6. A clinical faculty member offers insights and generalizations about their own experiences in a way that is relevant to and useful for other professionals in the field and to university based researchers.
7. A clinical faculty member effectively relates to two audiences – professionals in the field and university based researchers – and communicates to these audiences through the appropriate media (oral, written, multi-media).
8. A clinical faculty member develops concrete products (such as curricula, materials, models, applications, projects, conferences, organizations and/or collaborations) that influence business policy and practice.

5. Clinical Faculty Titles and Terms of Contract

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

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

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

The title “Executive Professor” refers to a non-tenure track appointment with a maximum term of five years that is reserved for senior business executives who bring special expertise to their service at the Simon School. At the end of the term of an Executive Professor, the person may be considered for appointment as a clinical faculty member.

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

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

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

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

The following table summarizes all the key elements introduced in this section.

Clinical Faculty Summary Table

	Assistant Professor	Associate Professor	Full Professor
Title	Clinical Assistant Professor of Business Administration	Clinical Associate Professor of Business Administration	Clinical Professor of Business Administration
Term of contract	“Fixed” 2-5 year, renewable (w/ review one year before end of contract)	“Fixed” 2-5 year, renewable (w/ review one year before end of contract)	“Fixed” 2-5 year, renewable (w/ review one year before end of contract)
Maximum time at rank	N/A	N/A	N/A
Appointment process (assuming that the position has been approved)	Appointed by Dean based on a search and in consultation w/ faculty (see Section 8 for details)	Approved by Provost on Dean’s recommendation, based on a search and in consultation w/ faculty (see Section 8 for details)	Approved by Provost on Dean’s recommendation, based on a search and in consultation w/ faculty (see Section 8 for details)
Process for re-appointment at same rank (assuming continuation of the position)	Re-appointed by Dean in consultation w/ faculty and w/ Provost’s approval (see Section 9 for details)	Re-appointed by Dean in consultation w/ faculty and w/ Provost’s approval (see Section 9 for details)	Re-appointed by Dean in consultation w/ faculty and w/ Provost’s approval (see Section 9 for details)
Promotion process (to that rank)		Approved by Provost and Board of Trustees, upon recommendation of the Provost and Dean, with input from faculty (see Section 10 for details)	Approved by Provost and Board of Trustees, upon recommendation of the Provost and Dean, with input from faculty (see Section 10 for details)

6. Criteria for Hiring, Re-appointing and Promoting Clinical Faculty at Various Ranks

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

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

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

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

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

Teaching

Criteria for "Excellence" in this area:

- o Excellence in teaching courses that are central to the preparation of the assigned undergraduate and Masters students
- o Excellence in supporting students' internships and other experiences in the field
- o Excellence in working one-on-one with students
- o Has developed an attitude of inquiry towards his/her own teaching practice that leads to continuous reflection and improvement

- o Effective and pro-active participation in the management of relevant programs for the preparation of Masters and undergraduate students

Criteria for “Outstanding Performance” in this area:

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

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

Clinical Scholarship

Criteria for “Excellence” in this area:

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

Criteria for “Outstanding Performance” in this area:

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

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

Practice Towards Improving Business Policies and Practices

Criteria for “Excellence” in this area:

- o Excellence as an experienced practitioner
- o Local reputation as an excellent practitioner

- o A strong record of providing opportunities for other practitioners to learn from one's innovative practice
- o Evidence of having contributed to improving business policies and/or practices through one's practice
- o Ability to self-support one's practice

Criteria for “Outstanding Performance” in this area:

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

- o Reputation as an excellent practitioner
- o Evidence of having contributed to improving business policies and/or practice
- o Publication and dissemination of research concerning best business policies and/or practices

Service:

Criteria for “Excellence” in this area:

- o Sustained record of being a productive, constructive and valued member of the Simon School community
- o Evidence of having made some substantial contributions to the Simon School “as an institution” (i.e., beyond contributions to specific components of the Simon School mission made through one's teaching, scholarship and/or practice)
- o Sustained record of participation in activities that are needed to ensure the well-being and good-functioning of one's profession

Criteria for “Outstanding Performance” in this area:

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

- o Evidence of some participation in the life of the university beyond the Simon School
- o Sustained record of having made major contributions to the Simon School and/or the University of Rochester “as an institution” (i.e., beyond contributions to specific components of the Simon School mission made through one's teaching, scholarship and/or practice)
- o Record of some leadership role in activities that are necessary to ensure the well-being and good-functioning of one's profession at and beyond the local level

Relevant accomplishments achieved prior to employment at the Simon School or as part of the clinical faculty member's activities outside their Simon School appointment (ex: part-time clinical faculty members who are “practicing” or participating in other relevant educational initiatives during the time not devoted to the Simon School) will be counted as appropriate

towards achievements in the areas of Practice, Clinical Scholarship and/or Service to the profession.

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

Length of service, by itself, is not a sufficient justification for promotion.

7. Process to Decide on New Faculty Positions

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

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

8. Hiring Process for Clinical Faculty

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

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

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

9. Re-appointment Process for Clinical Faculty

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

- The clinical faculty member prepares his/her “case,” which includes:
 - CV
 - Personal statement
 - Evidence of scholarly work
 - Evidence of teaching accomplishments (including syllabi and teaching evaluations for all courses taught, and/or other data as appropriate to document other kinds of teaching responsibilities)
 - Evidence of practice towards improving policies and practices
 - Other relevant documents/artifacts as appropriate to provide supporting evidence for the Personal Statement
- An ad-hoc re-appointment committee is appointed by the Dean to manage the re-appointment process and provide a written recommendation to the Dean. The re-appointment committee includes at least two Simon faculty members, with the chair being a tenure-track faculty member.
- All Simon School faculty, as well as selected community members who have worked with the candidate, are invited to send letters providing relevant insights and feedback about the candidates (to be added as documentation to the other materials put together by the candidate).
- Based on all this information, the reappointment committee prepares a written recommendation for the Promotion and Tenure Committee which reviews the case and sends its recommendation to the Dean.
- The Dean reviews the case and the committee’s recommendation, and makes a recommendation to the Provost.

10. Promotion Process for Clinical Faculty

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

- The clinical faculty member prepares his/her “case,” which includes:
 - CV
 - Personal statement
 - Evidence of scholarly work
 - Evidence of teaching accomplishments (including syllabi and teaching evaluations for all courses taught, and/or other data as appropriate to document other kinds of teaching responsibilities)
 - Evidence of practice towards improving policies and practices
 - Other relevant documents/artifacts as appropriate to provide supporting evidence for the Personal Statement
- An ad-hoc promotion committee is appointed by the Dean to manage the promotion process and provide a written recommendation to the Dean. The promotion committee includes at least two Simon faculty members, with the chair being a tenure-track faculty member
- All Simon School faculty, as well as selected community members who have worked with the candidate, are invited to send letters providing relevant insights and feedback about the candidates (to be added as documentation to the other materials put together by the candidate)
- Based on all this information, the promotion committee prepares a written recommendation for the Promotion and Tenure Committee which reviews the case and sends its recommendation to the Dean
- The Dean reviews the case and the committee’s recommendation, and makes a recommendation to the Provost.

11. Principles and Processes for Changing Track

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

- (a) Current faculty in a tenure-track position or clinical position who are interested in applying for a new opening in the other “track” are welcome to participate in the search without prejudice and without any risk of losing their current position in the event they are not selected.
- (b) In some special cases, it is possible that the particular expertise and interests of a tenure-track faculty member may suggest the creation of a new clinical faculty position that could best capitalize on this capacity for the benefit of both the Simon School and the individual faculty member. If this is the case (i.e., the faculty member has expressed in writing his/her desire for such a position), and the Dean evaluates that it is financially feasible to fund the new clinical position while maintaining the original tenure line, the proposal for the new clinical position will be brought for the Provost’s approval.

APPENDIX

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

1. A clinical faculty member regularly interacts with local educational, clinical, and community institutions and local professionals, is current on the issues and problems facing these institutions/professionals, and works with them on significant matters (e.g. significant leadership issues, administrative issues, practice issues, etc.). *This can be documented by a combination of indicators that may include:*
 - o *Record of participation in some projects, meetings and/or other initiatives involving business institutions and business professionals (required minimum)*
 - o *Self-reports and/or artifacts that provide anecdotal evidence of the faculty member's understanding of business issues and their contributions.*
 - o *Relevant testimonials by business professionals.*
2. This work is relevant to and informs what the clinical faculty member teaches. A clinical faculty member is, thus, an effective teacher who can improve the professional practice of Simon students. *This can be documented by a combination of indicators that may include:*
 - o *Record of some kind of involvement with Simon students that contributed to their preparation (required minimum)*
 - o *Course syllabi and/or descriptions of major assignments, projects or class activities that show how the clinical faculty member capitalizes on his/her practical knowledge and experiences.*
 - o *Self-reports and/or artifacts that provide anecdotal evidence of how the faculty member has capitalized on his/her practical knowledge and experiences in teaching courses and/or supervising internships.*
 - o *Relevant testimonials by Simon students.*
3. A clinical faculty member discusses and analyzes in an informed way the issues and problems being wrestled with by local institutions, bringing to bear relevant current research. *This can be documented by a combination of indicators that may include:*
 - o *Self-reports and/or artifacts that illustrate how the faculty member has analyzed current business issues in light of relevant research.*
 - o *Relevant testimonials by business professionals and peers.*
4. A clinical faculty member is familiar with promise and limits of research and in light of that knowledge suggests interesting lines of future research (ex: by suggesting hypotheses worth further investigation) that they as well as other researchers (including Simon

students) could undertake. *This can be documented by a combination of indicators that may include:*

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

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

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

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

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

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

- o *Record of at least some workshops, presentations, publications and/or unpublished written work (required minimum)*
- o *Self-reports and/or artifacts that provide anecdotal evidence of the faculty member's activities and contributions in this area.*
- o *Testimonials by business researchers and/or educators/helping professionals.*

8. A clinical faculty member develops concrete products (such as curricula, materials, models, applications, projects, conferences, organizations and/or collaborations) that influence business policy and practice on a regional, state and/or national level. *This can be documented by a combination of indicators that may include:*
 - o *Records of “products” produced, along with an explanation of their potential contributions*
 - o *Evidence of the influence of these products on business policies and/or practices.*

(b) Criteria and indicators for “Excellence” and “Outstanding Performance” for Teaching

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

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

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

- o Excellence in teaching courses that are central to the preparation of the assigned students, *as demonstrated by a combination of indicators that may include:*
 - *Long-term record of teaching key courses in the relevant program(s).*
 - *Innovative course syllabi, reflecting state-of-the-art knowledge and research in the field, capitalizing on one’s own expertise as a practitioner, and meeting expectations set by relevant professional organizations and/or accreditation agencies.*
 - *Evidence of using effective and innovative teaching practices in one’s courses, including instructional technology as appropriate to enhance students’ learning opportunities.*
 - *Positive feedback received from students taking the course (as provided in standardized course evaluation forms and individual students’ testimonials), peers, alumni’s employers, etc.*
- o Excellence in supporting students’ internships and other experiences in the field, *as demonstrated by a combination of indicators that may include:*
 - *Long-term record of engaging successfully and creatively in the organization and/or supervision of student internships.*
 - *Evidence of paying attention to individual students’ needs and circumstances, and being able to recognize and seize opportunities to maximize their learning.*
 - *Evidence of using effective mentoring practices in supporting students in their internships, including how one capitalizes on own experiences as an expert practitioner.*
 - *Positive feedback received from the interns supervised, peers, alumni’s employers, etc.*
- o Excellence in working one-on-one with students, *as demonstrated by a combination of indicators that may include:*
 - *Consistent record of successfully advising Masters’ students and/or overseeing independent studies*
 - *High quality of the work produced by students under one’s supervision.*
 - *Evidence of using effective mentoring practices in the above situations.*

- *Positive feedback received from the students one has worked with and peers.*
- o Has developed an attitude of inquiry towards his/her own teaching practice that leads to continuous reflection and improvement, *as demonstrated by a combination of indicators that may include:*
 - *Evidence of reflection on one's practice.*
 - *Evidence of changes taking place in one's syllabi, practices, etc. overtime.*
- o Effective and pro-active participation in the management of relevant programs for the preparation of entry level and/or advanced practitioners, *as demonstrated by:*
 - *Consistent involvement and contributions to program reviews and curriculum development efforts, so as to continually improve our programs.*
 - *Leadership in at least some aspects of the management of relevant programs.*
 - *Consistent involvement and contributions to student recruitment.*

Criteria for “Outstanding Performance” in this area:

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

- o Exceptional record of preparing high quality practitioners, *as documented by a combination of indicators that may include:*
 - *Evidence of having contributed to the successful graduation of a large number of students over time.*
 - *Exceptional achievements of some of the graduates one has intensely worked with and who recognize the influence of the faculty member on their success.*
 - *Sustained leadership role played in the design and management of successful Simon School programs.*
- o Reputation as an outstanding teacher beyond the local level, *as documented by a combination of indicators that may include:*
 - *Having received competitive higher education teaching awards (outside of the Simon School).*
 - *Invitations by professional organizations and/or business to give lectures and/or do consulting.*
 - *Sustained record of attracting students to the Simon School*
 - *Having been identified as an example of “best teaching practices” by experts in the field beyond the local community (in surveys, publications, studies, etc.)*
- o Evidence of influencing curriculum and/or teaching practices of other higher education teachers beyond the Simon School, *as documented by a combination of indicators that may include:*

- *Development and dissemination beyond one's unit of innovative teaching practices, activities, syllabi, etc.*
- *Publication of textbooks and/or other instructional materials.*
- *Participation in policy-making that affects requirements and/or expectations for programs in higher education.*
- *Testimonials of other business teachers about the faculty's impact on their own teaching practices.*

(c) Criteria and indicators for “Excellence” and “Outstanding Performance” for Clinical Scholarship

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

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

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

- o The faculty member has a coherent and worthwhile plan that guides his/her scholarly efforts and contributions, *as demonstrated by a combination of indicators that may include:*
 - *A clear articulation of this plan in the personal statement.*
 - *Overall consistency between this plan and the work achieved to date and planned.*
- o Sustained engagement in worthwhile studies contributing to the identification and refinement of best policies and practices in business, *as demonstrated by a combination of indicators that may include:*
 - *Sustained record of participation in projects that evaluate/study the effects of innovative policies and/or practices (may involve any of the following: action research studies, case-studies, evaluations of many kinds of innovations – new practices or programs, reform initiatives, etc. –, traditional research studies, etc)*
 - *Evidence of leadership in at least some of these projects.*
- o Record of efforts aiming at the identification of questions and issues worth researching because of their potential impact on policies and practices and at helping other educators find, analyze and translate research into practice, *as demonstrated by a combination of indicators that may include:*
 - *Evidence of collaboration with research colleagues to this effect.*
 - *Participation in research projects as a consultant or collaborator with this role.*
 - *Participation in research panels and/or working groups with this role.*
 - *Relevant presentations to research audiences.*
 - *Record as a reviewer for articles, presentation proposals, grant proposals, etc.*

- o Established record of dissemination efforts in outlets that are appropriate given the purposes of the study and the audiences one is trying to reach, *as demonstrated by*:
 - *Dissemination efforts in the form of presentations at professional conferences, workshops and presentations for various local audiences, organization of conferences and other dissemination events. (NOTE: all these examples involve, “oral” dissemination that requires the direct intervention of the faculty member).*
 - *Dissemination efforts that involve the creation of a “durable product” such as publications in a variety of outlets (examples: articles in peer-reviewed practitioner journals, articles in various other kinds of publications, books and chapters in books with a practitioner audience, papers published in conference proceedings, etc.), curriculum/instructional materials (published and unpublished), videos and other multi-media products. (NOTE: all these examples involve “product-based” dissemination, which can be done without the direct intervention of the faculty member, and as such may reach more people for a longer period of time).*
- o External validation of the value of these contributions for improving business policies and practices, *as demonstrated by a combination of indicators that may include*:
 - *Evidence of rigorous review of one’s publications, presentations, proposals.*
 - *Positive reviews of one’s work (unsolicited and published)*
 - *Evaluation of external referees (chosen because they are experts in the field and can speak about the contributions of the faculty member’s work on improving business policies and practices)*
 - *Testimonials of practitioners and/or policy-makers that have been affected by the faculty members’ scholarly work*
 - *External funding received -- from grants, foundations, school districts, individual donors, etc. -- to support one’s projects (as it demonstrates that the “funder” recognized sufficient value in the work to decide to “invest” in it).*

Criteria for “Outstanding Performance” in this area:

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

- o A strong record of scholarly output that has provided significant contributions to the improvement of business policies and practices, *as demonstrated by a combination of indicators that may include*:
 - *A sustained record of publications in peer-reviewed journals and/or book series*
 - *Publications and/or other scholarly products that have reached wide audiences (ex: books that sold a high number of copies; video-documentaries that have been broadcasted on national TV; “tested” curricula that have been adopted at the national level; reports that have been widely distributed and read; studies cited in important policy documents; etc.)*

- *Evaluation by external reviewers, chosen because they are national experts in the field and can speak about the contributions of the faculty member's work on improving business policies and practices*
- o National recognition of being an expert in the field, *as evidenced by:*
 - *Evaluation of external reviewers, selected among national experts in the field*
 - *Other examples of national recognition, which could include any of the following: scholarly awards, invitations to give plenary lectures at national conferences, invitations to present to national professional organizations, being elected/called to leadership positions in influential state and/or national professional organizations, invited participation to influential task forces or policy-making groups at the national level, etc.*
 - *Sustained record of attracting students to the Simon School because of one's scholarly reputation*
- o Record of substantial external funding (only when applicable)

(d) Criteria and indicators for “Excellence” and “Outstanding Performance” for Practice towards improving business policies and practices

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

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

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

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

- o Excellence as an experienced practitioner in the chosen type of practice, *as demonstrated by a combination of indicators that may include:*
 - *Evaluations/testimonials of peers, supervisors and “clients” on the quality of one’s own practice/service (especially relevant for 1).*
 - *Evidence of using innovative and effective practices, grounded on research and theory (especially relevant for 1&2).*
 - *Having received some competitive award (especially relevant for 1).*
- o Reputation as an excellent practitioner, *as demonstrated by a combination of indicators that may include:*
 - *Evaluations of external reviewers chosen because they can speak to this point.*
 - *Sustained record of invitations to provide local presentations and workshops, or serve as consultant to local institutions*
 - *Record of invitations to serve on boards, committees, etc.*
 - *Sustained record of attracting local students to the Simon School*
- o A strong record of providing opportunities for other practitioners to learn from one’s innovative practice, *as demonstrated by a combination of indicators that may include:*
 - *Sustained record of opening one’s practice for observation.*
 - *Sustained record of mentoring novice practitioners in one’s area (beyond Simon students)*
 - *Dissemination of “lessons learned” from one’s practice through a variety of outlets (may include giving presentations about one’s practice, offering workshops, sharing instructional materials one has created, consulting, etc.)*

- o Evidence of having contributed to improving business policies and/or practices through one's practice, *as demonstrated by a combination of indicators that may include:*
 - *Evaluations of external reviewers chosen because they can speak to this point*
 - *Evidence of concrete improvements made in business policies and/or practices through one's activities.*
 - *Testimonials of practitioners of how the clinical faculty member contributed to improving their practices*
- o Ability to self-support one's practice (*since the Simon School cannot afford to support this component of its mission simply through tuition revenues and current endowment, and because it is another indicator of recognition as an excellent practitioner*), *as demonstrated by a combination of indicators that may include:*
 - *Success in securing competitive grants and/or contracts (especially relevant for 1 & 2).*
 - *Success in maintaining a successful private practice/consulting business in a competitive environment (especially relevant for 1).*

Criteria for “Outstanding Performance” in this area:

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

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

- o Evidence of having contributed to improving educational policies and/or practices beyond the local level, *as demonstrated by a combination of indicators that may include:*
 - *Evaluations of external reviewers chosen among individuals beyond the local community that can speak to this point.*
 - *Participation in reform projects and/or policy-making at the state/national level (especially relevant for 2 & 3).*
 - *Evidence of adoption by practitioners of innovative programs, curricula, practices, policies, etc. that one has contributed to develop*

(e) Criteria and indicators for “Excellence” and “Outstanding Performance” for Service

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

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

Criteria for “Excellence” in this area:

- o Sustained record of being a productive, constructive and valued member of the Simon School community, *as demonstrated by a combination of indicators that may include:*
 - *Evidence of on-going participation in the “life” of the Simon School.*
 - *Evidence of taking on one’s share of responsibilities for the functioning of the Simon School, and effectively carrying out those responsibilities (ex: taking on one’s turn in elected/standing committees, effectively completing on-going tasks required for accreditation, etc.).*
 - *On-going collaborative and supportive attitude towards colleagues, staff and students – as recognized by colleagues, staff and students’ testimonials/feedback*
- o Evidence of having made some substantial contributions to the Simon School “as an institution” (i.e., beyond contributions to specific components of the Simon School mission made through one’s teaching, scholarship and/or practice), *as demonstrated by a combination of indicators that may include:*
 - *Key role played in some important program and/or school-wide initiatives – such as key committees/task forces, efforts towards accreditation (ex: preparing major reports, developing assessment tools and systems), etc.*
 - *Record of providing specific services of great need and value to the Simon School (ex: participation in student recruiting beyond what is expected of all faculty members; organizing and overseeing “writing support services” or similar initiatives; providing professional development for faculty and/or staff on some specific issues – ex: technology, grants; serving as liaison/support to the student organization; etc.)*
 - *Leadership role played in the development, redesign and/or management of specific Simon School programs.*
 - *Testimonials of colleagues, staff and students to the effect of these contributions.*

- o Sustained record of participation in activities that are needed to ensure the well-being and good-functioning of one's profession, *as demonstrated by a combination of indicators that may include:*
 - *Membership and participation in relevant professional organizations.*
 - *Serving as reviewer for articles, proposals, grants, etc.*
 - *Serving on local/regional committees and task-forces related to one's profession*

Criteria for “Outstanding Performance” in this area:

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

- o Evidence of some participation in the life of the university beyond the Simon School, *as demonstrated by a combination of indicators that may include:*
 - *Occasional participation in university-wide committees/task forces, faculty Senate, etc.*
 - *Occasional participation in university-wide initiatives such as lectures/colloquia, campus conferences, professional development opportunities, open forums, etc.*
 - *Evidence of initiating and/or facilitating collaborations with colleagues in other units of the university.*
- o Sustained record of having made major contributions to the Simon School and/or University of Rochester “as an institution” (i.e., beyond contributions to specific components of the Simon School mission made through one's teaching, scholarship and/or practice), *as demonstrated by a combination of indicators that may include:*
 - *Key role played in several important program, school-wide and/or university-wide initiatives – such as key committees/task forces, efforts towards accreditation (ex: preparing major reports, developing assessment tools and systems, participating as Simon School representative in Middle State accreditation group; serving on university budget committee), etc.*
 - *Sustained record of providing specific services of great need and value to the Simon School and/or the University of Rochester (ex: participation in student recruiting beyond what is expected of all faculty members; organizing and overseeing “writing support services” or similar initiatives – at Simon and/or involving other units in the university; providing professional development for Simon School and/or university-wide faculty and/or staff on some specific issues – ex: instructional technology, entrepreneurship, etc.; serving as liaison/support to the student organization; etc.)*
 - *Sustained leadership role played in the development, redesign and management of specific Simon School programs.*
 - *Testimonials of colleagues, staff and/or students to the effect of the nature, effect and significance of these contributions.*

- o Record of some leadership role in activities that are necessary to ensure the well-being and good-functioning of one's profession at and beyond the local level, *as demonstrated by a combination of indicators that may include:*
 - *Taking on some leadership positions and/or responsibilities in relevant professional organizations.*
 - *Serving on state/national committees and task-forces related to one's profession*