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October 2012

Procedures and Standards for the Schools of Business Accounting and Taxation Area

A. Procedures

1. General Procedures

a. The procedures of the Area of Accounting and Taxation should be understood as an application of the general provisions of the University Statutes to the particular circumstances of the Area of Accounting and Taxation. All members of the personnel committee that are tenured and of appropriate rank will have access to and are expected to read the candidate's application along with supporting documents. In addition, the area chair will assign one tenured faculty member of appropriate rank to prepare an analysis of the candidate's research, teaching and service. He or she will be responsible for writing up a report including the candidate's area of research, publications, working papers, presentations, proceedings, relevant information on teaching (including teaching evaluations), and service. The assigned faculty member will then discuss the report at the personnel meeting. The faculty member will also be responsible for reviewing the application material to make sure that everything needed in the package is included. The material will be held in the area chair's office for tenured faculty to obtain. All votes by the personnel committee (PC) will be done by secret ballot.

b. Establishing Procedures

Procedures are established by a majority vote with a 50% quorum of the area's PC membership present. Future changes to these procedures require the same.

c. Application Packets

The applicant must submit four application packets that include: a signed application, curriculum vitae (CV), syllabi, student evaluation spreadsheet prepared in the required manner including all teaching evaluations at Fordham, and research material that the candidate wants considered. Claims that research has been accepted for publication must be documented.

2. Procedures for Tenure Decisions

Outside Reviewers

In the case of tenure and promotion decisions, outside reviewer letters are solicited. By October 1st (for tenure applicants), the applicant shall provide:

- 1) a packet of papers, books, etc. that they want a representative outside reviewer to consider
- and 2) their CV (in electronic form) to the area chair to aid in the outside reviewer selection

process. The CV would presumably be submitted to potential outside reviewers (when requesting their aid) to help the reviewer decide if they can/should do the review.

By November 1st (for tenure applicants), the applicant supplies 2 the area chair with: 1) 10 packets, each containing their CV and copies of the papers, books, etc. they want sent to the outside reviewers to help the reviewers determine the impact that the applicant's research has had or is likely to have upon the field and 2) a list of 4 outside (i.e., non-Fordham) reviewers (and all relevant contact information such as their address, phone number, e-mail address, and fax number). Also by November 1st (for tenure applicants) the area chair along with the area PC members, selects 5 qualified outside reviewers (who have stated that they will do the reviews in the required time). These 5 reviewers are not to be selected by the candidate. They are expected to be unbiased outside reviewers. The area chair gives the list of the 9 (4 from the candidate and 5 from the area chair) outside reviewers (and all relevant contact information such as their address, phone number, e-mail address, and fax number), and the packets to support staff. The support staff sends the 9 packets out, each with the standard letter from the area chair, and keeps one for reference.

When the applicant was not granted tenure in the same calendar year as he/she is applying for promotion, he/she must prepare a separate promotion application. These applicants shall signify their intentions to apply for promotion by *April 15th* of the calendar year that they are applying for promotion. *Their intentions are signified by providing the area chair with: 1) the references and packets required of tenure applicants by the Contract Renewal and Tenure PC and 2) their CVs and packets as required of tenure applicants by the Contract Renewal and Tenure PC.*

Teaching evaluations spreadsheets shall be included with the applicant's October 1st application. The spreadsheet shall be prepared in the manner specified for tenure applicants by the Contract Renewal and Tenure PC.

The Dean's office will provide the applicant's teaching evaluations to the PC and to the applicant in the standard spreadsheet format adopted by the PC. The standard spreadsheet and notes below the standard spreadsheet should be modified as necessary to completely and accurately reflect all of the applicant's student evaluations since their initial appointment as a full time faculty member at Fordham University. Missing evaluations should be indicated as such. The applicant is invited to audit the evaluations for accuracy and completeness and to aid in improving the spreadsheet's accuracy and completeness.

3. Procedures for Promotion to Associate Professor Decisions

All members of the personnel committee that are tenured and of appropriate rank will have access to and are expected to read the candidate's application along with supporting documents. In addition, the area chair will assign one tenured faculty member of appropriate rank to prepare an analysis of the candidate's research, teaching and service. He or she will be responsible for writing up a report including the candidate's area of research, publications, working papers, presentations, proceedings, relevant information on teaching (including teaching evaluations), and service. The assigned faculty member will then discuss the report at

the personnel meeting. The faculty member will also be responsible for reviewing the application material to make sure that everything needed in the package is included. The material will be held in the area chair's office for review by the members of the personnel committee.

When the applicant was granted tenure in the same calendar year as he/she is applying for promotion (which requires a new application distinct from the tenure application), he/she may use the tenure supporting materials (including the tenure-related solicited outside letters) in his/her promotion application. When the applicant was not granted tenure in the same calendar year as he/she is applying for promotion, he/she must prepare a separate promotion application. These applicants shall signify their intentions to apply for promotion by *April 15th* of the calendar year that they are applying for promotion. *Their intentions are signified by providing the area chair with: 1) the references and packets required of tenure applicants by the Contract Renewal and Tenure PC and 2) their CVs and packets as required of tenure applicants by the Contract Renewal and Tenure PC.*

Teaching evaluations spreadsheets shall be included with the applicant's October 15th application. The spreadsheet shall be prepared in the manner specified for tenure applicants by the Contract Renewal and Tenure PC.

The Dean's office will provide the applicant's teaching evaluations to the PC and to the applicant in the standard spreadsheet format adopted by the PC. The standard spreadsheet and notes below the standard spreadsheet should be modified as necessary to completely and accurately reflect all of the applicant's student evaluations since their initial appointment as a full time faculty member at Fordham University. Missing evaluations should be indicated as such. The applicant is invited to audit the evaluations for accuracy and completeness and to aid in improving the spreadsheet's accuracy and completeness.

4. Procedures for Promotion to Full Professor Decisions

All members of the personnel committee that are tenured and of appropriate rank will have access to and are expected to read the candidate's application along with supporting documents. In addition, the area chair will assign one tenured faculty member of appropriate rank to prepare an analysis of the candidate's research, teaching and service. He or she will be responsible for writing up a report including the candidate's area of research, publications, working papers, presentations, proceedings, relevant information on teaching (including teaching evaluations), and service. The assigned faculty member will then discuss the report at the personnel meeting. The faculty member will also be responsible for reviewing the application material to make sure that everything needed in the package is included. The material will be held in the area chair's office for review.

These applicants shall signify their intentions to apply for promotion by April 15th of the calendar year that they are applying for promotion. Their intentions are signified by providing the area chair with: 1) the references and packets required of tenure applicants by the Contract Renewal and Tenure PC and 2) their CVs and packets as required of tenure applicants by the Contract

Renewal and Tenure PC. Teaching evaluations spreadsheets shall be included with the applicant's October 15th application. The spreadsheet shall be prepared in the manner specified for tenure applicants by the Contract Renewal and Tenure PC.

The Dean's office will provide the applicant's teaching evaluations to the PC and to the applicant in the standard spreadsheet format adopted by the PC. The standard spreadsheet and notes below the standard spreadsheet should be modified as necessary to completely and accurately reflect all of the applicant's student evaluations since their initial appointment as a full time faculty member at Fordham University. Missing evaluations should be indicated as such. The applicant is invited to audit the evaluations for accuracy and completeness and to aid in improving the spreadsheet's accuracy and completeness.

5. Procedures for Clinical Reappointment

For clinical reappointments, tenured faculty should be in agreement that the candidate continues to provide productive and valuable contributions in teaching and service in line with the responsibilities and conditions outlined in his/her most recent appointment letter. Since clinical faculty are primarily engaged in teaching, overall teaching evaluations should be favorable. The personnel committee will review course syllabi, quizzes, exams, notes and other relevant course materials provided by the candidate.

B. Standards

1. Standards for Reappointment

The decision to reappoint a faculty member shall be based on demonstrated progress toward and estimated promise of a future favorable tenure decision

2. Standards for Tenure (Listed in order of relative importance)

a. Research: The candidate is expected to establish an active and ongoing research program. The personnel committee will consider publication in refereed journals, publication of books and book chapters, presentation of research results at conferences, and other research activity in making this evaluation. Both current research activity and future promise will be considered.

b. Teaching: Teaching is an important part of the area's mission. The candidate is expected to have received favorable teaching reviews. The personnel committee will consider ways in which the candidate helps students reach their education goals including appropriateness of the course materials, availability to students, and development of new courses or materials.

The Dean's office will provide the applicant's teaching evaluations to the PC and to the applicant in the standard spreadsheet format adopted by the PC. The standard spreadsheet and notes below the standard spreadsheet should be modified as necessary to completely and accurately reflect all of the applicant's student evaluations since their initial appointment as a full time

faculty member at Fordham University. Missing evaluations should be indicated as such. The applicant is invited to audit the evaluations for accuracy and completeness and to aid in improving the spreadsheet's accuracy and completeness.

c. Service: Probationary Faculty are expected initially to focus primarily on developing their research and teaching programs. As they become more established in these areas, they should begin to contribute more service to the area, School, University, and public. Past service and the promise of future service will receive significant weight.

3. Standards for Promotion to Associate Professor

The standards for promotion to Associate Professor are similar to those for tenure and frequently both decisions will occur in the same year. Consideration for promotion will focus on actual accomplishments rather than future promise.

4. Standards for Promotion to Full Professor

Appointments as Professor requires distinguished academic achievement evidenced by outstanding contributions, recognized by scholars within and outside the University, in teaching, research and scholarly publications, and service. Significant time in rank is encouraged.

Appendix: Additional Information Re: Personnel Committee and Timelines

Accounting Area Personnel Committee (PC) Members

The Accounting Area Personnel Committee (PC) consists of all tenured accounting faculty, and, if necessary, a cognate. A cognate would be needed in those situations where there is an insufficient number of tenured faculty to serve. (The PC committee needs a minimum of five members.) If a cognate is needed, the tenured faculty will recommend two candidates to the dean of faculty who in turn will make the final selection of the cognate. The chair of the accounting and tax department will serve as the chair of the PC.

The remainder of this Appendix gives the timeline for delivery of materials (and their descriptions) and for meetings related to the tenure and promotion process.

October 1: Materials Due from Tenure Candidates to Area Chair

By October 1, each tenure candidate will provide the following (by email) to the chair of the PC:

1. The names of four (4) outsider reviewers identified by the tenure candidate.
2. The name of the reviewers' institutions (universities).
3. The respective university's mailing address (street address, rather than a P.O. Box).
4. Reviewers' email addresses.
5. Reviewers' telephone numbers.
6. Reviewers' fax numbers.

Ideally, but not necessarily, each of the four (4) outside reviewers will have been (or will be) contacted (by either the tenure candidate directly or by a member of the PC) to obtain agreement to review the tenure packet, prior to it being mailed. The tenure candidate and the PC will use their best judgment to determine whether to contact any or all of the outside reviewers in advance of sending the tenure packet. (As discussed further below, the tenure packets are mailed on or about November 1.)

Also by October 1 each tenure candidate will provide the following (by email) to the chair of the PC:

1. Current Resume
2. Statement of Research
3. Sample of Published Papers

These items will be used to assist the PC to identify five (5) additional outside reviewers (as described below). The tenure candidate does not need to (but may) send all published papers. However, a sample will suffice to help the PC identify the additional five (5) outside reviewers.

Month of October: PC Committee identifies additional Five (5) Outside Reviewers

In addition to the four (4) outsider reviewers (described above), the PC will identify five (5) outside reviewers. These five additional outside reviewers will not be selected by the tenure candidates, and they are expected to be unbiased reviewers. Therefore, nine (9) outside reviewers will be solicited to provide assessments of each tenure candidate.

The PC may contact the five (5) additional outside reviewers in order to solicit their agreement to perform the review in the required time frame. The PC will request that the outside reviewers' send their assessments of each candidate by December 15. (See sample letter below.) During the month of October, the PC will identify these five (5) additional outside reviewers.

November 1: Ten Tenure Packets Due from Tenure Candidates to PC Chair

Each tenure candidate must provide the chair of the PC ten (10) tenure packets (in hard copy) which will consist of the following items:

1. Packet of papers, books, statement of research, etc. that the tenure candidate wants the outside reviewers to consider.
2. Current resume.

In order to secure the tenure packets and maintain confidentiality, the tenure packets must not be left in a place that is publicly accessible. They must be hand delivered to either the PC chair or the chair's assistant.

Upon receipt of the tenure packets, or shortly thereafter, nine (9) will be mailed by the PC to the outside reviewers (the four chosen by the tenure candidate and the five chosen by the PC). One (1) tenure packet will be retained by the PC.

Below is a sample letter that will be sent by the PC to the nine outside reviewers, along with the tenure packets. The sample letter may be changed slightly.

Sample Letter to Outside Reviewers

November 1, 20XX

Dear Outside Reviewer X:

Y is applying for a tenured position on the faculty of business at Fordham University. We would greatly appreciate your input into our decision-making process on this important matter by providing your evaluation of Professor Y's research.

If you would, please evaluate the quality of the candidate's body of work and its potential for future research. Please do not include in your evaluation a specific recommendation regarding the tenure decision, since the decision-making criteria differ from institution to institution. A copy of the candidate's curriculum vitae has been included. The research materials that are included (academic papers and "statement of research") were submitted at the applicant's discretion. Your review need not be restricted to and need not include a discussion of the discretionary materials submitted by the applicant.

In order to provide sufficient time for our faculty committee to review your response, we would appreciate your evaluation by December 15, 20XX. Also please note that Fordham University statutes require that your correspondence in this matter be treated as confidential.

The mailing address for your correspondence is:

Professor _____, Ph.D.
Area Chair, Department of Accounting and Taxation
Fordham University
Schools of Business
Building: _____
Street: _____
Office: _____
New York, N.Y. _____

Thank you in advance for your help. If you have any questions, please do not hesitate to contact me via phone (_____) or email (_____@fordham.edu). If ever a member of our faculty could return the favor to your university, please do not hesitate to let us know.

Sincerely,

_____, Ph.D.
Area Chair, Department of Accounting and Taxation
Fordham University Schools of Business

January 15: Additional Materials due from Tenure Candidates for Tenure Binders

We distinguish between tenure packets, which are mailed to the outside reviewers, and the tenure binders, which include the tenure packets, plus the below items, which each tenure candidate must provide in hard copy to the chair of the PC by January 15:

1. A completed, signed application for tenure. The application is attached at the end of this document.
2. An updated resume (if there are any changes to the resume since October 1).
3. Statement of teaching *and* statement of service (to be added to the statement of research which was sent to the outside reviewers).
4. Course syllabi (for each course taught while at Fordham).
5. Student evaluation spreadsheet prepared for all courses taught while at Fordham. (To obtain the spreadsheet, contact: Dean Leistikow at leistikow@fordham.edu).
6. *All* research publications (not just the sample of research publications sent to the outside reviewers), including any additional research material published since November 1. Note: all research claimed as published or accepted for publication must be documented as such.

The binders should have appropriately labeled tabs separating the various sections of materials.

Upon receipt of the letters from the outside reviewers (due, as per the above letter, on December 15), the PC chair will add them to the tenure binders of each candidate.

Two binders must be submitted to the PC chair. (Two binders are needed to make the material easily accessible to all the PC members. One binder will be held at the Lincoln Center campus and the other at the Rose Hill campus, as per below.)

January 15 – Early February: Tenure Binders Reviewed by PC Members

The tenure binders will be held by the following two people (and in the respective locations) to facilitate reviews thereof by members of the PC prior to the vote:

1. Associate Dean of Faculty, who is currently Victor Borun, located at:
113 West 60th Street, 6th floor
New York, NY 10023

His contact information is: 212 636 7428; borun@fordham.edu.

If Victor Borun is unavailable, the PC members can access the materials by contacting his assistant, who is currently: Cathy Henson (administrative assistant, located outside of Victor Borun's office). Her contact information is: 212 636 6172; henson@fordham.edu

2. Dean of Faculty, who is currently Donna Rapaccioli, located at:
441 East Fordham Road
Hughes Hall, 4th Floor
Bronx , New York 10458

Her contact information is: 718 817 4105; rapaccioli@fordham.edu.

However, to access the binders, members of the PC will contact the dean's assistant, who is currently Betty Grizzaffi. Her contact information is: 718 817 4466; egrizzaffi@fordham.edu.

February: PC Members' Reports on Tenure Candidates and PC Vote for Tenure

The PC will hold a meeting in (early) February. The purpose of the meeting is to discuss each candidate's research, teaching, and service, and then vote on each tenure candidate's application. The vote will be by secret ballot. The results of the vote will be added to the tenure binders.

Also, each member of the PC will write a recommendation on the respective tenure candidates. The recommendation will analyze the candidate's research, teaching, and service. These recommendations along with the result of the vote will be added to the tenure binders and delivered to the Associate Dean of Faculty (currently Victor Borun) by March 1. The Associate Dean of Faculty will then send the materials to the Deans of the Schools of Business (currently Donna Rapaccioli and David Gautshi).

March 1: Tenure Binders Delivered to Associate Dean of Faculty

Each tenure binder will be checked for completeness by the PC and then delivered to the Associate Dean of Faculty, as per above.

March 15: Dean of Faculty Recommendation to Provost

The Dean of Faculty (currently Donna Rapaccioli) will make a recommendation to the Provost (currently Stephen Freedman) by March 15.

May 15: Final Decision Announced by Office of the Provost

The final tenure decisions are provided to the candidates by May 15.

Promotion Decisions

The promotion process is separate from, but related to, the tenure process that is described above.

Once the PC members vote on tenure and the Dean of Faculty supports the decision, the PC will meet about the tenure candidates' promotion from assistant professor to associate professor.

Therefore, the PC will meet sometime after March 15, the date the Dean of Faculty sends the recommendation to the provost. This meeting is separate from the meeting about tenure described above. During the meeting the PC will vote on the candidate's promotion to associate professor. However, the result of the vote on promotion is sealed until May 15, the date the tenure decision is announced.

The application form for promotion is the same as the application form for tenure and is attached at the end of this document. However, the application form, although the same, must be submitted separately with the appropriate box checked at the top of the form (please refer to

the form). The signed form should be submitted in hard copy to the chair of the PC by **January 15**, the same date the application for tenure is due (see above).

Form for Application for Tenure or Promotion

Below is the application form for tenure or promotion, referenced above.

FORDHAM UNIVERSITY

APPLICATION FOR TENURE OR PROMOTION

Name: _____

Academic Unit: _____

Unit: _____ Date: _____

- Application For :
- Tenure
 - Promotion to Associate Professor
 - Promotion to Full Professor

Members of the Arts and Sciences Faculty and the Faculty of Business submit two typed copies of the application, with supplementary statements and a current curriculum vitae attached to each copy along with two copies of publications, course outlines/syllabi, and other supporting material to their Department Chair (for Arts and Sciences Faculty) or their Dean (for Faculty of Business). A list of supporting material should be enclosed with each set. The Chair or Dean should make one set available for faculty at **each campus**.

All other faculty submit two typed copies of the application, with supplementary statements and a current curriculum vitae attached to each copy, to the Dean along with one set of publications, course outlines/syllabi, and other supporting material. A list of all supporting material should be enclosed. Submit all material by:

For Tenure by **January 15th**

For Promotion by **October 15th**

The Chair of the Personnel Committee will arrange for the meeting of the Personnel Committee and send its recommendations with both copies of the full application and accompanying material to the Dean of Faculty or Dean, as appropriate, by the following schedule:

For Tenure by **March 1st**

For Promotion by **December 1st**

For the norms governing promotion, see the University Statutes § 4-05.05 (a); for those governing tenure, see § 4-05.04 (d) and (h).

I. EDUCATION – UNDERGRADUATE, GRADUATE, POST-GRADUATE

<u>Institution</u>	<u>Degree</u>	<u>Date Awarded</u>	<u>Honors/Awards</u>
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II. ACADEMIC EXPERIENCE

(IF part-time, please indicate by p-t)

<u>Institution</u>	<u>School or Department</u>	<u>Rank</u>	<u>Dates</u>
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FORDHAM UNIVERSITY
APPLICATION FOR TENURE OR PROMOTION

III. COURSES TAUGHT AT FORDHAM DURING LAST 2 YEARS

<u>Course Number</u>	<u>Title</u>	<u>Average Enrollment</u>
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IV. RESEARCH, PUBLICATIONS, AND PROFESSIONAL ACTIVITIES

A. Please submit with this form as part of your vita a chronological bibliography by category (according to accepted academic form): all authored or co-authored books; contributions to books; pamphlets; articles; reviews; research reports; scholarly addresses. Include a brief description of research accepted for publication, and research still in progress. Mention should also be made of any other relevant work.

B. EDITORIAL POSITIONS HELD (Give nature of position)

C. PARTICIPATION AND LEADERSHIP IN PROFESSIONAL ASSOCIATION
(Give name of association, length of membership, extent of participation, committee service, offices held, etc.)

FORDHAM UNIVERSITY
APPLICATION FOR TENURE OR PROMOTION

D. SPECIAL RECOGNITION, HONORS, AWARDS, HONORARY DEGREES, BIOGRAPHICAL DICTIONARY LISTINGS, ETC., THAT HAVE A BEARING ON ACADEMIC STATUS
(Give full title of award, organization, date and reason.)

E. GRANTS APPLIED FOR (Purpose, dates)

GRANTS RECEIVED

F. FACULTY FELLOWSHIPS (Dates, purposes, results)

G. LEAVES OF ABSENCES (Dates, purposes, results)

H. THESES OR DISSERTATIONS AT FORDHAM UNIVERSITY UNDER ACTIVE DIRECTION DURING LAST 3 YRS
(Include BA Honors, MA/MS and Doctoral)

<u>Under</u>	<u>Completed</u>	<u>PhD</u>	<u>MA/MS</u>	<u>BA Honors</u>
<u>Direction</u>				

FORDHAM UNIVERSITY
APPLICATION FOR TENURE OR PROMOTION

V. UNIVERSITY AND PUBLIC SERVICE

A. ACADEMIC ADMINISTRATION

School/Unit

Position

Dates

B. COMMITTEE SERVICE

(University. School, Department/Area)

Committee

Dates

C. SPECIAL ACADEMIC COUNSELING, MODERATORSHIP, ETC.

(Name of organization, nature of work, number of years, and average time per week)

D. SERVICE OUTSIDE FORDHAM UNIVERSITY

(Type of service, i.e., local, state, national agencies or institutions, business, industry or the professions, the public at large; name of organization, if any; amount of time; citations or awards, etc.)

Signature

Date