

OPERATING PAPER DEPARTMENT OF MATHEMATICS SOUTHERN ILLINOIS UNIVERSITY AT CARBONDALE

The purpose of the operating paper of the Department of Mathematics is to set forth the structure, procedures and policies of the Department of Mathematics as agreed to in their revised form by a majority of the Continuing Faculty of the Department on the 15th day of October, 2008, and approved by the Provost on the 25th day of March, 2009. This document supersedes all other operational documents in the Department and takes precedence where there is disagreement.

I. Mission Statement

The Department of Mathematics is responsible for discharging a multifaceted and complex mission within the institution which falls broadly within the traditional categories of teaching, research and service. As an instructional unit, the Department offers programs leading to bachelor, master and doctoral degrees and offers service courses for other units and programs throughout the institution. As a unit with graduate programs, the Department of Mathematics expects and encourages its faculty to conduct original research in mathematics and to keep current with recent developments in the discipline through participation in professional activities both nationally and internationally. While its service role is limited, the Department has a responsibility to raise awareness of the critical importance of mathematics within the area and to encourage and foster mathematics education within the Southern Illinois region.

II. Definition of the Faculty

- A. For purposes of this document, the Faculty of the Department of Mathematics consists of all persons having a current appointment of more than 0% in the Department and all persons with continuing appointments in the Department of more than 0% on sabbatical or on leave.
- B. The Continuing Faculty consists of all persons in the Department with a continuing appointment of more than 0% including those on sabbatical or on leave.
- C. The Graduate Faculty consists of all Continuing Faculty members of the Department of Mathematics holding Graduate Faculty status in the University.
- D. Except where further restricted in this paper, the faculty eligible to vote shall be the Continuing Faculty.

III. Administration of the Department

- A. The Department is administered by the Department Chair who is a member of the Continuing Faculty holding tenure in the Department of Mathematics. The Chair is the chief fiscal officer of the Department, is responsible for coordinating academic matters in the Department, and is generally responsible for the administration of the Department.
- B. In order that the Department function smoothly, the Chair is assisted by other members of the Continuing Faculty. These include, in particular, the Vice Chair, the Director of Undergraduate Studies, and the Director of Graduate Studies.
- C. The Vice Chair supervises the Department office, assists the Chair in coordinating instruction and instructional support, and has fiscal responsibilities as assigned by the Chair.
- D. The Director of Undergraduate Studies is the chief undergraduate advisor, acts as chairperson for the Undergraduate Programs Committee, and generally assists the Chair in matters involving undergraduate curricula and programs.

- E. The Director of Graduate Studies is the chief graduate advisor, acts as chairperson for the Graduate Programs Committee, and generally assists the Chair in matters involving graduate curricula and programs.

IV. Selection and Appointment of the Chair

- A. If at any time the position of Chair becomes vacant, according to the process described in Section IV.H. below, the Continuing Faculty of the Department shall select as Acting or Interim Chair a tenured Professor or Associate Professor in the Department of Mathematics. The Acting or Interim Chair will assume all of the duties of the Chair until a new Chair is appointed. The process to select a Chair as described below will commence as quickly as possible but no later than the first Fall Semester after the position of Chair becomes vacant. Interviews with the candidates must be held during the Fall or Spring Semesters when classes are in session.
- B. When a new Chair is to be selected, the current Chair, Interim Chair, or Acting Chair of the Department will provide each member of the Continuing Faculty a ballot listing all members of the Continuing Faculty who are in Carbondale and who are on assignment for that term. The Continuing Faculty will then elect from this list a Balloting Committee consisting of three members, following the procedures of The Election Process in Section IX. The member of the Balloting Committee receiving the highest number of votes will serve as the chair of the committee.
- C. To aid the Department in deciding whether to conduct an internal or external search, the Balloting Committee will carry out two steps.
 - 1. The Balloting Committee will make available a file containing the curriculum vitae of all tenured Associate Professors and all tenured Professors in the Department. Subsequently they shall issue a Nomination Ballot listing the names of all tenured Associate Professors and tenured Professors. Each member of the Continuing Faculty may use this ballot to nominate as many candidates for Chair of the Department as he/she chooses. The results of this ballot will be reported to the Faculty.
 - 2. The Balloting Committee will arrange a meeting of the Continuing Faculty of the Department with the Dean of the College of Science. This meeting will be conducted by the chair of the Balloting Committee and its sole purpose will be to discuss whether a local or a national search for a Chair will be undertaken. Following this meeting and the reporting of the results of the Nomination Ballot, the Balloting Committee will poll the Continuing Faculty of the Department on the question of a local versus a national search. The Balloting Committee shall communicate to the Dean the results of this poll along with a request that he/she approve the type of search selected by the department.
- D. Once the question of local versus national search has been settled, the Balloting Committee in conjunction with the Dean shall prepare a position description and other appropriate documents and shall advertise the position in media appropriate to the scope of the search. It is the duty of the Balloting Committee to see that the search is carried out in accordance with University regulations.
- E. If the search is national in scope, the election process will proceed as follows.
 - 1. The Balloting Committee will provide each member of the Continuing Faculty a ballot of all members of the Continuing Faculty who are in Carbondale and who are on assignment for that term. The Continuing Faculty will then elect a Search Committee consisting of seven members of the Continuing Faculty following the procedures of the Election Process in Section IX. The member receiving the largest number of votes will serve as the chair of this committee.

2. With the advice of the Continuing Faculty at large and of the Dean of the College of Science, the Search Committee will screen the applicants for the position and present to the Department a list of the names of the top five to seven candidates with appropriate documentation. The Continuing Faculty will vote by secret ballot on whether each individual is an acceptable candidate for Chair. The Search Committee will present the names of the three candidates who receive maximal support in this ballot (provided in each case it is a majority) to the Dean with a request to interview each of them. Any ties in the ballot will be broken by the committee.
 3. After the interviews have occurred, the Search Committee will arrange a meeting of the Continuing Faculty with the Dean of the College of Science. The sole agenda item for this meeting will be a discussion of the merits of the candidates for the position of Chair of the Department.
 4. Subsequent to this meeting, the Search Committee will poll the Continuing Faculty by ballot as to the preferred candidate. The ballot will ask whether each individual candidate is acceptable or not. A candidate must receive the support of at least 60% of the Continuing Faculty who vote and must receive a positive tenure recommendation from at least 60% of the tenured Faculty who vote in a separate tenure ballot in order to be recommended to the Dean.
 5. Providing the conditions of the previous paragraph are met, the candidate who received the most support will be recommended to the Dean of the College of Science as the next Chair of the Department and tenure will likewise be recommended.
 6. If the preferred candidate does not accept the offered position, or if the Dean cannot support the preferred candidate, or if none of the candidates receives the required support of the Department, the Search Committee will arrange a meeting of the Continuing Faculty with the Dean to determine the next step in the search process.
- F. If the search is local in scope, the selection process will proceed as follows while insuring that University guidelines are followed.
1. The Balloting Committee will contact each tenured Associate Professor and tenured Professor in the Department to determine whether he/she is willing to stand for election.
 - a. The Balloting Committee will then prepare a primary ballot containing the names of all those members who are willing to be considered. This ballot will be distributed to each member of the Continuing Faculty who will then select up to five nominees in the order first, second, etc.
 - b. The Balloting Committee will count the primary ballot as follows:
 - 3 points for each "first choice,"
 - 2 points for each "second choice,"
 - 1 point for each "third, fourth, or fifth choice."The Balloting Committee will report the results to the Continuing Faculty.
 - c. The Balloting Committee will rank order the point totals of the candidates from highest to lowest. They will contact the candidates in that order to see who is willing to be further considered. The two candidates with the highest ranking who are willing to be considered will be the final candidates. Permission to interview these candidates will then be sought through the usual University channels.

- d. In the process of finding two final candidates, it could happen that there would be a tie so that more than two would be eligible. In this case, the Balloting Committee will conduct runoff elections until two final candidates emerge from the primary ballot. The voting scheme in these runoff elections will be the point system utilized in the initial primary ballot.
2. A faculty meeting will be held to interview the final candidates. Each candidate will be interviewed separately from the other candidate. Interviews with other University officials will be arranged as required. The Balloting Committee will then prepare a ballot consisting of the final candidates and distribute it to the Continuing Faculty, including those on sabbatical or on leave. This ballot is marked by voting for only one candidate. The candidate receiving the highest number of votes will be the Department's choice. If there is a tie, one runoff election will be held.
 3. The Balloting Committee will meet with the Dean of the College of Science to convey the name of the Department's choice and request his/her appointment as Chair. If the final ballot ended in a second tie or if the Dean is not able to support the Department's choice, the Balloting Committee will arrange a Departmental meeting to discuss the next step in the selection process.
- G. Departmental approval of the continuation of the appointment of the Chair shall be governed by the following.
1. During November of the third year of the appointment of a Chair, and every three years thereafter, or after a review of the Chair in accordance with Section V.B., the Department shall elect in accordance with the Election Process a three member Polling Committee. This committee will poll by secret ballot the Continuing Faculty of the Department on the question of whether the Chair's appointment should be continued. The results will be reported to the Department and to the Dean.
 2. If less than 60% of those voting in Section IV.G.1 indicate that the Chair should continue, the Polling Committee will request the Dean to call a meeting of the Continuing Faculty of the Department excluding the Chair. The purpose of this meeting will be to discuss reasons pro and con on the question of continuation of the Chair.
- H. In the selection of an Acting or Interim Chair, the process will be carried out as follows while insuring that University guidelines are followed.
1. A Balloting Committee will be elected by the procedure described in Section IV.B.
 2. The Balloting Committee will conduct an election for Acting or Interim Chair.
 - a. The Balloting Committee will contact each tenured Associate Professor and tenured Professor in the Department to determine whether he or she is willing to stand for election. Those who are willing to stand for election should provide dossiers including copies of their CVs and letters of intent. The Balloting Committee will organize the dossiers of the candidates and make these available to the Continuing Faculty.
 - b. The Balloting Committee will then prepare a ballot containing the names of all those members who are willing to be considered. This ballot will be distributed to each member of the Continuing Faculty who will then select up to five nominees in the order first, second, etc.
 - c. The Balloting Committee will count the ballot as follows:
3 points for each "first choice,"

2 points for each "second choice,"
1 point for each "third, fourth, or fifth choice."

The Balloting Committee will report the results to the Continuing Faculty.

- d. The candidate with the highest point total will be the Department's choice. If there is a tie, one runoff election will be held.
3. The Balloting Committee will meet with the Dean of the College of Science to convey the name of the Department's choice and request his/her appointment as Acting or Interim Chair. If there is a runoff ballot which ends in a second tie or if the Dean is not able to support the Department's choice, the Balloting Committee will arrange a Departmental meeting to discuss the next step in the selection process.

V. Review of the Chair

- A. In accord with the operating paper of the College of Science, a review of the Chair will be held during the Fall Semester of the third year of his/her appointment and every three years thereafter.
- B. The Dean may elect to initiate an early review of the Chair at his/her discretion or if presented with a petition from at least 35% of the Continuing Faculty.

VI. Appointment of Administrative Assistants

The Chair will appoint the Vice Chair, the Director of Undergraduate Studies, and the Director of Graduate Studies.

VII. Departmental Committees

- A. The Undergraduate Programs Committee will be chaired by the Director of Undergraduate Studies. The members of this committee will be appointed by the Chair in consultation with the Director of Undergraduate Studies. The primary responsibility of this committee is to consider all additions, deletions and modifications to the undergraduate programs and curricula and to make recommendations in such matters for action by the Continuing Faculty of the Department.
- B. The Graduate Programs Committee will be chaired by the Director of Graduate Programs who must be a member of the Graduate Faculty. The members of this committee will be appointed from the Graduate Faculty by the Chair in consultation with the Director of Graduate Programs. The primary responsibility of this committee will be to consider all additions, deletions and modifications to the graduate programs and curricula and to make recommendations in such matters to the Graduate Faculty of the Department.
- C. The Personnel Committee will consist of three tenured professors or associate professors, having more than 50% assignment in the Department of Mathematics. At least two of the members will be tenured professors except when there are too few professors on the ballot to fill the vacancies in the respective positions. Two members are to be elected in the first two weeks of the Spring Semester of each year with one to serve for two years and the other to serve one year. If at some later time a committee member is unable to serve, the Chair will call for a special election to select an eligible member of the Faculty to complete the term of service. The election of the committee members will follow the procedures outlined in the Election Process. After completing his or her term, a committee member is ineligible for reelection to this committee for a period of one year.

The primary responsibility of this committee is to provide an annual evaluation of each faculty member in the Department to the Chair as detailed in the section below entitled

Duty Assignment and Evaluation Process. It will also recommend to the Chair which members of the Faculty to nominate for teaching and research awards and other recognition within the College and University.

- D. The Promotion and Tenure Committee consists of six elected tenured professors and associate professors having more than a 50% appointment in the Department of Mathematics and the Chair. The elected members must include at least three professors and at least two associate professors, except when there are too few professors or associate professors on the ballot to fill the respective positions. No individual may serve on the Promotion and Tenure Committee if an immediate family member will be considered for promotion to Associate Professor or for tenure that year. The election of the committee members will be completed by the end of the second week of the Fall Semester and will follow the procedures in the Election Process. Those individuals receiving the most votes will be elected while observing the distribution of associate professors and professors specified above. No individual may be elected to more than two consecutive years on the committee. The Chair will serve as chair of the committee unless he or she chooses to have the committee elect its own chair from the members.

The primary responsibility of the Promotion and Tenure Committee is to make recommendations to the tenured members of the mathematics Faculty regarding the granting of tenure to individuals and to the body of tenured associate professors and professors regarding the promotion of individuals to the rank of associate professor.

The Promotion and Tenure Committee will also evaluate the progress toward tenure of each untenured Continuing Faculty member who has been a member of the Continuing Faculty for at least one year. This evaluation will be given to the Chair to aid in his annual evaluation of progress toward tenure.

- E. The Promotion and Tenure Committee of Professors consists of the three professors receiving the most votes in the ballot for the Promotion and Tenure Committee together with the Chair who is a non-voting member. Ties will be broken by a single runoff election. A tie in the runoff election will be settled by lot. No individual may serve on the Promotion and Tenure Committee of Professors if an immediate family member will be considered for promotion to Professor that year. No individual may be elected to more than two consecutive years on the committee. The Chair will serve as chair of the committee unless he or she chooses to have the committee elect its own chair from the other members.

The primary responsibility of the Promotion and Tenure Committee of Professors is to make recommendations to the body of tenured professors regarding the promotion of individuals to the rank of professor.

- F. Other committees may be appointed by the Chair as the needs of the Department and its programs warrant.

VIII. Departmental Meetings and Voting

- A. All binding decisions are to be made by secret ballot and require participation by 51% of the eligible voting body to be valid.
- B. For votes on promotion, tenure, election of a Chair, amendments to this operating paper, and any other items as deemed sufficiently important by the Chair, ballots will be distributed to all Faculty eligible to vote, both on campus and off, with sufficient time allowed for the ballots to be returned. Deadlines can be imposed, however, so that University or administrative time constraints can be met. Off-campus eligible voters may designate persons to cast their ballots as they direct.
- C. On all remaining matters, ballots will be distributed only to the eligible Faculty on duty in Carbondale.

- D. Departmental meetings are ordinarily called by the Chair as warranted by Departmental business. In addition, the Director of Undergraduate Studies will call a meeting of the Mathematics Faculty in the Spring Semester to present recommendations from the Undergraduate Programs Committee. The Director of Graduate Studies will call a meeting of Graduate Faculty in the Spring Semester to present recommendations from the Graduate Programs Committee.
- E. The Chair must call an extraordinary meeting of the Faculty when requested to do so by a written petition signed by 25% or more of the mathematics Faculty. The petition will indicate the purpose and agenda for the meeting, which will be called as soon as possible, but no later than ten class days following the presentation of the petition.
- F. Departmental meetings will follow Robert's rules of order unless these rules are suspended at the meeting.

IX. The Election Process

- A. When an election is to be held, except for the election of the Chair, the Chair or other appropriate individual or body will prepare a list of all Faculty eligible to be elected. This list will be circulated and any eligible Faculty member not wishing to run will so inform the Chair or other appropriate individual or body. The Faculty members eligible but not wishing to run will then be removed from the list of eligible Faculty. The resulting list will be the ballot.
 - 1. In marking the ballot, each voter will vote for as many of the nominees as he or she desires. The person (or persons) receiving the most votes will be elected.
 - 2. In case of ties, a runoff election will be held. Ties in the runoff election will be decided by lot. If varying length terms are to be assigned, then the persons receiving the most votes will fill the longest terms with ties decided by lot.

X. Personnel File

- A. A personnel file for each faculty member shall be maintained by the Department in accordance with the Personnel File Policy of the University as specified in the current Employees Handbook. It is the responsibility of the individual faculty member to keep his/her file current. However, the Chair shall set a specific date for annual updating of the file by each faculty member and another specific date by which time each faculty member can be expected to provide data and documents to be reviewed in conjunction with promotion or tenure decisions on his/her behalf. The annual updating of the file shall include removing unnecessary or outdated material, which shall be returned to the faculty member.

XI. Duty Assignment and Evaluation Process

The Department will maintain as Appendix A to this operating paper a document entitled "Evaluation Process for Merit Salary Adjustments." It is the primary purpose of Appendix A to indicate the processes by which duties are assigned to members of the faculty, by which said members report their accomplishments and by which these accomplishments are evaluated relative to merit salary adjustments.

In the event that a statement or procedure described in Appendix A disagrees or contradicts a statement or procedure contained within the operating paper, the procedure as presented in the operating paper will take precedence.

XII. Promotion and Tenure

The Department will maintain as Appendix B to this operating paper a document entitled "Promotion and Tenure." It is the primary purpose of Appendix B to indicate the processes by which tenure and promotion are achieved in the Department.

In the event that a statement or procedure described in Appendix B disagrees or contradicts a statement or procedure contained within the operating paper, the procedure as presented in the operating paper will take precedence.

XIII. Hiring of Faculty

- A. To be hired, continuing faculty are required to hold a doctoral degree in mathematics or related discipline.
- B. When hiring continuing faculty, the following hiring process will be used while ensuring that University guidelines regarding advertising, interviewing and hiring are followed.
 - 1. The Chair, with the advice and consent (simple majority vote) of the Continuing Faculty, will select the nature of each search and the subject areas for which to advertise. The Chair will then request that the Dean approve each search.
 - 2. For each approved search, the Chair will appoint a committee to consider the qualifications of candidates. For each advertised position, the committee will normally recommend three candidates to be interviewed. Permission to interview these candidates will then be sought through the usual University channels.
 - 3. After the candidates have been interviewed, the hiring committee will recommend the acceptable candidates with a suggested order in which offers should be made. The Continuing Faculty will be polled by secret ballot on the question of whether or not each candidate is acceptable to be hired. Offers of continuing positions will be made in the rank order of the number of votes of "acceptable" provided the candidate is acceptable to a majority of those voting. Ties will be broken by the hiring committee.
- C. The hiring of other faculty will be supervised by the Chair.

XIV. Grievance Procedure

A. Student Academic Grievance Procedures

It is the responsibility of the Department to resolve in a timely manner all disagreements relating to academic evaluation and all allegations of academic misconduct. Matters that have not been resolved directly by the parties concerned shall be adjudicated according to the Student Grievance Procedure as specified in the College of Science Operating Paper and the Student Conduct Code. Copies of the procedure are available from the Chair upon request.

B. Departmental Faculty Administrative/Professional Staff Grievance Procedure Relative to Administrative Decisions

The Grievance Procedure for the Faculty and Administrative Staff of the Department of Mathematics is that as specified in current collective bargaining agreements and the current Employees Handbook. This procedure makes available procedural safeguards which ensure that any adverse action can be dealt with fairly and equitably. Copies of this grievance procedure are available from the Chair upon request.

XV. Appendices

Appendices are considered to be integral parts of this working paper, and changes to any appendix are accomplished by the procedures in the section entitled Amendment Process.

XVI. Amendment Process

When needed, the Department may elect, following the Election Process, an ad hoc committee of three Continuing Faculty members to review this Operating Paper and make

minor editorial changes, including those that are needed to ensure conformity to current University terminology. The Department shall be informed of any such changes and given the opportunity to vote on a change if any Continuing Faculty member objects to the change.

Any substantive changes to this document - whether an addition, a deletion or a modification - will be considered an amendment. Normally amendments will be considered only in the Fall or Spring Semester.

- A. The amendment process begins when a faculty member presents to the Chair the proposed amendment together with the signatures of at least 20% of the Continuing Faculty who indicate that they wish the amendment to be considered (but not necessarily their support of it).
- B. The Chair will call a meeting of the Continuing Faculty as soon as possible but not later than four weeks subsequent to the presentation of the proposed amendment. At this meeting the proposed amendment will be discussed (and perhaps altered). Subsequent to this meeting, the Chair will distribute a ballot to the Continuing Faculty listing the amendment. Each member of the Continuing Faculty will vote for or against the amendment.
- C. In order for an amendment to be incorporated into this document, it must receive the support of a majority of the Continuing Faculty, and then be approved by the Dean and the Chancellor or the Chancellor's designee.

APPENDIX A

EVALUATION PROCESS FOR MERIT SALARY ADJUSTMENTS DEPARTMENT OF MATHEMATICS

GENERAL PRINCIPLES:

Faculty members of the Department of Mathematics are expected to teach effectively, to engage in research, and to perform professional service within the Department, the College, the University, the profession, and/or the community. Those members holding a continuing appointment will normally have assigned duties in both of the areas of teaching and research; some will also have assigned duties in service. It will be the purpose of the reward system to promote excellence in these activities, with the Chair being charged with the responsibility of fairly administering the reward system to this end. A Personnel Committee, elected by the Department, will serve to assist and advise the Chair by providing an independent peer evaluation.

THE ASSIGNMENT OF DUTIES:

During the Spring semester of each academic year, the Chair will meet individually with each faculty member for the purpose of assigning duties for the coming academic year. This meeting will result in a written assignment of duties describing the percentage of time to be allocated to teaching, research, and service. A copy of this agreement will be given to the faculty member and a copy will be maintained in the departmental files. Changes in the assignment may be made at a later date by mutual agreement between the faculty member and the Chair.

THE REPORTING OF ACCOMPLISHMENTS:

Prior to February 1 of each year, each faculty member will update his or her curriculum vitae and provide the Chair with a brief (one or two typewritten pages) statement of accomplishments consistent with the assignment of duties. Supporting documentation (e.g., teaching evaluations, reprints of published work) will also be submitted by the faculty member. The Chair may also submit documents (of both positive and negative character) to be used in the evaluation process provided that the faculty member is given a copy and the opportunity to attach a written response to each such document.

THE EVALUATION PROCESS:

In early February the members of the Personnel Committee and the Chair will individually and separately evaluate the record of assigned duties, the curriculum vitae, and the evaluation materials for each faculty member in the Department. The accomplishments during the previous calendar year as well as the pattern of activity during the previous three calendar years (if available) will be considered.

The Personnel Committee will then meet and consider each faculty member (with the exception of the Chair) individually. A member of this committee will absent himself or herself from the discussion of any case in which the member has a conflict of interest. After discussing all of the cases, the committee will rate the accomplishment of each faculty member in the areas of research, teaching and overall value to the Department. Any ratings which differ significantly from the norm as established by the committee will be accompanied by a brief justification supporting the rating. (A member of the committee who disagrees with the committee rating in a case may attach a separate minority rating for that case.) The report of the committee will then be submitted to the Chair.

After reviewing the ratings made by the Personnel Committee, the Chair will prepare a written evaluation (including the Personnel Committee's rating together with his or her own) for each faculty member. The Chair will meet individually with each faculty member, discuss the results of the evaluation, and give to the faculty member a copy of the written evaluation which will

also be placed in the appropriate personnel file. A faculty member who disagrees with the Chair's evaluation will be given the opportunity to append a statement of dissent.

The Chair will then prepare merit salary recommendations in accordance with the results of the evaluation process and submit them to the Dean.

THE EVALUATION OF TEACHING:

Every faculty member of the Department of Mathematics is expected to teach effectively. Of course, such teaching involves classroom performance, i.e., clear communication, careful motivation, ample illustration of difficult concepts, and appropriate use of suitable visual aids (blackboard, overhead projector, computer terminals,...). Teaching requires instructional management, i.e., the timely assignment of homework exercises, the preparation and administration of appropriate examinations, the keeping of accurate class records, the pacing of instruction so as to cover approved syllabi. Within a university setting, however, good teaching also involves innovation, i.e., the development of effective new ways to present difficult concepts, the construction of handouts and exercises that help students to master key ideas, the organization of a body of mathematical concepts into a new course, the writing of textbooks, the restructuring of several courses into a new curriculum, the development of suitable tools for managing instruction in service courses having very large enrollments. Within a department offering advanced graduate degrees, teaching also involves the offering of advanced seminar courses to small groups of graduate students, the individualized instruction of masters and doctoral students, and the supervision of graduate students as they write theses and dissertations. Finally, teaching may involve the development of programs and funding mechanisms for serving special populations, e.g., gifted undergraduates, minorities, and area high school teachers. The evaluation of meritorious teaching performance will take place within this broad context.

Student evaluations will be used as one important indication of teaching performance. Every faculty member will submit complete results from such a student evaluation for a least 1/2 of the classes, which are not individualized instruction, he or she teaches each year. The standard student evaluation form as adopted by the Department will normally be used for all classes at the 100, 200 and 300 levels. (The Chair may approve the use of other forms on a case-by-case basis.) More specialized forms developed by the Department or by individual instructors and approved by the Chair may be used for the evaluation of classes at the 400 and 500 levels.

Faculty members should submit other materials that document meritorious teaching. These may include (but are not limited to):

- (a) published textbooks and indications of adoption at other universities;
- (b) funded proposals for teaching purposes;
- (c) nomination and/or receipt of Teaching Awards at the Departmental, College, or University level;
- (d) articles published expressly for communicating innovative ideas or methods relating to the teaching of mathematics;
- (e) specialized course materials prepared by the faculty member for use in his or her classes;
- (f) letters from advisors;
- (g) letters from colleagues who have actually observed the faculty member's performance in the classroom on two or more occasions.

On occasion, the Chair may choose to submit documentation of a positive or negative character to be used in the evaluation process. In each such case, the faculty member will be provided with full documentation and may attach a statement of rebuttal. Before documentation containing issues of a negative character is submitted, there must have been a meeting between the Chair and the faculty member over these issues and the issues must not have been resolved after a reasonable period of time.

THE EVALUATION OF RESEARCH:

A faculty member of the Department of Mathematics who holds a continuing appointment is normally expected to engage in mathematical research, i.e., to create new mathematical concepts and relationships, to synthesize and organize a corpus of existing mathematical thought, to devise novel ways for using mathematical tools to solve significant problems in related disciplines, to communicate formally one's own work to professional peers, to master and to evaluate critically the creative work of other mathematicians, and to assist the profession in the dissemination of new mathematics. Such efforts normally result in research papers published in reputable peer reviewed journals that have both national and international circulation.

Faculty members should submit materials that document meritorious research activity within the broad context outlined above.

For purposes of evaluation, the following will be considered more or less in decreasing order of importance:

- (a) Exceptional external recognition, e.g., the receipt of a major research award from a professional society, the presentation of a one hour invited address at a meeting of the AMS, SIAM, or comparable professional society, the receipt of a federally funded peer reviewed research grant;
- (b) Peer reviewed publications, e.g., papers published in major research journals, and research monographs or graduate level textbooks published by major publishing houses;
- (c) Activities that foster external recognition of research, e.g., organization of research conferences, participation in research conferences or research institutes, presentation of research papers at professional meetings, refereeing and reviewing of the work of others, lecturing on the results of one's research;
- (d) Activities that stimulate research locally, e.g., organization and participation in seminars, receipt of institutional research funding, receipt of state and private funding for contractual research.

THE EVALUATION OF SERVICE:

From time to time tenured members of the Department of Mathematics will be assigned service duties, i.e., asked to share in the administrative tasks that must be done in order for the Department as a whole to function smoothly (so as to facilitate the primary responsibilities of teaching and research). In cases where the service assignment involves 10% or more of the total assignment, a statement of accomplishments by the faculty member together with any supporting documents he or she wishes to submit will be given consideration by the Personnel Committee in the evaluation of overall performance.

EVALUATION OF OVERALL PERFORMANCE:

The evaluation of overall performance, which involves a comparison of faculty members having varying assignments and differing accomplishments within the areas of teaching, research, and service, is a highly subjective process. In the first place, the apparent administrative precision of such assignments disappears in practice when a conscientious faculty member responsibly shifts attention from one task to another on a day-to-day basis with little or no regard to such numbers. For example, when teaching an advanced graduate course for the first time, one might shift time from research to teaching, when teaching a routine elementary course for the n-th time one might shift time from teaching to research, or when faced with unusually heavy committee duties or major new administrative duties one might shift time from teaching or research to service. Each member of the Personnel Committee and the Chair will be charged with the responsibility of using his or her best professional judgment in an attempt to provide overall ratings that are intrinsically fair, that serve to promote excellence in teaching at all levels, and that

promote vital research programs which bring national recognition to the Department and its members.

CALCULATION OF RAISES

The task of distribution of salary raises shall be assigned to the Chair. Within the constraints of collective bargaining agreements, raises for members of the Continuing Faculty shall be allocated by merit and consist of a combination of the three components described below.

1. The first component is a distribution by the Chair on a percentage basis, distributed under the principle that equivalent merit ratings shall be recognized with equal raises as measured as a percentage of the faculty member's current salary. For all faculty members with an overall merit rating of at least Satisfactory, this percentage shall be at least equal to the percentage change in the Consumer Price Index (CPI) over the most recent one-year period.
2. The second component is a distribution by the Chair on a dollar basis under the principle that equivalent merit ratings shall be recognized with equal dollar raises.
3. The third component is a distribution by the Chair based on the history and accomplishments of each faculty member. For each faculty member, using the Oklahoma Salary Survey and the AMS-IMS-MAA Annual Faculty Salary Survey as guides, the Chair shall estimate the peer salary for a faculty member with similar rank, time in rank, and accomplishments. Dollar amounts shall be distributed in proportion to the difference between peer salary and actual salary when this difference is positive.

In cases of exceptional merit, as demonstrated by national or international recognition by the mathematical community, the receipt of a national or international award or prize, appointment to a prestigious mathematical research institute, or other similar indications, the Chair is charged to seek funds, in addition to the above raises, to recognize the exceptional merit.

APPENDIX B

PROMOTION AND TENURE DEPARTMENT OF MATHEMATICS

I. General Principles

- A. Promotion and tenure of members of the Department of Mathematics is governed by the promotion and tenure guidelines of the College of Science and by those of Southern Illinois University at Carbondale. This document describes how the Department reaches its decisions regarding recommendations to the College and the University for the tenure and promotion of its members.
- B. Considerations regarding professional accomplishments are as follows:
 1. In determining when it is appropriate to recommend a faculty member for promotion, the Department of Mathematics will consider the individual's achievements for the entire period of his or her professional career whether or not this has been spent entirely at SIUC.
 2. A good record of teaching and research is expected for the granting of tenure. [Hence assistant professors in the first few years of their careers will ordinarily not be assigned extensive service responsibilities.] A judgement regarding an individual's teaching must be based primarily on his or her experience at SIUC. Consequently, a member of the Department will ordinarily not be recommended for tenure or promotion until after that individual's first year in the Department.
 3. Research productivity standards for promotion to the several ranks should be similar to those at other doctoral degree-granting universities comparable to SIUC. A record of quality research is established by research articles published in refereed journals of good repute. Publication of scholarly books, treatises, and monographs is also indicative of quality research but in the mathematical sciences these are not considered essential.
 4. Promotions can and should occur after varying lengths of time in rank so that exceptional achievement may be recognized.

II. Level of Performance

- A. Teaching
 1. Individuals whose teaching practices or effectiveness deviate substantially from the average should be identified by the Department. Poor practices and low effectiveness should be improved by the individual involved. Individuals demonstrating superior teaching effectiveness should be appropriately recognized by the Department.
 2. Each faculty member is responsible for developing and presenting evidence of teaching effectiveness, although evidence through other channels may be considered. A favorable recommendation for promotion or tenure will not be made unless there is evidence that the faculty member's teaching is at least satisfactory. With appropriate evidence, a judgment may be made that an individual's teaching is excellent or even outstanding.

B. Research

1. A faculty member's record of research during his or her professional career to the date that individual is considered for promotion or tenure should clearly indicate the member's capacity for and commitment to the production of original work of good quality in his or her area of the mathematical sciences. Ordinarily this will be demonstrated through the publication of a number of articles in well-recognized journals. In addition, letters from qualified persons off campus will play a significant role in verifying the quality of a department member's research. An above average rate of productivity, the production of work of exceptional importance, the receiving of research grants, or other evidence of exceptional professional recognition may lead to the judgment that the individual's research is excellent or even outstanding.

C. Service

1. All members of the Department are expected to perform responsibly on departmental committees to which they are assigned or elected. Committee assignments should be made only after appropriate consultation with the individuals involved.
2. The case for a recommendation for promotion or tenure may be favorably enhanced by the faculty member's having demonstrated interest in departmental activities and affairs by satisfactory service on appropriate committees or in appointed administrative roles. Service to the wider College, University, or academic community through elected councils or by appointment to committees at such levels should be duly recognized, as should such other extra-departmental service which the individual may render because of his or her particular interest or expertise.

III. Standards for Promotion and Tenure - Guidelines to be used in departmental consideration or recommendations for promotion and tenure.

A. Tenure

1. An assistant professor, for all practical purposes, will not be recommended for tenure unless he or she is at the same time recommended for promotion. (See V B 2 c.)
2. In order for an untenured professor or associate professor to be recommended for tenure, the individual should have demonstrated satisfactory teaching at SIUC and his or her other professional accomplishments should be commensurate with those required for promotion to that rank.

B. Time in rank

1. For the purposes of this document, time in rank for an assistant professor will mean the number of years in that rank at SIUC plus the number of years at that rank or its equivalent at a comparable university prior to the individual's current appointment. [Years since receipt of the doctoral degree may be considered as being at an equivalent rank provided that, regardless of title, the individual's duties were principally research or research and teaching college level mathematics courses.]
2. For the purpose of this document, time in rank for an associate professor will mean the number of years in that rank at SIUC plus the number of years at the associate professor rank prior to appointment at SIUC.

C. Promotion to Associate Professor

1. Ordinarily an assistant professor will not be considered for promotion to the rank of associate professor until that individual has served at least one year at SIUC and has at least three years in rank. However, a recommendation for promotion after only three years in rank (or even earlier in rare cases) requires evidence that the candidate's record of research is exceptionally strong and that the candidate's teaching is above average. During an assistant professor's sixth year in rank, he or she may be recommended for promotion if he or she is an effective teacher, has established a record of good research, and has a satisfactory record of service. A recommendation before that time requires that these minimum standards have been exceeded in the areas of teaching and research.

D. Promotion to Professor

1. Ordinarily an associate professor will not be considered for promotion to the rank of professor until that individual has served at least one year at SIUC and has at least three years in rank. However, a recommendation for promotion after only three years in rank (or even earlier in rare cases) requires evidence that the candidate has substantially increased his or her research reputation during the time in rank and that the candidate's teaching is above average. During an associate professor's sixth year in rank, he or she may be recommended for promotion if he or she is an effective teacher, has acquired a substantial reputation for research, and has contributed to the welfare of the Department and the University through service activities. A recommendation before that time requires that these minimum standards have been exceeded.

IV. Evaluation of Progress

In accordance with University and College guidelines, each year the Chair shall prepare an evaluation of progress toward tenure for each untenured continuing faculty member. The Chair will be aided in this process by the evaluation performed by the Promotion and Tenure Committee in the Fall and the evaluation made by the Personnel Committee in the Spring.

V. Procedures for Decisions

A. Promotion

1. By the end of the first week of the Fall Semester, the Department Chair will have contacted all faculty not at the professor rank and determined which of these wish to be considered for promotion. Those who wish to be considered should have their vitae and files updated and prepared for review by the end of the second week. A list of candidates for consideration to promotion to professor will be given to the tenured professors in the Department, and a list of candidates for consideration for promotion to associate professor will be given to the tenured professors and associate professors in the Department.
2. Decisions regarding which individuals to recommend for promotion to professor will be made by the tenured professors in the Department; decisions regarding which individuals to recommend for promotion to associate professor will be made by the tenured professors and associate professors in the Department. In both cases the Department Chair will participate in the decisions as if a member of the respective group regardless of his/her rank. All decisions will be made by a process of ratifying the recommendations of a Promotion and Tenure Committee and a Promotion and Tenure Committee of Professors.
3. The members of the Promotion and Tenure Committee will acquaint themselves with the relevant information in the departmental professional files on all those individuals for whom they must make a recommendation and the Promotion and Tenure Committee of Professors will do likewise for those being considered for promotion to professor. The respective committees will then decide in each case

whether the individual should be recommended for promotion or not and will prepare a brief statement containing the points regarding that individual's professional performance which justify the committee's recommendation.

4. Early in the Fall Semester all professors and associate professors should acquaint themselves with the relevant information in departmental files of all those individuals about whom they will be expected to make a decision on promotion. Subsequently, the Chair will call a meeting of the professors and a meeting of the professors and the associate professors. At these meetings the Promotion and Tenure Committee and the Promotion and Tenure Committee of Professors, respectively, will present their promotion recommendations and the recommendations will be discussed. After the meetings the respective bodies will vote by secret ballot on relevant candidates as to whether they should be recommended for promotion or not, except that no one otherwise eligible to vote is allowed to vote on a case involving an immediate family member.
5. A candidate will be recommended for promotion by the Department if one of the following transpires.
 - a. The candidate is recommended for promotion by the Promotion and Tenure Committee or by the Promotion and Tenure Committee of Professors and a simple majority of those voting in the corresponding faculty body indicate that he/she should be recommended.
 - b. The candidate is not recommended for promotion by the Promotion and Tenure Committee or by the Promotion and Tenure Committee of Professors but at least 60% of those voting in the corresponding faculty body indicate that he/she should be recommended.
6. Anyone not recommended for promotion will be so informed by the Chair in writing. The Chair's notification will be based on the appropriate justifying statement developed by the Promotion and Tenure Committee or the Promotion and Tenure Committee of Professors and the subsequent faculty vote.
7. If a candidate is recommended for promotion, the Chair, in cooperation with the candidate, is responsible for preparation of a formal dossier for submission to the Dean. If the candidate is not recommended for promotion, the candidate may prepare his/her own dossier with appropriate clerical assistance provided by the Chair. In both cases, the dossiers are to be prepared within the guidelines and format prescribed by university policy. The dossier will be made available to members of the Promotion and Tenure Committee or the Promotion and Tenure Committee of Professors, whichever is relevant, if any of them chooses to see it. The dossier shall also contain the Chair's own recommendation with reasons, which recommendation will be guided by the appropriate justifying statement of the Promotion and Tenure Committee or the Promotion and Tenure Committee of Professors and the subsequent faculty vote. The candidate may respond to the Chair's recommendation in the candidate's own letter of transmittal.

B. Tenure

1. Anyone requesting an early tenure decision must submit a request in writing to the Chair. Normally this should be done by the end of the first week of the Fall Semester. By the end of the second week of the Fall Semester, all untenured members of the continuing faculty who have been on continuing appointment for at least one year must have their vitae and files updated and prepared for review. The Promotion and Tenure Committee will then examine the credentials of all such continuing faculty. For each such faculty member not requesting an early tenure decision and not requiring a mandatory tenure decision, the Promotion and Tenure Committee will formulate a statement of progress which the faculty member is making toward achieving tenure. This statement will be incorporated in the Chair's annual report to the faculty member and to the Dean

on the progress of the individual toward tenure. In all other cases the Promotion and Tenure Committee will decide what recommendation they will present to a meeting of the tenured members of the Department. At this meeting these cases will be discussed along with the cases of untenured assistant and associate professors who were approved for promotion as in Section A.5. After this meeting the tenured members of the Department will vote in each case by secret ballot whether the individual should be granted tenure or not, except that no person may vote on the case of his or her immediate family member.

2. A member of the continuing faculty will be recommended for tenure by the Department if one of the following occurs.
 - a. The candidate is at the rank of associate professor or higher and receives a majority of votes cast in favor of granting that individual tenure.
 - b. The candidate is at the rank of assistant professor, has been recommended for promotion, and receives a majority of votes cast in favor of granting that individual tenure.
 - c. The candidate is at the rank of assistant professor, has **not** been recommended for promotion, but 100% of the tenured faculty voting indicate that he/she be recommended for tenure.
3. Anyone not recommended for tenure will be so informed by the Chair in writing. The Chair's notification will be based on the appropriate justifying statement developed by the Promotion and Tenure Committee or the Promotion and Tenure Committee of Professors and the subsequent faculty vote.
4. The procedural guidelines for the preparation of dossiers for tenure decisions are the same as for promotion decisions, except that a dossier must be prepared and submitted to the Dean for negative as well as positive recommendations. The faculty vote on tenure must be included in this dossier. In the case of a negative recommendation the dossier must contain a statement that all tenured faculty in the Department had the opportunity to vote, a letter from the Chair concurring with the recommendation, copies of annual tenure progress evaluation letters, the individual's curriculum vitae, and a copy of the departmental guidelines governing promotion and tenure.
5. At the Professor rank, tenure can be granted at the time of appointment. In any situation where the Department wants to hire a Professor with tenure, a tenure vote will be taken. A positive recommendation for tenure will not be forwarded from the Department unless the candidate receives a favorable response in at least 60% of the votes cast.