

OPERATING PAPER
SCHOOL OF MATHEMATICAL AND STATISTICAL SCIENCES
SOUTHERN ILLINOIS UNIVERSITY CARBONDALE

The purpose of the operating paper of the School of Mathematical and Statistical Sciences is to set forth the structure, procedures and policies of the School of Mathematical and Statistical Sciences as agreed to in their revised form by a majority of the Tenured and Tenure Track Faculty of the School on October 2, 2024, and approved by the Chancellor on November 21, 2024. This document supersedes all other operational documents in the School and takes precedence where there is disagreement.

I. Mission Statement

The School of Mathematical and Statistical Sciences 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 School 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 School expects and encourages its faculty to conduct original research in mathematics or statistics 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 School has a responsibility to raise awareness of the critical importance of mathematics and statistics within the area and to encourage and foster mathematics and statistics education within the Southern Illinois region.

II. Definition of the Faculty

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

III. Administration of the School

- A. The School is administered by the Director of the School who is a member of the faculty holding tenure in the School of Mathematical and Statistical Sciences. The Director is the chief fiscal officer of the School, is responsible for coordinating academic matters in the School, and is generally responsible for the administration of the School.
- B. In order that the School function smoothly, the Director is assisted by other members of the Tenured and Tenure Track Faculty. These service positions include, in particular, the Assistant Director, the Director of Undergraduate Studies, and the Director of Graduate Studies.
- C. The Assistant Director supervises the School office, assists the Director in coordinating instruction and instructional support, and other responsibilities as assigned by the Director.
- D. The Director of Undergraduate Studies is the chief undergraduate advisor, acts as chairperson for the Undergraduate Programs Committee, and generally assists the Director 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 Director in matters involving graduate curricula and programs.

IV. Selection and Appointment of the Director

- A. If at any time the position of Director becomes vacant, according to the process described in Section IV.H. below, the Dean of the College, by working with Tenured and Tenure Track Faculty of the School shall select as Acting or Interim Director a tenured Professor or Associate Professor in the School of Mathematical and Statistical Sciences. The Acting or Interim Director will assume all of the duties of the Director until a new Director is appointed. The process to select a Director as described below will commence as quickly as possible but no later than 180 days after the initial vacancy. Interviews with the candidates must be held during the Fall or Spring Semesters when classes are in session.
- B. When a new Director is to be selected, the current Director, Interim Director, or Acting Director of the School will provide each member of the Tenured and Tenure Track Faculty a ballot listing all members of the Tenured and Tenure Track Faculty who are in Carbondale and who are on assignment for that term. The Tenured and Tenure Track 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 School in deciding whether to recommend 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 School. Subsequently they shall issue a Nomination Ballot listing the names of all tenured Associate Professors and tenured Professors. Each member of the Tenured and Tenure Track Faculty may use this ballot to nominate as many candidates for Director of the School 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 Tenured and Tenure Track Faculty of the School with the Dean of the College. 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 Director will be undertaken.
- Following this meeting and the reporting of the results of the Nomination Ballot, the Balloting Committee will poll the Tenured and Tenure Track Faculty of the School 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 School.
- 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 Tenured and Tenure Track Faculty a ballot of all members of the Tenured and Tenure Track Faculty who are in Carbondale and who are on assignment for that term. The Tenured and Tenure Track Faculty will then elect a Search Committee consisting of at least five members of the Tenured and Tenure Track 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 Tenured and Tenure Track Faculty at large and of the Dean of the College, the Search Committee will screen the applicants for the position and present to the

School a list of the names of the top five to seven candidates with appropriate documentation. The Tenured and Tenure Track Faculty will vote by secret ballot on whether each individual is an acceptable candidate for Director. The Search Committee will present the names of at least 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 Tenured and Tenure Track Faculty with the Dean of the College. The sole agenda item for this meeting will be a discussion of the merits of the candidates for the position of Director of the School.
 4. Subsequent to this meeting, the Search Committee will poll the Tenured and Tenure Track 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 Tenured and Tenure Track 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, a list of at least two candidates who received the most supports with inputs of Tenured and Tenure Track Faculty will be submitted to the Dean of the College for consideration for the next Director of the School. The Dean will select one of them as the next director based on university hiring policies.
 6. If the preferred candidate does not accept the offered position, or if none of the candidates receives the required support of the School, the Search Committee will arrange a meeting of the Tenured and Tenure Track 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 ensuring that University guidelines are followed.
1. The Balloting Committee will contact each tenured Associate Professor and tenured Professor in the School to determine whether he/she is willing to stand for election.
 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 Tenured and Tenure Track Faculty. Each

member of the voting faculty will have a number of votes to allocate equal to the total number of candidates, and can allocate them among the candidates in any way. The committee will forward to the dean a list, ordered by number of votes received, of candidates receiving a number of votes equal to at least half the number of voting faculty participating in the ballot. This list shall indicate the number of votes received by each candidate listed.

3. The Balloting Committee will meet with the Dean of the College to convey the ranked list. Dean will select a director from this list.

G. School approval of the continuation of the appointment of the Director shall be governed by the following.

1. During November of the third year of the appointment of a Director, and every three years thereafter, or after a review of the Director in accordance with Section V.B., the School shall elect in accordance with the Election Process a three-member Polling Committee. This committee will poll by secret ballot the Tenured and Tenure Track Faculty of the School on the question of whether the Director's appointment should be continued. The results will be reported to the School and to the Dean.
2. If less than 60% of those voting in Section IV.G .1 indicate that the Director should continue, the Polling Committee will request the Dean to call a meeting of the Tenured and Tenure Track Faculty of the School excluding the Director. The purpose of this meeting will be to discuss reasons pro and con on the question of continuation of the Director.

H. In the selection of an Acting or Interim Director, 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 Director.
 - a. The Balloting Committee will contact each tenured Associate Professor and tenured Professor in the School 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 Tenured and Tenure Track 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 Tenured and Tenure Track 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:
 - a 3 points for each "first choice,"
 - b 2 points for each "second choice,"
 - c 1 point for each "third, fourth, or fifth choice."

The Balloting Committee will report the results to the Tenured and Tenure Track Faculty.

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

v. Review of the Director

- A. A review of the Director 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 Director at his/her discretion or if presented with a petition from more than half of the Tenured and Tenure Track Faculty.

VI. Appointment of Administrative Service positions

The Director will appoint the Assistant Director, the Director of Undergraduate Studies, and the Director of Graduate Studies. The Director will negotiate position descriptions and percent service assignment at the time of appointment and review during annual workload meeting.

VII. School 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 Director 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 Tenured and Tenure Track Faculty of the School.

- 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 Director 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 School.

- C. The Personnel Committee will consist of three tenured professors or associate professors, having more than 50% assignment in the School. 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 Director 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 School to the Director as detailed in the section below entitled Duty Assignment and Evaluation Process. It will also recommend to the Director 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 School of Mathematical and Statistical Sciences and the Director. 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 Director 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 School 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 Tenure Track Faculty member who has been a member of the Tenure Track Faculty for at least one year. This evaluation will be given to the Director to aid in his/her 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 Director 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 Director 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 Director as the needs of the School and its programs warrant.

VIII. School 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 Director, amendments to this operating paper, and any other items as deemed sufficiently important by the Director, 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. School meetings are ordinarily called by the Director as warranted by School business. In addition, the Director of Undergraduate Studies will call a meeting of the School 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 Director must call an extraordinary meeting of the Faculty when requested to do so by a written petition signed by 25% or more of the School 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. School 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 Director, the Director 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 Director 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 term with ties decided by lot.

X. Personnel File

- A. A personnel file for each faculty member shall be maintained by the School 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 Director 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 School 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 statement or procedure contained within the operating paper, the procedure as presented in the operating paper will take precedence.

XII. Promotion and Tenure

The School 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 School.

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, Tenured and Tenure Track Faculty are required to hold a doctoral degree in mathematics, statistics or related discipline.

- B. When hiring Tenured and Tenure Track Faculty, the following hiring process will be used while ensuring that University guidelines regarding advertising, interviewing and hiring are followed.
1. The Director, with the advice and consent (simple majority vote) of the Tenured and Tenure Track Faculty and the Dean of the College, will select the nature of each search and the subject areas for which to advertise. The Director will then request that the Dean approve each search.
 2. For each approved search, the Director will appoint a search 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 search committee will recommend the acceptable candidates with a suggested order in which offers should be made. The Tenured and Tenure Track Faculty will be polled by secret ballot on the question of whether or not each candidate is acceptable to be hired. Offers of Tenured and Tenure Track 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 Director.

XIV. Grievance Procedure

A. Student Academic Grievance Procedures

It is the responsibility of the School 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 Operating Paper and the Student Conduct Code. Copies of the procedure are available from the Director upon request.

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

The Grievance Procedure for the Faculty and Administrative Staff of the School of Mathematical and Statistical Sciences 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 Director 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 School may elect, following the Election Process, an ad hoc committee of three Tenured and Tenure Track 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 School shall be informed of any such changes and given the opportunity to vote on a change if any Tenured and Tenure Track 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 Director the proposed amendment together with the signatures of at least 20% of the Tenured and Tenure Track Faculty who indicate that they wish the amendment to be considered (but not necessarily their support of it).
- B. The Director will call a meeting of the Tenured and Tenure Track 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 Director will distribute a ballot to the Tenured and Tenure Track Faculty listing the amendment. Each member of the Tenured and Tenure Track 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 Tenured and Tenure Track Faculty. And then be approved by the Dean and the Chancellor or the Chancellor's designee.

APPENDIX A

EVALUATION PROCESS FOR MERIT SALARY ADJUSTMENTS SCHOOL OF MATHEMATICAL AND STATISTICAL SCIENCES

GENERAL PRINCIPLES:

Faculty members of the School of Mathematical and Statistical Sciences are expected to teach effectively, to engage in research, and to perform professional service within the School, the College, the University, the profession, and/or the community. Those members holding a Tenured or Tenure Track 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 Director being charged with the responsibility of fairly administering the reward system to this end. A Personnel Committee, elected by the School, will serve to assist and advise the Director by providing an independent peer evaluation.

THE ASSIGNMENT OF DUTIES:

During the Spring semester of each academic year, the Director 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 School files. Changes in the assignment may be made at a later date by mutual agreement between the faculty member and the Director.

THE REPORTING OF ACCOMPLISHMENTS:

Prior to February 1 of each year, each faculty member will update his or her curriculum vitae and provide the Director 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 Director 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 Director will individually and separately evaluate the record of assigned duties, the curriculum vitae, and the evaluation materials for each faculty member in the School. 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 Director) 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 School. 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 Director.

After reviewing the ratings made by the Personnel Committee, the Director will prepare a written evaluation (including the Personnel Committee's rating together with his or her own) for each faculty member. The Director 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 Director's evaluation will be given the opportunity to append a statement of dissent.

The Director 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 School of Mathematical and Statistical Sciences 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 or statistical 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 unit 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 School will normally be used for all classes at the 100, 200 and 300 levels. (The Director may approve the use of other forms on a case-by-case basis.) More specialized forms developed by the School or by individual instructors and approved by the Director 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 School, College, or University level;
- (d) articles published expressly for communicating innovative ideas or methods relating to the teaching of mathematics or statistics;
- (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 Director 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 Director 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 School of Mathematical and Statistical Sciences who holds a Tenured or Tenure Track appointment is normally expected to engage in mathematical or statistical research, i.e., to create new mathematical or statistical concepts and relationships, to synthesize and organize a corpus of existing mathematical or statistical thought, to devise novel ways for using mathematical or statistical 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 or statisticians, and to assist the profession in the dissemination of new mathematics or statistics. 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 funded 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 School of Mathematical and Statistical Sciences will be assigned service duties, i.e., asked to share in the administrative tasks that must be done in order for the School 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 Director 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 School and its members.

CALCULATION OF RAISES

The task of distribution of salary raises shall be assigned to the Director. Within the constraints of collective bargaining agreements, raises for members of the Tenured and Tenure Track 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 Director 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 Director 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 Director based on the history and accomplishments of each faculty member. For each faculty member, using the Oklahoma Salary Survey and the AMS- IMS Manual Faculty Salary Survey as guides, the Director 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 or statistical community, the receipt of a national or international award or prize, appointment to a prestigious mathematical or statistical research institute, or other similar indications, the Director is charged to seek funds, in addition to the above raises, to recognize the exceptional merit.

APPENDIX B

PROMOTION AND TENURE SCHOOL OF MATHEMATICAL AND STATISTICAL SCIENCES

I. General Principles

- A. Promotion and tenure of members of the School of Mathematical and Statistical Sciences is governed by the promotion and tenure guidelines of the College and by those of Southern Illinois University Carbondale. This document describes how the School 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 School of Mathematical and Statistical Sciences 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 judgment regarding an individual's teaching must be based primarily on his or her experience at SIUC. Consequently, a member of the School will ordinarily not be recommended for tenure or promotion until after that individual's first year in the School.
 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 and statistical sciences these are not considered essential. Receiving external funding, grants, is also indicative of quality research but in the mathematical and statistical 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 School. Poor practices and low effectiveness should be improved by the individual involved. Individuals demonstrating superior teaching effectiveness should be appropriately recognized by the School.
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 or statistical 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 School 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 School are expected to perform responsibly on School 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 School 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-school 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 the School's 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 or statistics 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 School 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 Director shall prepare an evaluation of progress toward tenure for each untenured Tenure Track Faculty member. The Director 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 last week of the Spring Semester, the Director will have contacted all faculty not at the professor rank and determined which of these wishes 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 May. A list of candidates for consideration to promotion to professor will be given to the tenured professors in the School, and a list of candidates for consideration for promotion to associate professor will be given to the tenured professors and associate professors in the School.

2. Decisions regarding which individuals to recommend for promotion to professor will be made by the tenured professors in the School; decisions regarding which individuals to recommend for promotion to associate professor will be made by the tenured professors and associate professors in the School. All decisions of the faculty will be made by a process of ratifying the recommendations of a Promotion and Tenure Committee and a Promotion and Tenure Committee of Professors, with the director providing an independent recommendation in accordance with university policy.
3. The Director, in cooperation with the candidate, is responsible for preparation of a dossier. 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.
4. The members of the Promotion and Tenure Committee will acquaint themselves with the relevant information in the dossiers and the School's 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.
5. Early in the Fall Semester all professors and associate professors should acquaint themselves with the relevant information in the dossiers of all those individuals about whom they will be expected to make a decision on promotion. Subsequently, the Director 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.
6. A candidate will be recommended for promotion by the School 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.

7. Anyone not recommended for promotion will be so informed by the Director in writing. The Director'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.

8. The dossier shall also contain the Director's own recommendation with reasons, as well as a 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 Director'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 Director. Normally this should be done by the end of the Spring semester. By the end of May, all untenured members of the Tenure Track Faculty who have been on Tenure Track 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 Tenure Track 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 Director's annual report to the faculty member and to the Dean on the progress of the individual toward tenure.
2. The procedural guidelines for the preparation of dossiers for tenure decisions are the same as for promotion decisions.
3. In all cases in which a tenure recommendation is to be made, the Promotion and Tenure Committee will decide what recommendation they will present to a meeting of the tenured members of the School. At this meeting these cases will be discussed along with

the cases of untenured assistant and associate professors whom the committee recommends for promotion as in Section A. After this meeting the tenured members of the School 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.

4. A member of the Tenure Track Faculty will be recommended for tenure by the School 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 and has been recommended for promotion.
 - 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.
5. Anyone not recommended for tenure will be so informed by the Director in writing. The Director's notification will be based on the appropriate justifying statement from the Promotion and Tenure Committee or the Promotion and Tenure Committee of Professors and the subsequent faculty vote.
6. The faculty vote on tenure must be included in the dossier. In the case of a negative recommendation the dossier must contain a statement that all tenured faculty in the School had the opportunity to vote, a letter from the Director providing an independent recommendation, copies of annual tenure progress evaluation letters, the individual's curriculum vitae, and a copy of the School's guidelines governing promotion and tenure.
7. At the Professor rank, tenure can be granted at the time of appointment. In any situation where the School wants to hire a Professor with tenure, a tenure vote will be taken. A positive recommendation for tenure will not be forwarded from the School unless the candidate receives a favorable response in at least 60% of the votes cast.