

PERSONNEL DOCUMENT
DEPARTMENT OF MATHEMATICS

The following was adopted by the Mathematics Department by a faculty vote on April 25, 2016.

1. INTRODUCTION

This document considers personnel actions and other procedures which are relevant only to tenured and tenure-track faculty. The term faculty in this document shall therefore refer only to tenured and tenure-track faculty. This document has substantial overlap with procedures described in various O.S.U. Policy and Procedures documents including 2-0109, 2-0110, 2-0112, and 2-0902.

2. THE PERSONNEL COMMITTEE

2.1. The Charge of the Committee.

2.1.1. The Personnel Committee is charged with making recommendations to the Department Head concerning the annual appraisal of the faculty, and reappointment, promotion, and tenure actions. It is further charged with advising the Department Head and other departmental committees regarding personnel matters as required.

2.2. The Composition of the Committee and Eligibility to Vote.

2.2.1. The Committee shall consist of five ordinary members and such additional special members as shall be elected pursuant to 2.2.3. Of the ordinary members, four will be tenured and serve a two-year term. When possible, these terms are to be staggered so that there will be two continuing members each year. The remaining ordinary member will be untenured when there is any eligible untenured faculty member, but otherwise may be tenured, and will serve a one-year term.

2.2.2. An untenured member of the Committee shall not be eligible to vote on any reappointment, promotion, or tenure action. A tenured member of the Committee shall not be eligible to vote on a reappointment, promotion, or tenure action unless the member's rank is equal to or higher than the rank that would be held by the candidate in the event that the action were approved.

2.2.3. In no case shall the Committee have fewer than three members eligible to vote on any reappointment, promotion, or tenure action before it. In the event that this requirement is not satisfied by the ordinary members of the Committee, additional special members shall be elected to a one-year term as necessary. Special members shall not participate in any business of the Committee for which their participation is not required to furnish the minimum number of voting members. Eligibility for election as a special member shall be determined by 2.2.5 excluding (i) and whatever additional restrictions are necessary to establish eligibility to vote if elected. The election procedure for special members shall be that described in 2.3.4(1), modified according to how many special members must be elected.

2.2.4. The first meeting of the Committee in each academic year shall be called by the Department Head. At this meeting, the chair of the Committee shall be elected by the Committee from among the tenured ordinary members who have previous service on the Committee, unless there are none, in which case the chair shall be elected from among the tenured ordinary members.

2.2.5. Faculty will be ineligible to serve on the Committee while they fall into one or more of the following categories:

- (a) The Department Head.
- (b) Those primarily employed in a position outside the Department.
- (c) Any faculty member in a year during which they are applying for reappointment, promotion, or tenure.
- (d) Untenured faculty during the first year of their appointment.
- (e) Untenured faculty who have previously served on the Committee.
- (f) Faculty who will be on leave for at least one semester during the year.
- (g) Faculty who have been denied reappointment or tenure at Oklahoma State University. If reappointment or tenure is later granted, eligibility is restored.
- (h) Emeritus faculty.
- (i) Faculty serving on the Department's Cumulative Review Committee.

2.2.6. When an individual ceases to serve as an ordinary member of the Committee, for whatever reason, he or she is ineligible to serve again for a period equal to the period he or she has just served.

2.2.7. Members of the Committee who become ineligible to serve must resign from the Committee, effective from the date of their ineligibility.

2.2.8. If an ordinary member of the Committee does not complete a two-year term then another tenured faculty member shall be elected to complete the term. If an ordinary member of the Committee does not complete a one-year term then another faculty member, tenured or untenured, shall be elected to complete the term.

2.2.9. An untenured faculty member who serves on the Committee shall not concurrently be assigned to any other standing committee.

2.3. Procedure for Elections to the Committee.

2.3.1. The election of new members of the Personnel Committee shall take place in the Fall Semester, by the end of the second week. The election shall be administered by the continuing members of the Committee, unless there are none, in which case it shall be administered by the outgoing members. The result of the election will be reported to the faculty as soon as it is completed.

2.3.2. The Department Head and emeritus faculty are not eligible to vote in the election. All other faculty are eligible to vote, and proxy votes shall be accepted from faculty unable to attend the election in person.

2.3.3. The election shall be by secret ballot.

2.3.4. The method of election of members to the Personnel Committee will be the Point Ballot System.

- (1) The voting system of the election of two members to the Personnel Committee each for a full two-year term is:
 - (a) Each person who votes is required to vote on three distinct names in ranked order.

1st choice	3 points
2nd choice	2 points
3rd choice	1 point
 - (b) Each person receiving points will have a point total.
 - (c) If there are exactly two people having the highest point total, then these two people are elected.
 - (d) If there are three or more people having the highest point total, then the scheme in (a) through (c) will be applied again on only those tied with the highest point total.
 - (e) If there is no tie for highest point total or second highest point total, then the two people with the highest and second highest point totals are elected.
 - (f) If there is no tie for highest point total but there is a tie for second highest point total, then the person having the highest point total is elected and the scheme in (a) through (c) is applied to only those people tied for second highest point total. Each person who votes to acquire the second elected member is required to vote on two distinct names in ranked order.

1st choice 2 points

2nd choice 1 point

- (g) If a vote intended to break a tie results in a tie, then the desired number of members needed for the Personnel Committee will be determined by a simple drawing of a name or names from those involved in the tie.
- (2) If only one untenured faculty member is eligible then that person will become a member of the Committee and no election is necessary for the one-year term. Otherwise, the voting system for the election of the member to a full one-year term is:
- (a) The scheme in (1) will be applied with rank voting of exactly two distinct names.
- 1st choice 2 points
- 2nd choice 1 point
- (b) If there is a tie for highest point total, then the scheme (2) (a) will be applied again on only those tied with the highest point total.
- (c) If a stalemate is reached due to an irreconcilable tie, then the member needed for the Personnel Committee will be determined by a simple drawing of a name from those involved in the tie.
- (3) If a faculty member needs to be elected to fill a partial term, then the scheme of voting in (2) will be used on those faculty members eligible for this election.

2.4. Confidentiality.

- 2.4.1. All deliberations of the Personnel Committee shall be confidential.

3. DEPARTMENTAL PROCEDURES

3.1. Appraisal and Development.

3.1.1. The Appraisal and Development process is conducted yearly by the Mathematics Department with the aim of assessing and promoting the professional development of its faculty. It aids the Department Head in identifying particularly meritorious achievements that deserve recognition through financial and other rewards. The documentation of each faculty member's continued development created during this process also plays an essential role in reappointment, tenure and promotion cases. All faculty members in the Mathematics Department are required to participate in the Appraisal and Development process every year.

3.1.2. The responsibilities of the faculty member are as follows:

- (1) To prepare a written report describing his or her professional activities and achievements during the appraisal period, and his or her plans and objectives for the next appraisal period. It is up to each faculty member to document appropriately all relevant activities and achievements. Additional documentation may be attached to the report at the faculty member's discretion.
- (2) To submit this report and any additional documentation, the official cover page (completed but unsigned), and a current vita to the Department Head by the established deadline. The general deadline will be announced by the Department Head. It can be expected to occur within the first few weeks of the Spring Semester. It should be noted that candidates for reappointment, promotion, or tenure will be subject to an earlier deadline than that applying to other faculty. This deadline will be communicated to them by the Department Head.
- (3) To review the draft appraisal and development statement prepared by the Department Head, and to prepare a response, if desired. The response should be delivered to the Department Head at least one day before the appraisal and development meeting.
- (4) To meet with the Department Head during the established period to discuss the faculty member's report and the Department Head's draft appraisal and development statement. During this appraisal meeting, the faculty member and Department Head will collaborate to produce the final appraisal statement. At the end of this meeting, the faculty member will sign the appraisal and development cover page to acknowledge the completion of the process. Any disagreement between the Department Head and the faculty member about the content of the appraisal statement will be handled by the procedure detailed in O.S.U.'s P&P 2-0112 (2).

3.1.3. The responsibilities of the Personnel Committee are as follows:

- (1) To review, thoroughly and objectively, each faculty member's appraisal and development report, his or her reports from the preceding two years and the Department Head's appraisal statements (when these exist), the most recent cumulative review and development plan (when these exist), his or her vita, his or her most current teaching evaluations (when the faculty member has taught at Oklahoma State University), and any additional materials provided by the faculty member. Members of the Committee are recused from the review of their own materials.
- (2) To assign to each faculty member a ranking, based on the reviewed material, reflecting his or her professional merit relative to the faculty as a whole. This ranking is advisory to the Department Head only, and should be kept confidential.
- (3) To compose a written assessment addressed to the Department Head concerning each faculty member's appraisal and development report. The assessment is intended to aid the Department Head in preparing his or her draft appraisal and development statement. To this end, the assessment shall generally have both an informative and an evaluative component. Assessments concerning untenured faculty members shall be especially detailed, and shall specifically address the faculty member's progress towards tenure. Members of the Committee are excluded from the deliberations concerning their own ranking and the assessment to be made of them.
- (4) To communicate the results of its deliberations to the Department Head by the appropriate deadline.

3.1.4. The responsibilities of the Department Head are as follows:

- (1) To establish a schedule for the Appraisal and Development process and communicate it to the faculty and the Personnel Committee. This schedule must allow adequate time for the faculty and the Personnel Committee to thoroughly discharge their responsibilities.
- (2) To contact faculty who are absent from the Department for an extended period and make appropriate arrangements for them to participate in the Appraisal and Development process.
- (3) To review the material provided by each faculty member, and by the Personnel Committee, and prepare his or her draft appraisal and development statement. This statement shall be given to each faculty member at least 3 days prior to his or her meeting with the Department Head.
- (4) To meet with each faculty member to discuss the report and the Department Head's draft appraisal and development statement, and then to attempt to reach an agreement about the final appraisal and development statement. In case any faculty member indicates that he or she is dissatisfied with the outcome of the process, the Department Head shall inform him or her of the right to respond to the appraisal statement and the procedure for doing so.
- (5) To collect all required documentation of the Appraisal and Development process and submit it to the College of Arts and Sciences in a timely fashion.

3.2. Reappointment.

3.2.1. Under normal circumstances, a faculty member is considered for reappointment in his or her third year after being hired in a tenure-track position. This section describes those steps in the process that take place within the Mathematics Department; there are also a number of steps that take place beyond it.

3.2.2. *The Candidate.* Each candidate for reappointment bears the ultimate responsibility for preparing his or her case. The candidate is encouraged to seek the advice of the Department Head in doing so. The specific responsibilities of the candidate are as follows:

- (1) To provide appropriate documentation of his or her teaching proficiency. One common approach to this requirement is to solicit a senior member of the faculty to observe some of the candidate's classes, review the associated pedagogical materials, read recent student evaluations, and write a letter addressed to the Department Head reporting his or her conclusions. However, other types of documentation may also be used as appropriate.
- (2) To complete the Appraisal and Development process under the schedule established by the Department Head. The candidate's teaching and research statements and documentation of teaching proficiency should reach the Department Head at the same time as the other Appraisal and Development materials.

- (3) To provide the Chair of the Personnel Committee with a copy of a current vita. The candidate may also choose to provide the Chair of the Personnel Committee with additional items, such as samples of publications and teaching materials, that the candidate wishes to be made available to unit faculty for comment.

3.2.3. *The Personnel Committee.* The responsibilities of the Personnel Committee are as follows:

- (1) To complete their part of the candidate's Appraisal and Development process for the current year.
- (2) To solicit comment on the candidate's case from unit faculty. The Chair of the Personnel Committee shall send a letter to unit faculty inviting comment on the candidate's case, specifying that such comment must be made in the form of a letter addressed to the Chair, stating whether or not the candidate has waived access to unit faculty comment, and allowing at least ten days for it to be received before the Committee begins its deliberation on the case. To facilitate the comment process, the Chair shall make the candidate's vita, a copy of the form signed by the candidate waiving or declining to waive access, and any other material provided by the candidate available to faculty members on request. The Chair shall preserve any comments received until the final disposition of the candidate's case.
- (3) To review each candidate's case file and to conduct a vote on whether or not to support reappointment. The number of votes to support and the number to oppose, together with such reasons as the Committee may see fit to include, should be reported in the form of a single letter, addressed to the Department Head and signed by all the members of the Committee who took part in the vote. If the vote is not unanimous then those supporting each side must be given the opportunity to include in this letter such justification for their position as they see fit. In the event that any member of the Committee recused themselves from the vote this fact must also be reported. A tie shall result in a recommendation opposing reappointment.

3.2.4. *The Department Head.* The responsibilities of the Department Head are as follows:

- (1) To inform those faculty members who are due for reappointment consideration of that fact. This should be done as early as possible in the Fall Semester. The Department Head should ensure at this time that the candidate has access to the operative Departmental, College, and University documents.
- (2) To establish a schedule for the reappointment process within the Department and communicate it to the candidates and the Personnel Committee.
- (3) To assist each candidate for reappointment in the preparation of his or her case file, and to secure a signed form waiving the candidate's right to access unit faculty comment, if the candidate chooses to waive this right.
- (4) To provide each candidate with a copy of the Personnel Committee's letter concerning his or her case when this becomes available. In the case of a negative recommendation from the Personnel Committee, the Department Head shall inform the candidate of his or her right of rebuttal at this time.
- (5) To review the candidate's case file and compose a letter, addressed to the Dean of the College of Arts and Sciences, either supporting or opposing the proposed action. This letter shall be provided to the candidate and to the Personnel Committee. In the case of a negative recommendation following a positive recommendation of the Personnel Committee, the Department Head shall inform the candidate of his or her right of rebuttal at this time.
- (6) To assemble all required documentation for each case and submit it to the College of Arts and Sciences in a timely fashion, unless the application is withdrawn at the candidate's request.

3.3. Promotion and Tenure.

3.3.1. This section concerns the granting of tenure, promotion from Assistant Professor to Associate Professor, and promotion from Associate Professor to Professor. It describes those steps in these processes that take place within the Mathematics Department; each also has steps that take place beyond it.

3.3.2. If a faculty member is hired at the rank of Associate Professor, but without tenure, then the offer letter must specify the schedule to be followed for tenure consideration. Subject to this schedule, the same procedures will apply as apply when an Assistant Professor is considered for tenure.

3.3.3. Under normal circumstances, a faculty member is considered for tenure and promotion to Associate Professor in the sixth year following his or her initial appointment to a tenure-eligible position. A tenure case is early if it occurs before this time, unless the candidate's letter of offer specifies otherwise. There is no normal time period following tenure and promotion for a faculty member to be considered for promotion from Associate Professor to Professor, and hence there is no concept of an early promotion of this kind.

3.3.4. *The Candidate.* Each candidate for promotion or tenure bears the ultimate responsibility for preparing his or her case. The candidate is encouraged to seek the advice of the Department Head in doing so. The Department Head will establish a timetable for the completion of each of the steps described in this subsubsection, which the candidate is required to observe. The responsibilities of the candidate are as follows:

- (1) To prepare a list of suggested reviewers. The candidate's doctoral advisor and postdoctoral mentors should not be included on this list. The list usually includes between five and ten names. Each suggested reviewer should be an expert in a relevant field who may be expected to be familiar with one or more aspects of the candidate's professional activity. Normally, each suggested reviewer should hold an academic rank no lower than the rank to which the candidate seeks to be promoted.
- (2) For a case of promotion to Professor, to prepare a letter of intent, addressed to the Department Head, stating that the candidate wishes to be considered for such a promotion and briefly summarizing the contributions on which the case will be based.
- (3) To prepare documentation of his or her case. For a tenure case, the minimum required documentation is a current vita, a research statement, and a teaching statement. For a case of promotion to Professor, the minimum required documentation is a current vita. The candidate has the discretion, with the Department Head's agreement, to include additional documentation. The candidate is encouraged to document each major aspect of his or her case appropriately.
- (4) For a tenure case, to arrange for independent evidence of teaching proficiency to be included in the case file. A common approach to fulfilling this requirement is to solicit a confidential letter from a senior colleague evaluating the candidate's teaching. Other types of evidence, including teaching evaluations, and pedagogical materials such as syllabi, are welcome. However, teaching evaluations by themselves cannot be used to fulfill this requirement.
- (5) To make available to the Personnel Committee, on request, copies of preprints, published articles, books, and other written materials listed on the candidate's vita.
- (6) To complete the Appraisal and Development process under the schedule established by the Department Head.
- (7) To provide the Chair of the Personnel Committee with a copy of a current vita. The candidate may also choose to provide the Chair of the Personnel Committee with additional items, such as samples of publications and teaching materials, that the candidate wishes to be made available to unit faculty for comment.

3.3.5. *The Personnel Committee.* The responsibilities of the Personnel Committee are as follows:

- (1) To prepare a list of reviewers for the case. In preparation of this list, the committee should take appropriate notice of the list suggested by the candidate and of the candidate's vita. Normally, the final list should be comprised of names suggested by the candidate and names suggested by the committee in roughly equal numbers. The aim is to obtain independent, authoritative review of each major portion of the candidate's case. It is imperative that at least three letters be obtained, and the committee should ensure that the list of reviewers is long enough to ensure this. Normally, the list will include between eight and twelve names for a tenure case, and between four and eight names for a case of promotion to Professor. The list is not made available to the candidate.
- (2) To solicit letters from the reviewers chosen pursuant to (1). A copy of the letter used for this purpose, edited to remove any specific identifying information, is made available to the candidate before the letter is sent to the reviewers. In cases where it is necessary to use several substantially different letters for these solicitations, the candidate will be provided with an edited copy representative of each type. Each solicitation letter must clearly state whether or not the candidate has waived his or her right to review the letters that are received concerning his or her case. All letters that are received in reply to this solicitation must be forwarded to the Department Head for inclusion in the candidate's file.

- (3) To complete their part of the Appraisal and Development process for the candidate.
- (4) To solicit comment on the candidate's case from unit faculty. The Chair of the Personnel Committee shall send a letter to unit faculty inviting comment on the candidate's case, specifying that such comment must be made in the form of a letter addressed to the Chair, stating whether or not the candidate has waived access to unit faculty comment, and allowing at least ten days for it to be received before the Committee begins its deliberation on the case. To facilitate the comment process, the Chair shall make the candidate's vita, a copy of the form signed by the candidate waiving or declining to waive access, and any other material provided by the candidate available to faculty members on request. The Chair shall preserve any comments received until the final disposition of the candidate's case.
- (5) To review the candidate's completed case file and conduct a vote on the question of whether to support or oppose the proposed action. The number of votes to support and the number to oppose, together with such reasons as the Committee may see fit to include, should be reported in the form of a single letter, addressed to the Department Head and signed by all the members of the Committee who took part in the vote. If the vote is not unanimous then those supporting each side must be given the opportunity to include in this letter such justification for their position as they see fit. In the event that any member of the Committee recused themselves from the vote this fact must also be reported. A tie shall result in a recommendation opposing the proposed action.

3.3.6. *The Department Head.* The responsibilities of the Department Head are as follows:

- (1) To inform those faculty members who are due for tenure consideration of that fact, and to solicit self-nominations from Associate Professors wishing to be considered for promotion to Professor. This should be done as early as possible in the Fall Semester. The Department Head should ensure at this time that all candidates have access to the operative Departmental, College, and University documents.
- (2) To establish a schedule for the tenure and promotion process within the Department and communicate it to the candidates, the Department, and the Personnel Committee, as appropriate. This schedule must allow adequate time for the candidates and the Personnel Committee to discharge their responsibilities in the process. It should include a schedule for completing the Appraisal and Development process with each candidate in time to be included in his or her case file.
- (3) To assist each candidate in the preparation of his or her case file, and to secure a signed form waiving the candidate's right to access the peer review letters, and a signed form waiving the candidate's right to access unit faculty comment, if the candidate chooses to waive either or both of these rights.
- (4) To provide each candidate with a copy of the Personnel Committee's letter concerning his or her case when this becomes available. In the case of a negative recommendation from the Personnel Committee, the Department Head shall inform the candidate of his or her right of rebuttal at this time.
- (5) To review the candidate's case file and compose a letter, addressed to the Dean of the College of Arts and Sciences, either supporting or opposing the proposed action. This letter shall be provided to the candidate and the Personnel Committee. In the case of a negative recommendation following a positive recommendation of the Personnel Committee, the Department Head shall inform the candidate of his or her right of rebuttal at this time.
- (6) To assemble all required documentation for each case and submit it to the College of Arts and Sciences in a timely fashion.

4. EVALUATIVE CRITERIA

4.1. Overview. The Mathematics Department is committed to maintaining its excellence in research and teaching has a central role in the Department's mission. Consequently, a candidate's performance in these two areas shall be considered for promotion and tenure. The evaluation of professional achievement and merit is a complex task in which peer judgment plays an essential role.

4.2. Description of Significant Terms.

4.2.1. *Teaching.* As it is to be understood here, teaching means the teaching of mathematics at the university level. It encompasses classroom instruction, the supervision of graduate teaching assistants, the direction of honors theses, creative components, minor theses, and theses, the development of new courses, or significant revision of existing courses, and other similar activities.

4.2.2. *Research.* Research refers to activities intended to lead to the discovery of new knowledge in mathematics and its applications, or in mathematics education. These activities are guided by the researcher's professional expertise and by the norms and methods of the field to which the research belongs. There is an expectation that the results obtained will be communicated to a peer audience through articles in peer-reviewed scholarly journals, monographs, presentations at conferences or in seminars or colloquia, or the dissemination of original software, as appropriate.

4.2.3. *Non-Research Scholarship.* Non-research scholarship refers to mathematical work similar to research, but not involving the discovery of new knowledge. It is primarily directed to a peer audience and is communicated through the same channels identified above for the communication of research. Examples include writing survey articles, writing monographs that synthesize existing knowledge in a field, and translating mathematical works.

4.2.4. *Service to the Department.* This term refers to service activities, both assigned and unassigned, primarily intended to maintain the effective functioning of the Department itself. It includes, but is not limited to, the administrative duties of faculty in specific positions, such as the Associate Head, and service on faculty committees within the Department. Other examples of important departmental service activities are formal and informal advising of students, attendance at and coordination of departmental events, such as colloquia and seminars, organization of student competitions, and recruitment activities.

4.2.5. *Service to the University.* This term refers to service activities primarily intended to contribute to the effective functioning of the University but not specifically of the Mathematics Department. It includes, but is not limited to, service on college and university committees, consulting with colleagues in other departments, participation in or coordination of college or university activities, such as recruiting events or university clubs, and activities in support of the honors program.

4.2.6. *Service to the Profession.* This term refers to activities primarily intended to contribute to the effective functioning of the mathematical or mathematics education professions. It includes such things as writing reviews for Mathematical Reviews or *Zentralblatt für Mathematik*, refereeing papers or grant proposals, serving as an officer or on a committee of a professional organization, organizing a conference, meeting or special session, serving on a review panel for the National Science Foundation or a similar organization, and serving on the editorial board of a journal.

4.2.7. *Outreach.* The term outreach refers to activities that are addressed to an audience outside the community of professional mathematicians, but which call on the mathematical knowledge of the faculty member undertaking them. Outreach may involve applying mathematical knowledge to solve problems of concern to the target audience. It also encompasses activities intended to enhance the understanding or appreciation of mathematics in the wider community. Thus outreach includes, but is not limited to, activities traditionally labeled as extension, and the broader term is preferred here.

4.2.8. *Special Duties.* In unusual cases, it may be desirable for a faculty member and the Department Head to reach an agreement that the faculty member will perform some particular function for the department that is not within the scope of the faculty's normal duties. Such agreements are described by the term special duties. Examples might include a faculty member's serving as the Department's computer system manager, or a faculty member's organizing and taking responsibility for a special event such as a mathematical contest or an open house.

4.3. Methods of Evaluation.

4.3.1. *Teaching.* The primary types of evidence routinely available for the evaluation of a faculty member's teaching are reports on classroom visits by other faculty, examination of syllabi and course materials prepared by the faculty member, and formal student evaluations. If properly contextualized, testimonials from current or former students may also provide useful evidence. Teaching awards made to the faculty member by the university, or by an appropriate regional or national organization, give strong evidence of superior teaching.

4.3.2. *Research.* Success in research is principally judged based upon peer evaluation. This evaluation may take many forms. Having papers accepted for publication in respected journals involves rigorous peer review and is hence an important measure of research success. The same may be said of the publication of research monographs with respected publishers. Positive letters of evaluation written by leading experts in the faculty member's field are also extremely strong indicators of success, and are essential for some purposes. Invitations to speak in seminars or colloquia, and at conferences, demonstrate that the speaker is well-regarded by his or her peers and that his or her work is of wide interest. Prizes or awards made by professional societies or other competent bodies shall be interpreted in accordance with the stated criteria of the body that awards them. In appropriate cases, they may thus indicate success in research. Success in attracting funding from outside sources may be interpreted as evidence of research achievement. However, it must be remembered that the priorities of funding agencies are not identical to the professional priorities of individual mathematicians and mathematics educators, nor to the priorities of the mathematical community as a whole. For this reason, failure to secure outside funding, after reasonable efforts to do so, must not be taken to reflect negatively on research achievement.

4.3.3. *Non-Research Scholarship.* Success in non-research scholarship is evaluated using the same methods that are used to evaluate success in research, but taking appropriate notice of the salient difference between the two activities.

4.3.4. *Service to the Department.* Service activities in this category are evaluated based upon the extent to which they contribute to the effective functioning of the department. The principal source of evidence for activities in this category is the documents generated during the yearly Appraisal and Development process, including the faculty member's report and the Department Head's appraisal statement.

4.3.5. *Service to the University.* Service activities in this category are evaluated based upon the extent to which they contribute to the effective functioning of the university. In making this judgment, it may be appropriate to rely in part upon written evaluation by a faculty member at Oklahoma State University, whether in the Mathematics Department or outside it, who is familiar with the nature and extent of the contribution that is being evaluated.

4.3.6. *Service to the Profession.* Service activities in this category are evaluated based upon the extent to which they contribute to the effective functioning of the profession. Applying this standard will inevitably call upon the professional knowledge and judgment of individual mathematicians and mathematics educators, within and, in some cases, outside the Mathematics Department. However, in making such judgments it must be recognized that ours is a diverse discipline, and that it is inappropriate to treat the professional priorities of one constituency as if they applied to the profession as a whole.

4.3.7. *Outreach.* In keeping with the defining feature of outreach, the success of such activities is primarily evaluated based upon their impact on the target audience. Many forms of evidence for such impact may be considered. In the case where the target audience consists of practitioners of a discipline other than mathematics, letters from experts in that discipline evaluating the impact of the activity may be helpful. It should also be recognized that the community of mathematicians and mathematics educators has members with expertise in specific types of outreach; written evaluation of an outreach activity by such an expert is a valuable form of evidence.

4.3.8. *Special Duties.* At the time at which a faculty member and the Department Head agree that special duties will form a part of the faculty member's responsibilities, the nature and duration of such duties, the proportion of the faculty member's time that they are expected to consume, and the criteria by which success will be judged will be specified in a letter written by the Department Head and signed by both the Department Head and the faculty member.

4.4. Criteria for Annual Appraisal and Development Process.

4.4.1. The Appraisal and Development process has several different purposes, each with its own specific criteria. The first is to provide feedback to each member of the faculty on his or her progress towards career milestones such as reappointment, tenure, and promotion. The relevant criteria for this aspect of Appraisal and Development are those that apply for the next milestone that the faculty member seeks to reach. The second major purpose of Appraisal and Development is to identify merit so that it may be rewarded. For this purpose, the criteria are very broad. Outstanding achievements in teaching and research will be recognized, as will unusual service rendered to the Department, the University, or the Profession. Activities that serve the department in less prominent but nevertheless essential ways also deserve recognition.

4.5. Criterion for Reappointment as an Assistant Professor.

4.5.1. The criterion for reappointment is that the candidate demonstrates professional development making it likely that he or she will satisfy the criteria for promotion and tenure when consideration for that action is mandatory.

4.6. Criteria for Promotion to Associate Professor.

4.6.1. The factors considered by the Mathematics Department to decide whether or not to recommend that a candidate be promoted to the rank of Associate Professor shall include the candidate's performance in research and in teaching.

4.6.2. In order to be recommended for promotion, it is essential that a candidate has established an active and well-planned research program that has generated publications in peer-reviewed fora appropriate to the candidate's field. It is also essential that the candidate's research accomplishments have attracted the notice of recognized experts in the relevant field or fields. Because expected publication frequency varies widely from field to field, and because the significance and quality of a candidate's publications will be taken into account, it is not possible to set a minimum number of publications that is required for a positive recommendation. The Mathematics Department is committed to maintaining its excellence in research and a candidate will not be recommended for promotion unless his or her research achievements contribute to this goal.

4.6.3. In order to be recommended for promotion, a candidate must demonstrate a thoughtful and professional approach to teaching, combined with good pedagogical skills. Although extraordinary performance as a teacher may require unusual gifts, the central role of teaching in the Mathematics Department's mission leads the Department to demand that all its associate professors be, at a minimum, effective and committed teachers. For this reason, no candidate will be recommended for promotion unless he or she displays these qualities.

4.6.4. Promotion to the rank of Associate Professor confers tenure.

4.7. Criteria for Reappointment as an Associate Professor.

4.7.1. The factors considered by the Mathematics Department to decide whether or not to recommend that a candidate be reappointed as an Associate Professor shall include the candidate's performance in research, in teaching, and in service to the Department.

4.7.2. In order to be recommended for reappointment, the candidate must have an active and successful research program at a level appropriate to his or her career stage. The candidate must also have demonstrated teaching performance at O.S.U. that matches or exceeds the standard required for promotion to Associate Professor (as specified in 4.6.3). In addition, the candidate must have shown a willingness to engage in service to the Department, and effectiveness in doing so.

4.7.3. Reappointment as an Associate Professor confers tenure.

4.8. Criteria for Promotion to Professor.

4.8.1. In order to be recommended for promotion, the candidate must demonstrate continued success in research.

4.8.2. In order to be recommended for promotion, the candidate must demonstrate continued commitment to and effectiveness in teaching.

4.8.3. In order to be recommended for promotion, the candidate must have shown a willingness to engage in service to the Department, and effectiveness in doing so.

4.8.4. Non-research scholarship, service to the University, service to the Profession, outreach, and any special duties that the candidate has performed shall also be considered in deciding whether to recommend promotion.

4.8.5. The professional stature necessary for promotion to the rank of Professor does not presuppose any particular period of time spent at the rank of Associate Professor. It may rapidly be demonstrated by singular professional achievement. It may also be demonstrated by the cumulative effect of continued professional activities over a longer period of time.

5. FORMAL STIPULATIONS AND REQUIREMENTS

5.1. Instructors, Lecturers, Visiting Faculty. Lecturers and visiting faculty members, as temporary faculty members, shall not be eligible for tenure or promotion. The Mathematics Department does not use the title of Instructor.

5.2. Minimum Time in Rank and Prior Service.

5.2.1. The fundamental principle is that a faculty member should be promoted when his or her qualifications and scholarly record match the Department's criteria for the next rank.

5.2.2. The question of credit for prior service is complex. Prior experience should be reflected in initial salary and level of appointment. In the case of an Assistant Professor, the professional growth which normally accompanies experience will often lead to early consideration for promotion in accordance with the paragraph above. It should be noted, however, that substantial time is required to evaluate a faculty member's contributions in teaching and in service. Therefore, promotion during the first year or two of service at Oklahoma State would be exceptional, regardless of prior experience.

5.3. Documentation Sent to the Dean's Office. The documents that shall be forwarded to the Dean's Office and subsequent levels of administration are those indicated by the official Oklahoma State University Reappointment, Promotion/Tenure Recommendations Form, "Development of the RPT Documentation File", and by the OSU Policy & Procedures 2-0902. The A&S College also requires the following:

- (1) Vita for the Individual.

The vita shall describe in a professional manner the totality of accomplishments of the individual, as opposed to the individual's most recent contributions.

- (2) Peer Review Letters.

For candidates for promotion and/or tenure, at least three letters from external reviewers shall be included in the documentation file. Letters are not required for reappointment. Candidates may opt to waive their right to see their external peer review letters. Notification in the form of a signed statement will be given to reviewers as to whether or not the candidate in question has signed the waiver. External review letters will be used by departmental personnel committees, department heads, deans, and other University administrators for personnel decisions, such as tenure and promotion. The unit personnel document shall define how the external reviewers are selected and

contacted by the Unit. The external review letters should provide an assessment of the candidate's creative and scholarly activities with any additional detail specified in the Unit personnel document.

Of the external review letters, at least three must be obtained from individuals with no direct professional or personal interest in the advancement of the candidate's career (for example, they should not be former advisors or mentors, and generally should not be co-authors or co-investigators on previous work). Judgment should be exercised as to what constitutes "direct professional or personal interest," for example in cases where the reviewer shares a publication with a large number of authors or where the publication is from an expert panel report. Similarly, letters from the candidate's dissertation advisors or letters from former students, although they may be useful for other purposes such as indicators of teaching quality, should not be counted towards the three. All external review letters shall be included in the RPT packet.

(3) **Solicitation of Unit Input.**

Unit (written) input shall be solicited by the chair of the personnel committee from the unit faculty at least ten days in advance of the first meeting of the committee to consider the candidate's file. The committee shall consider this input in their deliberations. This input shall not be placed in the candidate's file and the chair of the unit personnel committee will maintain this input until the conclusion of the RPT process. Candidates may opt to waive their right to see these internal faculty comments. Notification in the form of a signed statement will be made available to unit faculty as to whether or not the candidate in question has signed the waiver.

(4) **Supporting Evidence.**

An appraisal and development (A&D) document through the fall semester immediately preceding the reappointment or promotion recommendation shall be considered. A limited amount of evidence concerning the candidate's qualifications may be included in the documentation file. Such evidence may include, but is not limited to, letters from former students, published reviews of the candidate's work, or internal peer review letters. A copy of the academic unit's criteria shall be included with the supporting evidence.

Candidates for reappointment or tenure shall include all A&Ds since their initial appointment to OSU. Candidates for promotion only shall include the past 5 years' A&Ds.

(5) **Copy of a Letter from the Personnel Committee to the Unit Administrator Concerning the Action.**

All solicited unit input will be addressed in the letter of the personnel committee, either by noting its receipt or referencing it in the rationale for the recommendation. The numerical vote of the Committee on the recommendation must be stated. If the vote is not unanimous, the minority opinion will be stated within the letter. If more than one vote is taken, the numerical results of only the final vote will be recorded. The letter is to be signed by all voting members.

The candidate has three working days from the receipt of this letter to respond in writing (maximum 1,000 words) to a majority negative recommendation from the committee. This response should be submitted to the unit administrator, and included in the documentation file for the candidate.

(6) **Letter from the Unit Administrator to the Dean Concerning the Action.**

This letter is to set forth the unit administrator's reasons for recommending or denying approval of the action in question. Where the position of the candidate is specialized, differing significantly from the normal assignments within the academic unit, this shall be detailed. A copy of the letter shall go to the personnel committee and the candidate.

Approved by faculty vote on April 25, 2016

Signed,

Head of Department of Mathematics

Dean of College of Arts And Sciences



W. H. Jaco 5/23/16