

**Working Papers**  
**of**  
**The Department of Mathematics and Statistics**  
**Southern Illinois University Edwardsville**

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## Table of Contents

### Section 1: The Department of Mathematics and Statistics

Article I. Membership in the Department.....	3
Article II. Powers of the Department.....	3
Article III. Department Meetings.....	4
Article IV. Department Balloting.....	5
Article V. Vacancies.....	6

### Section 2: The Chair of the Department

Article I. Selection Procedures.....	6
Article II. Functions of the Chair.....	7
Article III. Review, Removal, and Replacement of the Chair.....	7

### Section 3: Committees of the Department

Article I. Types of Committees.....	9
Article II. General Powers and Responsibilities of Committees.....	9
Article III. The Permanent Committees.....	10

### Section 4: Salary Policy and Faculty Evaluation

Article I. Salary Policy and Procedures.....	16
Article II. Performance Standards.....	17

### Section 5: Faculty Retention, Tenure, and Promotion

Article I. Faculty Retention.....	20
Article II. Tenure.....	21
Article III. Midpoint Evaluation.....	23
Article IV. Promotion.....	23

### Section 6: Miscellaneous

Article I. Relationship to Other Documents.....	25
Article II. The Compendium of Policies.....	26
Article III. Amending These Working Papers.....	26
Article IV. Definitions.....	26

# **Section 1: The Department of Mathematics and Statistics**

## **Article I. Membership in the Department**

- A. Membership in the Department is automatically held by any person who has been appointed to a full-time position at the rank of Assistant Professor, Associate Professor, Professor, or Distinguished Research Professor in the Department. Also, any person hired with the intention of appointment to the rank of Assistant Professor at the completion of his/her PhD is a member of the Department with all voting rights; such person however may not be elected to any of the Permanent Committees. The Department may extend membership to others as described in Part B. The members of the Department will be referred to collectively as the Faculty.
  
- B. The Policy Committee may recommend to the Faculty that membership in the Department be extended to an SIUE faculty on joint appointment, an emeritus professor or a visiting professor. If, by written ballot, at least 60% of the Faculty ratify the recommendation of the Policy Committee, the Committee will invite the one so designated to become a member of the Department. Upon the acceptance of the invitation, the new member will have all the rights that can be granted by the Department. The extended membership approved by this procedure is granted for one year and may be extended.

## **Article II. Powers of the Department**

- A. The Department has the authority to establish goals and policies in matters such as:
  - 1. the establishment of course curricula, the proposal of new courses, the scheduling of courses, and the selection of textbooks;
  - 2. the selection of students for awards and scholarships;
  - 3. the selection and interview of candidates for faculty positions; recommendation to the Dean as to which candidate(s) to make the offer(s);
  - 4. the workload assignment for the faculty members;
  - 5. the establishment of committees;
  - 6. such other matters as have to do with the academic programs of the Department.

It is understood that only those members of the Department designated by the Graduate School as Graduate Faculty can participate in the establishment of goals and policies for graduate programs.

B. The Department has the right:

1. to establish a structure of internal governance for the Department;
2. to establish policies within the Department;
3. to delegate specific responsibilities to committees or to individuals;
4. to review and evaluate the effectiveness of internal structures, processes, and procedures;
5. to modify or nullify policies and procedures previously established by the Department;
6. to recommend persons for appointment as Chair of the Department;
7. to recommend policies concerning working conditions, including but not limited to teaching load, support of research activities, scheduling of classes, assignment of office space, and use of physical plant and facilities.

### **Article III. Department Meetings**

A. The Department has the following rights:

1. to hold meetings of the Faculty;
2. to determine conditions under which such meetings may be called and held;
3. to determine who shall preside at such meetings;
4. to have minutes of such meetings prepared and distributed;
5. to determine who is eligible to vote upon matters brought before the assembled Faculty;
6. to adopt procedures for conducting the meetings.

B. The Chair of the Policy Committee is responsible for calling meetings of the Faculty. A meeting of the Faculty shall be called at the request of:

1. the Chair of the Department;
2. the Policy Committee; or,
3. at least five members of the Department by petition.

- C. The Chair of the Policy Committee shall preside at meetings of the Faculty. In the event that he or she is to be absent from a meeting, the Chair of the Policy Committee shall designate a member of the Department, other than the Chair of the Department, to preside at that meeting. If no such member has been designated, those present shall designate a member of the Department, other than the Chair of the Department, to preside.
- D. The members of the Department shall be notified of any ordinary meeting at least one week prior to the date of the meeting. The agenda for an ordinary meeting shall be published to the members of the Department at least two days before the date of the meeting. The date and time of an ordinary meeting shall be selected in such a way as to minimize time conflicts with regular duties of the various members of the Department. Thus, meetings should not be called for Saturday, Sunday, vacation dates, during semester breaks, during examination week, or during evening hours. The Policy Committee shall be responsible for preparing and disseminating information or receiving individual opinions (such as hearings that do not require a quorum). If there is not a quorum in attendance at a meeting requiring a quorum, an informational meeting may be held, with issues discussed and opinions exchanged, but no official vote of the Faculty may be taken.
- E. In the event of a need for an urgent decision, an emergency meeting may be called by the Chair of the Department or by the Chair of the Policy Committee. At an emergency meeting actions may be taken only on the items on the agenda.
- F. Fifty-one percent of those faculty members who do not hold a full time administrative position shall constitute a quorum for each meeting.

#### **Article IV. Departmental Balloting**

Elections for any position within the Department, including membership on permanent committees, shall be conducted as follows, unless otherwise specified in these Working Papers.

For any position to be filled, each eligible faculty member shall be asked to report his or her refusal of candidacy within three working days of being notified by the Chair of the Policy Committee. The names of the remaining members of the faculty shall be submitted for balloting. Each faculty member may vote his or her approval of as many candidates as he or she wishes. The positions to be filled shall be filled in order of the number of votes received. In case of ties, lots shall break the tie.

## **Article V. Vacancies**

In the following, the phrase “Departmental Position” shall refer to any position specifically allotted to the Department of Mathematics and Statistics for which no other mode of selection has been established.

In the event that a Departmental Position on a committee of the University becomes vacant:

1. The Policy Committee, in consultation with the Chair, shall determine whether to select alternate representation. Such determination may take into consideration such matters as the impact of pending committee business on the Department and the length of the remaining term.
2. If selection is decided upon, the Policy Committee, in consultation with the Chair, will either ask the chair to appoint a replacement or hold an election among the Faculty.

## **Section 2: The Chair and Assistant Chair of the Department**

One member of the Department shall be designated as the Chair of the Department.

### **Article I. Selection Procedures**

- A. The Department shall form a Chair Search Committee, which shall be responsible for obtaining nominations and conducting balloting for the Chair. The committee shall consist of three members elected by written ballot. The committee shall develop procedures for the selection process, which should be consistent with the Operating Papers of the College of Arts and Sciences. The selection procedure is subject to Departmental approval. It is expected that the committee will consult the procedures approved for previous selection processes. A list of nominees for Chair who are willing to serve shall be submitted to the Faculty for a vote by secret ballot. The nominations may include “external candidate.” The Chair Search Committee shall conduct the balloting. The Chair Search Committee shall forward the names of the two top candidates together with the results of the ballot to the Dean.
- B. The person who shall serve as Chair during the upcoming year shall appoint the Assistant Chair after consultation with the Policy Committee. A ballot of the faculty of the Department shall ratify the appointment. The Assistant Chair shall serve for one year from July 1 to June 30 and may be reappointed.

## **Article II. Functions of the Chair**

- A. The Chair shall have the responsibility of acting in most matters as the representative of the Department.
- B. The Chair shall be the administrative officer of the Department, and shall be responsible for scheduling of classes, work assignments for individual faculty members, liaison with other departments and units within the University, and other duties normally performed by the chair of an academic department in a university, except as specifically limited by the Department, the College of Arts and Sciences, or the University.
- C. The Chair shall be the fiscal officer for the budget of the Department and shall engage in both planning and review of such budgeting matters. The Chair shall also serve as fiscal officer of appropriate SIUE Foundation accounts.
- D. The Chair shall issue a departmental calendar and otherwise keep the Faculty informed of deadlines. The Chair shall ensure that up-to-date syllabi of all classes currently being taught are on file in the Department office.

## **Article III. Review, Removal, and Replacement of the Chair**

- A. An annual review of the administrative performance of the Chair is the responsibility of the Dean of the College of Arts and Sciences. The Department shall aid in this process by having the Peer Review Committee solicit comments from the Faculty regarding the performance of the Chair. A summary of this evaluation shall be made available to the Faculty before being forwarded to the Dean.
- B. The Chair may be relieved of his or her duties by a process initiated either by the Dean or from within the Department.
  - 1. In the event that the Dean deems it necessary to remove the Chair, the following process shall be implemented, as prescribed by the Operating Papers of the College of Arts and Sciences.
    - a. The Dean shall present reasons for removal of the Chair to the Faculty.
    - b. The Chair shall have the opportunity to respond to the statements of the Dean.
    - c. The Faculty shall vote by secret ballot on the question of consenting to the Dean's action. Such ballots shall be counted by the Faculty Personnel Committee of the College.

- d. In the event that the majority of the Faculty voting consent to the removal of the Chair, the Dean may declare the office of Chair vacant. It should be noted that the Dean retains the right to declare the office of Chair vacant even without the consent of the majority of the Faculty.
2. The Faculty may request that the Dean remove the Chair by the following process.
    - a. A petition calling for a vote of removal, signed by at least one-third of the Faculty who hold less than fifty percent administrative appointment, shall be presented to the Peer Review Committee. The faculty members initiating the petition shall present to the Faculty, in writing, reasons for the removal of the Chair.
    - b. The Chair shall have the opportunity to respond to the statements of the petition.
    - c. The Faculty shall vote on the question of requesting the removal of the Chair, such ballots to be counted by the Peer Review Committee.
    - d. In the event that at least two-thirds of the Faculty who hold less than fifty percent administrative appointment agree with the request for removal, the Dean shall be notified of this in writing. The request to the Dean shall be accompanied by the reasons for removal presented on the petition, the Chair's response, and the results of the vote.
    - e. If less than two-thirds of the Faculty eligible to vote agree with the request for removal, the request shall be denied and the Dean shall not be notified. In addition, the Chair shall not be subject to a vote for removal initiated from within the Department for the period of time equal to one academic term.
  - C. In the event that the position of Chair becomes vacant through the removal of the current Chair or for other reasons including, but not limited to, death or resignation, the Dean with the advice of the Faculty shall appoint an interim Chair. The interim Chair shall serve until the end of the current fiscal year. During the interim period, a new Chair shall be selected by the process outlined in these Working Papers to serve a full term of office commencing at the beginning of the new fiscal year.
  - D. In the event the Chair is temporarily unable to perform his or her duties the following procedure shall apply.
    1. If the Chair is unable to perform his or her duties for a period not exceeding two months, the Chair shall assign a faculty member to serve as an acting Chair.

2. If the Chair is unable to perform his or her duties for a period exceeding two months but not exceeding twelve months, the Dean with the advice of the Faculty shall appoint an acting Chair.
  - a) If the Chair is unable to perform his or her duties for a period exceeding twelve months, a search for a new Chair shall be conducted as described in Article I.
- E. The Assistant Chair shall assist the chair in such matters as scheduling of classes, hiring call staff, and similar matters.

### **Section 3: Committees of the Department**

#### **Article I. Types of Committees**

The Department may create committees of three types: permanent, standing, and *ad hoc*. Permanent committees are those established by these Working Papers. Standing committees are created by the Department and have an ongoing charge. *Ad hoc* committees are created by the Department and have a specific charge, which is limited in scope and time.

#### **Article II. General Powers and Responsibilities of Committees**

- A. Meetings of a committee may be called by the chair of the committee, by the designated representative of the chair, by a majority of the members of the committee, or by the Chair of the Department.
- B. A quorum for any meeting of a committee shall consist of fifty-one percent of the committee membership.
- C. The meetings of the Policy Committee shall be open to members of the University community except for agenda items involving personnel matters. The meetings of other committees shall be open or closed at the discretion of the committee.
- D. Any committee may expel a visitor (a non-member of the committee) from a meeting if that visitor is interfering with the deliberation of the committee.
- E. Minutes of meetings of the Policy Committee shall be prepared and distributed by a member of the Policy Committee appointed by the Chair of the Policy Committee. Other committees may issue minutes at their option. Announcements of decisions affecting members of the Department shall be published and distributed to those affected.

### **Article III. The Permanent Committees**

A. The permanent committees of the Department shall be:

A faculty member cannot serve at the same time on more than two of the following committees: Peer Review Committee, Policy Committee, Graduate Committee, or Undergraduate Committee. If there is no willing and eligible faculty member then this restriction may be waived.

1. Policy Committee;
2. Graduate Committee;
3. Undergraduate Program Committee;
4. Tenure Advisory Committee;
5. Promotion Advisory Committee;
6. Peer Review Committee.

B. The Policy Committee

1. The Policy Committee shall be constituted according to the following:
  - a. The elected membership of the Committee shall include at least 25% of the membership of the Department, and no more than necessary to meet this requirement. The Chair of the Department may not be an elected member of the Committee.
  - b. During the fall semester of each year, the Committee shall conduct an election for the purpose of selecting new members of the Committee. Approximately half of the members shall be elected each year, to serve a term of two calendar years, January 1 to December 31, inclusive.
  - c. The chair of the Committee shall be elected each year by ballot of the Faculty from among the members.
  - d. In case of vacancy on the Committee, the Committee shall conduct a special election to select a person to fill the remaining term. In case of the projected absence of a member of the Committee for one academic term or more, the Committee shall conduct a special election to replace that member for that period of time. In case of an occasional absence, a member of the Committee may give his or her written proxy to any member of the Department, except the Chair of the Department. A proxy may carry full voting privileges, or may

be limited to specific issues. A written proxy shall be valid for one meeting only, or as specified in the proxy.

- e. If at least one-third of the Faculty request by petition that an elected member of the Committee be removed from the Committee, the remaining members of the Committee shall proceed to distribute a ballot to the Faculty on the question whether the said member shall be removed from the office. If the number of votes cast in favor of removal is a majority of the Faculty, the member shall be removed from the Committee. If the number of votes cast in favor of removal is less than a majority, the member shall remain on the Committee, and a period of time equal to one academic term must elapse before another petition for the removal of that member may be presented.
  - f. If at least one-third of the Faculty request by petition that the Committee be dissolved, the Chair of the Committee shall notify the Faculty Personnel Committee of the College of Arts and Sciences of this fact and request that they appoint a supervisor from outside the Department. The supervisor shall issue a ballot to the Faculty on the question "Shall the current Policy Committee be dissolved?", with boxes labeled "Yes" and "No". If three-fifths or more of the Faculty vote "Yes", the Committee is dissolved. In that case, the supervisor shall then conduct an election for members of a new Committee. The members so elected shall complete the remaining terms; those who receive fewer votes shall be assigned the shorter terms, ties being broken by lot.
2. The Department delegates to the Policy Committee the responsibility of formulating policy with regard to the programs offered by the Department, subject to the review procedure described below. The following are illustrative of matters within the jurisdiction of the Policy Committee:
- a. to act as agent for the Department in review of courses, textbook selection, current programs, and proposed new programs;
  - b. to formulate policy for the granting of assistantships, fellowships, and awards, for graduate examinations, for the advisement of students, and for the issuance of ballots not specifically authorized by these Working Papers;
  - c. to maintain and distribute a compendium of current policies of the Department;
  - d. to approve for submission to the Faculty proposed amendments to these Working Papers;
  - e. to require or conduct an annual audit of Department foundation accounts;
  - f. to establish *ad hoc* committees to aid it in discharging its responsibilities;

- g. to call meetings of the Department, and to designate certain meetings as emergency meetings.
3. Decisions of the Policy Committee may be reviewed by the Faculty, subject to the following:
- a. Any substantive decision of the Committee may be reviewed in either of the following ways, unless the Committee had declared it an emergency decision.
    - i. On the petition of at least five members of the Department, a meeting of the Department shall be called to consider reversal of the decision. The announcement of the meeting shall include a full statement of the decision to be challenged at that meeting. A simple majority of those present shall suffice to nullify the Committee's decision. A tie vote sustains the Committee's decision.
    - ii. On the petition of at least five members of the Department, the Chair of the Committee shall issue a ballot to all members of the Department for their vote on the decision. This ballot shall contain a complete statement of the decision being challenged, boxes labeled "FOR" and "AGAINST", and a statement that a vote "FOR" is a vote to sustain the Committee's decision, while a vote "AGAINST" is a vote to reverse the Committee's decision. The collection and counting of the ballots shall be supervised jointly by one of the petitioners and the Chair of the Committee. A vote "AGAINST" by a simple majority of those voting shall suffice to nullify the Committee's decision. A tie vote sustains the Committee's decision.
  - b. Where the need for a quick decision is such that it would be impossible to complete the normal review process before the decision must be implemented, the Committee may, by unanimous agreement, declare an issue before it an *emergency issue* and the decision on that issue an *emergency decision*. An emergency decision may not be reviewed.
4. The Committee shall publish an agenda and the minutes of each meeting and of each part of a meeting which is recessed to a later date. Such minutes should appear as quickly as possible after the adjournment or recess of the meeting.

#### C The Graduate Committee

1. The Graduate Committee of the Department shall consist of one representative of each graduate option, one of whom shall be designated the Graduate Program Director, and the Chair of the Department. The Chair of the Department shall appoint the Graduate Program Director in even numbered fiscal years, after consultation with the Policy Committee. Graduate faculty of the Department shall

- ratify the appointment. As soon as the appointment of the Graduate Program Director is ratified, additional members of the Committee shall be named by the Chair of the Department, after consultation with the Graduate Program Director. Members shall normally serve for two calendar years, January 1 to December 31, inclusive. In case of vacancy, the same appointment procedure shall be followed for selecting a replacement for the remaining term.
2. The Graduate Program Director shall serve as the Chair of the Graduate Committee. Moreover he or she shall be in charge of recruitment efforts for the graduate programs offered by the Department.
  3. The Graduate Committee shall make recommendations to the Chair concerning the following matters:
    - a. the admission of students to, or retention of students in, the graduate degree program;
    - b. awards for graduate assistantships and fellowships;
    - c. petitions by graduate students concerning academic matters.
  4. The Graduate Committee shall make recommendations to the Policy Committee concerning appropriate changes in the graduate program.

D. The Undergraduate Program Committee

1. The Undergraduate Program Committee shall consist of one representative from each of the following three areas: (1) actuarial science and statistics, (2) pure and applied mathematics, and (3) math education; the Undergraduate Program Director; the instructor on record for MATH 499; and the Chair of the Department. The Chair of the Department shall appoint the Undergraduate Program Director in even numbered fiscal years, after consultation with the Policy Committee. The members of the Department shall ratify the appointment. As soon as the appointment of the Undergraduate Program Director is ratified, additional members of the Committee shall be named by the Chair of the Department, after consultation with the Undergraduate Program Director. The representative from math education shall be appointed in odd numbered fiscal years and the other two representatives in even numbered fiscal years. The Members shall normally serve for two years starting August 15. Members of the Committee may succeed themselves. In case of vacancy, the same appointment procedure shall be followed for selecting a replacement for the remaining term.
2. The Undergraduate Program Director shall serve as the Chair of the Undergraduate Program Committee.

3. The Undergraduate Program Committee shall serve as the Senior Assignment Committee.
  4. The Undergraduate Program Committee shall make recommendations to the Chair concerning the following matters:
    - a. the retention of students in the undergraduate degree programs
    - b. undergraduate program assessments and reviews
    - c. undergraduate student awards
    - d. minor requirement checks
    - e. other matters pertaining to the undergraduate program as assigned by the Chair of the Department or the Policy Committee.
  5. The Undergraduate Program Committee shall make recommendations to the Policy Committee concerning appropriate changes in the undergraduate programs.
- E. The Tenure Advisory Committee shall consist of those tenured members of the Department who hold less than fifty percent administrative appointment; the Chair of the Department shall be an ex-officio member without vote. The Committee shall aid the Chair of the Department in making recommendations for tenure and retention of untenured faculty members. The Chair of the Department shall call an organizational meeting of the Committee early in the calendar year, at which time the Committee shall elect a Chair of the Committee from among its voting members. The Chair of the Committee retains full voting privileges. The identity of the Chair of the Committee shall be published to the Department. The Committee shall follow the procedures for faculty retention and tenure set forth in Section 5 of these Working Papers.
- F. The Promotion Advisory Committee shall consist of those tenured members of the Department who hold the rank of associate professor or above and who hold less than fifty percent administrative appointment; the Chair of the Department shall be an ex-officio member without vote. The Committee shall aid the Chair of the Department in making recommendations for promotion or emeritus status; however, only those members holding the rank of professor may participate in decisions concerning promotion to that rank. The Chair of the Department shall call an organizational meeting of the Committee early in the calendar year, at which time the Committee shall elect a Chair of the Committee from among the full professors. The Chair of the Committee retains full voting privileges. The identity of the Chair of the Committee shall be published to the Department. The Committee shall follow the procedures for the promotion set forth in Section 5 of these Working Papers.
- G. The Peer Review Committee
1. The Peer Review Committee will have at least 25% of the Faculty as members and no more than necessary to meet this requirement. The Chair of the Committee

must hold the rank of full professor. Early in the academic year, an election for the Chair of the Committee shall be held, followed immediately by an election for the remaining members. All members shall hold office for a term of one year. A faculty member cannot serve on the Peer Review Committee more than once in any three year period. This restriction may be waived if an insufficient number of willing and eligible faculty members are available.

2. Prior to the evaluation of faculty performance for salary recommendations, the Chair of the Department shall solicit information on each faculty member's performance as described in Section 4, Article I-B. The Chair shall provide a standard form for this information, but members of the Department are free to add supplementary documentation.
3. The Peer Review Committee and the Chair of the Department shall review the faculty performance according the procedure described in Section 4, Article I-B.
4. In the event of a College-level review of salary recommendations, the Chair of the Committee shall serve as the representative of the Department.
5. The Peer Review Committee shall provide at the Dean's request a summary of an evaluation of the Chair of the Department.

#### H. Standing committees

1. In addition to the permanent committees of the Department, other standing committees may be authorized to deal with ongoing responsibilities of the Department. Such a committee may be authorized only by a vote of the whole Department. This authorization lapses at the beginning of each academic year unless the Department, by vote, expressly renews the authorization.
2. At the time of creation of a standing committee, its responsibilities shall be clearly outlined in writing. Each such committee shall report to the Department on its activities at the beginning of each academic year, prior to any consideration of its reauthorization, and at any other time at the request of the Department.

#### I. *Ad hoc* committees

1. *Ad hoc* committees of the Department may be created for specific tasks. The Chair of the Department and the Policy Committee, jointly and separately, have the power to create such committees.
2. At the time of creation of any *ad hoc* committee, the charge of that committee shall be clearly outlined in writing. The charge shall contain a time limit on the activity of the committee, not to exceed one academic year, which limit may be

extended once by the creator of the committee's charge. After the expiration of the time limit, the committee shall report on its activities to the Policy Committee. The charge and membership of the committee shall be published to the Department.

## **Section 4: Salary Policy and Faculty Evaluation**

### **Article I. Salary Policy and Procedures**

The Chair is responsible for soliciting information on each faculty member's performance. The Chair may also consult with other faculty in and out of the Department. Based on the information thus obtained and the advice of the Peer Review Committee (PRC), the Chair shall evaluate the faculty member in each of the areas of teaching, scholarship, and service, according to the scales given below. Evaluation in the areas of teaching and service shall normally be based on the faculty's achievements during the past year; evaluation in the area of research and scholarly activity shall be based on the activities of the past three years.

- A. Early in the calendar year the Chair should request that each faculty member file an annual activity report for teaching and service and a 3-year report for scholarship. Documentation as well as other relevant material should be included.
- B. The Chair shall make the reports and documentation available to the PRC.
- C. The Chair and the PRC shall review these materials independently.
- D. At a meeting of the PRC, the Chair shall present his or her evaluations and recommendations for each faculty member. A discussion should follow. Each of the three members of the PRC shall vote on each faculty member (including the Chair of the Department and the Chair of the PRC), except on himself or herself. Each of the three members of the PRC is evaluated by the other two members and by the Chair of the PRC. The Chair of the PRC shall tally the votes by category (U=Unsatisfactory, S=Satisfactory, M=Meritorious, and E=Excellent). The median of the PRC vote shall be used as the PRC's evaluation of each faculty member.
- E. The Chair of the PRC and the Chair of the Department shall discuss the cases where the PRC evaluation and the Chair's evaluation differ. The Chair of the Department makes the final evaluation. The Chair's report to the Dean shall indicate on which faculty members disagreement was discussed.
- F. In the event of a College-level review of salary recommendations, the Chair of the PRC shall serve as the representative of the Department.

- G. For tenure-track faculty holding joint appointments in which one of the Departments or Units will not be granting tenure, the procedures in Section 4 will be modified to comply with the CAS Policies and Procedures for the Evaluation of Faculty Holding Joint Appointments

## **Article II. Performance Standards**

### **A. General consideration**

Evaluation of faculty performance shall primarily be based on demonstrated accomplishments in teaching, scholarship, and service to the University. However, for faculty retention or tenure, the evaluation should be carried out with a broadened perspective. The faculty member's accomplishments shall be evaluated in light of his or her actual and potential contributions toward the achievement of the Department goals and his or her compatibility with other members of the Department as it relates to the effective operation of the Department. Paragraphs B through D in the following are intended as standards for evaluating a faculty member's accomplishments in teaching, scholarship, and service to the University in matters related to salary increase, promotion, tenure, and retention of faculty members.

1. Accomplishments in teaching may be substantiated by student evaluations, peer evaluations, teaching portfolios, indications of high level of student achievement, relevant awards and recognition received, innovations, research and publications devoted to teaching, and other appropriate evidence.
2. Accomplishments in scholarship will be substantiated by evidence of scholarly activity such as: publications in refereed journals; refereed research grants obtained; publication of monographs and textbooks; unpublished work disseminated by preprinting; papers presented at professional meetings; colloquium lectures; abstracts and reviews of papers and books; chairing sessions at national meetings; participation in organization of research conferences; being on the editorial board of a professional journal; and attracting external recognition and research invitations.
3. Academic service is constructive participation in the development of research, pedagogical, or service programs at SIUE. It will normally be substantiated by clear evidence of contributions such as statements from chairs of committees on which the candidate has served, and statements from other persons knowledgeable about the candidate's service on the committee or outside the framework of designated committees.
4. It is not intended that any valid documentation on the candidate's behalf be excluded.

## B. Performance standard in teaching

1. Unsatisfactory performance is characterized by one of the following: failing to cover a substantial portion of the syllabus; failing to maintain appropriate course level; being unavailable to students; showing lack of interest in working with students; being consistently tardy in returning student's work; having excessive negative student reactions; receiving inferior evaluations by students or peer; having unprofessional behavior which seriously hampers or compromises the student-teacher relationship.
2. In order to qualify for satisfactory rating, a faculty member shall meet the expectation specified in the Faculty Handbook and shall: cover the course syllabi; maintain the appropriate course level; keep regular office hours; return student's work promptly; rarely have student complaints; and receive at least average student and peer evaluations as compared with faculty members teaching similar courses.
3. In order to qualify for meritorious rating, a faculty member shall meet all the expectations for satisfactory performance and shall in addition show all of the following: careful attention to course and material preparation; active working with students; good rapport with students; good evaluations by students or peers as compared with faculty members teaching similar courses. Activities such as contributions to curriculum development should be given special consideration.
4. In order to qualify for excellent rating, a faculty member shall meet all the expectations for meritorious performance and shall in addition show all of the following: inspire students with challenging and stimulating material; work enthusiastically with students; receive exceptional student and peer evaluations as compared with faculty members teaching similar courses. Activities such as exceptional contributions to curriculum development should given special consideration.

## C. Performance standard in scholarship

1. Unsatisfactory performance is characterized by failing to meet all the expectations for satisfactory rating as described below.
2. In order to qualify for satisfactory rating, a faculty member shall be engaged in significant scholarship. During the three year period the faculty member should have
  - a. at least one of the following:
    - i. book or monograph
    - ii. a paper in a refereed journal or a chapter in a refereed book or monograph
    - iii. a paper in a refereed proceedings of a national or international conference
    - iv. receiving funding for a major external research or educational grant

- b. and at least one of the following:
  - i. another item from 2a i to 2a iv
  - ii. giving a presentation at an international, national, regional, or state meeting
  - iii. serving on an editorial board
  - iv. submitting external grant proposals
  - v. work in progress
  - vi. other comparable research activities

Work in progress must ultimately result in the production of a publication, presentation at a professional meeting, or a grant. Failure to generate results within one year shall result in withholding credit for work in progress until results are generated. In well-documented exceptional situations when work in progress involves a major project, such as writing a monograph, credit for work in progress may be given for two years.

- 3. In order to qualify for meritorious rating, a faculty member shall meet the expectations for satisfactory performance and be engaged in consistent production of scholarly papers published in refereed professional journals or presented at international, national, regional, or state professional meetings. During the three year period, the faculty member should have
  - a. at least one of the following:
    - i. book or monograph
    - ii. a paper in a refereed journal or a chapter in a refereed book or monograph
    - iii. two papers in refereed proceedings of a national or international conference
    - iv. receiving funding for a major external research or educational grant
  - b. and at least two activities from the following categories where the two may be from the same category:
    - i. another item from 3a i to 3a iv
    - ii. giving a presentation at an international, national, regional, or state meeting
    - iii. serving on an editorial board
    - iv. other comparable research activities
- 4. In order to qualify for an excellent rating, a faculty member shall meet the expectations for meritorious performance and be engaged in steady production of high quality scholarly work published in refereed national or international professional journals. In addition, during the three year period the faculty member should have at least two items from 3a i-iii and at least two items from 3b.

## B. Performance standard in service

1. Performance expectations in the area of service shall be commensurate with the faculty members percentage assignment to service.
2. Unsatisfactory performance in service is characterized by failing to meet the satisfactory expectation described below.
3. In order to qualify for satisfactory rating, a faculty member shall meet at least one of the following: active contribution on at least one committee; participation in administrative activities related to the operation of the Department, the College, or the University; active participation in University related public service.
4. In order to qualify for meritorious rating, a faculty member shall meet at least two of the items listed for satisfactory rating, or one of the following: active contributions to two or more committees; leadership in committee work; significant contributions to administrative activities; significant contributions to committees beyond the Departmental level; active involvement in a service role to the professional community; significant contributions to University recognized public service.
5. In order to qualify for excellent rating, a faculty member shall meet the expectation for meritorious performance and shall in addition meet at least one of the following: leadership in committees at the College or University level; high achievements in a service role to the professional community; exceptional contributions to University recognized public service.

## **Section 5: Faculty Retention, Tenure, and Promotion**

For tenure-track faculty holding joint appointments in which one of the Departments or Units will not be granting tenure, the procedures in Section 5 will be modified to comply with the CAS Policies and Procedures for the Evaluation of Faculty Holding Joint Appointments

### **Article I. Faculty Retention**

#### A. Criteria

Recommendation for retention of an untenured, continuing faculty member shall be based on:

1. the candidate's actual and potential contributions toward the achievement of the goals of the Department;

2. the candidate's professional competence;
3. the personal and professional compatibility of the candidate with his or her colleagues as it relates to the effective operation of the Department.

The assessment is primarily the responsibility of the Chair of the Department and of the Tenure Advisory Committee (TAC).

**B. Procedure within the Department**

1. The Chair of the Department shall meet with the TAC to discuss the candidate's qualifications. The discussion shall be followed by a vote by the TAC on the retention recommendation. If the Chair of the Department disagrees with the result of TAC's vote, the Chair of the Department must present to the TAC, in writing with documentation, the reasons for his or her decision. The Chair's recommendation to the Dean shall include the result of TAC's vote.
2. In the event of a decision not to recommend the renewal of appointment, the candidate shall be so informed in writing by the Chair of the Department. The candidate shall have an opportunity to request reconsideration by the Chair of the Department and the TAC.

## **Article II. Tenure**

**A. Criteria**

Tenure recommendations shall be based on demonstrated accomplishments in teaching, scholarship, and service to the University. However, the finality of a tenure decision requires a broadened perspective. A candidate for tenure shall have at least meritorious performance in teaching and at least meritorious performance in either scholarship or service and satisfactory performance in the other. The decision to recommend tenure for a member of the Faculty is based on:

1. the candidate's actual and potential contributions toward the achievement of the goals of the Department;
2. the candidate's professional competence;
3. the personal and professional compatibility of the candidate with his or her colleagues as it relates to the effective operation of the Department.

The assessment is primarily the responsibility of the Chair of the Department and of the Tenure Advisory Committee (TAC).

## B. Procedure within the Department

1. An untenured faculty member becomes a candidate for tenure either by entering the final year of the probationary period specified by the Board of Trustees or by nomination of the Chair of the Department.
2. At the beginning of Spring Semester, but no later than April 20, the Chair of the Department shall provide the TAC with the names of the candidates to be considered for tenure in the following academic year.
3. Within ten days after receiving the candidate list, the Chair of the TAC shall:
  - a. inform all candidates that either they have been nominated for tenure, or they will be entering the final year of their probationary period and will be reviewed for tenure;
  - b. request each candidate to begin assembling all relevant material, subject to the size and outline limitations set by the College of Arts and Science (CAS), that the candidate wishes to present for review.
  - c. request each candidate to provide to the TAC, by May 10, a list of persons from which the candidate wishes the TAC to request letters of evaluation;
  - d. for each candidate, solicit several external letters of evaluation as detailed below.
4. The Chair of the TAC shall appoint a subcommittee for each candidate for tenure. The members of the subcommittee should be chosen from among those willing to serve on such a subcommittee and who are acceptable to the candidate. This subcommittee is subject to ratification by the TAC. If the candidate for tenure is being considered at the same time for promotion, the subcommittee appointed for the promotion procedure shall serve in this capacity. The function of this subcommittee is to advise and assist the candidate in assembling material relevant to the candidate's tenure application. Candidates may submit any material, subject to the CAS outline and size limitation, which they deem useful and beneficial. It is not intended that any valid documentation in the candidate's behalf be excluded.
5. The Chair of the TAC shall ask several scholars not associated with SIUE to evaluate professional achievements of a candidate for tenure. The Chair of TAC shall select some of the names from the list provided by the candidate, if the candidate chooses to provide such a list, and shall select some of the names independently. Evaluators should be persons whose documented scholarly activities are in the same general area as that of the candidate. If the candidate is being considered at the same time for promotion, the same set of evaluation letters

- may be used for both tenure and promotion, and the Chair of the Promotion Advisory Committee shall solicit the letters of evaluation.
6. To the extent possible, a candidate for tenure should submit all tenure material to the TAC by August 15.
  7. The Chair of the Department shall then meet with the TAC to discuss the candidate's qualifications. The discussion shall be followed by a vote by the TAC. If the Chair of the Department disagrees with the result of TAC's vote, the Chair of the Department must present to the TAC, in writing with documentation, the reasons for his or her decision. The Chair's recommendation to the Dean shall include the result of the TAC's vote.
  8. In the event of a decision not to recommend tenure either by the Chair of the Department or by the TAC, the candidate shall be so informed in writing by the Chair of the Department. The party or parties making a negative recommendation shall provide upon request a statement, oral or written at the candidate's option, of the reasons contributing to the decision. The candidate shall have an opportunity to request reconsideration by the Chair of the Department and the TAC.

### **Article III. Midpoint Evaluation**

The Chair of the Department and the Tenure Advisory Committee shall provide a midpoint evaluation of the performance of each tenure-track faculty member in accordance with the time period specified by the Operating Papers of the College of Arts and Sciences, but no later than four years after the faculty member's initial appointment in a tenure-track position. The midpoint evaluation shall assess the progress of the tenure-track faculty member toward tenure. The evaluation shall follow the same procedure as for tenure evaluation except that no external letters of evaluation have to be solicited.

### **Article IV. Promotion**

#### **A. Criteria**

Promotion recommendations shall be based on demonstrated accomplishments in teaching, scholarship, and service to the University. A candidate for promotion shall demonstrate, at the level commensurate with rank, at least meritorious performance in teaching and at least meritorious performance in either scholarship or service and satisfactory performance in the other. Special emphasis will be given to the performance in the years immediately preceding the promotion consideration. To achieve satisfactory rating in scholarship, a faculty member should not choose

minimum assignment in that area for more than two years within the four years prior to the time when promotion is considered. It is not intended that any valid documentation on the candidate's behalf be excluded.

#### B. Procedure within the Department

1. After the beginning of Spring Semester, but no later than April 1, the Chair of the PAC shall provide a copy of these procedures to all department faculty and shall request written notification from those members wishing to nominate themselves as candidates for promotion. Members shall be allowed one week to provide this notification.
2. The Chair of the PAC shall convene the committee within ten days after the deadline for receipt of nominations mentioned above.
3. As soon as possible after the meeting described above, the Chair of the PAC shall:
  - a. request each candidate to begin assembling all relevant material, subject to the outline and size limitations set by the College of Arts and Sciences (CAS), which the candidate wishes to present for review;
  - b. request each candidate to provide to the PAC, by May 10, a list of persons, if any, from whom the candidate wishes the PAC to request letters of evaluation. The candidate may designate specific areas of inquiry for specific individuals on the list.
  - c. request each candidate to notify the PAC whether he or she wishes a special peer evaluation of his or her teaching to be conducted and included in the promotion materials, as detailed below.
  - d. for each candidate, solicit several external letters of evaluation as detailed below.
4. The Chair of the PAC shall appoint a subcommittee for each candidate for promotion. The members of the subcommittee should be chosen from among those willing to serve on such a subcommittee and who are acceptable to the candidate. This subcommittee is subject to ratification by the PAC. Its function is to advise and assist the candidate in assembling material relevant to the candidate's promotion case. Candidates may submit any material, subject to CAS size and outline limitations, which they deem useful and beneficial; it is not intended that any valid documentation in the candidate's behalf be excluded.
5. Candidates for promotion may at their option, request a peer evaluation of their teaching effectiveness. Upon receiving such a request, the Chair of the PAC and

- the candidate jointly will determine the details for conducting the evaluation (e.g., the identity of the evaluator, the classes to be evaluated, the use of videotape facilities, etc.).
6. The Chair of the PAC shall ask several scholars not associated with SIUE to evaluate professional achievements of a candidate for promotion. The Chair of PAC shall select some of the names from the list provided by the candidate, if the candidate chooses to provide such a list, and shall select some of the names independently. Evaluators should be persons whose documented scholarly activities are in the same general area as that of the candidate. To the extent possible, candidates for promotion should submit all promotion materials to the PAC by August 15.
  7. A faculty member may withdraw his or her candidacy for promotion at any time by so notifying the PAC in writing.
  8. During the last two weeks of August the members of the PAC shall individually review the promotion materials which have been submitted by the candidates for promotion. Shortly after September 1, the PAC will vote, by secret ballot, on the question of recommending promotion for each candidate.
  9. The Chair of the PAC will notify each candidate of the result of the above balloting. For those candidates whom the PAC has declined to recommend for promotion, the Chair of the PAC shall provide upon request a statement, oral or written at the candidate's option, of the reason for the decision.

## **Section 6: Miscellaneous**

### **Article I. Relationship to Other Documents**

- A. Any policy in these Working Papers that is in conflict with a policy of the University or of the College of Arts and Sciences is nullified and replaced by the corresponding policy of the superior organization. The rights and privileges granted to the Department and its members by the University or by the College of Arts and Sciences override any construction of any statement in these Working Papers restricting those rights and privileges.
- B. The provisions of these Working Papers override those of all previous versions of the Departmental Working Papers and shall override any conflicting provision of policy or procedure that might be established by the Chair of the Department or by any committee of the Department unless these Working Papers shall have been amended so as to accommodate the conflicting policy or procedure.

- C. The parliamentary procedure followed at meetings of the Department and its committees shall be that prescribed by the current edition of *Robert's Rules of Order*, except where specific contrary provisions have been made in these Working Papers. The Chair of the Policy Committee may designate a member of the Department to act as Parliamentarian at meetings of the Department.

## **Article II. The Compendium of Policies**

The Policy Committee shall maintain in book form a compendium of policies adopted by that committee or by the Department as a whole. Each policy statement in the compendium shall contain the policy's date of adoption, if known, and shall specifically reference all prior policies that are nullified or modified by the new policy contained therein. The Chair of the Policy Committee is responsible for maintaining the compendium and an up-to-date index of it. Each December, the Policy Committee shall distribute to the Faculty copies of all new policies adopted and copies of modifications made to existing policies during the year past, together with an updated index to the whole book.

## **Article III. Amending These Working Papers**

The amendment of any part of these Working Papers requires the approval, by written ballot, of the majority of the whole Faculty. Amendments may be proposed by the Policy Committee or by five members of the Department. A proposed amendment must be presented to the Department in writing and must be discussed at a meeting of the Department at least five days before the issuance of a ballot. The statement of a proposed amendment may be modified by a majority vote of those present at the aforementioned meeting, provided that a quorum is present.

## **Article IV. Definitions**

Any reference in these Working Papers to times measured in days or weeks applies to those days or weeks when the full normal class schedule is in effect. References to time intervals measured in months or years shall have their usual meaning.