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PERSONNEL PROCEDURES DEPARTMENT OF MATHEMATICAL SCIENCES

In making personnel recommendations, the department acts in accordance with policies, practices and directives of the Board of Regents, the university, and the College of Liberal Arts and Sciences.

I. RECOMMENDATIONS FOR PROMOTION AND TENURE

Recommendations concerning promotion, tenure, retention and merit rating reflect careful evaluation of the teaching effectiveness, scholarship and service of the faculty member. These evaluations will be based on the criteria described in the university's Academic Personnel Process (Constitution and Bylaws, Article 5), Policies, Procedures, and Criteria Concerning Personnel Recommendations of the College of Liberal Arts and Sciences, and the Bylaws of the Department of Mathematical Sciences.

The University Constitution and Bylaws state:

The decision to recommend a faculty member for a tenure appointment is the most critical decision made by an academic department, a college, and the university. Each department has the responsibility of building the most capable faculty possible within its means. The process of building a strong faculty involves not only the recruitment of the most promising candidates available, but also the critical evaluation of their teaching, scholarship, and service to the university community and to their profession during their probationary period.

Decisions on tenure substantially determine the quality of teaching, scholarship, academic counseling, and creative planning available to the department, college, and university. Accordingly, a recommendation for tenure is justified only for those faculty members who have demonstrated to the satisfaction of appropriate faculty bodies and administrative officers that they are fully qualified to discharge their responsibilities in advancing the mission of the department, college, and university on a long-term basis as a teacher-scholar.¹

The department must discharge its responsibilities to the university while maintaining flexibility in its personnel decisions. Accordingly, non-tenured faculty will not be recommended for tenure unless

- (1) the department has anticipated long term needs for a faculty member within the candidate's area of specialization and unless

¹Constitution and Bylaws, Article 5.4

- (2) the candidate has proven to have the ability to carry out the responsibilities of a faculty member with distinction on a permanent basis.

II. THE PERSONNEL COMMITTEE

In accordance with the principle of peer review, recommendations on promotion, tenure, retention, and merit rating are made by the Personnel Committee, a body of ten members elected from the faculty of full and associate professors by those members of the department who are on continuing contract. The Personnel Committee is constituted as follows:

- (i) four full professors (category FP)
- (ii) six additional members, either full professors or associate professors (category P).

The chair of the department is an eleventh (ex-officio) member of the committee who acts as chair of the committee but does not vote on promotion, tenure, or retention decisions. The chair makes a separate recommendation on these issues.

The elected members of the committee shall be on continuing contract and shall have served the department at least one year. The committee is elected to staggered two-year terms according to the procedures of Sections 6 and 8 of the department bylaws.

III. CONFIDENTIALITY OF PERSONNEL DECISIONS

All deliberations of the Departmental Personnel Committee, concerning personnel matters are confidential. Any breach of confidentiality is regarded by the department and the college as a serious breach of professional ethics. The findings or recommendations shall be divulged only by the chair.

IV. RECOMMENDATIONS CONCERNING ASSISTANT PROFESSORS

- (1) Recommendations concerning assistant professors are made by all eleven members of the Personnel Committee. A quorum is eight members which may consist of seven voting members and the chair or eight voting members.
- (2) The following procedure is carried out in evaluating assistant professors.
 - a. A subcommittee is appointed to evaluate the performance, relative to promotion, tenure, and retention, of each assistant professor who is in the third or subsequent year at NIU. This subcommittee consists of at least three members.
In the case of assistant professors who are in their first or second year of a seven year probationary period at NIU a subcommittee usually consists of one member.

- b. The subcommittees evaluate the scholarly work, the teaching, and the service to the department and university of the assistant professors to whom they are assigned. The subcommittee then reports back to the Personnel Committee.
- c. If, as a result of a report by a one-person subcommittee, it is felt that a recommendation on promotion, tenure, or termination might well be made, a subcommittee of at least three members re-evaluates the individual and reports back to the Personnel Committee.
- d. For tenure-track faculty who are about to complete their third year on a seven year probationary contract, or for those about to complete the first year on a four year probationary contract, the evaluation shall include a particularly thorough review of the candidate's scholarly work. At this time the department will make its required determination of the anticipated long-term needs for the instructional and research capabilities of the candidate.
- e. In order to involve the full faculty, by March 1 the committee sends a list of all candidates for tenure and promotion to the appropriate faculty body (for tenure recommendations, the body of all tenured faculty members, and for promotion, the body of all full and associate professors). The committee invites input on the record of each assistant professor to be received by the chair and committee secretary by March 31.

The committee may, at its discretion, seek opinions on the scholarly work of assistant professors from experts, either inside or outside of the department, particularly when the committee does not contain such an expert.

When, upon vote, the committee has determined that it is reasonable that a positive recommendation might result, the committee selects experts in the candidate's field, and solicits evaluative letters on the scholarly work of the candidate. The experts are selected by the committee from a list of names suggested by committee members. All such letters will be part of the committee's recommendation.²

- f. Decisions on recommendation for promotion, tenure and retention are made by the Personnel Committee as follows:

Positive recommendations on retention of a regular faculty member without tenure require a simple majority of those committee members voting.

Positive recommendations on tenure are made by the tenured members of the committee; a 2/3 majority of the tenured membership is required.

Positive recommendations on promotion require a 2/3 majority of those committee members voting.

- (3) Written comments in support of these recommendations are prepared by the committee and the chair in accordance with the procedures outlined in Article 6.2 of the University Constitution and Bylaws.

²In accordance with the CLAS Policies, Procedures, and Criteria Concerning Personnel Recommendations (February 23, 1999) section on recommendations for promotion in academic rank (I.F.1) "Departmental personnel recommendations shall be accompanied by at least four (4) letters of external evaluation."

V. RECOMMENDATIONS CONCERNING FULL PROFESSORS AND ASSOCIATE PROFESSORS

- (1) Recommendations concerning full and associate professors are made by a committee consisting of the four full professors in category FP of the Personnel Committee and the chair. A quorum is four members which may consist of three voting members and the chair or four voting members. The majorities required for recommendations for promotion, tenure, or retention are as in IV(2)f. Recommendations on tenure for full and associate professors are made by the tenured members.
- (2) No members of this committee take part in discussions or decisions concerning recommendations of promotion, tenure, or retention for themselves.
- (3) The following procedure is carried out in evaluating associate and full professors.
 - a. The committee evaluates the scholarly work, teaching, and service to the department and university of all associate and full professors who are candidates for promotion or tenure.
 - b. For tenure-track faculty who are about to complete their third year on a seven year probationary contract, or for those about to complete the first year on a four year probationary contract, the evaluation shall include a particularly thorough review of the candidate's scholarly work. At this time the department will make its required determination of the anticipated long-term needs for the instructional and research capabilities of the candidate.
 - c. By March 1 a list of all candidates for promotion or tenure is sent to the appropriate faculty body (for tenure recommendations, the body of all tenured faculty members, and for promotion, the body of all full professors). The committee invites input on the record of each candidate to be received by the chair and committee secretary by March 31.

The committee may, at its discretion, seek opinions on the scholarly work of the candidate from experts, either inside or outside of the department, particularly when the committee does not contain such an expert.

When, upon vote, the committee has determined that it is reasonable that a positive recommendation might result, it solicits evaluative letters on the scholarly work of the candidate from experts in the candidate's field. The experts are selected by the committee from a list of names suggested by committee members and (separately) by the candidate. All such letters will be part of the committee's recommendation.
- (4) Written comments in support of these recommendations are prepared by the committee and the chair in accordance with the procedures outlined in Article 6.2 of the University Constitution and Bylaws.

VI. RECOMMENDATIONS CONCERNING THE DIVISION OF STATISTICS

- (1) Recommendations on retention, promotion, and merit evaluations for members of the Division of Statistics are made by the division.
- (2) Recommendations on tenure for members of the Division of Statistics are considered by the Personnel Committee of the department. These recommendations originate in the Personnel Committee of the Division of Statistics, as indicated in the personnel procedures of the Division of Statistics.
- (3) Positive recommendations on tenure for assistant professors are made by the tenured members of the Personnel Committee of the department and require a 2/3 majority of the tenured membership.
- (4) Positive recommendations on tenure for full and associate professors are made by members of the Personnel Committee of the department in category FP, and require a 2/3 majority of the tenured membership.

VII. FACULTY EVALUATION

- (1) The Faculty Evaluation Committee of the Department of Mathematical Sciences consists of the chair of the department and three other members of the Personnel Committee, elected by the committee. It is constituted as follows:
 - (i) the chair of the department;
 - (ii) one professor elected from the four full professors in category FP; and
 - (iii) two members elected at large from the Personnel Committee.
- (2) The Faculty Evaluation Committee evaluates the performance of each faculty member in the department outside the Division of Statistics and makes a recommendation on merit ratings, following the procedures laid down by the College Council. The criteria for merit evaluation are the same as those for promotion.
- (3) The recommendation on merit rating for a member of the Faculty Evaluation Committee is made in that individual's absence by the other members of the Faculty Evaluation Committee.
- (4) The recommendations of the Faculty Evaluation Committee concerning assistant professors are received by the Personnel Committee. Recommendations concerning full and associate professors are received by members of the Personnel Committee in category FP.
- (5) The chair writes faculty members, informing them of their merit evaluations by the Faculty Evaluation Committee and by the chair.

- (6) The chair of the department is evaluated by the full personnel committee before the Faculty Evaluation Committee initially meets. The criteria for merit evaluation are administrative and academic leadership, as well as those considered standard for other faculty members. The senior member of the Personnel Committee informs the chair of the merit evaluation, in writing, only after all faculty merit evaluations have been completed, and before transmitting it to the college office.

VIII. NOTIFICATION AND TRANSMISSION OF PERSONNEL RECOMMENDATIONS

- (1) Faculty members are notified of recommendations concerning them, for promotion, tenure, termination, or merit evaluation, by the chair of the department at least five working days before the college deadline. The chair is responsible for transmission of the recommendations to the college.
- (2) After all recommendations have been forwarded to the college, the body of all tenured members of the department shall be informed of the Personnel Committee's recommendations on tenure and retention. The body of all full and associate professors in the department shall be informed of the Personnel Committee's recommendations on promotion to associate professor. The body consisting of all full professors shall be informed of the Personnel Committee's recommendations on promotion to full professor.

IX. DEPARTMENTAL RECONSIDERATION AND APPEAL PROCESS

Faculty members may request reconsideration of any personnel recommendation concerning themselves. The reconsideration shall be made by the body which made the recommendation.

Requests for reconsideration for recommendations on promotion, tenure and retention must be made in writing, and must be heard before the college deadline.

Members of the Division of Statistics may appeal a negative recommendation on tenure made by the division. Such appeals must be in writing and must be heard before the college deadline for recommendations on tenure.

The majorities required for recommendations for promotion, tenure, or retention are as in IV(2)f.

X. STUDENT INVOLVEMENT IN PERSONNEL RECOMMENDATIONS

Results of the department's "Student Evaluation of Teaching" questionnaire are considered in all evaluations of a faculty member's teaching, together with any pertinent signed comments made by students to the department.

GENERAL CRITERIA FOR PROMOTION AND TENURE

All faculty members being considered for promotion and/or tenure will be evaluated in the areas of (1) scholarship, (2) teaching, (3) service to the department and university and, in the case of faculty in mathematics education, (4) activities in professional education. An accumulation of achievements in all of these areas will be considered, but a candidate whose performance in either area (1) or (2) is unsatisfactory will not be recommended for promotion or tenure. Promotion will not normally be recommended until an individual has successfully served a minimum of six years in rank, at NIU and other institutions of higher education.

In greater detail, the criteria used in making these evaluations are as follows:

- I. For promotion from assistant professor to associate professor and/or tenure:
 - (1) Superior scholarship in the past and definite promise of continued excellence; evidence that the faculty member is in the process of achieving professional recognition among leaders in the individual's discipline. Scholarship should emphasize the acquisition of new knowledge, but in the case of faculty in mathematics education, weight may be given to the published dissemination of knowledge. Evidence of scholarly achievement and promise may include:
 - a. Publication of scholarly papers in recognized journals appropriate to the individual's discipline.
 - b. Publication of monographs and books reflecting an advanced level of scholarship.
 - c. Postdoctoral fellowships and memberships in various institutes, during the academic year and the summer.
 - d. Invitations to address colloquia or seminars at other universities.
 - e. Active participation in discussions and seminars, both formal and informal.
 - f. Recommendations of established scholars in the field.
 - g. Participation in professional meetings, and contributions of papers and abstracts.
 - h. NSF and other postdoctoral research grants.³
 - i. Service as a referee for recognized journals.
 - j. Service as a reviewer for papers in the mathematical sciences.
 - (2) Contributions to the propagation of the mathematical sciences. These may include:
 - a. Good teaching as recognized by students and colleagues.

³In accordance with the CLAS Policies, Procedures, and Criteria Concerning Personnel Recommendations (February 23, 1999) section on recommendations for promotion in academic rank (I.F.3.d.2) "It is also expected that a candidate [for promotion to the rank of associate professor] shall have submitted one or more proposals to granting agencies for external funding of the candidate's scholarly program." ["This policy shall be effective for faculty members whose tenure-track appointment shall have begun during or after August, 1998."]

- b. Development of new course materials.
 - c. Design and/or implementation of new courses or curricula.
 - d. Authorship of textbooks or lecture notes.
 - e. Direction of dissertations or theses.
 - f. Active participation in discussions, both formal and informal, concerning the teaching and development of course offerings in the mathematical sciences.
 - g. Academic responsibilities undertaken as coordinator of a multisection course.
 - h. Activities in other areas of education.
- (3) Service to the department, the university, and the profession. Such service may include:
- a. Service on department and university committees.
 - b. Service as an advisor to students.
 - c. Sponsorship of student organizations.
 - d. Service as a coordinator of a multisection course.
 - e. Service to professional societies.
- (4) Activities in professional education. Such service may include:
- a. Responsibilities for the professional education of teachers of mathematics (and prospective teachers of mathematics) in the elementary and secondary schools.
 - b. Service to a local, district, regional, state, or national precollege or college educational administrative unit or professional organization as a teacher, consultant, director, or coordinator of a mathematical science continuing education activity.
 - c. Service as a member or chair of a program or organizing committee for, or participation at, a local, state, or national conference, institute, or workshop designed to contribute directly or indirectly, to the mathematical science continuing education of professional personnel in administrative units listed in (b) above.
 - d. Service as a specialized consultant to an educational unit listed in (b) above.
 - e. Service to the professional community through membership on a local, state, or national educational study or advisory board, panel, or commission.
 - f. Authorship of a paper, chapter, or book, or editorship of a collected work, intended for clientele of the administrative units listed in (b) above.

II. For promotion from associate professor to full professor:

All of (1),⁴ (2), and (3) above plus other signs of distinction; for example:

⁴In accordance with the CLAS Policies, Procedures, and Criteria Concerning Personnel Recommendations (February 23, 1999) section on recommendations for promotion in academic rank (I.F.3.d.3) “It is also expected that, subsequent to having been promoted to the rank of associate professor or to having been hired at the rank of associate professor, a candidate [for promotion to the rank of professor] shall have submitted one or more proposals to granting agencies for external funding of the candidate’s scholarly program.” [“This policy shall be effective for faculty who are recommended for promotion to the rank of professor during and after Fall 2000.”]

- a. Invitations to deliver major addresses at professional meetings.
- b. Membership on editorial boards of research journals.

III. For early promotion or tenure:

In order for a candidate to qualify for early promotion or tenure, the candidate's record of achievement must show clear evidence of a quality of scholarship that is extraordinary as compared to normal departmental standards. This extraordinary level of achievement should be reflected in letters of evaluation from prominent experts outside of the department.