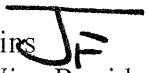


December 1, 2006

Dean's Office  
DEC 06 2006  
Arts & Science

## MEMORANDUM

TO: Neal Carothers  
Mathematics and Statistics

FROM: John W. Folkins   
Provost and Vice President for Academic Affairs

RE: Updates to Promotion and Tenure Document

Your recent revision to your unit's promotion and tenure document has been reviewed and approved at all levels. This represents a significant step forward for the University, as it creates an unambiguous standard for the recognition of engaged activities. Although all agree that engagement with community partners is not necessary for successful fulfillment of faculty duties in teaching, research, and service, the revision of the promotion and tenure documents opens the door to allow, recognize, and encourage faculty to engage with community partners in all their scholarly undertakings.

C: D. Nieman  
D. Madigan

# Departmental Policies for Annual Review for Merit, Contract Renewal, Promotion, and Tenure of Tenured, Probationary, and Full-Time Non-tenure Track Faculty

Department of Mathematics & Statistics  
College of Arts & Sciences  
Bowling Green State University

## I. Department Policy

The Department of Mathematics and Statistics (hereafter, department) explains by means of this policy statement the procedures, criteria, and standards that it will use in the annual evaluation of faculty for salary changes (merit), promotion, tenure, and contract renewal. This statement is provided to all faculty in the department upon request and a copy is maintained in the department office. It has been approved by the faculty of the department, in accord with department policies, and by the College of Arts and Sciences.

This document provides the criteria used by the department to establish whether faculty members have met the standards set forth by the department and the College in cases involving reappointment, promotion, the awarding of tenure, and merit. It adds detail specific to the profession of the mathematical sciences and the department. It complements the standards as printed in the University's Academic Charter (sections B-I.C and B-I.D). These departmental policies are subject to current University policies and procedures as described in the University's Academic Charter and in the Faculty Review Guidelines and Procedures, maintained by the Office of the Provost.

Throughout this document the term *mathematical sciences* includes mathematics, statistics, mathematics education, actuarial science and related disciplines.

### I.A. Departmental Standards and Goals

The department emphasizes both teaching and research. Our goal is to develop a faculty comprised of outstanding teachers/researchers. We aspire to be ranked by the American Mathematical Society, the American Statistical Association and the National Research Council as a premier institution for scholarship in the mathematical sciences. Additionally, we aspire to be among the institutions recognized for their excellence in training mathematics and statistics students at the undergraduate and graduate levels. The standards we use to establish measures of accomplishment in research, teaching and service for those seeking promotion or tenure will be commensurate with these aspirations.

To achieve its objective as a premier learning community, the University expects faculty participation in the interdependent areas of teaching, research, and service that is of the highest quality. The essence of the department's evaluation process is to improve faculty members' performance through appropriate evaluation and timely feedback.

Careful and consistent application of the criteria and standards in evaluating faculty performance in teaching, research/creative work, and service are of fundamental importance in achieving the department's mission and in protecting the rights of the individual faculty member. Department review processes will be conducted responsibly and fairly.

## **I.B. The Academic Charter**

### **I.B.1. Faculty Appointments**

The Academic Charter (B-I.C.2) defines two types of faculty appointments (tenure track and non-tenure track) and distinguishes between two types of tenure track appointment (probationary and tenured). Non-tenure track appointments are discussed in Section B-I.C.2.a of the Academic Charter. Probationary appointments and the policies associated with them are described in Section B-I.C.2.b of the Academic Charter. Tenured appointments and the policies associated with such appointments are described in Section B-I.C.3 of the Academic Charter, which includes statements on the meaning, obligations, and termination of tenure.

For non-tenure track faculty, evaluation for renewal or merit is subject to (and limited by) the terms of their appointment. In all cases, this will include teaching and service; under special circumstances it may also include research/scholarly activity.

The University Policy on Faculty Appointment and Tenure (section B-I C) and the statement on Evaluation of Faculty Personnel (section B-I D ), as contained in the Academic Charter, identify the three relevant evaluation criteria for regular faculty as teaching, research/creative work, and service and define the basic requirements for merit, contract renewal, tenure, and promotion.

In accordance with the Academic Charter (section B-I.D.2a), the department has developed more specific criteria in teaching, research, and service for its regular faculty. These specific criteria are indicated below.

### **I.B.2. Annual Review for Reappointment**

The Academic Charter mandates a comprehensive annual review of all non-tenure track continuing faculty members in Section B-I.D.4 (Instructor) or Section B-I.D.5 (Lecturer), and of probationary tenure track faculty members in B-I.D.2.b. For probationary faculty members, the overriding question to be considered by the department and the dean during the annual review is whether or not the candidate is making satisfactory progress toward tenure. Probationary faculty members who are awarded two or three-year contracts shall be reviewed during the last year of the contract to determine whether the candidate is making satisfactory progress toward tenure and whether the contract shall be renewed.

#### **I.B.2.a Probationary Faculty**

The department requires an annual review of all probationary faculty. In conducting the review, the overriding question to be considered by the department and the dean is whether or not

the candidate is making satisfactory progress toward tenure. Annual reviews shall be based on the following criteria.

#### **I.B.2.a (i) Teaching**

The Chair will appoint tenured faculty members to observe and write a teaching effectiveness report for at least two of the classes taught by the probationary faculty member during each year of the probationary period. These reports will be shared with the candidate and the tenured faculty shall use them as partial evidence of teaching effectiveness. Student evaluations of teaching will be collected and summarized for additional evidence of quality teaching. Other items that are considered include, teaching awards, innovative teaching methods, experiments in curricular design, thesis supervision at the graduate or undergraduate level. (See III for the factors used in the evaluation of teaching.)

#### **I.B.2.a (ii) Research**

Probationary faculty are assigned to the research emphasis category of the department and are expected to demonstrate the ability to meet the criteria of that category during their probationary years. In order to be recommended for reappointment, probationary faculty will be expected to make satisfactory progress in meeting these criteria. (See II(B) for a description of the research emphasis category and IV for the factors used to evaluate research.)

#### **I.B.2.a (iii) Service**

Service to the department, university, community, and profession is encouraged. Effective service will be judged on contributions to one or more of these areas. (See V for the factors used to evaluate service.)

#### **I.B.2.b Non-tenure track faculty**

The department requires an annual review of all full-time non-tenure track faculty. Student evaluations of teaching will be collected and summarized for evidence of quality teaching. In addition, the Chair will appoint faculty members to observe and write a teaching effectiveness report for at least two of the classes taught by the candidate each year. These reports will be shared with the candidate and the Chair shall use them as partial evidence of teaching effectiveness. Other items that are considered include teaching awards, innovative teaching methods, and experiments in curricular design. Primary consideration will be given to teaching effectiveness and service; however research accomplishments will also be considered, when appropriate.

Those faculty members who are candidates for reappointment are subject to the appropriate annual evaluation procedures and criteria for merit or promotion as outlined in B-I.D.1.c and B-I.D.2.a of the Academic Charter. Recommendation for reappointment will be made by the Advisory Committee and the Chair based upon the needs of the department to continue the position as well as the annual evaluation of the candidate.

#### **I.B.3. Review for Tenure**

The department has the primary responsibility for evaluating probationary faculty for tenure. Probationary faculty members may seek tenure at any time during the

probationary period. Because department and college review committees apply tenure standards without discounted expectations based on a shorter probationary period, faculty members are discouraged from seeking early tenure decisions unless there are compelling reasons for doing so.

Faculty should have established a strong research record at the time of their tenure review. Additionally, faculty must demonstrate an ability to teach effectively at all appropriate levels within a range of courses given by the department.

Because it is the practice of the College of Arts and Sciences not to accept a recommendation for tenure without a corresponding recommendation for promotion, as a general rule the department will not recommend tenure without a simultaneous recommendation for promotion to associate professor. The candidate for tenure will generally have a doctorate in the mathematical sciences or a closely related discipline. The requirements for tenure as set forward by the College of Arts and Sciences and the Governance Documents B.I.C. 3 will apply as well as the following criteria specific to the department.

### **Criteria for Tenure and Promotion to Associate Professor**

#### **I.B.3.a Teaching**

Faculty must demonstrate an ability to teach effectively in a range of courses given by the department. It is expected that candidates for tenure will receive student and peer teaching evaluations that indicate quality teaching at the undergraduate level and also at the graduate level when assignments make this possible. Because undergraduate instruction is an important component of the mission of the department, candidates will be expected to demonstrate the ability to engage and motivate undergraduates in the study of the mathematical sciences.

#### **I.B.3.b Research**

The candidate will conduct research in the mathematical sciences that leads to innovative concepts, insights, methodologies, discoveries, structures, theorems, or conjectures. Such research will be published in the refereed journals appropriate to the candidate's discipline. At the time of the tenure review, candidates are expected to have established a strong record of research accomplishment that will undergo external peer review by at least three scholars in the candidate's area of expertise. External peer review will be a significant indicator of research quality. Candidates should demonstrate the ability for continuing membership in the research emphasis category of the department and contributions to the graduate program will be expected. In particular, candidates in a Ph.D. granting area of the department's programs will be expected to demonstrate the potential to direct doctoral students. All candidates for tenure and promotion are expected to actively seek external funding.

#### **I.B.3.b (i) Engaged Scholarship**

The department acknowledges the value that engaged scholarship brings to the department, the faculty, the university, and the community. The department wishes to recognize such work and fairly reward faculty who commit their time and energy to scholarship that benefits the larger community. However, it is optional for faculty to pursue engaged scholarship.

Faculty in the department have been involved in various forms of engaged scholarship that include but are not limited to:

- Conducting applied research in the mathematical sciences on critical problems facing local communities and governments today.
- Serving on local, county, state, and federal government advisory panels and commissions, applying expertise in the mathematical sciences to the identification, review, and resolution of issues facing the community.
- Working to improve K-12 mathematics education by serving on school and government panels, offering courses targeted to pre-service and in-service K-12 teachers, advising K-12 teachers pursuing research in mathematics education, and team-teaching with K-12 teachers.

For a more complete discussion of university definitions, standards, and policies regarding engaged scholarship, see the Report of the Task Force on Scholarship of Engagement and the Final Report of the Standards Committee on the Scholarship of Engagement, August 1, 2005.

For the purposes of merit as well as tenure and promotion, scholarship of engagement activities should be evaluated both on the basis of their value to the public and on their impact on the mathematical sciences.

For each project related to the scholarship of engagement, the faculty member should prepare a written statement with supporting documentation addressing the following points:

1. Project goals and scope (including number of partners involved and people affected).
2. Significance of the work to the community and to the profession.
3. Faculty member's role in the project.
4. Evidence of sound scholarship within the mathematical sciences.
5. Outcome and impact of the project.

Points 1, 2, 3, and 5 should be documented in writing, including evaluative statements from community partners. Point 4 should be documented by evidence of favorable external peer review (e.g., a peer-reviewed journal article or funded peer-reviewed grant proposal).

#### **I.B.3.c Service**

The candidate shall be judged to serve effectively on department committees and show initiative in helping the department meet its programmatic goals.

#### **I.B.4. Review for promotion**

The department also has the primary responsibility for the comprehensive review of all faculty members nominated for promotion. The qualifications for assistant professor, associate professor and professor are described in B-I.D.2.a.1(b), (c), and (d) of the Academic Charter. The department may stipulate criteria and standards for promotion that differentiate among the ranks with regard to their expected contributions to the

department's performance as long as those criteria and standards do not conflict with the provisions of the Academic Charter and of the College. The following are the requirements for the Department of Mathematics and Statistics.

#### **I.B.4.a Promotion to Associate Professor**

Promotion to Associate Professor in the department usually occurs simultaneously with the granting of tenure. Thus the criteria for promotion to Associate Professor, specific to the department, are described in the paragraphs describing review for tenure. In rare cases, faculty may be considered for promotion to Associate Professor before the awarding of tenure.

#### **I.B.4.b Promotion to Professor**

Promotion to Professor in the department serves as formal recognition by the university and the department of a faculty member's outstanding career achievements in teaching and research. To qualify for promotion to the rank of professor, the candidate should possess a record, since receiving tenure and promotion to associate professor, that indicates substantial, significant, and continued development and accomplishment in teaching, research, scholarship or creative work, and service. A decision on whether the conditions of this requirement have been satisfied will be based on the results of a detailed examination of the candidates' overall record.

There is no normal time schedule for promotion from associate professor to professor. In the following, we will assume that the criteria for tenure have been satisfied and discuss the additional expectations required for promotion to professor. These criteria are consistent with the university Governance Documents B.I.D. as applied to achievements in teaching, service, and research.

### **Departmental Criteria for Promotion to Professor**

#### **I.B.4.c Teaching**

The post-tenure record of the successful candidate will reflect a sustained commitment to teaching in the expanded sense, which includes education outside of as well as within the formal classroom setting. In most cases candidates will be expected to demonstrate the ability to teach a range of undergraduate and graduate courses appropriate to the candidate's discipline. In cases where the candidate's discipline does not allow graduate course assignments, teaching will be judged on undergraduate course assignments and contributions to the training of graduate students that have been made. Candidates in a Ph.D. granting area of the department's programs will generally be expected to have directed doctoral students or to have made other significant contributions to the graduate program. Evaluation of the quality of teaching will employ the same factors used for tenure and for review for merit. (See III.)

#### **I.B.4.d Research**

The post-tenure record of the successful candidate will reveal continued production of significant research. Both quality and quantity will be considered. The research accomplishments of the candidate will undergo external peer review by at least three scholars in the candidate's area of research and these reviews will form an integral part

department's performance as long as those criteria and standards do not conflict with the provisions of the Academic Charter and of the College. The following are the requirements for the Department of Mathematics and Statistics.

#### **I.B.4.a Promotion to Associate Professor**

Promotion to Associate Professor in the department usually occurs simultaneously with the granting of tenure. Thus the criteria for promotion to Associate Professor, specific to the department, are described in the paragraphs describing review for tenure. In rare cases, faculty may be considered for promotion to Associate Professor before the awarding of tenure.

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Promotion to Professor in the department serves as formal recognition by the university and the department of a faculty member's outstanding career achievements in teaching and research. To qualify for promotion to the rank of professor, the candidate should possess a record, since receiving tenure and promotion to associate professor, that indicates substantial, significant, and continued development and accomplishment in teaching, research, scholarship or creative work, and service. A decision on whether the conditions of this requirement have been satisfied will be based on the results of a detailed examination of the candidates' overall record.

There is no normal time schedule for promotion from associate professor to professor. In the following, we will assume that the criteria for tenure have been satisfied and discuss the additional expectations required for promotion to professor. These criteria are consistent with the university Governance Documents B.I.D. as applied to achievements in teaching, service, and research.

### **Departmental Criteria for Promotion to Professor**

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#### **I.B.4.d Research**

The post-tenure record of the successful candidate will reveal continued production of significant research. Both quality and quantity will be considered. The research accomplishments of the candidate will undergo external peer review by at least three scholars in the candidate's area of research and these reviews will form an integral part



of the department's recommendation for promotion. The department will specifically consider the following additional factors: (i) range of research interests (i.e. new areas of inquiry); (ii) awards and other evidence of recognition by peers and the profession; (iii) efforts in securing external funding. The overall research record will be evaluated by the same factors used for tenure and review for merit. (See IV.)

#### **I.B.4.d (i) Engaged Scholarship**

The department wishes to recognize engaged scholarship and fairly reward faculty who commit their time and energy to scholarly activities that benefit the larger community (see I.B.3.b (i)). Evaluation of the quality of engaged scholarship will employ the same factors used for tenure and for review for merit. (See IV.)

#### **I.B.4.e Service**

It is expected that the successful candidate for promotion to professor will have demonstrated a willingness to accept an expanded service role since promotion to associate professor. Evaluation of service will include service to the department, the university, and to the profession. (See V.)

### **I.B.5. Review for Merit**

The department has the primary responsibility for making all recommendations of salary changes (merit) for faculty (Section B-I.D.1 of the Academic Charter). Although the Academic Charter does not require that this be done annually, University practice has been to encourage such reviews on an annual basis to provide feedback on performance to the faculty member regardless of whether or not a merit salary allocation is made in a particular year.

## **II. Allocation of Effort**

### **II.A. Allocation of Effort**

The department expects as a whole to maintain an allocation of effort among regular faculty that approximates 40% teaching, 40%, research/ creative work, and 20% service.

### **II.B. Duty Assignment Categories**

Tenured and probationary faculty in the department will be placed into one of four duty assignment categories based on different expectations in the areas of research, course load, and service. Although the goal of the department is for the majority of the faculty to be in the research emphasis category, faculty members in all categories are expected to play a role in the undergraduate program in the department.

#### **R-Category (Research Emphasis)**

Faculty members in the R-category are expected to contribute significantly to the research environment in the department. They should conduct research in addition to being active in the graduate and undergraduate programs. Such research is expected to lead to scholarly publications, invited talks at research conferences, external funding for

research, the direction of dissertations, etc. The duty assignments are to: (i) Engage in research leading to refereed publications, with a target of the equivalent of three refereed publications (published or accepted for publication) over each three year period (equivalencies such as Ph.D. direction, grant submission, etc. are to be determined by the Personnel Committee) and be actively involved in the graduate program; (ii) Teach the equivalent of 12–14 credit hours per year with a target of 12 credit hours (and three or four courses) per year; (iii) Engage in committee work and/or other service activity as assigned by the department. Probationary faculty are assigned to the research emphasis category and are expected to demonstrate the ability to meet the criteria of that category during their probationary years.

### **G-Category (General Emphasis)**

Faculty members in the G-category are expected to contribute to the research environment of the department. They are expected to conduct research in their field of study and to be active in both the graduate and undergraduate programs. Members of the G-category are expected to direct more of their energies toward the undergraduate program than members of the R-category. The duty assignments are to: (i) Engage in research leading to refereed publications, with a target of the equivalent of one refereed publication over each three year period (published or accepted for publication); (ii) Teach the equivalent of 16–20 credit hours per year with a target of 18 credit hours (and four to six courses); and (iii) Engage in committee work and/or other service activity as assigned by the department.

### **T-Category (Teaching Emphasis)**

Faculty members in the T-category are expected to engage in professional activity in their field of study and to play a major role in the undergraduate program in the department. The duty assignments are to: (i) Engage in professional activity not necessarily leading to refereed publication; (ii) Teach 21–25 credit hours per year with a target of 22 credit hours per year (and five to seven courses); and (iii) Engage in committee work and/or other service activity as assigned by the department.

### **S-Category (Special)**

Faculty members in this category are expected to perform specific duties as assigned by the department Chair with approval by the Advisory Committee. This category is mainly intended for individuals, such as the Chair or Assistant Chair, whose heavy service obligation effectively precludes membership in one of the other three categories. In special cases this category may also be used, at the discretion of the Chair and the Advisory Committee, to meet department research and teaching objectives.

## **II.C. Evaluation**

Faculty members will be evaluated by the Personnel Committee each year depending on their category and according to the following guidelines. This evaluation will be based on the accomplishments over the most recent 3-year period on a rolling basis. Below, it is understood that we use the words research, teaching, and service to

describe the totality of activities that contribute to research, teaching, and service, respectively.

**R:** The main consideration in this category will be the quality and quantity of the research of the faculty member. Quality and quantity of teaching and service will also be considered.

**G:** The main consideration will be the quality and quantity of research and teaching, both considered equally. Quality and quantity of service will also be considered.

**T:** The main consideration will be the quality and quantity of teaching. Quality and quantity of research and service will also be considered.

**S:** The rationale for judgment will be tailored to the individual and will be explicitly stated at the time the assignment is made.

### III. Evaluation of Teaching

It is the position of the department that the teaching duties of a faculty member encompass more than the course load assignment. In particular, advising both undergraduate and graduate students, independent study courses, course coordination, running graduate student seminars, pedagogical activities, curriculum design, advising undergraduate groups, coaching mathematics and/or statistics teams, directing undergraduate research, directing graduate research, writing and grading of comprehensive and preliminary exams, membership on preliminary committees and doctoral committees, mentoring, honors talks, participation in professional development activities, participation in graduate research seminars, etc. are all activities that should be included in the evaluation of teaching. The number of credit hours taught in relation to the duty assignment of the faculty member is also a consideration in judging teaching, although it is understood that if the needs of the department necessitate that a faculty member teach less than their target, they will **not** be penalized. In addition to course load and the quantity of teaching activities, the department feels strongly that the quality of teaching and teaching activities should be used in evaluation. In order to evaluate quality teaching the department will employ at least three of following indicators of teaching effectiveness.

(i) Student evaluations: The department requires that all faculty submit student evaluations for each course to the Personnel Committee. These evaluations provide input into the peer evaluation of teaching.

(ii) Peer evaluations: Faculty members may request a peer classroom observation to become part of their annual evaluation.

(iii) Teaching awards: Teaching awards are considered a major indicator of teaching quality.

(iv) Recruitment of students: Successful recruitment of Bowling Green students to the mathematics and statistics major, student clubs, or other groups of departmental interest is evidence of quality of teaching activities.

(v) Placement and advising of students: Placement of students (graduate or undergraduate) in jobs or graduate programs is evidence of the quality of teaching activities.

(vi) Extramural support: Extramural support of activities under the umbrella of teaching will be considered significant evidence of teaching quality. Applying for such support will be considered evidence of the faculty member's commitment to teaching excellence.

(vii) Student awards: If an undergraduate or graduate student receives an award for outstanding research under the supervision of a faculty member, this is considered strong evidence of quality of teaching.

#### **IV. Evaluation of Research/Creative Work**

Making significant contributions to the knowledge base of the mathematical sciences is a central responsibility of all faculty members. The department believes that a healthy and productive research environment is central to our departmental goals and will improve the quality of instruction. Thus the department places vital importance on the evaluation of faculty members achievement in this area. Again, it is understood that the department feels strongly that in judging research, one must consider a broad range of activities including publication of articles (both refereed and unrefereed), publication of books, participation in professional meetings, research seminars and colloquia, editing professional journals, reviewing articles, refereeing articles, application for extramural grants, directing graduate research, directing undergraduate research, running readings courses for graduate students, teaching special topics for graduate students, etc. In addition to the quantity of research activity, the department considers the quality of research to be extremely important. The department leaves it to the Personnel Committee to make an overall evaluation of research activity based on both quantity and quality. The following are among the items that provide evidence of research quality:

(i) Quality of Journal: The quality of the journal in which a paper appears is considered evidence of the quality of the paper. Similarly, the quality of a book or research monograph can be judged on the basis of the quality of the series in which the book or monograph appears.

(ii) Reviews: The tenor of a review, as in the Mathematical Reviews for example, of an article or book may be considered in evaluating the quality of the publication.

(iii) Citations: The number of citations received by a book or article may be used to judge the quality of the work.

(iv) Extramural Support: The seeking of extramural support is considered evidence of a commitment to research quality. Successfully obtaining extramural support for research will be viewed as significant evidence of the quality of the research. If a faculty member applies for external funding but is not successful, the reviewer's reports may be used, at the choice of the faculty member, as evidence of the quality of research.

(v) External Recognition: Invited presentations and external research awards are considered evidence of research quality.

### **Evaluation of Engagement Activities**

For the purposes of merit as well as tenure and promotion, scholarship of engagement activities should be evaluated both on the basis of their value to the public and on their impact on the mathematical sciences.

For each project related to the scholarship of engagement, the faculty member should prepare a written statement with supporting documentation addressing the following points:

1. Project goals and scope (including number of partners involved and people affected)
2. Significance of work to the community and to the profession
3. Faculty member's role in the project
4. Evidence of sound scholarship within the mathematical sciences
5. Outcome and impact of the project

Points 1, 2, 3, and 5 should be documented in writing, including evaluative statements from community partners. Point 4 should be documented by evidence of favorable external peer review (e.g., a peer-reviewed journal article or funded peer-reviewed grant proposal).

### **V. Evaluation of Service**

All faculty are expected to share in the administrative responsibilities of the department. The department feels strongly that a broad range of activities fall under the umbrella of service. In particular, course coordinating, editing a journal, refereeing for a journal, leadership in professional organizations, serving on professional committees, advising students, recruiting students, advising student groups, running departmental computer systems and labs, serving on committees, chairing departmental committees, serving on and chairing university and college committees, consulting, providing community outreach, etc. all should count toward the service evaluation of a faculty member. The department considers the quality of service in addition to the quantity of service. Faculty members may submit supporting evidence for their service activities.

Approved by the Department of Mathematics and Statistics

Chair Neal C. Carberry Date 11/29/06

Reviewed by the Dean [Signature] Date 11-30-06

concur  do not concur for the following reason(s): \_\_\_\_\_

Reviewed by the Provost/VPAA John Folkins Date 12-1-06

concur  do not concur for the following reason(s): \_\_\_\_\_