Abstract. The Faculty Handbook of the UAB Department of Mathematics represents agreements and understandings among the faculty and the Chair of the Department concerning policies and procedures which are used in the normal operation of the Department. This handbook does not attempt to include all policies of the College or University.

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These policies and procedures for UAB’s Department of Mathematics are in addition to those required by UAB and the College of Arts and Sciences. In case of a conflict between this handbook and the corresponding documents of the college or UAB the latter will take precedence.

1. Faculty Ranks

The Department uses the following faculty rank designations:

- Instructor
- Assistant Professor
- Associate Professor
- Professor (Full Professor)

The position of a faculty member may be non-tenure-earning, tenure-earning, or tenured as stated on his or her letter of appointment. Appointment as instructor is always non-tenure-earning. The promotion of an instructor to any of the other ranks is not possible. This does not infringe on the right of an instructor to apply for an open position at a tenure-earning rank.

In this document the designation regular faculty member will refer to faculty members whose primary appointment and major responsibilities are in the Department of Mathematics.

2. Appointments

For appointment to the rank of Instructor, the Department requires relevant teaching experience and that the candidate’s abilities are recognized by professionals through letters of recommendation.

For appointment to the rank of Assistant Professor, the Department requires that the candidate demonstrates the potential for research (evidenced by a research plan and by at least three external letters of recommendation), as well as for teaching (evidenced by a teaching statement and at least one letter of recommendation) and service.

For appointment to the rank of Associate or Full Professor, the Department requires performance of the candidate on a level which would warrant promotion to that rank (see Sections 3.2 and 3.3).

Recommendations for faculty appointments are made by the Chair\(^1\) to the Dean\(^2\) after consultation with the faculty. To this end the Chair will convene an appointment committee (the Recruiting Committee). All regular members of the faculty may elect to serve on the committee. The Chair may also appoint other individuals to the committee. Committee members are instrumental in identifying a pool of candidates and examine the formal applications. At the end of this process the Recruiting Committee will meet and establish a list of candidates (ranked or unranked) as recommendation to the Chair. The Recruiting Committee – through assigning some of its members to the task – hosts those candidates invited for an interview and prepares their itineraries. After the interviews the committee meets again to decide on a list (ranked or unranked) of candidates it recommends to hire.

3. Promotion and Tenure

The award of tenure is a commitment by the University to support a faculty member indefinitely. It is the responsibility of the faculty member to convince the relevant committees and administration that this long-term commitment is in the

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\(^1\)Throughout this document the term “Chair” should be understood as “Chair of the Department of Mathematics”.

\(^2\)Throughout this document the term “Dean” should be understood as “Dean of the College of Arts and Sciences”.

interest of UAB. Similarly, promotions are irreversible and it is the faculty member’s responsibility to make the case for promotion.

3.1. **Criteria for Tenure.** In accordance with UAB policies tenure may be conferred only upon candidates holding the ranks of Associate Professor or Professor. A candidate at the rank of Assistant Professor is awarded tenure only at the time of promotion to the rank of Associate Professor. Candidates at the ranks of Associate Professor or Professor may be in a tenure-earning position for a length of time specified in their letter of appointment. To be awarded tenure a candidate must show a sustained level of performance which would warrant promotion to their current rank (cf. Sections 3.2 and 3.3) including an assessment of the candidate’s performance during his/her years of employment at UAB.

3.1.1. *Probationary period for tenure.* A tenure earning faculty member will be considered for tenure at the latest in his or her sixth year at UAB. The Department may choose to consider applications for tenure and promotion after a shorter period, if the criteria are clearly met through a combination of previous experience and performance at UAB.

3.2. **Criteria for Promotion to Associate Professor.** For promotion to Associate Professor, the Department requires that the candidate have demonstrated excellence in the areas of teaching and research. The candidate should also have shown potential for service to the Department or the University. There must be clear evidence of an ongoing research program of high quality.

3.2.1. *Indicators for promotion to Associate Professor.* The following lists of indicators for performance in research, teaching and service apply to candidates for promotion to Associate Professor. While these performance indicators are widely recognized in academia as important, the Department may also agree to other indicators proposed by the individual in consideration for promotion.

*Indicators for evaluating research and scholarship:*

- Publication record: Quality of publications as measured, e.g., by the reputation of journals, citation record and peer reviews. Quantity of publications as well as distribution over time (steadiness of record). Evidence of independence and creativity. Publications may include published software and the development of internet resources.
- Peer opinions by experts from within the field of mathematics and, where applicable, applied fields on the quality of the candidate’s work (through letters by external reviewers, opinions of faculty members within the Department, and from annual peer evaluations, as per Section 3.6).
- External grant support: Continued efforts to obtain external funding. Success and/or positive perspective for future success in obtaining funding will be considered.
- Standing in the mathematical community (and more broadly the scientific community), as evidenced, e.g., by invitations for conference talks as well as external colloquium and seminar talks (including the reputation of the hosting institution or organizers), interdisciplinary research, collaboration with researchers at other institutions and involvement in editorial work.

*Indicators for evaluating teaching performance:*

Candidates for tenure or promotion to Associate Professor are expected to have demonstrated understanding of the importance of the teaching mission of the Department and to have appropriately allocated time towards this task.

The quality of teaching performance is indicated by:
• Successful teaching as evidenced, e.g., by student perception and reaction documented in student ratings of instruction, course materials (including class handouts, syllabi, exams, course web pages, multi-media presentations), as well as enrollment and success of students in classes. For tenure-earning faculty evidence of teaching performance will be documented through annual peer evaluation of teaching performance, including reports on classroom visits; see Section 3.6.

• Mentoring and advising of undergraduate or graduate students. In particular, successful advising of PhD or Master theses, though not expected, will be considered.

**Indicators for evaluating service performance:**

The Department expects that its untenured Assistant Professors will devote most of their time to developing their research and teaching programs. Nevertheless, evidence should be presented that the candidate is willing and competent to contribute constructively to the administration of the Department, for example as expressed in annual peer reviews.

Some examples of service contributions are:

• Committee work (on the departmental, university-wide and professional levels).
• Curriculum development and course coordination.
• Organizing seminars or colloquia.
• Organizing or participating in outreach activities.
• Refereeing and reviewing.
• Editorial work.
• Organizing scientific meetings.

### 3.3. Criteria for Promotion to Professor

A candidate for promotion to Professor is expected to have demonstrated continued evidence for excellence in research, teaching and service. Higher emphasis is put on achievements after the promotion to Associate Professor. Except in extraordinary cases, Associate Professors are expected to serve a minimum of five years at that rank before consideration for promotion to the rank of Professor.

The candidate is expected to have an international reputation in research with sufficient evidence to substantiate that reputation. Evidence will be sought that the candidate’s research has a significant positive impact upon the educational mission of the Department. A candidate requesting promotion to Professor is expected to have demonstrated leadership ability within the Department and to have made significant contributions in the area of service.

All of the indicators described above for tenure and promotion to Associate Professor apply for promotion to Professor as well. Additional indicators for promotion to Professor include

• substantial success in obtaining research funding,
• international standing and reputation,
• successful supervision of PhD and Master’s students,
• successful involvement in course and program development.

### 3.4. Applications for Promotion or Tenure

Any tenured or tenure-earning regular faculty member (including the candidate) may recommend to the Chair that an eligible faculty member be considered for tenure or promotion. Such a recommendation must be made in writing to the Chair before the deadline for promotion and tenure consideration for that academic year - see Section 3.4.1.
Upon receiving such a recommendation, the Chair will call a meeting of the appropriate committee to consider the recommendation provided the faculty member who is nominated agrees to be considered.

Tenure-earning faculty will automatically be considered for tenure or promotion during the last year of their tenure-earning period.

3.4.1. **Timeline for applications.**

<table>
<thead>
<tr>
<th>Month</th>
<th>Event</th>
</tr>
</thead>
<tbody>
<tr>
<td>May 25</td>
<td>Applications and nominations to the department chair</td>
</tr>
<tr>
<td>June 1</td>
<td>List of candidates due in dean’s office</td>
</tr>
<tr>
<td>September 1</td>
<td>Submission of information to the department chair (see Section 3.4.2)</td>
</tr>
<tr>
<td>December 1</td>
<td>Letters of external reviewers due back in department</td>
</tr>
<tr>
<td>February 1</td>
<td>Complete dossier due in dean’s office</td>
</tr>
</tbody>
</table>

3.4.2. **Information to be submitted.** Candidates for promotion or tenure must submit the following information to the Department Chair by September 1 of the academic year in which the candidate is to be considered: (1) A written statement declaring that the candidate wishes to be considered for promotion, tenure, or both. (2) A curriculum vitae or résumé, with a list of publications. (3) A research statement and plan. (4) A teaching statement. Candidates may also submit the names and addresses of individuals, not employed by UAB, who may be used as evaluators of the candidate’s scholarly work. They may also request that certain individuals not be used as external evaluators. Additionally, the candidate may include for consideration any material which he or she may think is relevant. Suggestions for materials to be included in tenure and promotion packages are provided in Appendix A of this handbook.

3.5. **Procedures for Department Recommendations.** Tenure and promotion will be considered by separate committees. A tenure committee will consist of all tenured regular Department members. A promotion committee consists of all tenured regular Department members at the rank sought by the candidate or higher. The Chair of the Department serves as an ex officio, non-voting member of these committees. All deliberations of the committees are confidential. Decisions of the committee are reached by a simple majority of its members.

The first action of a promotion or early tenure committee will be to decide whether the promotion or early tenure case should be considered to the point of reaching a recommendation for the Dean. If the committee’s decision is negative, the candidate is notified in writing of this decision and the reasons for it. The candidate may then appeal to the Chair, who may concur with the committee, or instruct the committee to proceed to a recommendation for or against promotion or early tenure. The Chair’s decision is transmitted in writing to the candidate and to the committee.

In the case of a member who has served the full probationary period, a tenure committee must necessarily be convened and proceed to a recommendation for or against tenure.

If, after the initial consideration described above, a tenure or promotion committee proceeds to make a recommendation, it will seek additional information from the candidate or external sources. In particular, six to eight national or international experts in the candidate’s research area must be consulted.

The process is administered by two secretaries selected from and by the tenure (promotion) committee. The secretaries

- convene the committee when necessary,
- advise the candidate on the compilation of relevant materials,
• communicate with external sources of information, in particular, the external experts chosen,
• organize the voting procedure, and
• coordinate the writing of a letter to the Chair of the Department stating the relevant facts and subsequent assessments.

Relevant information is assembled in a file which is made available to all members of the tenure (promotion) committee. After the file is complete the tenure (promotion) committee will convene. Since it is indispensable that the reasons for any decision to be arrived at are properly documented in a letter to the Chair of the Department all committee members are encouraged to state their opinions including a preliminary judgment for or against tenure (promotion). Opinion Forms will be used to record views and judgments of committee members. These forms are signed by the members and made available to the entire committee. If the judgment is not unanimous, at least one more meeting of the tenure (promotion) committee must take place. After the committee decides to end its deliberations a final ballot, with a specified deadline, will be distributed to all members of the committee. In this ballot the members of the committee vote for or against tenure (promotion) or they may abstain from a vote. In accordance with the college’s handbook the final ballot is secret. Next, the secretaries will write a first draft of a letter to the Chair of the Department stating the relevant facts (including the results of the vote) and subsequent assessments as gathered from the deliberations and the Opinion Forms. Committee members may suggest amendments to the letter. If necessary a meeting is called at which the committee decides on a final version of the letter. All Opinion Forms are then discarded but the final ballots are kept for a period of at least three years.

The Chair of the Department writes a separate recommendation and informs the candidate in writing whether a recommendation for or against tenure (promotion) has been made. The recommendation is forwarded to the Dean of the College of Arts and Sciences unless the candidate withdraws his or her application prior to this time.

3.6. Evaluation of Tenure-Earning Faculty Members. The academic performance of each regular faculty member in a potentially tenure-earning position will be reviewed annually. The purpose of this review is to evaluate the members progress toward a positive tenure decision. The mechanism will be as follows:

In the Fall term, the FAC\(^3\) will form a committee to act as a review committee. The committee will consist of three tenured members of the Department at the same rank or higher as the candidate. The review committee will ask the member for an updated resumé, and other material that the committee thinks might be useful and arrange for a classroom visit. After seeking information from others where appropriate, the review committee will compose a letter of evaluation of the member’s overall performance as a faculty member, addressing the criteria for tenure. This letter should contain a clear statement as to whether the member is progressing satisfactorily toward tenure in the judgement of the committee at that time, identify areas of weakness which may have been perceived, and where possible suggest positive steps the member might take to improve in these areas.

The letter of evaluation should be given to the Chair of the Department, by April 1, along with the information file. The Department Chair shall provide copies of the letter of evaluation and the information file to any tenured faculty member who requests it. The Chair will also write a letter of evaluation. Copies of letters with names of all individuals who provided confidential information to the committee redacted will be given to the member. A non-redacted version of the letter will be placed in the member’s file.

\(^3\)Faculty Affairs Committee
By May 1, the member may insert into his or her file a letter responding to the committee’s or the Chair’s letter of evaluation, with copies to the committee or Chair as appropriate.

3.7. **Retention.** All initial appointments for tenure-earning regular faculty members are for two years unless a shorter term has been designated in the letter of appointment. Tenure-earning appointments may be renewed annually for one year thereafter until the probationary period expires or tenure is awarded in accordance with Section 3.1 and the UAB Faculty Handbook.

3.8. **Teaching Evaluation.** It is the responsibility of the individual faculty member to produce evidence of good teaching in seeking promotion or tenure. Faculty members should keep records of courses taught, material covered, examinations, dissertations supervised, and any material that might indicate student progress to which the faculty member has contributed. Student opinions should be solicited via the student ratings administered by the University. Records should be kept for subsequent tenure and promotion evaluations. However, we emphasize that a primary goal is that students learn and any evidence that documents the faculty member’s contribution to that learning is useful.

3.9. **Files.** Tenure and promotion and evaluation committees build information files. These files contain information gained with the promise of confidentiality and, as a consequence, are not made available to the candidate. Upon completion of the committee’s work, the committee chair places his or her copy in a closed Department file to be accessible only to a properly constituted University agency investigating the proceedings, or in the event of legal action, to authorized agencies engaged in this action. The other committee members destroy their copies of the information file. Information from these files are to be treated as confidential by committee members.

4. **DEPARTMENT SABBATICAL LEAVE POLICY**

The purpose of a sabbatical leave is normally to enhance research productivity and expertise. Faculty members are expected to spend a major portion of the leave away from UAB working with experts who are not normally available on a daily basis. We refer the reader to the current UAB Faculty Handbook for other requirements.

It shall be the responsibility of the departmental FAC to consider and make recommendations to the Chair on all matters concerning sabbatical leave requests, including the establishment of priorities and resolution of conflicts, although the final recommendation to the dean will be made by the Chair of the Department.

5. **SALARY INCREMENT POLICY**

The University of Alabama at Birmingham has set the policy that salary increments should be on the basis of merit.

Merit will be judged for faculty primarily by performance in research, teaching, service, and other scholarly activities. In the area of service, the key factors will be potential or actual impact on programs, students, the University or community. The evaluation of research will be based on the quality and quantity of original work that is published or accepted for publication, and success in applying for grants to support that research. The impact of a faculty member’s research upon the teaching mission of the University will be a factor. Distinguished teaching, work with graduate students, serving as a mentor to undergraduate students, and program or course development will be considered. Other scholarly activities such as the writing of textbooks, participation in seminars, and invited addresses, are to be recognized as constituting part of one’s professional activity. It will be the
responsibility of the Chair to weigh the importance of particular activities for each faculty member. In all these matters the emphasis will be upon that which is actually accomplished. The discharge of one’s normal duties alone will not be necessarily a factor in merit increases.

6. Workload Policy

The term workload refers to one’s participation in the various activities normally associated with our profession, including teaching, research, curriculum development, contribution to Department and University administration, interaction with other departments and with the community in mathematics related endeavors, and service to the profession.

The Chair will make decisions involving workload with the purpose of seeing that Department obligations are met with a reasonable distribution among Department members.

Normally, the workload will consist of a course teaching load as well as participation in service and research activities. Lighter or heavier course loads may be assigned by the Chair to Department members with heavier or lighter, respectively, responsibilities in research and service.

This workload policy applies to all regular full-time faculty in all terms of the academic year.

7. Faculty Affairs Committee (FAC)

7.1. Composition.

7.1.1. Membership. The Department FAC shall consist of five elected members, one elected by and from each of the following constituencies: the Instructors, the Assistant Professors, the Associate Professors, the Professors (these four ranks without regard to tenure status), and one member elected from the tenured faculty by the faculty as a whole. It is understood that these constituencies overlap. The Chair of the Department is an ex officio nonvoting member of the FAC.

7.1.2. Chair of the FAC. The member elected by the faculty as a whole shall serve as chair of the FAC.

7.2. Responsibilities.

7.2.1. Advising the Chair. Responsibilities of the FAC include advising the Chair of the Department and informing the faculty on all matters of faculty concern. In particular, the FAC advises on sabbatical recommendations, see Section 4.

7.2.2. Grievances. The FAC may be called on to consider a grievance, see Section 8.

7.2.3. Evaluation Committees. The tenured members of the FAC shall appoint evaluation committees for the annual evaluation of tenure-earning faculty members, see Section 3.6.

7.2.4. Amendments to this Handbook. The FAC shall vote on any change to this handbook, see Section 10.

7.2.5. Faculty Elections. The FAC shall supervise all elections called for by Department, College, and University policies and procedures. In particular, the election of the department’s representative in the CAS Faculty Affairs Committee will follow the rules, where applicable, set forth in Section 7.4.
7.3. **Meetings.** The FAC meets as needed. Meeting times should be announced to the faculty and should be open to faculty attendance unless the chair of the FAC declares a closed session for reasons of confidentiality. A special meeting may be called by the Department or FAC chair, any two FAC members, or any five faculty members.

7.4. **Elections.** Election of members to the Department FAC shall be held annually in April. Terms shall be for one year, commencing August 15.

7.4.1. **Election Procedure.** The following procedures shall be followed in each FAC election.

1. All regular faculty members are eligible to vote, except that no person holding administrative position at or above the rank of Chair is eligible to stand for election or vote.
2. The election for all five positions shall be held simultaneously.
3. Voting shall be by secret ballot using the approval voting system (see below).
4. The election by the faculty as a whole shall take precedence over the election by rank; that is, a candidate winning the election by the faculty as a whole is automatically disqualified from winning the election by rank.
5. The Draft. The name of every person eligible to hold a position shall appear on the ballot as a candidate for that position, with the following exceptions:
   (a) Any faculty member who has served on the Department FAC for two consecutive years may be removed from the ballot(s) for the next year at his or her request.
   (b) Any faculty member without tenure may be removed from the ballot at his or her request.
   (c) Any faculty member may request of the Chair of the Department that his or her name be removed from the ballot(s) because of special circumstances. The Chair of the Department may grant or deny the request at his or her discretion.

7.4.2. **Approval Voting System.** In the approval voting system, each voter may cast a vote for every candidate on the ballot of whom the voter approves, from zero up to as many votes as there are candidates, but in no case more than one vote for any single candidate. The candidate with the largest approval vote total wins the election. Ties are broken by lot.

7.4.3. **Replacement.** If it becomes necessary to replace an FAC member prior to the annual election, the candidate on the most recent relevant ballot having the next highest number of votes shall be the replacement, with ties broken by lot. An FAC member may be replaced for any of the following reasons:

1. The member is unable to continue serving, and the position has been declared vacant by the Chair of the Department.
2. The member has requested that the Chair of the Department relieve him or her of these duties because of special circumstances, and the request has been granted.

7.4.4. **Shortage of Candidates.** If only one eligible candidate remains on the ballot in a rank, that candidate is elected. In the event no eligible candidate remains in a rank, the FAC shall proceed short-handed until the next election.

8. **Grievances**

In accordance with the UAB Faculty Handbook, a faculty member in the Department of Mathematics with a grievance in any matter relevant to his or her position as a University faculty member, other than those described in the UAB Faculty Handbook, should file a written complaint and seek solution of the problem through the Chair of the Department. If a solution is not reached, then the faculty
member or the Chair may request that the Department FAC consider the grievance. In that case the FAC will conclude their deliberations by writing a report to the Chair copied to the faculty member that describes their recommendations and appropriate justifications for their conclusions. If a satisfactory resolution is not forthcoming, then the faculty member should follow guidelines described in the UAB Faculty Handbook.

9. Emeritus Faculty

Candidates for emeritus status will normally be faculty retiring after at least ten years of service at UAB who are at the rank of Professor and who have made outstanding contributions to the University that go beyond the normal duties of a professor of mathematics. Any professor (including the candidate) may nominate a faculty member for emeritus status by writing a letter to the Chair delineating the reasons that the faculty member should be considered. The Chair will call a meeting of the Full Professors (excluding the candidate) to consider the nomination. Department approval requires that a two-thirds majority of a committee consisting of Full Professors and the Chair vote in favor of the candidate. Other requirements as outlined in the UAB Faculty Handbook or in policies of the College of Arts and Sciences should also be followed.

10. Amendments

A proposal for an amendment to these policies may be made in writing to the Chair of the Department or to the chair of the FAC by any regular Department member. Amendments to these policies and procedures require a $\frac{3}{5}$ majority vote in favor of the amendment by the Department FAC and the approval of the Chair of the Department. The vote of the Department FAC should occur only after the proposal has been considered at a well publicized meeting of the entire faculty with all views being heard. Approval by vote of the FAC will be reported to the faculty with a deadline before which any member may request a full departmental meeting for ratification of the proposal by a two-thirds majority vote of regular Department members. If the proposed amendment fails to gain ratification by a two-thirds majority vote of the tenured regular Department members, then it is not included in these policies. In the absence of a request for a full departmental meeting, the proposal will be considered to have been approved by the Department. The proposal will go into effect immediately with the approval of the Chair.

Appendix A: Suggested Materials for Tenure and Promotion Packages

The following list of materials suggested for inclusion in promotion and tenure applications serves the purpose of helping candidates with preparing an application. It is a complement to the Provost’s “Instructions for preparing promotion and tenure applications” available at

http://main.uab.edu/Sites/provost/facultyresources/54342/

- Full publication list, including software and internet resources, as well as books edited or other editorial work.
- Copies of all papers published (included in a separate file, only used for departmental review).
- List of refereeing and reviewing activities (mention journals and organizations served).
- Record of all applications for external grants (funded and non-funded).
- List of invited and contributed talks at conferences (specify if plenary address), colloquium and seminar talks.
• List of students advised and mentored on all levels (including degrees awarded where applicable).
• List of all classes taught, separated by semester.
• Summaries of student evaluations as well as lists of individual comments (the latter only for departmental review). For tenure and promotion to Associate Professor these materials should be provided for all courses taught while on a tenure-earning appointment. For promotion to Professor materials for courses taught as Associate Professor should be provided.
• Samples of course materials.
• List of all service activities including periods of time when these activities were performed, objectives of the activities, and any measures of success in achieving these objectives.
• For applications for tenure: Annual peer evaluations; see Section 3.6.

APPENDIX B: ETHICAL GUIDELINES

The Department of Mathematics assents to the “Ethical Guidelines of the American Mathematical Society” which are given below in their entirety. These guidelines were prepared by the Special Advisory Committee on Professional Ethics, which consisted of Murray Gerstenhaber, Frank Gilfeather, Elliott Lieb, and Linda Keen (chair), and adopted by the Council of the AMS in the Spring of 1995 in the name of the Society. Acting upon recommendations from the AMS Committee on the Profession, in January 2004 the Council approved a general revision to the document. In January 2005, the Council adopted these guidelines “so as to speak in the name of the Society.” The following is copy of the guidelines was downloaded from http://www.ams.org/about-us/governance/policy-statements/sec-ethics on January 2011.

ETHICAL GUIDELINES OF THE AMERICAN MATHEMATICAL SOCIETY

To assist in its chartered goal, “...the furtherance of the interests of mathematical scholarship and research ...”, and to help in the preservation of that atmosphere of mutual trust and ethical behavior required for science to prosper, the Council of the American Mathematical Society sets forth the following ethical guidelines. These guidelines reflect its expectations of behavior both for AMS members, as well as for all individuals and institutions in the wider mathematical community, including those engaged in the education or employment of mathematicians or in the publication of mathematics. These guidelines are not a complete expression of the principles that underlie them. The guidelines are not meant to be a complete list of all ethical issues. They will be modified and amplified by events and experience. These are guidelines, not a collection of rigid rules.

The American Mathematical Society, through its Committee on Professional Ethics (COPE), may provide an avenue of redress for individual members injured in their capacity as mathematicians by violations of these ethical principles. In each case, COPE will determine the appropriate ways in which it can be helpful (including making recommendations to the Council of the Society). The AMS cannot enforce these guidelines, however, and it cannot substitute for individual responsibility or for the responsibility of the mathematical community at large.

I. MATHEMATICAL RESEARCH AND ITS PRESENTATION

The public reputation for honesty and integrity of the mathematical community and of the Society is its collective treasure and its publication record is its legacy.

The knowing presentation of another person’s mathematical discovery as one’s own constitutes plagiarism and is a serious violation of professional ethics. Plagiarism may occur for any type of work, whether written or oral and whether published or not.
The correct attribution of mathematical results is essential, both because it encourages creativity, by benefiting the creator whose career may depend on the recognition of the work and because it informs the community of when, where, and sometimes how original ideas entered into the chain of mathematical thought. To that end, mathematicians have certain responsibilities, which include the following:

* To endeavor to be knowledgeable in their field, especially about work related to their research;
* To give appropriate credit, even to unpublished materials and announced results (because the knowledge that something is true or false is valuable, however it is obtained);
* To publish full details of results that are announced without unreasonable delay, because claiming a result in advance of its having been achieved with reasonable certainty injures the community by restraining those working toward the same goal;
* To use no language that suppresses or improperly detracts from the work of others;
* To correct in a timely way or to withdraw work that is erroneous.

A claim of independence may not be based on ignorance of widely disseminated results. On appropriate occasions, it may be desirable to offer or accept joint authorship when independent researchers find that they have produced identical results. All the authors listed for a paper, however, must have made a significant contribution to its content, and all who have made such a contribution must be offered the opportunity to be listed as an author. Because the free exchange of ideas necessary to promote research is possible only when every individual’s contribution is properly recognized, the Society will not knowingly publish anything that violates this principle, and it will seek to expose egregious violations anywhere in the mathematical community.

II. SOCIAL RESPONSIBILITY OF MATHEMATICIANS

The Society promotes mathematical research together with its unrestricted dissemination, and to that end encourages all to engage in this endeavor. Mathematical ability must be respected wherever it is found, without regard to race, gender, ethnicity, age, sexual orientation, religious belief, political belief, or disability.

The growing importance of mathematics in society at large and of public funding of mathematics may increasingly place members of the mathematical community in conflicts of interest. The appearance of bias in reviewing, refereeing, or in funding decisions must be scrupulously avoided, particularly where decisions may affect one’s own research, that of colleagues, or of one’s students. When conflicts of interest occur, one should withdraw from the decision-making process.

A recommendation accurately reflecting the writer’s views is often given only on the understanding that it be kept confidential; therefore, a request for a recommendation must be assumed to carry an implicit promise of confidentiality, unless there is a statement to the contrary. Similarly, a referee’s report is normally provided with the understanding that the name of the writer be withheld from certain interested parties, and the referee must be anonymous unless otherwise indicated in advance. The writer of the recommendation or report must respond fairly and keep confidential any privileged information, personal or mathematical, that the writer receives. If the requesting individual, institution, agency or company becomes aware that confidentiality or anonymity can not be maintained, that should be immediately communicated.

Where choices must be made and conflicts are unavoidable, as with editors or those who decide on appointments or promotions, it is essential to keep careful records that would demonstrate the process was indeed fair when inspected at a later time.
Freedom to publish must sometimes yield to security concerns, but mathematicians should resist excessive secrecy demands whether by government or private institutions.

When mathematical work may affect the public health, safety or general welfare, it is the responsibility of mathematicians to disclose the implications of their work to their employers and to the public, if necessary. Should this bring retaliation, the Society will examine the ways in which it may want to help the "whistle-blower", particularly when the disclosure has been made to the Society.

No one should be exploited by the offer of a temporary position at an unreasonably low salary and/or an unreasonably heavy work load.

III. EDUCATION AND GRANTING OF DEGREES

Holding a Ph.D. degree is virtually indispensable to an academic career in mathematics and is becoming increasingly important as a certificate of competence in the wider job market. An institution granting a degree in mathematics is certifying that competence and must take full responsibility for it by insuring the high level and originality of the Ph.D. dissertation work, and sufficient knowledge by the recipient of important branches of mathematics outside the scope of the thesis. When there is evidence of plagiarism it must be carefully investigated, even if it comes to light after granting the degree, and, if proven, the degree should be revoked. Mathematicians and organizations involved in advising graduate students should fully inform them about the employment prospects they may face upon completion of their degrees.

IV. PUBLICATIONS

Editors are responsible for the timely refereeing of articles and must judge articles by the state of knowledge at the time of submission. Editors should accept a paper for publication only if they are reasonably certain the paper is correct.

The contents of submitted manuscript should be regarded by a journal as privileged information. If the contents of a paper become known in advance of publication solely as a result of its submission to or handling by a journal, and if a later paper based on knowledge of the privileged information is received anywhere (by the same or another journal), then any editor aware of the facts must refuse or delay publication of the later paper until after publication of the first—unless the first author agrees to earlier publication of the later paper.

At the time a manuscript is submitted, editors should notify authors whenever a large backlog of accepted papers may produce inordinate delay in publication. A journal may not delay publication of a paper for reasons of an editor’s self interest or of any interest other than the author’s. The published article should bear the date on which the manuscript was originally submitted to the journal for publication, together with the dates of any revisions. Editors must be given and accept full scientific responsibility for their journals; when a demand is made by an outside agency for prior review or censorship of articles, that demand must be resisted and, in any event, knowledge of the demand must be made public.

Both editors and referees must respect the confidentiality of materials submitted to them unless these materials have previously been made public, and above all may not appropriate to themselves ideas in work submitted to them or do anything that would impair the rights of authors to the fruits of their labors. Editors must preserve the anonymity of referees unless there is a credible allegation of misuse.

All mathematical publishers, particularly those who draw without charge on the resources of the mathematical community through the use of unpaid editors and referees, must recognize that they have made a compact with the community to disseminate information, and that compact must be weighed in their business decisions.

The Society will not take part in the publishing, printing or promoting of any research journal where there is some acceptance criterion, stated or unstated, that conflicts with the principles of these guidelines. It will promote the quick refereeing and timely publication of articles accepted to its journals.
Adopted by the Council of the American Mathematical Society in January 2005
so as to speak in the name of the Society.