

College of Arts and Sciences
Department of Mathematics and Statistics

Rank and Tenure Procedures and Criteria

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I Procedure

I.1 Evaluation of Application for Promotion and Tenure

Faculty in the Department of Mathematics and Statistics are evaluated for promotion and tenure using the procedures described in the *Faculty Manual* of Saint Louis University and in the College of Arts and Sciences Rank and Tenure Procedures and Criteria.

Table 1: Deadlines for Rank and Tenure and Promotion process.

March 15	Candidate notifies department Chair.
April 1	Candidate provides dossier for department feedback.
April 15	Department feedback provided to candidate.
May 1	Candidate provides updated dossier
May 15	Candidate provides list of proposed external evaluators.
Sept. 1	Final updated dossier due to the Chair.
Sept. 15	Department vote.
Oct. 1	Dossier submitted to the college by the Chair.

In the Department of Mathematics and Statistics, specific procedures for tenure and for promotion to Associate Professor and to Professor are as follows:

I.1.1 Responsibilities of the Candidate

The candidate for promotion should inform the department Chair by March 15 that the candidate intends to apply for promotion the following fall. By April 1 the candidate provides their dossier to the Chair, so that the faculty at rank can meet and provide constructive feedback to the candidate. The candidate submits an updated dossier to the Chair by May 1. The candidate should provide the Chair with a list of potential external evaluators, and a list of students from which to choose student evaluators. If the candidate has any special concerns, such as expected or known bias on the part of possible evaluators, the candidate should communicate these to the Chair. All of this should be done by May 15. The candidate should submit the completed dossier by September 1. The candidate's scholarly work and a short CV should be included as an appendix to the dossier. The candidate's student evaluations should be summarized in the dossier and included in full in an appendix to the dossier. Candidates for promotion to Associate Professor should include and summarize all Saint Louis University student evaluations at the rank of Tenure Track Assistant Professor. Candidates for promotion to Professor should ordinarily include and summarize the last five years of student evaluations.

I.1.2 Role of the Departmental Faculty

The role of the department faculty is given in section 4.2 of the College of Arts and Sciences Rank and Tenure Procedures. All faculty with rank Associate Professor or Professor and primary appointment in the department meet under the leadership of the Chair to discuss the tenure and/or promotion of a candidate applying for tenure and/or promotion to Associate Professor. All faculty with rank Professor and primary appointment in the department meet under the leadership of the Chair to discuss the application for promotion of a candidate to Professor. Non-tenure-track (NTT) faculty do not participate in the discussion and vote in cases of tenure-track faculty. NTT faculty do participate, along with the tenured faculty, in cases of promotion of NTT faculty. Thus, in accord with section 4.2, NTT faculty with the rank of Professor vote in cases of a NTT candidate for promotion to Professor or to Associate Professor, while NTT faculty with the rank of Associate Professor vote in the cases of a NTT candidate for promotion to Associate Professor.

Prior to this meeting, which is held in September, copies of the candidate's dossier are distributed to the faculty who are eligible to participate in the meeting. The candidate's application is discussed and then a vote via secret ballot for or against the tenure and/or promotion of the candidate is conducted.

I.1.3 Responsibilities of the Chair

The department Chair is responsible for administering the promotion and tenure process at the department level.

- **External evaluators**

The candidate submits names to be considered as external evaluators. The Chair adds names to the list. The Chair selects the external evaluators with at least one external evaluator chosen from the candidate's list; at the Chair's discretion, the Chair may consult appropriate faculty in selecting external evaluators.

In the case of an NTT candidate, the evaluators may include individuals from other units of the University who are acquainted with the candidate's pedagogical and service activities.

The Chair should obtain three letters of evaluation by scholars without conflict-of-interest affiliations. These evaluators must not include the candidate's mentors. The evaluators should not be scholars who have been co-authors and/or co-collaborators with the candidate within the past five years.

After consultation with the candidate and reviewing any relevant negotiated terms of employment, the Chair sends all materials to be counted toward promotion to each evaluator. The external evaluators are sent a cover letter, a brief vita of the candidate, and a copy of the department's tenure and promotion criteria. For NTT candidates, the Chair's cover letter to the external evaluators should include information about the candidate's responsibilities.

For promotion to Associate Professor with Tenure, the external evaluators should be provided with copies of all of the candidate's publications to be counted toward promotion. For promotion to Full Professor with Tenure, the external evaluators should be provided with the candidate's publications since the prior promotion.

For promotion to NTT Associate Professor and NTT Full Professor, the external evaluators will be provided with :

- The vita of the candidate.
- If available, publications since the prior promotion or publications since the time of hire.
- The dossier, to provide information about teaching related achievements.

The Chair's cover letter should request that external evaluators comment on the quality and significance of the candidate's work for which they have direct knowledge.

• **Student evaluators**

The candidate submits a list of varied students to fill out the student form (for example, majors and non-majors, students from introductory, advanced, and graduate courses, advisees as appropriate). The Chair makes a list of student evaluators. At the Chair's discretion, the Chair may consult appropriate faculty in selecting student evaluators. The Chair chooses two students, one from the candidate's list and one from the Chair's list. To provide adequate coverage of the candidate's work in teaching and advising, additional student letters may be solicited after consultation with the candidate.

Student evaluations do not go to The University Committee on Academic Rank and Tenure (UCART), but are included in the College Dossier.

The Chair compiles the candidate's dossier (including appendices), the student letters, and the letters from external evaluators and makes this information available to those faculty who will vote on the candidate. The Chair appoints a representative of appropriate rank, who presides over the faculty meeting to discuss and vote on the candidate, and fills out the department's form. The Chair does not participate in the departmental vote.

The Chair fills out the chair's form and writes a recommendation letter following instructions on the form, including categories of teaching, research and scholarship, and service and professional activities. The Chair's recommendation should also discuss the qualifications of the external reviewers. The Chair's recommendation should address both positives and negatives in the candidate's dossier, to the extent possible. Especially important is to explain the reasons behind any dissenting votes at the department level. The Chair assembles the department's part of the dossier.

I.2 Mentoring and Evaluation

I.2.1 Tenure-track faculty

Each spring, by January 31 the Chair will ask each untenured, tenure-track faculty member to submit the candidate's part of the dossier. The Chair distributes the dossier to the tenured faculty, who then meet, discuss the untenured faculty member, and advise the Chair what to communicate verbally and in writing to the untenured faculty member concerning progress towards tenure. This communication evaluates progress and provides mentoring feedback. A copy of the written evaluation is kept on file and a copy is also sent to the Dean. The Midpoint review which usually takes place in the third year, will be marked the "Midpoint Review" when it is forwarded to the Dean. (Note: This review is separate from the annual review of all faculty.)

I.2.2 Non-tenure-track faculty

For mentoring purposes, non-tenure-track faculty, in consultation with the Chair, may submit the candidate's part of the dossier for feedback regarding their progress towards promotion. This may be done each spring, and is encouraged for NTT faculty nearing an application for promotion.

For evaluation purposes, NTT faculty are required to submit their dossier in the Spring of their third year of employment. This review serves as the "Third Year Review of Non-Tenure-Track Faculty" as required by the *Faculty Manual*.

Mentoring and evaluation of NTT faculty is the responsibility of all department faculty at rank above the rank of the candidate. These faculty meet and discuss the dossier, then advise the Chair what to communicate verbally and in writing to the individual. A copy of the written evaluation is kept on file and is also sent to the Dean.

I.3 Procedure for Applications for Emeritus and Emerita Status

Tenured or non-tenure-track faculty members who meet the requirements outlined in the *Faculty Manual* are eligible for appointment to emeritus/a status. The Emeritus/a application cover form is available from the Provost Office.

The candidate submits a letter and the application cover form to the Chair requesting emeritus/a status, provides a rationale for emeritus/a status being awarded, and appends a current curriculum vitae. The Chair presides over a faculty meeting to discuss and vote on the candidate and fills

out the appropriate forms as may be required. All faculty members at the rank of Professor or Associate Professor in the department may attend the meeting and vote.

The application is then submitted to the College R&T committee, and then on to the Dean of Arts and Sciences for their recommendation. The materials are then forwarded to the Provost, who will make the final decision.

II Criteria

Candidates for promotion and tenure in the College of Arts and Sciences are evaluated according to the criteria in the *Faculty Manual* of Saint Louis University as interpreted and applied to the College of Arts and Sciences in *The Rank and Tenure Procedures and Criteria: College Level* document available on the College of Arts and Sciences Website. This document further interprets and applies those criteria to the Department of Mathematics and Statistics.

The criteria for promotion of tenured and tenure-track faculty are in the areas of teaching, advising, scholarship and research, service, and skill and knowledge of the field. Satisfactory performance is required in each area. Of these, teaching and research/scholarship are the most important. Good teaching is absolutely essential, and each university professor must be a scholar.

The criteria for promotion of non-tenure-track faculty are in the areas of teaching, advising, scholarship, service, and skill and knowledge of the field. Satisfactory performance is required in each area. Of these, teaching is the most important. Good teaching is absolutely essential, and a successful candidate must demonstrate evidence of a commitment to the department through service and scholarship.

Collegiality is not a distinct criterion but may be discussed in the context of teaching, research and scholarship, and service, but only in the context of the candidate's job performance.

II.1 Criteria for Promotion to Associate Professor with Tenure

- **Teaching**

Faculty members seeking promotion and/or tenure should demonstrate success in teaching a variety of courses appropriate to their backgrounds and the needs of the department.

Curriculum development and the supervision of undergraduate research projects, master's theses, and doctoral dissertations are considered contributions to teaching.

Documentation of teaching quality may include (but is not necessarily limited to) the responses to quantitative and open-ended questions on student evaluation forms; peer evaluation by colleagues; sample teaching materials that the candidate may wish to submit; and the comments on the student, and chair forms. The candidate's teaching should be demonstrated to be of high quality by the picture that emerges from reviewing these documents in the sense that these indicators should be positive overall.

- **Advising**

Advising includes the formal and informal activity of providing academic, professional, and career advice to undergraduate and graduate students. Although supervision of undergraduate research projects, master's theses, and doctoral dissertations is considered part of teaching, a

faculty member who supervises work of this kind often plays a significant role as an advisor as well.

Indicators of the quality of advising may include (but are not necessarily limited to) the number of advisees, the amount of time devoted to advising, letters from current and former advisees, and the comments made in the student, and chair forms.

- **Scholarship and Research[†]**

The candidate should have established a program of ongoing research of high quality and a substantial reputation beyond the thesis.

There are many ways to demonstrate that such a program and reputation have been established, and it is not possible to specify the precise number of publications that would be required. However, it is unlikely that one can meet this criterion without publishing three papers, at least two of which go beyond the thesis. The quality of the publications is important, as well as quantity.

The most important evidence of research quality is the publication of refereed papers in well-regarded journals, of papers in selective and prestigious edited books or conference proceedings, or of edited books. Publications that result from collaborative work with researchers in other disciplines count towards tenure and promotion, whether they appear in mathematics and statistics journals or in journals in other disciplines. Collaborative work with researchers in other disciplines is evaluated according to the quality and significance of the components which align with departmental research goals. Routine application of known techniques should primarily be considered service. Publications that have been accepted but which have not yet appeared should be counted towards tenure and promotion.

Instructional materials and pedagogical endeavors, normally considered evidence of teaching ability, may be considered as scholarship only to the degree that they have national or international impact on the field. Secondary evidence of scholarship and research includes presentations at professional meetings, presentations in seminars or colloquia, grants and awards, reviews, software development, and other professional service activities. Other indicators include but are not necessarily limited to the letters from external evaluators and the comments on the student and chair forms.

- **Service**

Service includes, but is not necessarily limited to, service on committees and task forces and undertaking administrative or other duties important to the department, college, university, profession, and/or community (performed in a professional capacity).

- **Skill and Knowledge of the Field**

In mathematics and statistics, skill and knowledge of the field are demonstrated primarily through successful teaching and research. Skill and knowledge of the field are also indicated by evidence of professional reputation. Such evidence may include but is not necessarily limited to: a) invitations to address professional meetings, to review grant proposals, to referee papers, to write reviews of publications, and to serve as a professional consultant; b) seminar presentations; and c) the comments on the student and chair forms, and in the letters from external evaluators.

II.2 Criteria for Promotion to Professor

Promotion to the rank of Professor presupposes the qualifications for the rank of Associate Professor. In addition, candidates will be evaluated according to the following criteria. The candidate must meet the criteria in each area. Additionally, the candidate should contribute to the mission of the department, college, and/or university in at least one of teaching, research/scholarship, and service, which goes significantly beyond the criteria listed below. The area or areas in which the candidate has achieved these criteria to go significantly beyond should be indicated in the assessment by the department, the chair and when appropriate by external evaluators. The following bullet points (labeled Teaching, Advising, Scholarship and Research, and Service) provide more details on how these criteria should be assessed.

- **Teaching**

The candidate should show continued strong performance and growth in the area of teaching. The candidate is expected to remain up-to-date and be involved in appropriate curricular or pedagogical discussions.

- **Advising**

The candidate should show continued strong performance in the area of advising.

- **Scholarship and Research[†]**

The candidate should have a continuing strong and productive research program that earns attention from recognized national or international scholars in mathematics or statistics and that makes a substantial contribution beyond the work that was presented at the time of promotion to the rank of Associate Professor.

There are many ways to demonstrate that such a program has been maintained, and it is not possible to specify the precise number of publications that would be required, for quality of publication is important, as well as quantity. The department does not require a specific rate of publication, since the publication record can be affected by such factors as a faculty member's decision to shift to a new area of research.

- **Service**

A tenured faculty member is expected to take an active role in the governance of the department, college, university, and/or profession.

II.3 Criteria for Promotion to Non-Tenure-Track Associate Professor

A non-tenure-track faculty member in the rank of Assistant Professor is eligible to apply for promotion to Associate Professor without tenure. Normally this requires five years of service in the rank of NTT Assistant Professor.

- **Teaching**

Non-tenure-track faculty members seeking promotion should demonstrate success in teaching a variety of courses appropriate to their backgrounds and the needs of the department.

Curriculum development and the supervision of undergraduate research projects, and service on master's and doctoral committees are considered contributions to teaching.

Documentation of teaching quality may include (but is not necessarily limited to) the responses to quantitative and open-ended questions on student evaluation forms; peer evaluation by colleagues; sample teaching materials that the candidate may wish to submit; and the comments on the student and chair forms. The candidate's teaching should be demonstrated to be of high quality by the picture that emerges from reviewing these documents in the sense that these indicators should be positive overall.

- **Advising**

Advising includes the formal and informal activity of providing academic, professional, and career advice to undergraduate and graduate students. Although supervision of undergraduate research projects, and service on master's and doctoral committees, is considered part of teaching, a faculty member involved in of these kinds of activities often plays a significant role as an advisor as well.

Indicators of the quality of advising may include (but are not necessarily limited to) the number of advisees, the amount of time devoted to advising, letters from current and former advisees, and the comments made in the student, and chair forms.

- **Scholarship**

The successful candidate for promotion to non-tenure-track Associate Professor must engage and bring knowledge to the broader professional community. Scholarship may include dissemination of instructional materials and pedagogical endeavors, and in the case of promotion without tenure such scholarship suffices. Evidence of such scholarship includes presentations or participation at professional meetings, publications of a pedagogical nature, and/or creation of traditional and online teaching materials. Scholarship may also take the form of original research in mathematics or statistics.

- **Service**

Service includes, but is not necessarily limited to service on committees and task forces and undertaking administrative or other duties important to the department, college, university, profession, and/or community (performed in a professional capacity).

- **Skill and Knowledge of the Field**

For NTT faculty, skill and knowledge of the field are demonstrated primarily through successful teaching and engagement with current developments in pedagogy, mathematics, or statistics. Skill and knowledge of the field are also indicated by evidence of professional reputation. Such evidence may include but is not necessarily limited to: a) invitations to address professional meetings, seminar presentations, or completion of professional trainings and workshops; b) service as professional consultant, invitations to referee papers, to write reviews of publications, and to review grant proposals; and c) the comments on the student, and chair forms, and in the letters from external evaluators.

II.4 Criteria for Promotion to Non-Tenure-Track Professor

A non-tenure-track faculty member in the rank of Associate Professor is eligible to apply for promotion to Professor without tenure. Normally this requires five years of service in the rank of NTT Associate Professor. Promotion to the rank of Professor presupposes the qualifications for the rank of Associate Professor. In addition, candidates will be evaluated according to the following criteria. The candidate must meet the criteria in each area. Additionally, the candidate should contribute to the mission of the department, college, and/or university in at least one of teaching, scholarship, and service, which goes significantly beyond the criteria listed below. The area or areas in which the candidate has achieved these criteria to go significantly beyond should be indicated in the assessment by the department, chair and when appropriate external evaluators. The following bullet points (labeled Teaching, Advising, Scholarship and Service) provide more details on how these criteria should be assessed.

- **Teaching**

The candidate should show continued strong performance and growth in the area of teaching. The candidate is expected to be a leader in curricular development and pedagogical discussions.

- **Advising**

The candidate should show continued strong performance in the area of advising.

- **Scholarship**

The successful candidate for promotion to Professor should show further growth in scholarship that garners recognition beyond the scope of the University. Even if the non-tenure-track candidate does not have scholarship, research and creative endeavor assignment under the faculty workload policy, the candidate must still engage with the broader professional community in some form (for example presentations at professional meetings), but publications are not required.

- **Service**

The candidate is expected to make contributions to the governance of the department, college, university, and/or profession.

II.5 Criteria for Promotion from Instructor to Assistant Professor

A full time instructor in the department is eligible to apply for promotion to non-tenure-track Assistant Professor. Normally this requires five years of service in the rank of instructor. Completion of the doctorate in mathematics or statistics or a related field is also required. A candidate for promotion to Assistant Professor is expected to have demonstrated quality teaching, have ongoing scholarship activities and be contributing in service.

- **Teaching**

Instructors seeking promotion should demonstrate success in teaching a variety of courses appropriate to their backgrounds and the needs of the department. Documentation of teaching quality may include (but are not necessarily limited to) the responses to quantitative and

open-ended questions on student evaluation forms; peer evaluation by colleagues; sample teaching materials that the candidate may wish to submit; and the comments on the student and chair forms. The candidate's teaching should be demonstrated to be of high quality by the picture that emerges from reviewing these documents in the sense that these indicators should be positive overall. Instructors seeking promotion should also have evidence of the ability to mentor students in their academic matters.

- **Scholarship**

The successful candidate for promotion to Assistant Professor must engage and bring knowledge to the broader professional community. Scholarship may include dissemination of instructional materials and pedagogical endeavors. Scholarship could also include presentations or participation at professional meetings, publications of a pedagogical nature, and/or creation of traditional and online teaching materials. Scholarship may also take the form of original research in mathematics or statistics.

- **Service**

Service includes, but is not necessarily limited to service on committees and task forces and undertaking administrative or other duties important to the department, college, university, profession, and/or community (performed in a professional capacity).

[†]A Note on Publication Norms and Practices

For the benefit of administrators and members of the College Committee on Rank, Tenure, and Sabbaticals and of the University Committee on Academic Rank and Tenure, we provide the following comments about publication norms and practices in mathematics and statistics.

- **Rate of publication**

The National Research Council studied publication rates of Ph.D.-granting departments in the natural, physical, mathematical, and social sciences [1]. In the 127 mathematics doctoral programs surveyed, the number of publications per faculty member ranged from 0.3 per year to 1.9 per year. For 61 programs in probability and statistics, the range was from 0.1 to 2.3. The comparable figures for some other disciplines were: 0.2 to 4.5 (computer science); 0.1 to 8.0 (chemistry); 0.3 to 5.0 (cell and developmental biology); 4.5 to 34.5 (philosophy); 4.8 to 23 (history); and 0.0 to 2.9 (psychology). Among those mathematicians who published research during the period from 1940 to 1999, only 25% published six or more papers [2]. In a more recent study by the National Science Foundation, the average number of articles appearing each year for mathematics and statistics combined showed to be 2.2 per year [3]. A significant period of time often elapses between the acceptance of a paper and its appearance in a journal, and waiting periods of one or two years are not uncommon [4].

Taking into account the department's commitment to its teaching mission, we conclude that a publication rate of approximately one paper every one or two years is an appropriate objective for a mathematician or statistician at Saint Louis University. A candidate who has maintained that rate would merit attention among recognized scholars in mathematics and statistics.

- **Authorship**

In mathematics and statistics, both singly and jointly authored papers are common. About 2/3 of the mathematics research papers published between 1940 and 1999 had only one author, and about 1/3 were jointly authored. Fewer than 1/10 of the papers had more than two authors. More recently, during the 1990's, about 54% of the papers had only one author, and about 13% had more than two authors [2].

In mathematics, the order in which the authors of a jointly authored paper are listed ordinarily conveys no information about the relative importance of their contributions to the paper. Professional guidelines stipulate that all of the listed authors “must have made a significant contribution to [the paper’s] content”[5]. Authors are often listed alphabetically, by surname, and sometimes they may be grouped by institutional affiliation. This convention does not necessarily apply to articles that are co-authored with researchers in other disciplines. In an update to this 2006 statement from the American Mathematical Society, this society released a statement in 2015 comparing the publication rates of mathematicians to other STEM disciplines [6]. This statement asserted: “Mathematicians tend to publish at rates that are modest compared to some other sciences. The majority of mathematical research is published in refereed research on journals, rather than conference proceedings or books. Articles typically represent considerable advances on a mathematical question...A study of the 40 mathematicians winning Sloan Fellowships in 2005-2006 shows that 70% published an average of two or fewer articles per year in the five years preceding their award. Even more senior mathematicians have modest publication rates. Of the 22 mathematicians receiving Guggenheim Fellowships from 2002-2006, half published an average of two or fewer articles per year in the five years preceding their award.”

In statistics, “The ethical statistician... when establishing authorship order for posters, papers, and other scholarship, strives to make clear the basis for this order, if determined on grounds other than intellectual contribution.”[7] Thus, one expects scholarship in statistics to have authors in order of intellectual contribution unless otherwise noted.

- **Reviews and Abstracts**

Many papers and books in mathematics and statistics are reviewed in the Mathematical Reviews Database, which is published by the American Mathematical Society. This database “provides timely reviews or summaries of articles and books that contain new contributions to mathematical research,”[8] rather than the more extended evaluative reviews that might be common in some other disciplines.

The Abstracts of Papers Presented to the American Mathematical Society is a publication that contains abstracts of papers that are presented at meetings of that organization. These abstracts are usually brief announcements of new results, with a maximum length of 1300 characters. Such abstracts are not considered to be research papers, but they often announce results that are subsequently published in research journals.

[1] *A Data-Based Assessment of Research-Doctorate Programs in the United States*, The National Academies Press, Washington, DC, 2011, <https://www.nap.edu/read/12994>

- [2] Jerrold W. Grossman, *Patterns of Research in Mathematics*, Notices of the American Mathematical Society, Vol. 52, No. 1 (Jan 2005), pp. 35-41, <https://www.ams.org/notices/200501/fea-grossman.pdf>.
- [3] *Sciences and Engineering Indicators*, <https://nces.nsf.gov/pubs/nsb202333>, 2023.
- [4] *Backlog of Mathematics Research Journals*, Notices of the American Mathematical Society, Vol. 64, No. 10 (Nov 2017), pp. 1184-1189, <https://www.ams.org/notices/201710/rnoti-p1184.pdf>
- [5] *Ethical Guidelines for the Society*, Notices of the American Mathematical Society, Vol. 53, No. 6 (June/July 2006), pp. 701-703, <http://www.ams.org/notices/200606/from-ethical.pdf>
- [6] *The Culture of Research and Scholarship in Mathematics: Rates of Publication*, American Mathematical Society, (Sept 2015) https://www.ams.org/about-us/governance/committees/Statement_ratesofpublication.pdf
- [7] *Ethical Guidelines for Statistical Practice*, April 14, 2018, <http://www.amstat.org/asa/files/pdfs/EthicalGuidelines.pdf>.
- [8] *Mathematical Reviews Editorial Statement*, October 2015, <http://www.ams.org/publications/math-reviews/mr-edit>.