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# From the AMS

## The Council Meeting in San Francisco

The Council of the American Mathematical Society met at 9:00 a.m. on Saturday, 07 January 1995, in the San Francisco Hilton Hotel. About thirty members of the Council were present for portions of the meeting. President Graham presided. What follows is a report on the actions of the Council. The official minutes of the Council are on file with the secretary and the executive director. They are available in original LATEX source and .dvi files on the Web at URL <http://odin.math.uiuc.edu>.

The Council began in executive session to consider election of officers and members of editorial boards. It also discussed whether or not to participate in a meeting in the summer of 1996 with the Mathematical Association of America. The actions taken by the Council in executive session are reported below.

The Council rose from executive session at about 10:00 a.m.

It was noted that several members of the Council were either changing positions or leaving the Council. Ronald L. Graham became ex-president on 31 January as Cathleen Morawetz became president. Graham will remain on the Council and on the Executive Committee. Mathematical Surveys Editorial Committee Chair Marc Rieffel will retire from that position but will remain on the Council as a member of the Executive Committee. The terms of Vice-President Linda Keen; American Journal of Mathematics Editorial Committee Representative Henri Gillet; Bulletin Editorial Committee Chair Richard Palais; Journal of the AMS Editorial Committee Chair H. Blaine Lawson; Executive Com-

mittee member Arthur Jaffe; and Members-at-Large Ruth M. Charney, Carl C. Cowen, Jr., Rebecca Herb, and Elliott H. Lieb ended on 31 January 1995. This was their last meeting in their current positions. The secretary requested and received unanimous consent to send thanks on behalf of the Council to each of these individuals for sharing their wisdom with the Society and the Council and for their service to the mathematical community.

The president introduced John Ewing, Indiana University, who is the newly appointed executive director of the Society. He will succeed William H. Jaco in mid-summer 1995.

Just after the consideration of the minutes in open session, it was moved and seconded to place on the agenda for consideration and possible action by the Society a resolution passed by the Association of Women in Mathematics on 04 January 1995. Since this item was not on the original agenda, it was ruled by the chair that a two-thirds affirmative vote of the Council was required to place the item on the agenda, according to rules<sup>1</sup> of the Council. The vote on the motion was recorded as eleven (11) votes in favor, ten (10) opposed, and three (3) abstentions. Therefore the item was not placed on the agenda. (It was the sense of the Council that the resolution would be referred to the Committee on the Profession for possible consideration at some future meeting.) The minutes of the August 1994 Council were distributed by mail. The secretary requested and received approval of the minutes as distributed.

The minutes of the Business by Mail consenting to the appointment of Executive Director John Ewing were approved.

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<sup>1</sup> *These rules appear in the Manual for Officers and Trustees, a new version of which will be available soon.*

The ECBT met in Providence, RI, in November 1994. The minutes from this meeting will be distributed and are considered a part of the minutes of the Council.

The Canadian Mathematical Society is celebrating its fiftieth anniversary in 1995. To recognize this, the Council adopted the following resolution:

The Canadian Mathematical Society, founded in 1945 as the Canadian Mathematical Congress to promote research in mathematics; to assist in improving the teaching of mathematics in Canadian universities, colleges and schools; and to encourage and assist in the development of mathematics and mathematics education, is celebrating its Fiftieth Anniversary in 1995.

The American Mathematical Society extends to its sister organization to the north warmest congratulations on this happy occasion. The Society looks forward to continued cooperation with the Canadian Mathematical Society in our common goals of promoting mathematical scholarship in North America and throughout the world.

The Council accepted the report of the teller, in which it was reported that Gian-Carlo Rota of MIT has been elected to a three-year term as vice-president and that David B. A. Epstein, University of Warwick; Cora Sadosky, Howard University; James M. Hyman, Los Alamos National Laboratory; Jerrold E. Marsden, University of California Berkeley; and Alice Silverberg, Ohio State University, were elected to three-year terms as members-at-large of the Council.

The individuals elected to the Council in 1994 took office on 01 February 1995. The secretary recommended that these newly elected members who were present at the Council meeting be granted privileges of the floor (but without voting privileges) at this Council meeting.

In other results from the election; Donald E. McClure, Brown University, was elected to a five-year term as trustee; Ingrid Daubechies, Princeton University, Susan G. Williams, University of South Alabama, and Jerry Bona, Penn State University, were elected to three-year terms on the Nominating Committee; and Rhonda Hughes, Byrn Mawr College, and Harold M. Stark, University of California San Diego, were elected to three-year terms on the Editorial Boards Committee.

The bylaws state that amendments must be approved by two-thirds of the members voting in an election in which at least ten percent of the members participated. There were only 2,833 valid ballots returned in this past election, which is fewer than 10 percent of the 29,340 members. Therefore the amendments to the bylaws were not approved. However, 1,958 members voted for them, while 95 voted against them.

The secretary requested that the Council ask its Committee on the Profession to examine the various methods of distributing the ballots and propose a method that insures a higher rate of returned ballots for future elections.

The Council referred this matter to the Committee on the Profession and the secretary for further consideration.

As mentioned, the Council sat in Executive Session to receive and consider recommendations from the Editorial Boards Committee.

The EBC recommended and the Council approved the election of Clark Robinson to a three-year term and the reelection of Peter Winkler to a three-year term on the Contemporary Mathematics Editorial Committee.

The EBC recommended and the Council approved the reelection of William Fulton for another term on the Journal of the American Mathematical Society Editorial Committee.

The EBC recommended the election of Lars Wahlbin as managing editor of *Mathematics of Computation*, with his term beginning on 01 February 1996 (at the expiration of the term of Walter Gautschi). This election was approved by the Council.

The EBC recommended the election of Shlomo Sternberg and Wolfgang M. Schmidt to three-year terms on the Colloquium Editorial Committee. These elections were approved by the Council.

The EBC recommended the appointment of Svetlana Katok as managing editor for the *Electronic Research Announcements*. This is a new position which required Council approval. The remaining members of the editorial board are appointed by the president after consultation with the EBC and the managing editor. The appointment of Katok was approved by the Council.

The Executive Committee and Board of Trustees recommended election of several officers of the Society. These elections were considered in executive session.

The ECBT recommended the election of Susan Friedlander to a two-year term as associate secretary for the Central Section. The Council approved by electing Friedlander to this office. Her term will begin on 01 February 1996.

The ECBT recommended the election of William Harris to a two-year term as associate secretary for the Western Section. The Council approved by electing Harris to this position. His term will begin on 01 February 1996.

The Executive Committee and Board of Trustees forwarded to the Council a recommendation that the Society not hold a summer meeting in 1996. This was done upon the recommendation of the Secretariat and the Committee on Meetings and Conferences (COMC). The motion not to hold a summer meeting in 1996 failed.

The MAA sent a message to the Council read by the president which stated:

We appreciate the Council's action on the meeting for August 1996. Now we, like the AMS, can focus on the long-term changes in summer meetings without exhausting ourselves on the logistics of a single meeting in 1996.

The Council considered several amendments to the bylaws. These will be considered in a separate note published in this issue of the *Notices*.

The Executive Committee and Board of Trustees recommended that the Council adopt the Agenda for Business

Meetings below as a model. The Council's Committee on the Agenda for Business Meetings could make minor alterations to this agenda: for example, if one of the officers or the executive director does not have a report, then that item may be omitted, the reading of the minutes would usually be suspended, and other categories might not have any action items.

The Council adopted the following outline as a model for the agenda for business meetings of the Society.

*Agenda for Business Meetings of the Society*

1. Introductions
2. Minutes of last meeting (the reading of which is usually omitted, a pointer to the minutes in the *Notices* being sufficient)
3. Reports
  - a. Secretary
  - b. Treasurer
  - c. Executive Director
  - d. President
4. Business proposed by Council and BT
5. Business proposed by previous business meeting (check to see if a quorum is present)
6. New business for referral to future business meeting (and placed on agenda by the Committee on the Agenda for Business Meetings)
7. Standard resolutions
8. Adjournment

Some committees of the Society have appointed subcommittees in order to handle some of the tasks assigned to the committee. The Council operates under Sturgis's *Standard Code of Parliamentary Procedure*, 3rd Edition, New and Revised. According to Sturgis:

A committee has the right to appoint subcommittees of its own members to which it may delegate authority and which are directly responsible to the committee. Subcommittees report only to the committee that created them.

It has been assumed that for the purposes of Society business, subcommittees of committees can have members who are not on the parent committee. The Executive Committee and Board of Trustees recommended adopting a modification of Sturgis's policy that would allow subcommittees to have members that are not members of the parent committee. The Council adopted the following modification:

A committee has the right to appoint subcommittees which are directly responsible to it. Normally the chair of a subcommittee would be a member of the parent committee but members of subcommittees need not, in general, be members of the parent committee. While subcommittees can exchange information with other committees, they report only to the committee that created them.

The Council filed many reports from committees. The Committee on the Profession recommended the following resolution that was adopted by the Council:

*On Graduate Programs in Mathematics*

The current employment situation in mathematics has led to difficult questions concerning the size and structure of graduate programs in this country. The Council of the AMS feels that the Society must take a leading role in addressing these questions. However, as past experience has shown, the Society cannot reliably predict future trends in education and employment prospects for mathematicians. Further, the Society is not in a position to dictate policies to universities. The Council thus concludes:

It is not the Society's role to attempt to regulate the size of graduate programs in mathematics. However, we urge individual departments to reexamine the content, focus, and size of their programs and consider possible restructuring or reallocation of resources to better serve their needs and the needs of their students and graduates. In some cases this may involve shifting resources from graduate programs to postdoctoral programs or from Ph.D. programs to master's programs. It may also involve broadening the training of graduate students to prepare them for nonacademic as well as academic careers.

In its leadership role, the Society is in a unique position to collect and disseminate information, organize efforts, and provide assistance on the employment situation. In this regard, the Society is actively pursuing many of the recommendations made by its Task Force on Employment. Much more remains to be done. Thus:

Addressing the interlinked questions of graduate education and employment of mathematicians is and will remain a high priority for the American Mathematical Society. The Council pledges to continue to commit Society resources and efforts to help enhance career opportunities for its members.

The Committee on the Profession and the Committee on Meetings and Conferences proposed the resolution that follows regarding choice of meeting sites which was adopted by the Council.

The Council of the American Mathematical Society wishes to reaffirm the commitment of the Society to the human rights of mathematicians. The Society bears a particular responsibility to

provide the participants at meetings of the Society with an environment which is supportive of these rights.

Therefore, the Council resolves that the AMS will make every reasonable effort to schedule its meetings in localities which respect the participants' human rights, including freedom from discrimination based on race, gender, national origin, religion, age, sexual orientation, or disability.

The Council agreed to a recommendation from its Committee on Publications that the publisher of the Society be made an ex-officio member of the Committee.

It is noted that the current members on the Committee on Publications consist of three Council members (chosen from the vice-presidents and members-at-large), a member of the Editorial Boards Committee, a member of the Board of Trustees, the president, four to six at-large members, and now the publisher. The secretary and the executive director serve as nonvoting members. Furthermore, the Committee on Publications and the Mathematical Reviews Editorial Committee have agreed, with Council approval, to exchange visitors at each meeting of the respective committees.

The Committee on Electronic Products and Services is a standing committee of the Society. The Executive Committee, upon the advice of the Committee on Publications and CEPS, recommended that this committee be discharged with thanks and that its duties be assigned to the Committee on Publications. The Council approved this recommendation.

The Council agreed with a recommendation of the Executive Committee and the Board of Trustees that an editor for e-MATH be appointed for a three-year term. This editor will be responsible for the mathematical resources and informational items of interest to the mathematical community which are posted on e-MATH. The editor will operate from her/his home institution.

The Council formally recommended that a task force of the president on Participation for Underrepresented Minorities be appointed in cooperation with the Committee on the Profession.

The Council agreed to enlarge the Mathematical Reviews Editorial Committee to six members, with two members appointed from outside of North America.

The Council adopted as policy for the Notices Editorial Board that:

The *Notices* will inform the membership of the availability of AMS committee reports when they are available. In the past on occasion committee chairs have sent reports to the *Notices* (or summaries thereof) upon submission to the Council. The *Notices* will not normally accept for publication such reports or summaries (except in the case of the policy committees, where we interpret the charge to the committees to mean

that the *Notices* should publish brief reports annually. We have decided to do that in each February issue.)

Currently the Colloquium Editorial Committee is responsible for recommending Colloquium Lectures to the Executive Committee. The tradition was that the Colloquium Lectures would result in a volume in the Colloquium Publication Series, for which the Colloquium Editorial Committee is responsible. For many years, the Colloquium Lectures have not resulted in such a volume, but the lecturer has been selected by the editorial committee nonetheless. At its November 1994 meeting, the Executive Committee agreed to recommend that the responsibility to select Colloquium Lecturers be assigned to a new committee, the Colloquium Lecture Committee, and that the Colloquium Editorial Committee be responsible only for the Colloquium Publications Series. The Council agreed by charging the Colloquium Editorial Committee as an editorial committee for the Colloquium Publications Series. Further, it created a new standing committee of the Society, the Colloquium Lecture Committee, to recommend Colloquium Lectures for the Society.

The AMS-ASA-AWM-IMS-MAA-NCTM-SIAM Joint Committee on Women in the Mathematical Sciences reported to the Society. The Council acted on items the committee proposed as follows:

The AMS-ASA-AWM-IMS-MAA-NCTM-SIAM Joint Committee on Women in the Mathematical Sciences resolution

*AMS guidelines for organizers of special sessions should include the following:*

Successful sessions include both well-known senior people and junior people who are starting to contribute to an area. Organizers are expected to reach out to junior mathematicians who have new results but have not yet established reputations. At a minimum, leading researchers and centers in a field should be contacted for suggestions of junior people whose work the organizers may not yet be familiar with.

If the preliminary list of special session invitees has few women, the organizers should consult others, particularly senior women in related fields, to insure that they have not inadvertently overlooked some.

One purpose of special sessions is to provide an opportunity for junior people to meet others in their field and become part of the mathematical research community. To facilitate this, organizers are encouraged to arrange an informal dinner, lunch, or social event for participants and attendees at their session. Whenever possible, social events and talks of junior people should be scheduled relatively early in the

session to enable people to benefit from new contacts.

In addition, the AMS should monitor the effectiveness of these guidelines and other strategies by collecting and reporting data on the number of women speakers in special sessions, including correlation with gender of organizers, to JCW, COMC, and CPROF in a very timely manner.

was tabled by a vote of twelve in favor to table and seven opposed.

The AMS-ASA-AWM-IMS-MAA-NCTM-SIAM Joint Committee on Women in the Mathematical Sciences resolution that

The AMS should include women on the organizing committees of all future major symposia which it co-sponsors.

was replaced by the resolution

The AMS should make every reasonable effort to see that women are included on the organizing committees of major symposia which it co-sponsors.

and then adopted by the Council.

The Council received the report of the Special Advisory Committee on Professional Ethics. The committee presented ethical guidelines for adoption by the Council. The question whether the Council wished to "speak in the name of the Society" on this issue was also raised. The council voted to adopt these guidelines on behalf of the Council (by a vote that was unanimous save for one abstention) and to take a vote in thirty days to adopt them in the name of the Society. (Subsequently the Council has adopted these guidelines in the name of the Society. A separate report is found immediately following the Amendments to the By-laws report.) The Council thanked the committee for its work and discharged it.

The Women in Probability Conference was co-sponsored by the Society. President-elect Morawetz attended as the official representative of the Society. Her report was attached to the agenda.

During 1993, a special committee of the Council considered when and where the Council should meet. The final report, as adopted by the April 1993 Council, stated that Council meetings at Annual Meetings should be held on the Saturday closest to the end of the meeting. This has presented scheduling problems for the meeting. The Council agreed and put the question of dates, time, and sites for future meetings into the hands of the Secretariat.

Several items of information were presented to the Council.

It was announced that the president has issued one decree since the last meeting of the Council. Professor D. J. Struik was 100 years old on September 30, 1994.

*American Mathematical Society  
Presidential Decree*

WHEREAS:

Dirk J. Struik is celebrating his One Hundredth Birthday;

AND

Dirk J. Struik has been a member of the Society since January 1, 1927;

NOW THEREFORE,

I, the undersigned Ronald L. Graham, President of the American Mathematical Society, issue the following presidential decree:

Be it decreed that congratulations from the Society are extended to Dirk J. Struik on the occasion of his Hundredth Birthday and that in appreciation for his services to mathematics and the Society he be granted Distinguished Lifetime Membership in the Society, with all benefits of normal membership accruing thereto. The Society extends its heartiest congratulations to him and its best wishes on this very special occasion.

Signed this, the thirtieth day of September, Nineteen Hundred Ninety Four.

Ronald L. Graham  
President, American Mathematical Society

The Council was informed that the Board of Trustees adopted the budget for 1995 as presented at the meeting of the BT on 20 November 1994.

President Graham announced that Mrs. Brennie Morgan had contributed generously to the Society in order to endow the joint AMS-MAA-SIAM prize for Outstanding Research in Mathematics by an Undergraduate Student. The regulations for the prize have been published in the *Notices*.

The Council recognized President Ronald Graham for his two years of tolerance and patience as president of the Council and thanked him warmly, by a round of applause, for his service to the Society.

The Council adjourned at 6:20 p.m.

*Robert M. Fossum  
Secretary  
Urbana, IL*

## Proposed Amendments to the Bylaws

The Council has approved several amendments to the bylaws for ratification by the membership in the election this fall (October 1995). These amendments will be printed in the election material that will be sent to all members of

the Society in September 1995. They will also appear in the election announcement that will be printed in the September issue of the *Notices*. The purpose of this note is to alert the membership of these proposed amendments so they can familiarize themselves with the issues involved. The full text of the bylaws of the Society appears in the November issue of the *Notices* in odd-numbered years. The most recent copy, that of November 1993, was also amended in the 1993 election to reflect changes in the membership of the Council. The amendments approved in that November election are not reflected in the printed version of the bylaws.

There are three sets of amendments reported below. The first amendment, approved by the Council in August 1994, removes from the bylaws any mention of the Editorial Committee for the *American Journal of Mathematics*, a journal published by The Johns Hopkins University Press. This reflects the fact that the Editorial Board of the *American Journal of Mathematics* and the Society have terminated the relationship between the two organizations, so there is no representative of the Society appointed to that editorial board.

The second set of amendments, approved by the January 1994 Council but rejected by the membership in the 1994 election due to voter apathy (not enough members voted), modifies slightly the definition of the duties of the executive director and the relationship between the executive director and the Board of Trustees. It enlarges the so-called liaison committee to include the chair of the Board of Trustees, and it makes clear that the performance of the executive director is evaluated by the Board of Trustees. This set of amendments was approved again by the January 1995 Council for ratification by the membership in the upcoming election.

The third set of amendments concerns the Business Meeting of the Society. It was approved by the January 1995 Council for ratification by the members in the next election. The amendment attempts to resolve several problems with regard to Business Meetings.

It provides that a Business Meeting should be held only at the Annual Meeting of the Society, usually held in January. So there will no longer be Business Meetings at summer meetings, if the amendment passes. Furthermore, it addresses the question as to how items for action can reach a Business Meeting. The amendment would allow two methods for action items to come to a Business Meeting. An action item would reach a Business Meeting if it is recommended for action by both the Council of the Society and the Board of Trustees of the Society. Or an action item could reach a Business Meeting if a previous Business Meeting moves such an item on to the next Business Meeting. In order that an item put on the agenda for action by a previous Business Meeting can be approved, it must receive a majority of the votes of those who vote at a meeting where at least 400 members are present.

Amending the bylaws of the Society is usually a simple process. The Council recommends amendments for ratification by the membership. Approval by the membership consists of an affirmative vote by two-thirds of the members present at a Business Meeting or of two-thirds of the

members voting in a mail ballot in which at least ten percent of the members vote. The alternative is designated by the Council when it recommends amendments for approval. In recent times, the Council has always designated approval by mail ballot, since attendance at Business Meetings has been rather sparse of late.

[The amendments are indicated by stating the OLD version and the the NEW proposed version.]

## **Amendment Concerning the American Journal of Mathematics Editorial Committee of the AMS**

### **Article III Committees**

OLD Section 1. There shall be nine editorial committees as follows: committees for the *Bulletin*, for the *Proceedings*, for the Colloquium Publications, for the *Journal*, for Mathematical Surveys and Monographs, for *Mathematical Reviews*; a joint committee for the *Transactions* and the *Memoirs*; a committee consisting of the representatives of the Society on the Board of Editors of the *American Journal of Mathematics*; and a committee for *Mathematics of Computation*.

NEW Section 1. There shall be eight editorial committees as follows: committees for the *Bulletin*, for the *Proceedings*, for the Colloquium Publications, for the *Journal*, for Mathematical Surveys and Monographs, for *Mathematical Reviews*; a joint committee for the *Transactions* and the *Memoirs*; and a committee for *Mathematics of Computation*.

## **Amendment Concerning the Executive Director**

### **Article VI. Executive Director**

OLD Section 1. There shall be an Executive Director who shall be a paid employee of the Society. The Executive Director shall have charge of the central office of the Society, and shall be responsible for the general administration of the affairs of the Society in accordance with the policies that are set by the Board of Trustees and by the Council.

NEW Section 1. There shall be an Executive Director who shall be a paid employee of the Society. The Executive Director shall have charge of the offices of the Society, except for the office of the secretary, and shall be responsible for the general administration of the affairs of the Society in accordance with the policies that are set by the Board of Trustees and by the Council.

OLD Section 2. The Executive Director shall be appointed by the Board of Trustees with the consent of the Council. The terms and conditions of employment shall be fixed by the Board of Trustees.

NEW Section 2. The Executive Director shall be appointed by the Board of Trustees with the consent of the Council. The terms and conditions of employment shall be fixed by the Board of Trustees, and the performance of the Executive Director will be reviewed regularly by the Board of Trustees.

OLD Section 3 (first part). The Executive Director shall work under the immediate direction of a committee consisting of the president, the secretary, and the treasurer, of which the president shall be chairman ex officio.

NEW Section 3. The Executive Director shall be responsible to and shall consult regularly with a liaison committee consisting of the president as chair, the secretary, the treasurer, and the chair of the Board of Trustees.

OLD Section 3 (second part). The Executive Director shall attend meetings of the Board of Trustees, the Council, and the Executive Committee, but shall not be a member of any of these bodies.

ADD Section 4. The Executive Director shall attend meetings of the Board of Trustees, the Council, and the Executive Committee, but shall not be a member of any of these bodies.

## Amendment Concerning Meetings

### Article X Meetings

OLD Section 1. The annual meeting of the Society shall be held between the fifteenth of December and the tenth of February next following. Notice of the time and place of this meeting shall be mailed by the secretary or an associate secretary to the last known post office address of each member of the Society. The times and places of the annual and other meetings of the Society shall be designated by the Council. There shall be a business meeting of the Society at the annual meeting and at the summer meeting. A business meeting of the Society shall take final action only on business accepted by unanimous consent, or business notified to the full membership of the Society in the call for the meeting, except that the business meetings held at either the annual meeting or the summer meeting may take final action on business which has been recommended for consideration by the Council and has been accepted by the vote of four-fifths of the Society present and voting at such a meeting. Such notification shall be made only when so directed by a previous business meeting of the Society or by the Council.

NEW Section 1. The annual meeting of the Society shall be held between the fifteenth of December and the tenth of February next following. Notice of the time and place of this meeting shall be mailed by the secretary or an associate secretary to the last known post office address of each member of the Society. The times and places of the annual and other meetings of the Society shall be designated by the Council.

NEW Section 2. There shall be a business meeting of the Society only at the annual meeting. The agenda for the business meeting shall be determined by the Council. A business meeting of the Society can take action only on items notified to the full membership of the Society in the call for the meeting. A business meeting can act on items recommended to it jointly by the Council and the Board of Trustees; a majority of members present and voting is required for passage of such an item. A business meeting of the Society can place action items on the agenda for a future business meeting. Final action on an item proposed by a previous business meeting can be taken only provided there is a quorum of 400 members, a majority of members at a business meeting with a quorum being required for passage of such an item.

The remaining sections in this article will be renumbered accordingly.

## Ethical Guidelines for the Society

In January 1994 the Council received the report of its Special Advisory Committee on Professional Ethics. The committee, which consisted of Murray Gerstenhaber, Frank Gilfeather, Elliott Lieb, and Linda Keen (chair), presented ethical guidelines for adoption by the Council. Those draft guidelines were published twice in the *Notices*, with a request to the membership for responses and suggestions for changes or improvements. These were sent to the committee, which considered all suggestions. The committee then redrafted the guidelines, which were then presented to the January 1995 Council. At that meeting, the Council voted to adopt these guidelines on behalf of the Council (by a vote that was unanimous save for one abstention). Later, in Business by Mail and according to the bylaws, the Council approved the Guidelines in the name of the Society by a vote of twenty-five (25) in favor and three (3) opposed.

### 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 American Mathematical Society, through its Council, sets forth the following guidelines. While it speaks only for itself, these guidelines reflect its expectations of behavior both for its members and for all members of the wider mathematical community, including institutions engaged in the education or employment of mathematicians or in the publication of mathematics.

It is not intended that something not mentioned here is necessarily outside the scope of AMS interest. These guidelines are not a complete expression of the principles that underlie them but will, it is expected, 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 its ethical principles. COPE, in accordance with its procedures, will, in each case, determine the appropriate ways in which it can be helpful (including making recommendations to the Council of the Society). However, the AMS cannot enforce these guidelines, 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 correct attribution of mathematical results is essential, both as it encourages creativity, by benefiting the creator whose career may depend on the recognition of the work, and as it informs the community of when, where, and

sometimes how original ideas have 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 as regards related work;

To give proper credit (even to unpublished sources, because the knowledge that something is true or false is valuable, however it is obtained);

To use no language that suppresses or improperly detracts from the work of others;

To correct in a timely way or withdraw work that is erroneous or previously published.

A claim of independence may not be based on ignorance of well-disseminated results. Errors and oversights can occur, but it is the responsibility of the person making the error to set the record straight.

On appropriate occasions, it may be desirable to offer or accept joint authorship when independent researchers find that they have produced identical results. However, the authors listed for a paper must all 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. To claim a result in advance of its having been achieved with reasonable certainty injures the community by restraining those working toward the same goal. Publication of results that are announced must not be unreasonably delayed. 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 and will strive to afford equal opportunity to 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 or 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 close colleagues, or of one's students; in extreme cases one must withdraw.

A reference or referee's report fully and accurately reflecting the writer's views is often given only on the understanding that it be confidential or that the name of the writer be withheld from certain interested parties; therefore, a request for a reference or report must be assumed, unless there is a statement to the contrary, to carry an implicit promise of confidentiality or anonymity which must be carefully kept unless negated by law. The writer of the reply 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 cannot be maintained, that must immediately be communicated, and if known in advance, must be stated in the original request.

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 which, even if held confidential at the time, would, when opened, demonstrate that the process was indeed fair.

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.

## 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 thesis work and sufficient knowledge by the recipient of important branches of mathematics outside the scope of the thesis. The original results in a thesis should be publishable in a recognized journal. 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 honestly inform them about the employment prospects they may face upon completion of their degrees. No one should be exploited by the offer of a temporary position at a low salary and/or a heavy work load.

## IV. Publications

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.

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

The contents of an unpublished and uncirculated paper 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 so-called "sensitive" articles, that demand must be resisted, and, in any event, knowledge of the demand must be made public.

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.

Both editors and referees must respect the confidentiality of materials submitted to them unless these 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.

These are ethical obligations of all persons or organizations controlling mathematical publications, whatever their designation.

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