

# UNIVERSITY OF CONNECTICUT SCHOOL OF DENTAL MEDICINE

## Senior Appointments and Promotions Committee

### Principles, Guidelines and Procedures for Appointment, Promotion and Tenure

#### I. FACULTY HOLDING TENURIAL APPOINTMENT

##### A. PRINCIPLES GOVERNING PROMOTION

The primary requirement for attaining the senior rank of Associate Professor or Professor is the demonstration of substantive, creative and independent scholarship in academic endeavors (teaching, research, health care, academically related professional development activities, and mentorship). The discovery, transmission and application of new facts, insights and relationships, and their integration into existing knowledge, constitute evidence of scholarship. In its evaluation of nominations for promotion and for tenure, the Senior Appointments and Promotions Committee (SAPC) will weigh the distribution of effort among the endeavors specified for the particular track. In general, however, promotion to the rank of Associate Professor requires evidence of steady growth in scholarly activity and of leadership or excellence in one or more endeavor. Promotion to the rank of Professor requires evidence of sustained or increased scholarly activity, generally for a period of five years, and of leadership or of excellence in many endeavors.

The nominee's contributions to the advancement of his or her discipline must be documented by records amenable to objective evaluation by the SAPC. Evidence of both competent teaching and original scholarship, in any of their diverse forms and consistent in quantity with the percentage allocation of time for the particular faculty track, are required for promotion to senior rank and for the award of tenure.

##### B. FACULTY TRACKS

###### Academic Appointments

The Dentist-Scientist, Research-Scientist and Clinician-Scholar faculty tracks can lead to the award of tenure in the School of Dental Medicine, consistent with University and School of Dental Medicine policy in the (University of Connecticut Laws and By-Laws, Article XIV-C, 1985, Guidelines of the University of Connecticut School of Dental Medicine, Section 1, Article 2.1, 10/11/74, and Appendix E, 2/11/94). The actual activities and apportionment of effort constituting academically related professional development activities may be adjusted for individual faculty through discussions with and the concurrence of the head of the department in which the faculty member holds the primary appointment. In the absence of documentation to the contrary, faculty efforts in the various tracks will be weighted according to the following minimum allocations of time:

Research-Scientist: 80% research, 10% teaching, 5% institutional service, 5%-other academically related professional development activities

Dentist-Scientist: 50% research, 20% teaching, 15% institutional service, 15% other academically related professional development activities.

Clinician-Scholar: 50% teaching, 15% institutional service, 35% other academically related professional development activities.

Leadership: The Dentist-Scientist, Research-Scientist and Clinician-Scholar tracks with appropriate additions to institutional service for administrative contributions, not to exceed 65% for Dean, 50% for Associate/Assistant Dean, 35% for Department Head and Division Chair and 15% for others, as determined by the Dean in consultation with the Department Head and the Division Chair.

## Non-Academic Appointments

The Clinical Track has been designed for those full-time or part-time employees whose mission is almost entirely clinical or clinical-administrative. Faculty in the Clinical Track carry non-academic appointments. Faculty in the Clinical Track are eligible for promotion, but not tenure. Decisions about promotion are made in generally the same manner as are those for Academic Track faculty, but with different criteria.

### C. GUIDELINES FOR SCHOLARSHIP

In each area of scholarship below, teaching, research, health care, academically related professional development activities and institutional service, and mentorship, representative examples of achievement are offered as guidelines to help evaluate suitability for nomination for promotion. The percentage representation of each area varies by specific faculty track and, possibly, by virtue of a (long-standing) documented agreement between the nominee and the head of the department in which the primary appointment is held. Evidence offered in support of one area of scholarship may also support another.

The common denominator in the evaluation of achievement will be the extent to which it represents independence and creativity, and leads to improvement and advancement over the current or the norm.

#### 1. Teaching

##### a. Achievements

- depth of knowledge, currency of information and mastery of the subject matter taught
- organized, lucid and challenging presentations of subject matter
- ability to interrelate material by showing applications and correlations as, for example, between basic science principles and their clinical applications
- development of innovative teaching methods or materials
- development of innovative mechanisms for the provision of care in an educational context as, for example, student instruction in a faculty practice context
- creation of new, combined or integrated courses or other educational experiences
- mentoring relationships with other faculty and/or graduate students
- development and supervision of undergraduate, graduate or postgraduate laboratory-research or clinical rotations
- development and presentation of continuing, education courses
- development of improved evaluation or grading mechanisms
- development of innovative and improved residency programs
- development and presentation of electives in field(s) of expertise

##### b. Documentation

- written student and/or peer evaluations of lecture and clinical precepting skills
- examples of syllabus material, self-instructional instruments, audio-visual and computerized educational aids
- invitations to participate in educational conferences or workshops
- evidence of use of educational developments or advancements beyond this School of Dental Medicine
- invitations to present courses or lectures at other academic institutions
- requests from educators for training in or exposure to teaching procedures
- competitively awarded teaching prizes
- success of students in attaining professional goals, for example extramural rotations
- grants or other support to conduct research in education or to attend and present the results of educational studies at scholarly meetings or conferences
- demonstrated, unusual ability of students to provide care with organization, skill and compassion

## 2. Research

### a. Achievements

- steady, focused, continued productivity
- originality and importance of work
- impact of published work on the research field
- invitations to contribute (to) reviews, compilations or textbooks
- competitively awarded intra-and extramural grant and contract support
- substantive collaborations
- participation in basic science or in clinical research centers
- development of innovative research programs, for example those transferring laboratory findings to the clinic, or employing clinical subjects or novel databases, or extending into the community at large

### b. Documentation

- reprints, or their electronic equivalent(s), of articles from respected, peer-reviewed journals
- major responsibility for published findings
- invitations to present findings at local, national and international meetings or symposia
- evidence of continued, competitively awarded funding
- evidence of impact on the field reflected by frequency of citation of manuscripts
- requests for research experiences or collaborations from undergraduate, graduate and postgraduate students, from visiting faculty, as well as from intramural mentees
- the success of students in achieving their professional or advanced-training aspirations in research
- unique or substantial contributions to collaborative projects, for example, as an authority on a technique or analysis
- award of patents
- competitively awarded research prizes, grants and contracts

## 3. Health Care

### a. Achievements

- excellence and innovation in patient care
- development of continuing clinical education courses
- significant clinical consultancies (consistent with University of Connecticut School of Dental Medicine and Health Center Policy)
- development and implementation of improved health care programs for underserved patient groups
- skill in comprehensive patient management with medical integration
- election to the staff of external hospitals or other health-care delivery groups

### b. Documentation

- student, peer and patient evaluations of clinical skill
- reports of treatment innovation and success by authoritative committees such as Quality Assurance, or by extramural review boards development of innovative and widely-adopted patient-care modalities
- widespread acceptance of continuing clinical education courses
- invitations to and presentations at local, national and international meetings and symposia on health care
- requests for supervision and provision of advanced clinical training by residents or visiting faculty
- invited presentations of seminars and clinical case conferences
- invitations to serve as an expert witness, board examiner or evaluator of health-care quality
- reports of clinical observations, reviews or analyses that influence health-care delivery
- referrals of patients for special care

4. Academically Related Professional Development Activities and Institutional Service

The percentage of time devoted to this category is subject to revision by written agreement between the faculty member and the Head of the department where the primary appointment is held, as specified in Section I.B.

a. Achievements

- mentee or significant collaborator in research
- preparation and submission of manuscripts
- acquisition and application of new clinical, educational, research or health care skills, for preparation and submission of grant and contract proposals
- additional time spent in teaching, research or health care
- editorial or reviewer service for professional books or journals
- participation and leadership roles in substantive University, local, regional, national and international committees
- service as an *ad-hoc* reviewer for a study section or as a fixed-term member of a grant-review or contract-review committee
- service as an examiner for specialty boards
- service as a department, section or division head
- achievement of diplomate status in area of specialization
- named as fellow in professional organization

b. Documentation

- letters or other proofs with clear indications of the impact of activities
- certificates of study section membership, diplomate status, fellow status

5. Mentorship

a. Achievements

- Professional contributions of student
- Student pursues academic career
- Expertise as mentor

b. Documentation

- Students' CV, publication record
- Students' Evaluations of mentorship
- Letters of Recommendation from students and other faculty (internal and external) familiar with candidate's mentoring

D. ACADEMIC TENURE

1. Permanent or continuous academic tenure may be awarded for service in the rank of Assistant Professor or higher for those with Academic types of appointments. Principles and guidelines for the award of academic tenure are the same as those for promotion to the rank of Associate Professor.
2. Customarily, an individual nominated for promotion to the rank of Associate Professor will also be nominated for the award of academic tenure. However a person nominated simultaneously for early promotion may or may not be nominated for academic tenure; the two nominations are not linked.
3. If the initial appointment is tenurial, the amount of credit earned at another institution toward academic tenure at the University of Connecticut must be included in the letter of appointment to the University of Connecticut. Normally, nomination for academic tenure will only be made after the individual has served one year at the University of Connecticut. Credit towards tenure for faculty converting from a non-tenurial to a tenurial appointment will be established at the time of conversion.

In no event shall these guidelines contradict established policy: University of Connecticut Laws and By-Laws, Article XV-C, 1985, (Guidelines of the University of Connecticut School of Dental Medicine, Article 3.2, 10/11/74).

## II. FACULTY HOLDING NON-TENURIAL IN-RESIDENCE APPOINTMENT

### A. PRINCIPLES GOVERNING PROMOTION

The primary requirement for attaining the senior rank of Associate Professor In-Residence or Professor In-Residence is the demonstration of scholarship in academic endeavors. The discovery, transmission or application of new facts, insights and relationships and their integration into existing knowledge constitutes evidence of scholarship. In its evaluation of nominations for promotion, the SAPC will weigh the distribution of effort among the endeavors specified for the particular track. In general, however, promotion to the rank of Associate Professor In-Residence requires evidence of steady growth in scholarly activity and of leadership or excellence. Similarly, promotion to the rank of Professor In-Residence requires evidence of sustained or increased scholarly activity, generally for a period of five years, and of growth in leadership or of excellence.

The nominee's contributions to the advancement of their discipline must be documented by records amenable to objective evaluation by the SAPC. Evidence of superior health care or original research, in any of their diverse forms and consistent in quantity with the percentage allocation of time for the particular faculty track, are required for promotion to senior In-Residence rank.

### B. FACULTY TRACKS

In-Residence appointments do not lead to the award of academic tenure (Guidelines of the University School of Dental Medicine, Article 2.3, 10/11/74, Appendix E, 2/11/94). At the School of Dental Medicine the Full-time Clinician and Research-Development tracks are designated In-Residence. Likewise, Clinical Track, non-academic appointments do not lead to the award of tenure.

In-Residence appointments shall be made within the following sub-tracks or categories. The efforts described within each category are guidelines and may be adjusted as determined by the Dean in consultation with the Department Head and Division Chair:

Research-Scientist: 80% research, 10% teaching, 5% institutional service, 5%-other academically related professional development activities

Dentist-Scientist: 50% research, 20% teaching, 15% institutional service, 15% other academically related professional development activities.

Clinician-Scholar: 50% teaching, 15% institutional service 35% other academically related professional development activities.

Leadership: The Dentist-Scientist, Research-Scientist and Clinician-Scholar Tracks with appropriate additions to institutional service for administrative contributions, not to exceed 65% for the Dean, 50% for Associate/Assistant Dean, 35% for Department Head and Division Chair and 15% for others, as determined by the Dean in consultation with the Department Head and Division Chair.

### C. GUIDELINES FOR SCHOLARSHIP

With the exception of the percentage distributions among the five areas of scholarship (teaching, research, health care, academically related professional development activities-institutional service, and mentorship), the activities evaluated for promotion to Associate Professor In-Residence and Professor In-Residence are qualitatively identical to, and are to be documented in the same ways, as those for faculty holding tenurial appointment (Section I.C.1 through I.C.4.). Where applicable, adjustments to the percentage effort devoted to academically related professional development activities, agreed to by the nominee and the Head of the primary appointment department, must be documented.

### III. FACULTY HOLDING NON-TENURIAL CLINICAL CATEGORY APPOINTMENT

#### A. PRINCIPALS GOVERNING PROMOTION

The primary requirement for obtaining the senior rank of Clinical Associate Professor or Clinical Professor is the demonstration of significant achievement in at least one of the following:

- A sustained record of high quality clinical care and/or teaching success, including a record of successful direction of the work of residents and/or graduate students where applicable. The record should result in local or regional (for Associate Professor) or national/international recognition (for Full Time Professor). Clinical care and teaching success may take the form of direct clinical care, of direction or precepting of students, or of efficiently managing a clinical service resulting in the delivery of high quality patient care.
- The development or improvement of a clinical, educational, or research service. There must be objective evidence of both the candidate's personal contributions to the development or improvement (which must be significant), and the nature and extent, of the enhanced service, including its new educational and/or research components that are deemed important.
- Development of a meaningful new curriculum offering or new or innovative teaching material resulting in objectively documented improvements to education. There must be evidence that this improvement is due to the candidate's efforts. The administration of an educational program is not sufficient for promotion.

The nominees contributions must be the documented by records to include a letter from the Division Chair and/or Department Chair indicating evaluation by department faculty; board certification or eligibility, as appropriate; letters from peers in the SDM; letters from peers at the other local or regional level attesting to accomplishments on a clinical or professional level; letters from former students or residents attesting to the candidate's performance as an academic clinician; patient evaluations of quality of care, if available.

Clinical Assistant Professors shall be appointed to an initial term of one year. Reappointment shall require divisional and/or departmental review of the faculty member's teaching and clinical service, and the approval of the Dean. With a positive review, the faculty member may be reappointed for additional one-year terms. If promotion is requested, the review shall be administered by the Senior Appointments and Promotions Committee. Clinical Associate Professors may be appointed to a term of up to 3 years with approval of the Dean. Faculty at this level shall be eligible for reappointment based on divisional and departmental review and approval by the Dean. Clinical Professors may be appointed to a term of 5 years with approval of the Dean. Faculty at this level shall be eligible for reappointment based on divisional and departmental review. Faculty shall have no maximum period of time by which promotion must be achieved in the clinical category.

### IV. FACULTY HOLDING PART-TIME APPOINTMENT

#### A. PRINCIPLES GOVERNING PROMOTION

The primary requirement for attaining the senior rank of Associate Professor or Professor in the part-time faculty is the demonstration of scholarship in academic endeavors (teaching, research, health care, academically related professional development activities and service, and mentoring). The discovery, transmission, and/or the application of new facts, insights and relationships and their integration into existing knowledge constitute(s) evidence of scholarship.

The SAPC will evaluate nominations sent to it, giving weight to the distribution of effort among academic endeavors and to the nominee's time commitment to the School of Dental Medicine. In general, however, promotion to the rank of Associate Professor requires evidence of steady growth of scholarly activity. Similarly, promotion to the rank of Professor requires evidence of sustained or increased scholarly activity and the achievement of leadership or excellence.

Contributions to the advancement of the faculty member's discipline must be documented by records amenable to objective evaluation by the SAPC. Evidence of competent teaching, service or original research, in any of their diverse forms, is required for promotion to senior rank in the part-time faculty.

## B. FACULTY TITLES

Appointments to the usual faculty ranks with the modifying word "Adjunct" included in the title may be given to individuals who serve as part-time faculty members.

Part-time faculty can hold either In-Residence or Clinical Category type appointments. In-Residence part-time appointments may also be designated as being within the Dentist Scientist, Research Scientist or Clinical Scholar track by virtue of designated efforts in teaching, research, health care and academically related professional development activities, and mentoring.

Part-time faculty who spend less than 22 days annually in the academic programs of the School of Dental Medicine shall not be eligible for promotion. Only part-time faculty who participate 22 or more days annually in the academic programs of the School of Dental Medicine are eligible for the rank of Associate Professor or Professor. For In-Residence appointments, the terms Adjunct Associate Professor In-Residence or Adjunct Professor In-Residence will apply. For Clinical Category appointments, the terms Adjunct Clinical Associate Professor or Adjunct Clinical Professor will apply.

## C. GUIDELINES FOR SCHOLARSHIP

1. The guidelines for promotion to Associate Professor and Professor for the part-time In-Residence faculty, whether paid or volunteer (i.e. serving without compensation), are qualitatively identical and are to be documented in the same ways as those for faculty holding tenurial appointment (Section I.C.1. through I.C.4.), with appropriate quantitative weight given for the time the faculty member spends in scholarly activity. The SAPC recognizes that the part-time, volunteer faculty will not usually contribute to more than one area of scholarship (teaching, research, health care, academically related or professional development activities and service, and mentoring). Evaluation for promotion, therefore, will emphasize documentation of scholarly activity in the primary area of contribution, e.g. teaching or clinical service. In addition, because the part-time, volunteer faculty spends variable, often limited time in service at the School of Dental Medicine, the time required for promotion is likely to be longer than for the full-time faculty.
2. The guidelines for promotion of part-time faculty appointed in the non-academic Clinical Category are qualitatively identical, and are to be documented in the same ways, as those for faculty holding full time positions in the Clinical Category.

## V. POTENTIAL ROLE OF DESIGNATES OF DIVISION CHAIRS

In those School of Dental Medicine Divisions that by approval of the Dean include subunits called Sections, the Division Chair may, with the agreement of the Dean, designate certain defined roles, authorities or responsibilities defined in Articles VI, VII and VIII of these Guidelines pertaining to 'Division Chair' to the leader of a Section, e.g. 'Section Chair'. When such designations are made, the faculty nominee and the faculty designate shall be clearly informed of this designation by the Division Chair.

## VI. PROCEDURES GOVERNING NOMINATING FACULTY FOR PROMOTION AND FOR AWARD OF TENURE OR FOR INITIAL APPOINTMENT AT SENIOR RANK

The following procedures and materials are required to nominate faculty (hereinafter, "nominee") holding any tenurial or non-tenurial (In-Residence, Clinical Category or part-time) appointment in the School of Dental Medicine for promotion to senior rank and/or for award of tenure.

In the School of Dental Medicine, faculty nominations shall be made by the Department Head, Division Chair, or Type II Center Director (as appropriate) or the Dean. Type II Center Directors shall be nominated by the Department Head (if appropriate) or the Dean, Division Chairs shall be nominated by the Department Head, and Department Heads shall be nominated by the Dean. All nominations shall be forwarded to the Dean.

### A. SUBMISSION OF MATERIALS

Nominations and overall management of the process for faculty promotion and/or granting of tenure is the responsibility of the Department Head, Division Chair, or Type II Center Director (as appropriate) or the Dean (if the nominee is a Department Head). The nominating individual, with the active assistance of the

nominee, will assemble material in support of the nomination. An exception to this procedure allows a faculty member to petition the Dean if the Department Head, Division Chair, or Type II Center Director fails or refuses to nominate (Section V.1.1.). This material must at least include, but not be limited to the following items:

- a. A letter of nomination prepared by the Department Head, Division Chair, or Type II Center Director (as appropriate) or Dean must specifically detail and describe the qualifications of the candidate. The letter must explicitly state the nominee's appointment track and document any long-standing agreements between the nominee and the Department Head, Division Chair, or Type II Center Director (as appropriate) of primary appointment which modify or reapportion the percentage of time spent in academically related professional development activities or other activities. The letter must detail the nominee's qualitative and quantitative contributions to teaching, research, health care and academically related professional development activities. Special attention should be given to the examples of scholarly achievement previously cited in the Guidelines for Scholarly Achievement in this document (I.C.1.-I.C.4.), as it should be to any other appropriate examples of scholarship.

The letter must describe the process and outcome of any intradepartmental review of the nominee's qualifications for promotion and/or for award of tenure and its impact on the nomination. Finally, the letter must include a clear summary of the Department Head's, Division Chair's, or Type II Center Director's (as appropriate) assessment of the nominee's suitability for promotion to senior rank and/or for award of tenure and state the level of support for the nomination.

- b. A complete and up-to-date curriculum vitae must detail at least the nominee's education, professional career, honors and awards, service, teaching experience and publication record. The curriculum vitae should also specify any grant or contract support and clearly indicate amounts, dates, percentage(s) and type(s) of involvement. Entries in each area of scholarship must clearly specify the type of endeavor, such as: invited lecture, course director, continuing education participant; or abstract, original manuscript, text book chapter; or principal investigator, consultant, or other role.
- c. The nominee's health-care service should be described, if applicable, and roles played in health-care provision, service to the institution, community, professional society or other group described in sufficient quantitative and qualitative detail to permit their assessment.
- d. Materials that reflect and document scholarship in the areas of teaching, research, health care, academically related professional development activities and institutional service, and mentoring should be carefully selected more for strength and substance than for quantity. These materials may include, but need not be limited to, those listed in Sections I.C.1.B. 2.B., 3.B. and 4.B.
- e. The nominee and Department Head, Division Chair, or Type II Center Director (as appropriate) or Dean must provide a list of six references, three from inside and three from outside the University of Connecticut Health Center, who will be contacted by the SAPC. These individuals should not have participated in the intradepartmental review of the faculty member which contributed to the nomination in question. The SAPC will identify and solicit comments from other references.
- f. *Due Dates for Submission of Materials.* The Department Head, Division Chair, or Type II Center Director (as appropriate) should submit to the Dean and to the SAPC Chair the names of those faculty members who are being nominated for promotion or the granting of tenure by mid-August. All materials assembled in support of the nominee should be submitted to the SAPC chair, on electronic media, by October 1. The Department Head, Division Chair, or Type II Center Director, or the nominee, may submit up to one addendum to the submitted materials by February 1. The degree of attention paid to any addendum will be up to the discretion of the SAPC reviewers of that nominee.



## B. INITIAL APPOINTMENT AT SENIOR RANK

To facilitate the institution's ability to make timely faculty appointments at senior rank, the SAPC will play an advisory role to Type II Center Directors, Division Chairs, Department Heads and to the Dean. This role is also undertaken to assure that appointees at senior rank are held to the same standards as current School of Dental Medicine faculty put forward for comparable promotion. An exception to this SAPC advisory role is for the appointment at senior rank of a Type II Center Director, Division Chair or Department Head (Guidelines of the University of Connecticut School of Dental Medicine, Article 3.4A, 10/14/74).

1. Early in the recruitment or interview process, if an offer of appointment at senior rank is contemplated, the Department Head, Division Chair, or Type II Center Director (as appropriate) may request a meeting with the Chairman of the SAPC who will appoint and head an *ad-hoc* subcommittee, free of conflicts of interest. The function of this *ad hoc* subcommittee will be to conduct a prompt, non-binding review of the achievements of, and documentation supporting, the potential appointee and to assess the likelihood of a positive outcome of a full SAPC review.
2. In order to improve the validity of the non-binding, *ad-hoc* review, quantitatively and qualitatively substantial information and documentation about the potential appointee's scholarship in teaching, research, health care, professional service, and mentoring are required. Some examples have been provided in I.C.1. through I.C.4.
3. If it is the *ad-hoc* group's assessment that appointment at senior rank is unlikely to be supported, the Department Head, Division Chair, or Type II Center Director (as appropriate) may still request a full SAPC review.

The SAPC *ad-hoc* subcommittee will make every effort to provide a timely judgment about an appointment at senior rank.

4. A full-expedited SAPC review of a nominee will still be required for appointment at senior rank, but the SAPC will make use of all information already submitted by the applicant and the judgment of its *ad-hoc* subcommittee. The SAPC will supplement these data, as necessary, with independently developed information, particularly from additional reviewers.

## VII. REVIEW PROCESS

### A. RESPONSIBILITIES OF THE SENIOR APPOINTMENTS & PROMOTIONS COMMITTEE (SAPC)

1. To recommend to the Dean criteria and procedures for academic considerations pertaining to tenure, appointment, and promotion to senior rank. Considerations that are unrelated to academic qualifications and the promotion/tenure guidelines, i.e. non-academic issues, are outside the purview of the SAPC.
2. To receive all appropriate nominations for tenure, appointment or promotion to senior rank from the Department Head, Division Chair, or Type II Center Director (as appropriate) or Dean; to review the codified academic qualifications of these nominees (teaching, research, health care and professional activities, mentoring); and to make recommendations to the Dean. The SAPC will not consider the initial academic appointment of a Type II Center Director, Division Chair or Department Head.
3. In those instances in which a decision of the SAPC is brought for reconsideration by the Department Head, Division Chair, or Type II Center Director (as appropriate) to review all additional information pertaining to academic qualifications of the unsuccessful nominee for tenure, appointment or promotion to senior rank, and to make recommendations to the Dean.
4. To transmit its recommendations in writing to the Dean and the nominee's Department Head, Division Chair, or Type II Center Director (as appropriate). The written transmission will address the codified academic criteria pertaining to the nomination, and the specific ballot counts. Separate votes will be conducted for promotion and tenure (if applicable) and will be recorded.

B. COMPOSITION OF THE SENIOR APPOINTMENTS AND PROMOTIONS COMMITTEE (SAPC) AND MECHANISM OF APPOINTMENT

1. The SAPC will be appointed annually by the Dean. Members must be full-time, tenured faculty with the rank of associate professor or professor. Ordinarily, each department of the School of Dental Medicine will have proportional membership on the Committee. However, the Dean may appoint additional members from a department for compelling reasons (for example, a small number of tenured senior faculty in another department). There will be at least one member appointed from among the basic science departments of the School of Medicine. Members of the Dean's Advisory Committee (DAC) and Department Heads shall not serve on the Committee.
2. Members will ordinarily serve three years, and thus one-third of the membership will be new each year. At the discretion of the Dean, individuals may serve for longer or shorter periods. The chairperson will be appointed annually by the Dean.
3. Any Division Chair, Section Chair or Type II Center Director who is a member of the Committee shall be excused from any discussion, review or decision about any nominee for whom they have administrative authority or oversight.

C. MECHANISMS FOR REVIEW OF NOMINATIONS BY THE SENIOR APPOINTMENTS AND PROMOTIONS COMMITTEE (SAPC)

1. Initiation of all nominations for tenure and appointments and promotions to senior rank ordinarily will be by the Department Head, Division Chair, or Type II Center Director (as appropriate), or the Department Head in the case of tenure or promotion of a Division Chair or Type II Center Director, or the Dean in the case of tenure or promotion of a Department Head. The nominating Department Head, Division Chair, or Type II Center Director (as appropriate) will forward nominations to the Dean for confirmation of eligibility and will then transmit to the chair of the SAPC information as outlined in "Principles, Guidelines and Procedures for Appointment, Promotion and Tenure, Section IV".
2. All business of the SAPC will be confidential and will be communicated by the chairperson only, and only to the Dean of the School of Dental Medicine.
3. For each nomination, the SAPC chair will assign a primary and secondary reviewer. The SAPC will seek evaluation by at least three additional internal and three additional external referees in addition to those provided by the Department Head, Division Chair, or Type II Center Director (as appropriate) or Dean.
4. After all the pertinent materials have been obtained from the Department Head, Division Chair, or Type II Center Director (as appropriate) or Dean, and referee's letters have been received, the primary and secondary reviewers will independently analyze and write summaries, which will be presented to the Committee. The reviewers will consider all scholarly activities (teaching, research, health care and professional) of the nominee. Should any additional information be required from the nominee's Department Head, Division Chair, or Type II Center Director (or from the Dean) it should be requested in writing by the Chair of SAPC. All opinions will be held in confidence.

D. MEETINGS OF THE SENIOR APPOINTMENTS AND PROMOTIONS COMMITTEE (SAPC)

1. No member of a nominee's primary Division or Section will receive the written materials or be present during discussion of the nominee. A member from a Division or Section in which the nominee holds a joint (secondary) appointment may participate with the concurrence of the Chair of SAPC, or may declare a conflict of interest and withdraw from the deliberations with the concurrence of the Chair of SAPC.
2. Two thirds of the members eligible to vote on a particular nomination must be present for business to be conducted on that nomination.
3. In instances where a faculty member is being recommended for both promotion and tenure, the question of tenure will be considered first. If the vote is not in favor of awarding tenure, then the question of promotion will be considered moot, i.e. of no practical significance, and no vote will be taken.
4. All votes will be cast by closed ballot.

5. For other types of business, such as those related to review of criteria and procedures, two-thirds of the entire membership must be present.

E. RESPONSIBILITIES OF DEAN'S ADVISORY COMMITTEE (DAC)

1. To recommend to the Dean criteria and procedures for institutional considerations of a non-academic nature pertaining to nominations for tenure, appointment or promotion to senior rank. Considerations that are related to academic qualifications and are within the promotion/tenure guidelines (i.e. academic issues are outside the review of the DAC).
2. To receive for information purposes only all positive recommendations from the SAPC regarding academic qualifications of nominees for tenure, appointment or promotion to senior rank; to review the institutional considerations of a non-academic nature of these nominees; and to make recommendations to the Dean.
3. To review institutional considerations of a non-academic nature pertaining to nominations for tenure, appointment or promotion to senior rank for nominees receiving a negative recommendation from the SAPC if brought on appeal to the DAC by the Department Head, Division Chair, or Type II Center Director and to make recommendations to the Dean.
4. To transmit its recommendations in writing to the Dean, the chairperson of the SAPC and the nominee's Department Head, Division Chair, or Type II Center Director (as appropriate). The written transmission will address the institutional considerations of a non-academic nature pertaining to the nomination, and the specific ballot counts. Separate votes will be conducted for tenure and for promotion (if applicable). In those instances in which a faculty member is being recommended for both promotion and tenure, the question of tenure will be considered first. If the vote is not in favor of awarding tenure, then the question of promotion will be considered moot, i.e. of no practical significance, and no vote will be taken. Votes will be recorded.

F. RESPONSIBILITIES OF THE DEAN

1. To transmit to the SAPC for review all valid nominations for tenure, appointment or promotion to senior rank except those pertaining to the academic rank of a Type II Center Director, Division Chair or Department Head at the time of his/her initial appointment to the faculty.
2. To receive and evaluate the written recommendations of the SAPC regarding academic qualifications of all nominees for tenure, appointment or promotion to senior rank.
3. To transmit for informational purposes only all recommendations of the SAPC to the DAC, except in those instances in which the Dean has agreed to withdrawal of an unsuccessful nomination, those instances in which the nomination has been returned to the SAPC for further review, or those in which the negative recommendation is accepted.
4. To receive and evaluate all written requests and justifications for appeal submitted by the Department Head, Division Chair, or Type II Center Director (as appropriate) and to determine which, if any, nominations shall be returned to the SAPC for further review of academic qualifications and which, if any, shall be referred to the DAC for review of institutional considerations of a non-academic nature. A request for reconsideration should be granted based only on documented factual inaccuracies, reasonable differences in perception or substantive new academic information or if there are overriding non-academic institutional considerations.
5. To receive and evaluate the written recommendations of the DAC regarding the non-academic qualifications of nominees for tenure, appointment and promotion to senior rank. Only in rare instances should non-academic issues outweigh deficiencies in academic accomplishments.
6. To make final recommendations on each nominee to the Provost, and thence to the President and the Board of Directors and/or the Board of Trustees.

G. REVIEW PROCEDURES OF THE DEAN'S ADVISORY COMMITTEE

1. Upon receipt of positive recommendations from the SAPC:
  - a. The Dean will distribute to all voting members of the DAC, at least 72 hours in advance of the DAC meeting, a copy of the written report of the SAPC.
  - b. The Dean will chair the deliberations of the DAC.
  - c. The presence of the chair of the SAPC (or designate) may be requested at the DAC meeting for the purpose of clarifying the report of the SAPC.
  - d. Institutional considerations of a non-academic nature of the nominee may be introduced by the Department Head, Division Chair, or Type II Center Director (as appropriate) and/or by other members of the DAC, after which a motion on the nomination will be entertained.
  - e. The chair of the SAPC and the Department Head, Division Chair, and/or Type II Center Director will be absent during the ensuing discussion and vote.
  - f. Voting by at least a quorum of the DAC will be by closed ballot and only members present shall vote. Separate votes will be conducted for promotion and for tenure (if applicable) and will be recorded. The nominating Department Head, Division Chair, or Type II Center Director will not be present for the balloting and will not be eligible to vote.
2. Upon approval of an appeal of a negative recommendation from the SAPC, the following procedures will be followed, as defined in Section H.2 (Request for Reconsideration, Non-Academic Considerations)
  - a. The Dean will distribute to all voting members of the DAC and the chair of the SAPC, at least 72 hours in advance of the DAC meeting, a copy of the written request and justification for consideration on non-academic grounds provided by the Department Head, Division Chair, or Type II Center Director, and the written report of the SAPC.
  - b. The Dean will chair the deliberations of the DAC.
  - c. The presence of the chair of the SAPC (or designate) may be requested at the DAC meeting for the purpose of clarifying the report of the SAPC.
  - d. The Department Head, Division Chair, or Type II Center Director making the appeal will be present at the DAC meeting for the purpose of making a statement concerning the non-academic qualifications of the nominee and clarifying the written justification for appeal, if questions arise. A motion on the nomination will then be entertained.
  - e. The chairman of the SAPC and the Department Head, Division Chair, or Type II Center Director making the appeal will not be present during the ensuing discussion and vote.
  - f. Voting by at least a quorum of the DAC will be by closed ballot and only members present shall vote. Separate votes will be conducted for promotion and for tenure (if applicable) and will be recorded. The Department Head, Division Chair, or Type II Center Director making the appeal will not be present for the balloting and will not be eligible to vote.

## H. REQUEST FOR RECONSIDERATION

### 1. Academic Considerations

The Department Head, Division Chair, or Type II Center Director (as appropriate) may appeal to the Dean for reconsideration by the SAPC when there are documented factual inaccuracies, differences in perception or substantive new information of an academic nature. Request for reconsideration must be made in writing and correspondence must include documentation of the new information. If the Dean determines that the request for reconsideration is warranted, the Dean will return the nomination to the SAPC for further review of academic qualifications. In addition, the Department Head, Division Chair, or Type II Center Director (as appropriate) is entitled to make a verbal presentation to the SAPC. Written correspondence must be received at least 72 hours before a meeting in which the verbal presentation is made.

### 2. Non-Academic Considerations

The Department Head, Division Chair, or Type II Center Director shall have the right to appeal to the Dean for reconsideration by the DAC when there are perceived inaccuracies or substantive new overriding information of an institutional non-academic nature. Appeals must be made in writing within two weeks of notification by the Dean to the Department Head, Division Chair, or Type II Center Director of the SAPC recommendation. Correspondence requesting the appeal must include documentation of the new information. If the Dean determines that the appeal is warranted, the Dean will return the nomination to the DAC for further review of institutional considerations of a non-academic nature.

## I. REQUEST BY A FACULTY MEMBER FOR RECONSIDERATION

### 1. Failure or Refusal of the Department Head, Division Chair, or Type II Center Director to Nominate

A faculty member may petition the Dean to have his/her name placed in nomination for tenure and/or promotion when the Department Head, Division Chair, or Type II Center Director has failed or refused to do so. The Dean may deny the request or appoint an *ad-hoc* faculty committee to consider the merits of the request. The *ad-hoc* committee will review appropriate information provided by the faculty member and such additional information as it requires. Within three weeks it will recommend to the Dean either that the request be denied or that sufficient evidence exists for consideration by the SAPC. If the Dean accepts the recommendation for consideration, further review by the SAPC will follow customary procedures, and its recommendations reported to the Dean. Nomination material will be assembled and submitted by the faculty member in question.

A recommendation by the SAPC concerning appointment, promotion, or tenure will be presented to the Dean. Subsequent action by the Dean and DAC will be as outlined above. The faculty member's Department Head, Division Chair, or Type II Center Director will not be present during the discussion or voting by the Dean's Advisory Committee, but will be granted the right to make a statement.

### 2. Withdrawal of the Nomination without the Concurrence of the Nominee

A faculty member may petition the Dean that his/her nomination for tenure and/or promotion be reconsidered when the Department Head, Division Chair, or Type II Center Director withdraws the nomination without the faculty member's concurrence. The Dean may deny the request or appoint an *ad-hoc* faculty committee to evaluate the appeal. The *ad-hoc* committee will report to the Dean within three weeks. If the Dean accepts a recommendation to reinstate the nomination, procedures will be resumed as outlined above.

### 3. Appeal by a Faculty Member to the Provost

A faculty member has the right to appeal to the Provost any decision by the Dean of the School of Dental Medicine concerning promotion or tenure.

J. DEAN'S DECISION, SUBSEQUENT RECOMMENDATIONS AND APPEAL PROCESS

Following review by the DAC of either a positive recommendation by the SAPC to the Dean or the appeal of negative recommendation by the SAPC to the Dean, the Dean shall render a decision on promotion and/or tenure of the faculty nominee. The Dean's decision should occur in a timely fashion following the DAC review. The Dean will then inform the Department Head, Division Chair, and/or Type II Center Director (as appropriate) of the decision. The Department Head, Division Chair, and/or Type II Center Director (as appropriate) will then inform the nominee.

The Provost may accept or reject the Dean's recommendation. The faculty nominee may appeal a decision of the Provost through the standing appeals processes of the UHC; for example, via the UHC Health Center Appeals Committee (HCAC), which reports to the President of the University.

The Provost shall submit positive recommendations for promotion and/or tenure to the UHC Board of Directors. Negative recommendations shall not be submitted to the Board of Directors. Should the Board of Directors reject a positive recommendation for promotion and/or tenure, the faculty member shall have an opportunity to appeal the decision.

**Summary: Three Major Appointment Types in SDM and Requirements for Promotion**

	<b>TYPE OF APPOINTMENT</b>		
	<b>Academic</b>		<b>Clinical/Non-Academic</b>
	Tenure	In-Residence	Clinical
Nature of Track	Academic Emphasis <ul style="list-style-type: none"> <li>• Publication</li> <li>• Independence</li> <li>• Contribution to field</li> <li>• National reputation</li> <li>• Funding</li> </ul>	Not primarily directed toward academic interests/career <ul style="list-style-type: none"> <li>• 1-Year recurrent appointments</li> <li>• Can precede entry into Tenure Track</li> <li>• May have academic expectations</li> </ul>	Non-academic, clinical appointment <ul style="list-style-type: none"> <li>• Established in 2004; non-academic profile (Clinical Instructors, Team Leaders, Part-time clinicians)</li> <li>• Clinical care and/or Clinic teaching/preceptorship Emphasis</li> </ul>
Faculty Subtracks & Effort Profiles <sup>a</sup>	Dentist Scientist/ Research Scientist <ul style="list-style-type: none"> <li>• Teaching 20%</li> <li>• Research 50%</li> <li>• Service 15%</li> <li>• Other Acad Activity 15%</li> </ul> Clinician Scholar <ul style="list-style-type: none"> <li>• Teaching 50%</li> <li>• Service 15%</li> <li>• Other Acad Activity 35%</li> </ul>	Dentist Scientist/ Research Scientist <ul style="list-style-type: none"> <li>• Teaching 20%</li> <li>• Research 50%</li> <li>• Service 15%</li> <li>• Other Acad Activity 15%</li> </ul> Clinician Scholar <ul style="list-style-type: none"> <li>• Teaching 50%</li> <li>• Service 15%</li> <li>• Other Acad Activity 35%</li> </ul>	Clinician <ul style="list-style-type: none"> <li>• e.g. Patient Care @ 95% and Teaching or Inst Svc @ 5%</li> </ul>
Faculty Ranks	Assistant Professor Associate Professor Professor	Asst Professor In-Residence Assoc Prof In-Residence Professor In-Residence (* term "Clinical" not used)	Clinical Instructor Clinical Asst Professor Clinical Assoc Professor Clinical Professor
May be Part-Time <sup>f</sup>	No	Yes <sup>f</sup>	Yes <sup>f</sup>
May switch tracks <sup>b</sup>	Yes (one time)	Yes (one time)	Yes (one time)
Timeline for Promotion <sup>c</sup>	9 Years – Promotion to Associate Professor	9 Years – Promotion to Associate Professor	None
Criteria for Promotion <sup>d</sup>	Scholarship <ul style="list-style-type: none"> <li>• Research                             <ul style="list-style-type: none"> <li>○ Publications</li> <li>○ Progress as Scientist</li> <li>○ Contributions to Field</li> <li>○ Independence</li> <li>○ Funding</li> </ul> </li> <li>• Teaching</li> <li>• Health Care &amp; Service</li> <li>• Mentorship</li> </ul>	Scholarship <sup>e</sup> <ul style="list-style-type: none"> <li>• Teaching</li> <li>• Health Care &amp; Service</li> <li>• Research                             <ul style="list-style-type: none"> <li>○ Publications</li> <li>○ Progress as Scientist</li> <li>○ Contributions to Field</li> <li>○ Independence</li> <li>○ Funding</li> </ul> </li> <li>• Mentorship</li> </ul>	<ul style="list-style-type: none"> <li>• Health Care &amp; Service</li> <li>• Teaching</li> </ul>

<sup>a</sup> Distribution of Effort may differ for individual faculty. Refer to Letter of Appointment for specific effort allocations.

<sup>b</sup> In-residence faculty may switch to tenure track in consultation with, and agreement by, the Dean. Tenure track faculty may likewise switch to the in-residence track. Clinical Faculty may switch to In-Residence or Tenure track in consultation with, and agreement by, the Dean. In-Residence or Tenure track faculty may not switch to a Clinical appointment.

<sup>c</sup> The clock may be stopped for medical or maternity leave, or for other reasons with agreement of the Dean. The clock may be reset upon a change in appointment, with agreement of the Dean.

<sup>d</sup> Criteria for promotion presented are general guidelines. Specific criteria will differ for individual faculty members. Faculty with either Tenurial or In-Residence appointments are expected to show some degree of scholarship, including publications. In-residence faculty are not expected to demonstrate the same breadth or depth of scholarship as tenure-track faculty.

<sup>e</sup> For In-Residence, emphasis within scholarship will depend on appointment specifics and major assigned efforts.

<sup>f</sup> Part-time faculty carry the term "adjunct", e.g. Adjunct Associate Professor In-Residence.

## **Two (2) Unique SDM Appointment Types (Beyond the 3 Major Types)**

### ***Research-Development:***

Description: This is an interim faculty appointment type designed to allow a transition period between completion of graduate or post graduate research training and appointment to a traditional faculty appointment either in the School of Dental Medicine or another academic institution.

Title/Faculty Rank: Research Instructor

Effort Percent: 95% Research; 5% Teaching or Institution tenure

Period of Appointment: Appointments can be made for short periods of several weeks or months and in no case greater than one year. Re-appointment may occur but generally for accumulative period not to exceed two years. During this interim period, the expectation is demonstration of increasing independence in research through submission of grant application, award of grants and publication. This period of professional development should prepare the individual for competitive application for a traditional faculty appointment at an academic institution.

### ***Leadership:***

Description: Leadership appointments are reserved for faculty who have achieved senior rank (Associate Professor, Professor) in one of the three SDM appointment types and where the individual will assume or has major administrative responsibilities.

Title/Faculty Rank: No distinguishing title. The Leadership designation is documented in the faculty member's appointment letter.

Effort Profile: Dean: 65% administration, Associate/Assistant Dean: 50%, Department Head/Division Chair: 35%, Other Administration: 15% (or as specifically defined in appointment letter)



# University of Connecticut School of Dental Medicine Review Process of Promotion, Tenure, and Appointment to Senior Rank

## Request by a Faculty Member for Reconsideration

A. Failure or Refusal of Department Head to Nominate

B. Withdrawal of Nomination without Concurrence of the Faculty Member

