

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). 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(s). 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 nominees' contributions to the advancement of their disciplines 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

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 XV-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:

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

Clinician-Scholars: 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 15% for others, as determined by the Dean in consultation with the Department Head.

C. GUIDELINES FOR SCHOLARSHIP

In each area of scholarship below-teaching, research, health care and academically related professional development activities-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.

¹See Addendum I-Faculty Holding Non-Tenurial Clinical Category Appointment, Page 13, approved by the Board of Directors on June 14, 2004.

C. GUIDELINES FOR SCHOLARSHIP (continued)

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 and presentation of electives in field(s) of expertise
- development of innovative teaching methods or materials
- 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 of innovative mechanisms for the provision of care in an educational context as, for example, student instruction in a faculty practice context

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 or residencies
- 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

- originality and importance of work
- steady, focused, continued productivity
- invitations to contribute (to) reviews, compilations or textbooks
- competitively awarded intra-and extramural grant and contract support
- impact of published work on the research field
- 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

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

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

- acquisition and application of new clinical, educational, research or health care skills, for example, as a mentee or significant collaborator in research
- preparation and submission of manuscripts
- preparation and submission of grant and contract proposals
- additional time spent in teaching, research or health care

- 4a. Achievements (continued)
- participation and leadership roles in substantive University, local, regional, national and international committees
 - editorial or reviewer service for professional books or journals
 - service as an ad hoc reviewer study section or as a fixed-term member of a grant-review or contract-review
 - service as an examiner for specialty boards
 - service as a department section or division head
 - achievement of diplomat status in area of specialization

b. Documentation

- letters or other proofs with clear indications of the impact of activities

D. ACADEMIC TENURE

1. Permanent or continuous academic tenure may be awarded for service in the rank of Assistant Professor or higher. 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, generally in health care QI research. 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.

B. FACULTY TRACKS (continued)

Full-Time Clinician: 95% patient care, 5% teaching or institutional service.

Research-Development: 95% research, 5% teaching or institutional service.

In addition, the Dentist-Scientist, Research-Scientist, Clinician-Scholar and Leadership faculty tracks, described in Section I of this document, can also exist as In-Residence appointments insofar as the percentage allocations of effort among teaching, research, health care and academically related professional development activities are the same as the like-named tenurial appointment.

Dentist-Scientist and Research-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 15% for others, as determined by the Dean in consultation with the Department Head.

C. GUIDELINES FOR SCHOLARSHIP

With the exception of the percentage distributions among the four areas of scholarship-teaching, research, health care, academically related professional development activities-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 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). 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 QI original research -in any of their diverse forms-is required for promotion to senior rank in the part-time faculty.

B. FACULTY TITLES

Part-time faculty can serve in either of the non-tenurial tracks-full-time Clinician or Research-Development -and, by virtue of similar percentage efforts in teaching, research, health care and academically related professional development activities, also in part-time (non-tenurial) versions of the Dentist-Scientist, Research-Scientist or Clinician-Scholar. The distinctions among faculty titles exist in the agreed-upon number of hours spent by the part-time faculty member in this facility.

B. FACULTY TITLES (continued)

A clinician who spends less than 22 days annually in the academic programs of the School of Dental Medicine will hold the title Clinical Associate. Only part-time faculty who participate more than 22 days annually in the academic programs of the School of Dental Medicine are eligible for the rank of Associate Clinical Professor or Clinical Professor or of Associate Research Professor or Research Professor.

C. GUIDELINES FOR SCHOLARSHIP

The guidelines for promotion to Associate Professor and Professor for the part-time faculty, whether In-Residence 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). 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.

IV. 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 or part-time) appointment in the School of Dental Medicine for promotion to senior rank and/or for award of tenure.

1. The Department Head or Dean (if the nominee is a Department Head), 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 fails or refuses to nominate (Section V.1.1). This material must at least include, but need not be limited to the following items:

a. A letter of nomination prepared by the Department Head 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 Head of the Department 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 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 must 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.

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.

A. PROCEDURES GOVERNING NOMINATIONS (continuing)

- c. Materials that reflect and document scholarship in the areas of teaching, research, health care and academically related professional development activities 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.
- d. The nominee and Department Head 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.

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 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 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 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 and professional service-consistent in type and amount with the track for which they are being considered-are required, some examples having 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 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.

V. 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, department spokesperson or Dean; to review the codified academic qualifications of these nominees (teaching, research, health care and professional activities); and to make recommendations to the Dean. The SAPC will not consider the initial academic appointment of a Department Head.

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

3. In those instances where a decision of the SAPC is brought for reconsideration by the Department Head or department spokesperson (with concurrence of the Dean), 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 (or department spokesperson, if applicable). 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 of the SDM. SAPC members must be full-time faculty members with the rank of associate professor or professor. Ordinarily, the SAPC will include one member from each Division or Type II center of the School of Dental Medicine and one member (with primary appointment in the SDM) from the UCH BME Department. The Dean will appoint representatives from each of these units after consultation with the leader of each unit. Thus, each functional unit in the SDM will have equal membership on the Committee. In rare situations, the Dean may appoint a second member from a unit for compelling reasons; for example, if there are no available senior faculty members in some units. There will be at least one member appointed from among the basic science departments of the School of Medicine. Division Chairs, Type II Center Directors, and Department Heads shall not serve on the SAPC. Every effort will be made to have the SAPC membership be equitable across SDM units and proportionally representative of the SDM faculty in regards to gender, race, and ethnic background. The SAPC membership roster will be made publicly available on the SDM website, along with details of the duration of service of each member.

Members will ordinarily be appointed to the SAPC for a three year term. Each member, including the chairperson, may serve on the SAPC or no longer than two consecutive three-year terms, after which they should come off the SAPC for at least one year. The Dean may waive term limits for any member, including the chairperson, with good reason; for example, if no suitable replacement can be identified.

2. The SAPC Chair will solicit conflicts of interest from the Committee members for all candidates coming before the Committee. Committee members from the same unit as the candidate will be automatically in conflict. Likewise, candidate applying for promotion or tenure may declare conflicts with any Committee members. Conflicts may be declared without specifying the nature of the conflict and such declarations are will be honored by the Chair. Committee members who are in conflict will not receive any application materials and will not be allowed to be present during the discussions and vote on the relevant candidates for whom a conflict has been identified.

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 appropriate department head, or a department spokesperson (if applicable) or the Dean in the case of tenure or promotion of a department head. The nominating department head or department spokesperson will forward nominations to the Dean for confirmation of eligibility and will then transmit to the chair of SAPC information as outlined in "Principles, Guidelines and Procedures for Appointment, Promotion and Tenure, Section IV".
2. All business of the SAPC Committee will be confidential and will be communicated by the chairperson only.
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, department spokesperson or Dean.

4. After all the pertinent materials have been obtained from the Department Head (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 (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 department will receive the written materials or be present during discussion of the nominee. A member from a department 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 may withdraw from the deliberations with the concurrence of the Chair of SAPC.

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

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.
4. 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 or spokesperson 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 (and department spokesperson, if applicable). 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 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. 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 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.

F. RESPONSIBILITIES OF THE DEAN (continued)

4. To receive and evaluate all written requests and justifications for appeal submitted by the head (or spokesperson) of the nominee's department, 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 Vice President, and thence to the President and the Board of Trustees.

G. REVIEW PROCEDURES OF THE DEAN'S ADVISORY COMMITTEE

1. Upon receipt of positive recommendation from the SAPC:
 - a. The Dean will distribute to all 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 chair of the SAPC (or designate) will be present 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 head (or spokesperson) of the nominee's department 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 Head (or spokesperson) of the nominee's department 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 (or spokesperson) will not be present for the balloting and will not be eligible to vote.
2. Upon receipt of negative recommendation from the SAPC:
 - a. The Dean will distribute to all 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 Head (or spokesperson) of the nominee's department, and the written report of the SAPC.
 - b. The Dean will chair the deliberations of the DAC.
 - c. The chairman of the SAPC (or designate) will be present at the DAC meeting for the purpose of clarifying the report of the SAPC.
 - d. The Department Head (or spokesperson) 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.

G. REVIEW PROCEDURES OF THE DEAN'S ADVISORY COMMITTEE (continued)

- e. The chairman of the SAPC and the Department Head (or spokesperson) 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 (or spokesperson) making the appeal will not be present for the balloting and will not be eligible to vote.

H. REQUEST BY A DEPARTMENT HEAD FOR RECONSIDERATION

1. Academic Considerations

A Department Head 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 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

A Department Head will be granted 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 and correspondence 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 Department Head 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 has failed or refused to do so. The Dean may deny the request or appoint *ad-hoc* a 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 SAPC. If the Dean accepts the recommendation for consideration, the further review by 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 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 involved Department Head 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.

I. REQUEST BY A FACULTY MEMBER FOR RECONSIDERATION (continued)

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 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 Vice President for Health Affairs

A faculty member has the right to appeal to the Vice-President for Health Affairs any decision by the Dean of the School of Dental Medicine concerning promotion or tenure.

Approved by Dean's Advisory Committee June 14, 1995
Revised and Approved by Dental Senate August 10, 2020.

ADDENDUM I
FACULTY HOLDING NON-TENURIAL CLINICAL CATEGORY APPOINTMENT

This category would be a non-academic, non-tenured class of faculty. Faculty in this category would be referred to as Clinical Instructor, Clinical Assistant (Associate) Professor, or Clinical Professor.

Faculty in the regular academic tracks would not be eligible for transfer to the Clinical Track. Clinical Track faculty, however, could apply for reassignment to an academic track appointment.

Criteria for Reappointment And Promotion

Criteria for reappointment and promotion of such faculty would be as follows:

Competence, as well as significant achievement, in at least one of the following:

1. 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. This record should result in local or regional (for Associate Professor) or national/international recognition (for full 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.
2. 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.
3. 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.

Documentation:

- Letter from Department Chair indicating evaluation by department faculty.
- Board certification or eligibility, as appropriate.
- Letters from peers in the SDM.
- Letters from peers at the 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.
- Annual student evaluations of clinical precepting.
- Patient evaluations of quality of care, if available.

Terms of Appointment

Clinical Assistant Professors would be appointed to an initial term of one year. Reappointment would require departmental review of the faculty member's teaching and clinical service, and the approval of the Dean. With a positive review, the faculty member would be reappointed for additional one-year terms. If promotion is requested, the review would be administered by the Senior Appointments and Promotions Committee.

Clinical Associate Professors could be appointed to a term of up to 3 years. Faculty at this level would be eligible for reappointment based on departmental review and approval by the Dean.

Clinical Professors could be appointed to a term of up to 5 years. Faculty at this level would be eligible for reappointment based on departmental review and approval by the Dean.

Faculty would have no maximum period of time by which promotion must be achieved in this track.

Termination of Clinical Track Appointments

Termination during the term of the appointment of faculty in the Clinical Track would occur for failure to maintain clinical privileges and standards of performance established by the SDM. A decision not to renew an appointment may be made for -failure to maintain clinical privileges and standards of performance established by the SDM, or for changed economic circumstances or program or institutional needs that would necessitate the termination of the position. A decision not to renew because of economic, program, or institutional needs could only be carried out at the conclusion of an appointment period, and must be preceded by appropriate notice to the faculty member.

Movement Between Tracks

Faculty in the In Residence Track may move to the Clinical Track if such a move is made by December 31, 2004. After that time, faculty may change tracks from the Clinical Track to the In Residence Track, but may not change from the In Residence Track to the Clinical Track. All changes of Tracks represent a change in type of appointment and must therefore be approved by the Department head.

SUMMARY OF APPOINTMENTS AND TRACKS

<u>Faculty Tracks</u>	<u>Type of Appointment</u>		
	<u>Tenurial¹</u>	<u>Non-Tenurial²</u>	
		<u>In-Residence</u>	<u>Part-Time³</u>
<u>Dentist Scientist</u> or <u>Research Scientist</u> 50% Research 20% Teaching 15% Institutional Service 15% Academically Related Professional Development Activities	Associate Professor and Professor	Associate Professor In-Residence and Professor In-Residence	Associate Clinical Professor or Associate Research Professor and Clinical Professor or Research Professor
<u>Clinician Scholar</u> 50% Teaching 15% Institutional Service 35% Academically Related Professional Development Activities			
<u>Full-Time Clinician</u> 95% Patient Care 5% Teaching or Institutional Service		Associate Professor In-Residence and Professor In-Residence	Associate Clinical Professor or Associate Research Professor and Clinical Professor or Research Professor
<u>Research-Development</u> 95% Research 5% Teaching or Institutional Service			
<u>Leadership</u> Any of the previous tracks adjusted to: 65% Administration (Dean) 50% Administration (Assoc./Asst. Dean) 35% Administration (Dept. Head) 15% Administration (Other)	Associate Professor and Professor	Associate Professor In-Residence and Professor In-Residence	Associate Clinical Professor or Associate Research Professor and Clinical Professor or Research Professor

1. Full time only
2. Full time or part time

2. Includes un-compensated volunteers: <22 days annual service are Clinical Associates; >22 days annual service are Associate Clinical Professor or Associate Research Professor and Clinical Professor or Research Professor.

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

