

**UNIVERSITY OF OKLAHOMA
COLLEGE OF DENTISTRY
PROMOTION AND TENURE POLICY**

1.0 INTRODUCTION

- 1.1 The specific criteria for appointment, promotion and tenure of faculty to and in the College of Dentistry as detailed below are consistent with the University of Oklahoma Health Sciences Center policy on promotion and tenure outlined in Chapter 3 (3.5.4 to 3.10.2) in the *Faculty Handbook*. The University of Oklahoma Health Sciences Center policy on promotion and tenure was approved by the Regents in July, 1996.
- 1.2 The College of Dentistry document on Promotion and Tenure has been approved by the Faculty of the College, by the Dean and Provost. The policy will be distributed to all new and current faculty members.

2.0 APPOINTMENT OF NEW FACULTY

- 2.1 Official Offer - The formal offer of appointment must come from the Provost or the President and will include the statement that the appointment is contingent upon the approval of the University Regents. The letter of offer will specify academic rank, appointment type (with tenure, tenure track, consecutive term, or temporary), beginning date of employment, salary, full-time equivalent, the length of pretenure period if tenure track and any special conditions pertaining to the appointment. Enclosed with the offer will be a copy of the *Faculty Handbook*, together with supplemental information on such matters as faculty benefits.

Initial assignments as set forth in the letter of offer may be changed and do not constitute an agreement that the assignments will remain the same throughout the faculty member's employment.

- 2.2 Contract - If the appointment is approved by the Regents, a Contract of Employment will be furnished by the Regents' Office to the applicant for signature. Included in this contract will be the approved rank and salary. The Contract will contain a statement indicating that the applicant has read the *Faculty Handbook* and accepts appointment in accord with the policies specified, with the understanding that policies of the University are subject to change by the Board of Regents.

In addition to the Contract for Employment, the appointee will receive a written statement provided by the Department Chair defining the appointee's initial teaching, research, professional/clinical service and administrative responsibilities and other special conditions pertaining to the appointment. The Department Chair will also provide tenured, tenure track and consecutive term appointees with copies of the College tenure and promotion criteria.

- 2.3 Compensation - In addition to the guaranteed salary base provided by the University, the College will provide each appointee with the College's Professional Practice Plan By-Laws setting forth the conditions for compensation.
- 2.4 Advanced Education - Completion of an appropriate advanced educational program will generally be required prior to appointment to a department/discipline officially recognized by the American Dental Association as a specialty, e.g. endodontics.

3.0 APPOINTMENT PERIOD

- 3.1 Most faculty appointments in the College of Dentistry are twelve month appointments for the academic year, July 1 through June 30. However, the instructional periods may not correspond precisely to faculty appointment dates. Some faculty members are appointed on a nine or ten month basis. The appointment period for the second semester begins January 1, even though the semester may be at a different time.
- 3.2 It is the responsibility of the Chair or Dean to notify each faculty member of the date to start work.

4.0 TEMPORARY, TENURE TRACK, TENURED AND CONSECUTIVE TERM APPOINTMENTS

- 4.1 The type of appointment will be determined by the academic unit (department) in consultation with the appointee and with the approval of the Dean, the Provost and the University administration.
- 4.2 All appointments less than 1.0 FTE are classified as temporary appointments except for those noted in Section 3.7.2 (f) in the *Faculty Handbook*. Temporary appointments are indicated by titles, such as instructor, lecturer, preceptor, or by the use of such adjectives as visiting, adjunct, clinical, or acting. Temporary appointments begin and end at specified times and do not extend beyond the end of each academic year. No notice of non-reappointment is required for temporary appointees. Faculty members on temporary appointments are not eligible for tenure and their contract shall so specify. Full-time faculty may serve a maximum of seven years in a temporary rank. The seven year limitation on temporary appointments may be waived by the Provost, upon the application of the Dean, and with the approval of the academic unit (department) involved and the concurrence of the individual faculty member affected.
- 4.3 Full-time tenure track or tenured appointments at the unmodified rank of assistant professor and above are regular appointments.
- 4.4 Consecutive term appointments are regular appointments. All consecutive term appointments are non-tenure track. Full-time faculty who hold a regular faculty title of assistant professor or above and who are ineligible for tenure shall be eligible for renewable consecutive term appointments with no restriction placed on the number of terms that may be served. Eligibility for consecutive term appointments shall be determined by the academic unit (department) with the approval of the faculty member, the Dean, the Provost, and the University administration. This understanding shall be specified in the contract. The end of the consecutive term appointment shall coincide with the end of the academic year.
- 4.5 No faculty may be appointed to a regular appointment until all Affirmative Action requirements have been completed.

5.0 CHANGES IN APPOINTMENT STATUS

- 5.1 A faculty member on a tenure track appointment may request a change to a consecutive term appointment at any time during the pre-tenure period prior to initiation of the procedures for tenure decision. However, a faculty member may not return to a tenure track appointment after changing to a consecutive term appointment.
- 5.2 With the approval of the academic unit (department), the Dean and the Provost, faculty members receiving renewable consecutive term appointments may at any time request to be placed in the tenure track. With the approval of the academic unit (department), Dean and Provost, up to three (3) years served in a consecutive term appointment may be credited toward the pre-tenure period.
- 5.3 Under certain extraordinary circumstances in order to meet the University's and College's clinical care, service, or teaching obligations, a faculty member who has been denied tenure may be granted a consecutive term appointment upon recommendation by the academic unit (department), Dean, and Provost.

6.0 JOINT APPOINTMENTS (see *Faculty Handbook* Section 3.5.8)

7.0 PART-TIME APPOINTMENTS

A part-time appointment is one at less than 1.0 Full-time Equivalent (FTE). At the time of any part-time appointment, the appointee and the College/University must reach a clear understanding of the terms of the part-time appointment. This understanding shall be in writing and the appointee shall receive a copy.

8.0 NOTIFICATIONS OF NON- RE APPOINTMENT OF TENURE TRACK OR CONSECUTIVE TERM CONTRACT

- 8.1 Action on the non-reappointment of individuals having a tenure track or consecutive term appointment is initiated by the academic unit (department) through the respective Dean, to the Provost, President, and Board of Regents.
- 8.2 A faculty member with a tenure track or consecutive term appointment who is not to be reappointed for a second year of service must be notified by March 1. If the first year appointment terminates at a time other than the end of the academic year, notice must be given at least three months before the end of the appointment period.
- 8.3 A faculty member with a tenure track or consecutive term appointment who is not to be reappointed to a third year of service must be notified by December 15 of the second year of appointment. If the second year of appointment terminates at a time other than the end of the appointment year, notice must be given at least six months before the end of the appointment period.
- 8.4 A faculty member with a tenure track or consecutive term appointment who is not to be reappointed to a fourth or subsequent year of service must be notified by May 31 of the year preceding the final year of appointment. If the appointment ends at a time other than the end of the academic year, notice must be given at least twelve months before the end of the appointment period.
- 8.5 All notifications of non-re appointment shall be given in writing by the Provost.
- 8.6 The faculty member may appeal to the University of Oklahoma Health Sciences Center Faculty Appeals Board only if notification practices prescribed in the preceding paragraphs of this section are not followed.

9.0 RESIGNATION

A faculty member who elects to resign at the end of an academic year is obligated to give notice in writing to the Departmental Chair by May 15 or within thirty days of receiving notification of the terms of his or her appointment for the coming year, whichever date is later. A faculty member may request a waiver of this requirement.

10.0 CRITERIA FOR TENURE AND PROMOTION

Decisions regarding tenure, promotions, and salary increases are based upon an assessment of the faculty member's performance and contribution to the total mission of the University/College in the areas of teaching, research/scholarly achievement, and service. Documentation of the faculty member's accomplishments should include, but not be limited to the following:

10.1 Teaching

- 10.1.1 Teaching evaluations by students and peers

- 10.1.2 Teaching awards received
 - 10.1.3 Description of teaching responsibilities
 - 10.1.4 Development of unique or innovative teaching materials such as:
 - Audiovisual materials
 - Computer software
 - Syllabi
 - New courses or programs
 - Laboratory exercises
 - Simulation techniques
 - 10.1.5 Designing and presenting, independently, a course or a series of integrated lectures
 - 10.1.6 Preparing examinations, independently, and grading a course or a portion of a course
 - 10.1.7 Recognition by other departments within the College for his/her effectiveness in planning and/or presentation of material involving interdepartmental teaching efforts
 - 10.1.8 Authoring (solely or as a primary author) course goals and objectives, outlines and/or narrative handouts dealing with specific topic areas, including teaching manuals
 - 10.1.9 Teaching efforts supporting the College's competency statements.
 - 10.1.10 Performing educational research and utilizing this information in modification of his/her courses.
 - 10.1.11 Recognition for excellence in presenting continuing education courses
 - 10.1.12 Participation in teaching programs at other academic institutions because of his/her national recognition as an authority in the field.
 - 10.1.13 Attaining advanced training or completing a degree in educational philosophy or methodology.
- 10.2 Research/scholarly achievement
- 10.2.1 Invitations to chair or organize symposia
 - 10.2.2 Editing books or journals in his/her professional discipline
 - 10.2.3 Publications in peer-reviewed journals
 - 10.2.4 Primary author of a textbook
 - 10.2.5 Presentations at national/international symposia, conferences, and professional meetings
 - 10.2.6 Acquiring extramural grant or contract funds, as a principal or co-principal investigator, through peer review mechanisms
 - 10.2.7 Keeping abreast of current trends resulting from new knowledge in his/her specialty and other areas and utilization of this new information to improve education or health care programs
 - 10.2.8 Demonstration of the ability to direct research training as a thesis advisor
 - 10.2.9 Participation in poster sessions, at regional, national or international symposia, conferences and professional meetings
 - 10.2.10 Serving as a consultant to government research review committees, study sections, visitation teams, etc.
 - 10.2.11 Special research honors and/or awards received
- 10.3 Professional/clinical service
- 10.3.1 Leadership positions in local, state, or national associations
 - 10.3.2 Service on advisory boards for granting agencies
 - 10.3.3 College or university committee work
 - 10.3.4 Consultantships
 - 10.3.5 Leadership as evidenced by serving as head of a division, department or specific program
 - 10.3.6 Evidence of acquisition, introduction or development of new dental health care techniques, procedures or clinical approaches
 - 10.3.7 Development of community dental health-related outreach programs
 - 10.3.8 Improvement in clinical management
 - 10.3.9 Demonstrable improvement (quality, utilization, access) in delivery of dental health care

- 10.3.10 Publication of case studies, monographs, reviews, and book chapters
- 10.3.11 Editing professional journals or other publications
- 10.3.12 Book reviews in professional journals
- 10.3.13 Participation in a specialized professional capacity in programs sponsored by students, faculty or community groups
- 10.3.14 Service on relevant commissions, advisory boards or agencies (public or private), related to the faculty member's discipline or profession
- 10.3.15 Artistic and humanistic presentations
- 10.3.16 Provision of high quality dental health care

11.0 ELIGIBILITY FOR TENURE

Tenure is defined in Section 3.7 of the *Faculty Handbook*.

- 11.1 Faculty of the University who hold a regular tenure-track appointment and who devote full-time efforts to University activities are eligible for tenure provided they are assigned to devote at least 50% of their time to teaching and/or research for the University and maintain this requirement during the entire pre-tenure period.
- 11.2 With the approval of the academic unit (department), the Dean and the Provost, faculty members receiving consecutive term appointments may at any time request to be placed in the tenure track in which case all University policies relating to tenure shall apply. With the approval of the academic unit (department), Dean and Provost, up to three (3) years of academic service in a consecutive term appointment may be credited toward the pre-tenure period.
- 11.3 With the approval of the academic unit(department), Dean and Provost, faculty members who are in the tenure track may request a change to a consecutive term appointment at any time during the six (6) year pre-tenure period, but prior to the initiation of procedures for tenure decision. A faculty member who changes from a tenure track appointment to a consecutive term appointment will not be eligible for future tenure consideration.
- 11.4 Before a regular faculty member assumes primary administrative duties during the pre-tenure period, a written agreement must be reached between the individual concerned, the academic unit (department), the Dean and Provost, as to whether the individual will be reviewed for tenure, at what time, and under what conditions.
- 11.5 Additional information on tenure eligibility is in Section 3.7.2 of the *Faculty Handbook*.

12.0 PRETENURE PERIODS

- 12.1 The beginning of the pre-tenure period for a faculty member whose date of appointment is prior to the start of the second semester will be the first of that academic year. If the date of appointment is in the second semester, the pre-tenure period will begin with the next academic year.
- 12.2 Full-time tenure track faculty have a pre-tenure period of six years. In rare instances, the academic unit (department) and Dean may request an extension of the pre-tenure period not to exceed three years.
- 12.3 The pre-tenure period may include up to a total of three years in prior service in a consecutive term appointment at the OUHSC or in professorial ranks at another institution for assistant professors, and up to a total of four years for associate professors and professors.
- 12.4 The faculty member may request in writing at the time of the first regular tenure track appointment that such prior service should be included. This request requires approval by the academic unit (department), the Dean and Provost.

- 12.5 A new faculty member appointed at the rank of professor or associate professor may be granted tenure from the date of appointment. The determination of tenure shall be made in the regular fashion, *Faculty Handbook* Section 3.7.5 (b) through (q).
- 12.6 Additional information on pre-tenure periods can be found in the *Faculty Handbook*, Section 3.7.3.

13.0 CRITERIA FOR THE TENURE DECISION

The tenure decision shall be based on a thorough evaluation of the candidate's total contribution to his/her College and the mission of the University. All evaluations for tenure shall address the manner in which each candidate has performed in teaching, research/scholarly achievement and service. All candidates for tenure must have displayed a record of substantial accomplishment in each of the three areas and evidence of excellence in two.

- 13.1 Any exception to the policy that faculty be evaluated on their performance in the three areas of teaching, research/scholarly achievement, and service must be documented in a specific contract at the time the assignment is made, agreed upon by the faculty member and the Department Chair, and approved in writing by the Dean and Provost. The initial conditions of appointment set forth in the letters of offer and acceptance do not exempt the faculty member from this policy.
- 13.2 As part of the overall promotion and tenure process, junior faculty should be given helpful advice on a regular basis as they develop their careers. Annual written evaluations of junior faculty by Department Chairs is essential to the faculty development process, and are an annual requirement each Department Chair must fulfill.

14.0 PROCEDURES FOR TENURE DECISION

- 14.1 A faculty member who is eligible for tenure consideration shall be notified by the Department Chair at least eight weeks before the initial vote by the faculty member's colleagues.
- 14.2 At the time of notification, the candidate for tenure shall be requested to submit material which will be helpful to an adequate consideration of the faculty member's performance or professional activities in relationship to the tenure criteria. It is the responsibility of the candidate to provide accurate, thorough, and clear evidence of achievements for review at the Departmental, College and University levels. The candidate is advised to consult with the Chair and any other senior colleagues concerning the materials to include.
- 14.3 In general, documentation of the individual's academic accomplishments should include:
- 14.3.1 Complete and up-to-date curriculum vita, including a summary of college and university degrees earned, all professional employment, all professional honors and awards, and an up-to-date list of books and journal publications by author in sequence. Manuscripts in press or submitted for publication and abstracts should be listed separately.
- 14.3.2 Letters of evaluation of academic performance in teaching, research/scholarly achievement, and service should be solicited by the Chair after consulting with the candidate. Normally, there should be three (3) letters of evaluation from individuals outside the University of Oklahoma considered established authorities in the discipline who are in a position to evaluate the candidate's academic performance and suitability for tenure. These letters may be solicited from individuals who are not suggested by the candidate. There should be three (3) internal/local letters of evaluation particularly relevant to teaching and service.
- 14.3.3 Documentation of teaching, research/scholarly and professional/clinical service accomplishments and contributions which were outlined in criteria for tenure and promotion, Section 10.0 of this document and Section 3.7.5 of the *Faculty Handbook*.

- 14.3.4 Responsibility for gathering complete documentation of professional activity rests with the individual faculty member. The Chair shall assist the faculty member in determining what to include in the tenure documentation. The Chair may also solicit information to include with the candidate's tenure documentation. The candidate is entitled to review the information in his/her tenure file.
- 14.3.5 The Chair is responsible for providing copies of the candidate's complete tenure file to each of the voting members of the academic unit at least two weeks prior to the vote. Voting members of the academic unit are those members who are tenured. The academic unit may be the department, division or an ad hoc tenure review committee appointed by the Dean. Use of an ad hoc tenure review committee occurs when there is a small number of tenured faculty members in a specific department or division which would prevent appropriate academic unit tenure review. The ad hoc tenure review committee will be appointed by the Dean in consultation with the Chair of the academic unit involved.
- 14.3.6 All tenured faculty in the academic unit who are available shall meet for discussion of the candidate's qualifications for tenure. The candidate shall not be present during the discussion of his/her qualifications, but shall be available to enter the meeting on invitation to answer questions or clarify circumstances relevant to qualifications. Formal consideration for tenure shall begin with the polling by secret ballot of all tenured faculty members of the candidate's academic unit, including when practical those who are on leave of absence. The Chair of the department or other administrative personnel required to submit a separate tenure recommendation shall not participate in this vote.
- 14.3.7 When a tenure proceeding is initiated prior to the last pre-tenure year and the result of the faculty vote is negative, that information shall not be forwarded, and the tenure consideration will be deferred. The result of the faculty vote taken during the last pre-tenure year will be forwarded to the Dean, and tenure consideration will proceed.
- 14.3.8 The Departmental Chair shall submit a separate recommendation with supporting reasons.
- 14.3.9 All recommendations shall be in writing and, with exception of the faculty recommendation resulting from the confidential poll within the academic unit, reasons for the recommendation must be stated at the time the recommendations are made. At the time recommendations are made at each stage of the review process (Chair, Campus Tenure Committee, Dean, Provost, President), written notification of such recommendation must be provided to the Chair and to the individual candidate by the person or committee making the recommendation.
- 14.3.10 One copy of the academic unit recommendation, the Chair's recommendation and appropriate documentation upon which recommendations were based will be forwarded to the appropriate Dean, and one copy of the same to the Campus Tenure Committee.
- 14.3.11 Each Dean may request information and advice from any source. The complete tenure file including the Dean's recommendation and supporting reasons will be forwarded to the Provost by the Dean.
- 14.3.12 The Campus Tenure Committee shall provide faculty advice as to whether the academic unit's recommendation is consistent with both as to substance and process with the approved tenure criteria. The recommendation of the Campus Tenure Committee will be forwarded to the Provost.
- 14.3.13 In determining its recommendation, the Campus Tenure Committee may request information or advice from any source. To avoid a conflict of interest, Campus Tenure

Committee members originating from the College of Dentistry shall not attend any discussions nor vote on candidates from their own academic unit. The tenure file will be returned to the academic unit for remedy or correction if there are defects found in the academic unit's recommendation.

- 14.3.14 In determining their recommendation, the Provost and University administration may request information and advice from any source.
- 14.3.15 If the Provost plans to submit a recommendation contrary to that of the Campus Tenure Committee, the Provost shall notify the Chair of the Campus Tenure Committee in time to allow a thorough discussion before this recommendation is made.
- 14.3.16 After due deliberation, the Provost may recommend to grant tenure, to deny tenure or to defer tenure consideration for a specified period of time. The recommendation of the Provost will be submitted to the President.
- 14.3.17 If the President plans to submit a recommendation contrary to that of the Campus Tenure Committee, the President shall notify the Committee in time to allow the Committee to request a hearing with the President prior to making a recommendation.
- 14.3.18 The faculty member under review may appeal in writing to the Faculty Appeals Board at any time during the tenure review process if he/she believes that procedural violations occurred or academic freedom was violated. Appeals on these bases must be made within 30 calendar days after discovery of the alleged violation. He/she may appeal discrimination on the basis of race, color, sex, age, religion, disability, national origin, or status as a veteran to the Affirmative Action Officer. Appeals on these bases must be made within 180 calendar days after discovery of the alleged violation.
- 14.3.19 The tenure review process is suspended while an appeal to either the Faculty Appeals Board or Affirmative Action Officer is pending.
- 14.3.20 The President shall notify the faculty member, Chair, Dean and Provost by May 31 of the tenure decision, except when appeals make this impossible.

15.0 FACULTY EVALUATION

The evaluation of faculty performance is a continuous process, both prior to and following the granting of tenure. The fundamental purpose of periodic performance reviews is to identify areas of faculty accomplishments and areas of faculty performance deficiencies and provide each faculty with opportunities and incentives to correct the deficiencies. An annual review of each faculty member's performance is the responsibility of the Chair with review by the Dean. The Chair must provide direct feedback in writing to the faculty member relative to the faculty performance evaluation each year. This evaluation usually occurs in February and March.

- 15.1 The annual faculty performance evaluation will be completed by all full-time faculty members in the College. The evaluation process will be done in writing. Documentation of accomplishments and contributions in the areas of teaching, research/scholarly achievement, and professional/clinical service which have occurred during the past year; and an outline of plans for activities in each of these three areas for the coming year should be included. The Chair will comment on the faculty member's accomplishments for the past year and his/her plans for the coming year. The Chair will review and document the faculty member's progress on the tenure track if applicable.
- 15.2 Tenure decisions, non-renewal of tenure track and consecutive term appointments, salary adjustments, and promotions in rank shall be based on systematic evaluations of faculty performance in these areas.

16.0 SALARY ADJUSTMENTS/SALARY INEQUITIES

Procedures for recommendations on salary adjustments and adjustments of salary inequities are in the *Faculty Handbook*, Sections 3.9, 3.9.1 and 3.9.2.

17.0 PROMOTION

Advancement in rank is a major way in which the College and University recognizes a faculty member's achievements. A promotion is not a routine reward for satisfactory service, but reflects a positive appraisal of high professional competence and accomplishment. Promotion decisions are to be made independent from tenure decisions.

- 17.1 Promotion from instructor to assistant professor, normally occurs two years following the appointment at the instructor level, contingent on demonstration of academic achievement and promise. Under exceptional circumstances, promotion may be recommended at the end of one year. Equivalent experience such as trainee rank (resident, fellow, or postgraduate) at this or another comparable institution would satisfy this two-year period.
- 17.2 Appointment as assistant professor is usually based on an advanced degree, and/or certification(s) that are standard prerequisites for an academic appointment in his/her discipline, appropriate experience, and promotion for academic achievement.
- 17.3 Promotion to associate professor is usually based on five (5) or more years as an assistant professor, a sustained record of academic accomplishment in teaching, research/scholarly achievement, and clinical service, strong academic performance and promise. This record of accomplishment must document an emerging reputation of regional or national scope in the candidate's academic field. Professional publications will be an important element in assessing regional or national recognition, although other factors will be considered. The criteria listed in the Tenure Section (10.0) of this document will be used to measure record of academic accomplishment in the three areas.
- 17.4 Promotion to professor is a high honor, and usually is based on five (5) or more years as an associate professor and demonstration of superior achievements and continued excellence in his/her academic endeavors. Faculty at this rank should have fully achieved national or international recognition for work in their respective disciplines as evidenced by major contributions to teaching, research/scholarly activity and service. The criteria listed in the Criteria for Tenure and Promotion Section (10.0) of this document will be used to measure record of academic accomplishment in the three areas.
- 17.5 Completion of an advanced degree and/or specialty certification following appointment, if relevant to the teaching and/or research activities of the College, will be a factor in considering the faculty member for promotion.

18.0 PROCEDURES FOR PROMOTION

The process regarding advancement in rank shall originate in academic units (departments), according to procedures determined by the Provost.

- 18.1 Primary responsibility for gathering information on professional activity rests with the individual faculty member. Documentation of the individual's academic accomplishments should include, but not be limited to the following:
 - 18.1.1 Complete and up-to-date curriculum vita

- 18.1.2 Letters of evaluation of academic performance in teaching, research/scholarly achievement, and service will be solicited by the Chair after consulting with the candidate. Normally, there should be three (3) letters of evaluation from individuals outside the University of Oklahoma considered established authorities in the discipline who are in a position to evaluate the candidate's academic performance and suitability for promotion. These letters may be solicited from individuals who were not suggested by the candidate. There should be three (3) internal letters of evaluation particularly relevant to teaching and service.
- 18.1.3 Examples of documentation of teaching, research/scholarly achievement, and service are similar to those as outlined under the Criteria for Tenure and Promotion Section (10.0) in this document.
- 18.2 The candidate is entitled to review the information in his/her promotion file.
- 18.3 All recommendations must be in writing. Reasons must be given for all recommendations except for a recommendation based on any polling of the unit's faculty members. In all recommendations that are to be forwarded, the Chair shall provide a separate recommendation with supporting reasons. Recommendations of the Dean and Provost must be provided to the unit as well as to the candidate.
- 18.4 Whenever possible, a promotion should be accompanied by an appropriate increase in salary.

Adopted by Faculty

2-12-97

Approved by Dean and Provost

3-3-97