

IV. CRITERIA AND EXPECTATIONS FOR RETENTION, PROMOTION AND TENURE

A. General Principles and Objectives

1. Decisions by the SDRPTAC for faculty members of the School of Dentistry will be consistent with the commitment of the University of Utah to the achievement and maintenance of academic excellence. As stated in U-Policy 6-303-III-A-2-c-i: "*For granting of tenure, it is indispensable that there be a cumulative record demonstrating sustained effectiveness in each of the two areas of teaching and research/other creative activity, and additionally, excellence in a combination of those areas.*"

The School of Dentistry, in keeping with the significant clinical component of its overall mission, includes clinical activities as a component associated with the area of research/other creative activity considered in RPT reviews for those individual tenure-line faculty whose responsibilities include clinical activities.

For the award of tenure, the School of Dentistry will require *excellence in both teaching and the combined area of research/creative/clinical activity* appropriate to the characteristics of the respective discipline. In addition, faculty are expected to provide *effective service* to the University and to the profession, broadly defined.

For candidates whose initial appointment is made at the assistant professor rank, tenure will not be awarded unless accompanied by promotion to associate professor.

2. Research, scholarship or clinical contributions include discovery, development and dissemination of new knowledge, and is universally accepted as a critical core mission of universities. The ability to conduct research or develop clinical advancements of high quality is required for appointment to the tenure-line faculty in the School of Dentistry, for

promotion in rank, and for award of tenure. The most quantifiable and desirable, if possible, endpoint of research, clinical and scholarly achievements is the publication of the results.

The School of Dentistry defines excellence in research/creative/clinical activity as achievement in the conduct of research or clinical advancement that makes significant contributions to new knowledge in a sustained fashion, and that is of such quality as to gain favorable recognition within the discipline at the national level.

3. Teaching also has an obvious central role within the University. All tenure-track faculty are expected to participate in teaching and demonstrate a high level of effectiveness in this activity, which can involve presentation of lectures, direction of smaller discussion groups, student mentoring in academic and clinical settings and laboratory training. Such teaching activities can be directed to undergraduate students, professional students in the School of Dentistry (or other colleges), or graduate students and postdoctoral trainees.

The School of Dentistry defines excellence in teaching as a high level of achievement in presenting and explaining concepts, approaches and other principles that are generally accepted as important learning objectives in our discipline to students and/or trainees, and in creating a positive learning environment for students and trainees, in one or more of the various forms of teaching conducted within the School.

4. Consistent with U-Policy 6-303-III-A-2-c-i), *“for retention during the probationary period, the record for the two areas [discussed above] must demonstrate reasonable potential for meeting the standards established for tenure. For promotion in rank, the record for the two areas must demonstrate continuing professional growth at a level appropriate to the particular rank.”* In addition, in carrying out their academic duties, *“faculty members are expected to demonstrate the ability and willingness to perform as responsible members of the faculty, as defined in the Code of Faculty Rights and Responsibilities (Policy 6-316).”* U-Policy 6-303-III-A-2-b.

B. Retention as Assistant Professor

1. Criteria and expectations

Teaching: It is expected that the individual will show a commitment to teaching and will demonstrate an ability to develop and deliver well-organized lectures or presentations in professional and/or graduate courses. Furthermore, it is expected that the individual will demonstrate the desire to develop as an educator and mentor. Finally, it is expected that the individual will interact with their graduate and/or post-doctoral trainees in a manner conducive to their education and advancement.

Research: The School expects that the individual will be able to establish, budget, and supervise a research laboratory, direct specific research projects and/or programs, and prepare grant applications seeking research funding from intramural and/or extramural sources. During the probationary period, the School expects that the individual will publish the results of hypothesis-driven research in well-regarded, peer-reviewed journals.

Clinical: It is expected that those individual tenure-line faculty who have clinical activities included in their responsibilities during their RPT probationary period will engage in such clinical

activities and instruction consistent with the highest level of professional standards for practice according to the relevant field of dentistry.

Service: It is expected that the individual will show willingness to serve on College and University committees as appropriate for years of service, and will initiate involvement in national service activities through discipline-appropriate, professional societies or similar organizations.

2. Evidence for effectiveness in teaching can be documented by:

- Participation in professional and/or graduate courses as instructor or course director
- Receipt of positive evaluations by students and faculty peers
- Demonstrated record of responding to student and peer reviews of teaching in a constructive and improving manner
- Development and effective implementation of new courses, teaching materials and teaching strategies
- Nomination/recommendation and/or receipt of a teaching award
- Successful mentoring of pre- and postdoctoral trainees

3. Evidence for effectiveness in research or clinical accomplishments can be documented by:

- A publication record in peer-reviewed journals demonstrating continuity of an independent research or clinical advancement program
- A record of applying for and success in obtaining intramural and/or extramural grant support, including funding support for graduate students
- Invitations to present research findings at scientific and clinical meetings or other universities/research institutions
- Successful outcomes (e.g., dissertation, publications) of doctoral dissertation and post-doctoral research and clinical projects
- Successful development of novel clinical programs and strategies worthy of national recognition

4. Evidence for effectiveness in service can be documented by:

- A record of participation in College, University, and national committees
- Assignment to administrative duties within the College, University, and national organizations
- A record of participation in peer review of manuscripts for scientific or clinical journals
- A record of participation in peer review of scientific grant review panels
- A record of participation in service to national professional societies

C. Promotion to associate professor and award of tenure

1. Criteria and expectations

Teaching: The teaching criterion for promotion to associate professor and award of tenure is demonstrated excellence in teaching as defined above (Part IV-A).

The candidate is expected to participate in the teaching programs of the School as assigned, with the number and type of contact hours reflecting an effort appropriate to the School's teaching mission.

Research: The research criterion for promotion to associate professor and award of tenure is demonstrated excellence in research as defined above (Part IV-A).

The School expects the candidate to establish, conduct, and publish results from a sustained, productive research program that is recognized nationally for its high quality. The candidate is expected to obtain research funding, which is clearly necessary to support a high quality research program, to demonstrate the potential for continued success in obtaining such funding, and to disseminate the results of the research through scientific scholarly publications.

Clinical: For those individual tenure-line faculty who have clinical activities included within their responsibilities during their RPT probationary period, those activities will be part of the review for tenure and promotion. Candidates with such responsibilities are expected to engage in clinical activities, instruction and development that is consistent with the highest level of professional standards for practice according to the relevant field of dentistry, and are expected to establish, conduct, give national and local presentations concerning, and publish results from a sustained productive clinical program that is recognized nationally for its high quality. Such candidates are expected to obtain extramural funding that can be used to help establish and further develop a high quality clinical program.

Service: The candidate is expected to provide service to the University and to the profession as broadly defined, by serving on College and/or University committees, and **by contributing in a substantive manner to their mission.** The candidate is also expected to participate in visible impacting service at the national or international level.

2. To document excellence in teaching, the following items of evidence are required:

- Positive student evaluations, when considered overall, regarding the candidate's effectiveness as an instructor and/or course master, and regarding the candidate's creation of a positive learning environment (including numerical scores and written comments)
- Peer faculty observation reports that indicate a high level of achievement and professionalism and creation of a positive learning environment
- Consistent improvement in teaching performance, as reflected by improved numerical scores and increasingly positive written comments on student and peer evaluations, or maintenance of teaching performance once excellence has been achieved.
- The SAC report indicating a majority positive vote for promotion and award of tenure, and written comments that reflect the positive learning environment created by the candidate and/or the candidate's record of responsiveness to student concerns

Additional evidence of excellence in teaching can include:

- Nomination for or receipt of a teaching award
- Guest lectureship at other institutions
- Development and implementation of a new course or novel teaching methods
- Promoting increased public understanding of science in non-academic settings
- Successful mentoring of graduate students and postdoctoral trainees.

3. To document excellence in research or clinical achievements, the following items of evidence are required:

- A record of consistent publication or presentations concerning original research or clinical advances as senior (primary/corresponding) author in peer-reviewed scientific or clinical journals describing work conducted in the candidate's laboratory, or where appropriate, the laboratories of a center or program or in a clinical setting or as the presenter of outcomes to a meeting of clinical peers.
- Research or contractual funding awarded through competitive peer review from extramural agencies or programs that is sufficient to sustain investigator-initiated research or clinical projects and/or professional or graduate student dissertation projects and to permit consistent scientific or clinical productivity as defined above
- Positive letters of evaluation from evaluators within and external to the University of Utah indicating that the quality and quantity of the candidate's scientific or clinical work demonstrates an excellent or emerging excellent national reputation in research/creative activity, and stating a recommendation in favor of promotion and tenure

Additional evidence for excellence in research or clinical achievements can

include:

- Scientific publications as a significant contributor to collaborative research or clinical projects in which the candidate is not the senior author
- Authorship of review articles and/or book chapters
- Invitations to present research findings and clinical findings at national/international scientific or clinical meetings and/or at other universities/research institutions
- Recognition through scientific awards and nominated professional fellow inductions
- Inventorship and co-authorship on patent applications
- Consistent participation in commercially sponsored research or clinical product development
- Successful translation of new technologies into commercial products

4. Evidence for effectiveness in service can be documented by:

- A record of active participation in College and/or University committees
- Assignment to and execution of administrative duties within the College or University
- A record of participation in service to national professional societies

- Promoting increased public understanding of science and clinical concepts in non-academic settings
- A record of participation in peer review for scientific and clinical journals
- A record of participation on scientific grant review panels
- Involvement in planning/organizing scientific sessions or scientific meetings
- Active participation in College, and/or University outreach activities

5. Special note: In the case of a faculty member hired at the rank of associate professor, but without tenure, the candidate subsequently reviewed for tenure must have demonstrated a sustained level of excellence in teaching, research and/or clinical achievements during the pre-tenure probationary period at the University of Utah.

D. Promotion to professor

1. Criteria and expectations

Timing of request for promotion to professor.

Subsequent to granting of tenure and promotion to associate professor, candidates are normally considered for promotion to full professor at the time of their initial post-tenure review. (Post-tenure reviews occur every five years.) If promotion is not granted, the candidate may request a formal review for promotion in any subsequent year in consultation with the Ad Hoc Committee chair and department chair. Tenured associate professors may also be considered for promotion earlier if their progress is extraordinary.

- **Teaching:** The teaching criterion for promotion to professor is continued participation in the teaching mission of the School and **continued demonstration of excellence in teaching as described above for award of tenure (IV-C).**
- **Research/clinical:** The research/clinical criterion for promotion to professor is **sustained conduct of an active research or clinical program as described for the award of tenure (IV-C), and demonstrated national and international reputation for excellence in research or clinical achievements.** The candidate is expected to maintain a level of scientific/clinical productivity consistent with a national and international reputation.
- **Service:** The candidate is expected to continue to provide **effective service to the University and College,** and to also show **significant service at the national level,** particularly as it relates to research and/or the profession.

2. To document continued excellence in teaching, the following items of evidence are required:

- Consistent positive student evaluations, when considered overall, regarding the candidate's achievement as an instructor and/or course master, and regarding the candidate's creation of a positive learning environment (including numerical scores and written comments)

- Consistent peer faculty observation reports that indicate a high level of achievement and professionalism and creation of a positive learning environment
- The SAC report indicating a majority positive vote for promotion, and written comments that reflect the positive learning environment created by the candidate and/or the candidate's record of responsiveness to student concerns

Additional evidence for excellence in teaching can include:

- Nomination for or receipt of a teaching award
- Guest lectureship at other institutions
- Development and implementation of a new course or novel teaching methods
- Successful mentoring of graduate students and postdoctoral trainees

3. To document continued excellence in research/clinical achievements, the following items of evidence are required:

- A record, on average, of multiple publications or high quality presentations to peers, per year of original research or clinical achievements as senior (primary/corresponding) author in well-regarded, peer-reviewed scientific or clinical journals
- A record of sustained research or clinical funding from extramural funding agencies or programs sufficient to support the research/clinical program and scientific productivity
- Positive evaluations of the quality of the candidate's research or clinical program and indication of a national and international reputation of excellence in research or clinical development by well-respected evaluators from within and external to the University of Utah, and their overall recommendation in favor of promotion.

Additional evidence for continued excellence in research/clinical achievements can include:

- Scientific publications as a significant contributor to collaborative research or clinical development in which the candidate is not the senior author but a significant contributor
- Authorship of review articles and/or book chapter
- Invitations to present research or clinical findings at national/international scientific or clinical meetings and/or at other universities/research institutions
- Recognition through scientific or clinical awards and nominated professional fellow inductions
- Inventorship and co-authorship on patent applications
- Consistent participation in commercially sponsored research or clinical achievements
- Successful translation of new technologies into commercial products

4. Evidence for continued effectiveness in service can be documented by:

- A record of participation in College, University, or national committees
- Demonstrated leadership in the conduct of administrative duties within the College or University
- A record of leadership in service to national professional societies

- Active participation in College, University, or community outreach activities
- A record of participation in peer review for scientific or clinical journals
- A record of participation on scientific grant review panels
- Involvement in planning/organizing scientific sessions or scientific meetings
- A record of contribution to local and national science and/or health care policy
- A record of contributions to public awareness of science and/or health care.