



# **STANDARDS FOR APPOINTMENT, PROMOTION AND TENURE**

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# I. Mission, Core Values, and the Schools Environment – Professional Behavior

Advancing health through education, service, research and discovery. This is the mission of the University of Michigan School of Dentistry. At all times, we call upon our core values of Compassion, Leadership, Excellence, Responsibility, Trust, Creativity, and Inclusion as we carry out our mission. Leadership, Excellence, and Creativity reflect the high level of achievement expected of our faculty. Compassion, Responsibility, Trust, and Inclusion reflect the pride we have in creating an environment where all members of the community can thrive and pursue their goals free from bias and harassment.

This document details the scholarship, education, and service requirements of our faculty. Of equal value, it is critical that faculty contribute to the School's environment. Faculty who are found to have participated in discrimination or harassing behaviors (see the U-M Policy on Discrimination and Harassment – SPG 201-89-1) will have sanctions imposed that may also impact their reappointment, promotion, and tenure.

## II. INSTRUCTIONAL TENURE TRACK

### A. Definition of Instructional Tenure Track

Members of the instructional tenure track (often referred to as the tenure track) are expected to make contributions to the School of Dentistry in the areas of scholarly research, teaching, organizational service, and if it pertains to their professional field, patient care.

Instructional tenure track faculty members have their primary employment at the University of Michigan School of Dentistry. Tenure may be granted by the Board of Regents to instructional tenure track faculty at the ranks of associate professor and professor.

### B. Ranks in the Instructional Tenure Track

Regular Instructional tenure track faculty members are appointed in the School of Dentistry at the ranks of assistant professor, associate professor and professor. These titles are to be used for appointments of 50% full-time equivalent (FTE) or greater within the School of Dentistry.

**Assistant Professor:** Appointment to this rank requires the DDS or equivalent degree and graduate training in dentistry or a health-related field; or the bachelor's or equivalent degree in dental hygiene and graduate training in dentistry or a health-related field; or the PhD degree. This individual has yet to achieve exceptional status as a teacher or regional/national recognition in their professional field. Persons who have begun to publish scholarly work and/or who may have had teaching responsibilities, e.g., seminars, chairside instruction, small group interactions, and/or didactic activities before their initial faculty appointment may begin their faculty careers at the rank of assistant professor.

An appointment as an assistant professor at a fraction of 80% FTE or greater starts the tenure clock. The initial appointment is for three years. Subsequent appointments are from one to three years. The typical initial reappointment (at third year review) is for three years with subsequent reappointment (at six year review) for four years to align with the tenth year of the university tenure clock. The maximum number of consecutive years one can be appointed full time at this rank is ten. There is no set minimum time between appointment to assistant professor and promotion to associate professor. Faculty at the assistant professor rank at 80% FTE effort or above must be reviewed for tenure before the end of their ninth year, reserving the tenth year as a terminal

year if tenure is not attained. Refer to the university policy: SPG 201.13; Rules Concerning Regents' Bylaw 5.09, Tenure, Tenure Review, and Joint or Partial Tenure Appointments and Regents' Bylaw 5.09; Procedures in Cases of Dismissal, Demotion, or Terminal Appointment.

Appointment and reappointment to assistant professor are reviewed and recommended by the School of Dentistry Appointment, Promotion, and Tenure (APT) Committee, approved by the School of Dentistry Executive Committee, and endorsed by the Dean.

**Associate Professor:** Appointment to associate professor is made only to individuals of well-established professional position and demonstrated scholarly or creative ability that positively impacts their field. Those promoted or appointed to this rank must have achieved national recognition for scholarly accomplishment of significance as evidenced by: evaluations from independent national leaders in their field, national lectureships, memberships on editorial boards and peer review committees, significant involvement in peer organizations beyond membership, and scholarship. Scholarly independence or a strong collaborative contribution to a scientific team effort is typical for associate professors. Usually this is evidenced by peer-reviewed publications published over the previous five years. A sustained level of external research funding in support of clinical or laboratory research is the norm. An associate professor must have demonstrated a significant contribution to the educational missions of this school or another institution. If it pertains to their professional field, high quality patient care is expected. The associate professor signals the passage into dental academia's senior rank. Unless otherwise specified, appointments and promotions to associate professor are with tenure, although persons may be appointed as associate professor without tenure.

In summary, this rank is appropriate for someone who has met the requirements and qualifications for assistant professor and who also has established:

- a record of excellence in teaching
- a distinguished record of independent, scholarly contributions in a field, and a national reputation for significant contributions in this field
- a record of significant contributions in academic, professional, and University service

An appointment as an associate professor without tenure, at a fraction of 80% FTE or greater starts the tenure clock. The initial appointment is for three years. Subsequent appointments are from one to three years. The typical initial reappointment (at third year review) is for three years with subsequent reappointment (at six year review) for four years to align with the tenth year of the university tenure clock. The maximum number of consecutive years one can be appointed 80% FTE or greater at this rank, without tenure, is ten. With the support of the department chair, faculty members are encouraged to apply for tenure sooner than the deadline. There is no set minimum time between appointment to associate professor with tenure and promotion to professor with tenure. Faculty at the associate professor without tenure rank at 80% effort or above must be reviewed for tenure before the end of their ninth year on the tenure track, reserving the tenth year as a terminal year if tenure is not attained. Refer to the university policy: SPG 201.13; Rules Concerning Regents' Bylaw 5.09, Tenure, Tenure Review, and Joint or Partial Tenure Appointments and Regents' Bylaw 5.09; Procedures in Cases of Dismissal, Demotion, or Terminal Appointment.

Appointment and promotion to associate professor are recommended by the School of Dentistry Appointment, Promotion, and Tenure Committee, School of Dentistry Executive Committee, and endorsed by the Dean, the Provost and Executive Vice President for Academic Affairs, the President of the university; and approved by the Board of Regents. Reappointment as associate professor without tenure is reviewed and recommended by the School of Dentistry Appointment, Promotion and Tenure Committee, School of Dentistry Executive Committee and endorsed by the Dean.

**Professor:** Appointment to professor with tenure is made only to persons of nationally and internationally

established professional reputation and demonstrated scholarly or creative ability. This title is our highest academic rank. All of the expectations for the associate professor with tenure rank pertain in equivalent or greater measure for the professor with tenure rank. The difference between the ranks of professor with tenure and associate professor with tenure is primarily one of expanding achievement usually over a period of five to ten years; promotion to professor with tenure is not automatic after a certain time in rank as associate professor with tenure. A person appointed to the rank of professor with tenure must have demonstrated continued scholarship, productive research, contributions to the teaching mission, organizational service, and high quality patient care if it pertains to their professional field.

National and international impact must pertain to this person's work. Continued and consistent publication that contributes significantly to an area of knowledge is essential. It is expected that the case for promotion to the professor with tenure rank may reference the work done to achieve the rank of associate professor with tenure, but will be based largely on new work accomplished since the last promotional review. A substantial level of external research funding in support of clinical or laboratory research is the norm. Unless otherwise specified, appointments and promotions to professor are with tenure; persons may be appointed as professors without tenure.

In summary, this rank is appropriate for someone who has met the requirements and qualifications for appointment as associate professor with tenure and who also has established:

- a sustained record of excellence in teaching, usually including training of advanced students
- a sustained and growing record of scholarly eminence in a field, and a national and international reputation for leadership and outstanding contributions in this field
- a sustained record of substantive contributions in academic, professional, and University service.

Appointment and promotion to professor are recommended by the School of Dentistry Appointment, Promotion and Tenure Committee, the School of Dentistry Executive Committee, endorsed by the Dean, the Provost and Executive Vice President for Academic Affairs, the President of the University; and approved by the Board of Regents. Reappointment as professor without tenure is reviewed and recommended by the School of Dentistry Appointment, Promotion and Tenure Committee, and approved by the School of Dentistry Executive Committee, and endorsed by the Dean.

### **C. Criteria for Appointment and Promotion in the Instructional Tenure Track**

Teaching, scholarship/research, and service are three areas examined in all appointment and promotion considerations. As we are a dental school, contributions to patient care and human welfare are also a substantial area of consideration for many of the faculty. All decisions on promotion and the awarding of tenure are predicated on programmatic goals and needs of the institution. Some individuals of great value to our institution have truly outstanding performance and contributions in one area when compared with the norm of faculty performance in that area, yet the performance in other areas may be satisfactory only. A recommendation for appointment, promotion, or the award of tenure to a nominee with such an asymmetrical mix of qualifications must be justified by the department chair. In all cases, the minimum requirements must be met. Longevity in a rank or position is not sufficient evidence of accomplishment or merit for promotion.

#### **1. Teaching**

Teaching is one of the primary functions of the University. All instructional tenure track faculty must make a substantial time commitment to teaching. Essential qualifications for appointment or promotion are professional integrity and the ability to teach one's professional area of knowledge to relevant learning groups. Critical elements to be evaluated include experience, knowledge of subject matter, skill in presentation, interest in students, ability to stimulate minds, capacity for cooperation, mentorship, and enthusiastic devotion to teaching. A teaching portfolio helps convey the scope of instructional accomplishment. The full responsibility of the teacher

as a guide extends beyond the walls of the classroom, laboratory, or clinical arena into other phases of the life of the student as a member of the University and world community. It also involves the duty of initiating and improving educational methods. Pedagogical research and funding are strong evidence of teaching expertise. The spectrum of instruction spans the gamut from pre-doctoral dental students to graduate students and established practitioners.

The criteria for teaching effectiveness that will be considered in evaluation are quality, innovation, impact upon students, and level of responsibility. Evaluation will be made in all areas of the faculty member's assignments including:

- classroom teaching
- laboratory and clinical teaching
- course coordination
- seminar leadership
- mentorship
- supervision of individual student projects
- supervision of thesis or dissertation research
- service on thesis or dissertation committees
- and development of instructional materials

Input into the evaluation of teaching may come from a variety of sources, such as peers, department chairs, students and other sources. Inclusion of a teaching portfolio that documents the development and improvement of teaching quality is required for all appointments and promotions of instructional tenure track faculty.

*a.* Quality

The foundation of excellent teaching is mastery of the subject, including an in-depth knowledge of the current literature in one's discipline. Essential components of the teaching effort are use of appropriate methods of instruction, effective planning and organization, appropriate methods of evaluation, and adequate feedback to students. Teaching of superior quality may be characterized by:

- utilization of highly effective oral, visual, and written communication techniques
- stimulation of critical thinking and problem solving
- encouragement of conceptual comprehension as well as factual recall
- encouragement of students to raise questions and express ideas
- performance of duties with enthusiasm and energy

*b.* Innovation

Teaching excellence includes some degree of innovative effort on the part of a faculty member. Innovations in teaching must accomplish more than mere change. Rather, new methods should show measurable advantages over those previously used. Examples of innovations in teaching are:

- use of new technology to improve teaching effectiveness
- development of new courses and programs or unique learning experiences
- use of educational research -- development of methods to evaluate individual teaching, courses, or curriculum

*c.* Impact Upon Students

Teaching should have a positive effect on students. The qualities of teaching that have positive influences on the student are numerous and may be difficult to measure. Some information regarding the qualities of teaching that are exhibited by a particular faculty member can be gained through informal observation, but a more complete appraisal may be obtained through formal evaluation of teaching. Examples of

favorable student-faculty interaction are:

- student pursues independent study as a result of interaction with the faculty member
- students provides unsolicited favorable evaluation of faculty

Desirable characteristics of teachers include, but are not limited to:

- presents a balanced point of view
- treats students with respect
- provides constructive feedback to the student
- extends teaching effort beyond the class, clinic, or laboratory assignments
- promotes multiculturalism through actions
- is fair, reasonable, and timely, in evaluation of students
- monitors student progress in a timely fashion; guides and provides supportive activities when appropriate
- compliments students for appropriate contributions or performance
- continually evaluates and strives to improve his/her own teaching
- promotes academic integrity and professional development

*d.* Level of Responsibility

The level of responsibility assigned to the faculty member is a consideration in the promotion process. The extent to which the faculty member's responsibilities contribute to the teaching programs of the School is of importance, e.g., directing a course or having primary responsibilities for a teaching program.

## **2. Scholarship and Research**

All instructional tenure track faculty must be individuals of scholarly ability and achievement. Scholarship may be categorized in terms of the scholarship of discovery (basic research), scholarship of integration, scholarship of application, and scholarship of education. The University of Michigan is a research university committed to extending and understanding the knowledge base of humanity. Accomplishment in scholarship is typically demonstrated by the quality and quantity of published and other creative work.

Interdisciplinary work, success in training graduate and professional students (e.g., as attested to by academic/research positions obtained), participation and leadership in professional associations, and editing of professional journals are measures of success and stature in scholarship. Peer reviewed papers and grant funding are strong evidence of scholarship with high impact. Independent and peer-reviewed funding is the norm in research-based careers.

*a.* Compilation, Synthesis, and Transferal of Current Knowledge

All scholarly activity supports teaching and professional service. The compilation, synthesis, and transferal of current knowledge are aspects of this activity that contribute to and advance scholarship. Such scholarly work may include:

- publication of original research
- publication of textbooks
- publication of book chapters
- publication of review articles
- publication of case reports
- development of clinical procedures that are widely recognized and acknowledged as a valued contribution to the profession
- development of instructional materials (if published in peer-reviewed publications)
- publication of innovative teaching and learning

- documentation of standards of care or evidence-based practice
- publication of intellectual property
- patents

*b.* Research and Publication

Research is the generation of new knowledge, through use of the scientific method. Such research may be basic, clinical or applied. It culminates as manuscript publication in refereed scientific journals.

A consistent level of research productivity is required; however, it is the quality of the investigative activity that is of primary importance in evaluation. The quality of research can be most readily measured through two peer-review mechanisms: publication in refereed journals of outstanding quality in the subject area of the faculty member's expertise, and the acquisition of grant funds from sources that evaluate proposals using a peer-review system. It is recognized that significant research can be conducted without the support of peer-reviewed grant awards.

A research profile should have focus and continuity to be recognized as outstanding. Additional demonstrations of the research record may include:

- invitations to present one's research at other universities or major scientific meetings
- receipt of awards or other special recognition for outstanding scholarly activity
- record of being a productive independent investigator or collaborator
- publication of research abstracts

### 3. Service

Service may consist of organizational service in the School of Dentistry and the University, in the public sector, or in the national organizations of a faculty member's peer group. Service may include participation in committee work and other administrative tasks, counseling, internal review boards, and special training programs within the School of Dentistry and the University. The University also anticipates that many of its instructional faculty will render extramural services to other schools, industry, relevant professional organizations, governmental agencies, and the public at large. These services may be paid (in compliance with University guidelines), advisory, or volunteered.

Many faculty have a professional role related to health care, generally in terms of patient care responsibility, teaching, or research. Competence is expected at entry levels in the faculty ladder and excellence is expected at the higher levels. Excellence is demonstrated by documentation from independent authorities in the relevant field, regional reputation, and published work of clinical successes, innovations, or insights.

*a.* Service to the University and the Profession

All faculty members must share in the work necessary to maintain the operation of the institution. Furthermore, faculty are expected to contribute to the growth of the School and University through efforts that are aimed at developing, evaluating, reviewing and improving programs and facilities. Also, the faculty should contribute to the maintenance and growth of their profession. Examples of other service activities related to the University and the profession are:

- continuing education
- membership on boards and committees or other assignments within the School of Dentistry, University, or profession
- leadership role in curriculum development and implementation, patient care activity, curricular research programs
- mentoring and advising
- contribution to faculty governance



- membership in and contribution to professional organizations
- appointment as a section or symposium chairperson
- consultant to professional journals as a manuscript referee, reviewer, etc.
- consultant to accrediting and other educational review boards
- membership on boards and committees in the community-at-large in a professional capacity
- service on NIH study sections
- editorships

*b.* Patient Care Activity

Patient care activities and accomplishments may include:

- certification by specialty board or achievement of Diplomate status
- awards that recognize clinical expertise
- consultation as requested by other faculty members
- membership on a specialty examining board
- service as a consultant on patient care, e.g., third-party payment groups, courts, health care organizations
- innovations to make patient care more efficient and effective
- volunteer patient care and service during community service related events

## II. CLINICAL INSTRUCTIONAL TRACK

### A. Definition of Clinical Instructional Track

The clinical instructional track (often referred to as the clinical track) in the School of Dentistry was instituted in 1992 and actively contributes to the clinical and teaching missions of the School of Dentistry, as well as to scholarship and administration. Although there is no mandated ascension in rank, ascent to senior level titles requires scholarly engagement and productivity, as well as excellence in health care and/or teaching. Full time clinical instructional track faculty have no significant employment outside of the University of Michigan. Clinical instructional track faculty are not eligible for tenure.

### B. Ranks in the Clinical Instructional Track

Clinical instructional track faculty are appointed in the School of Dentistry at the ranks of clinical instructor, clinical assistant professor, clinical associate professor and clinical professor. The official title (Assistant Professor, Clinical Track) is used on all appointment, promotional, human resources, and other official correspondence. Routine correspondence, e.g., patient correspondence, scholarly work, can use the shorter working title Assistant Professor without identifying the track. These titles are to be used for appointments of .5 FTE or greater within the School of Dentistry.

**Clinical Instructor:** A clinical instructor is fully trained to provide clinical care and is qualified to participate in educational programs at the School of Dentistry. Appointment to this rank requires evidence that the individual has received an appropriate dental or dental hygiene education, graduate education where appropriate, and documentation of clinical competence and licensure. Certification by the relevant professional board must be pending or completed recognizing that exceptions for some internationally trained dentists/dental hygienists may be granted by the School of Dentistry. Competence in clinical and didactic teaching is expected. Letters from individuals with firsthand knowledge of the candidate are helpful in documenting the candidate's clinical competency, suitability for an academic dental environment, potential as a teacher and clinical role model, and potential for growth in clinical and scholarly areas. Scholarly activities such as publication in a candidate's professional field are encouraged but not required.

On occasion clinical instructors may be hired to support the non-clinical educational mission of the school. In these situations, clinical credentials are not required.

Clinical instructor appointments are made by the department Chair or unit head and reviewed by the School of Dentistry APT committee and approved by the School of Dentistry Executive Committee.

**Clinical Assistant Professor:** A clinical assistant professor has demonstrated ability in teaching and/or clinical practice. Ability and accomplishment in dental education are expected. Appointment or promotion to this rank requires evidence of clinical or educational competence. Certification by a relevant professional board or the equivalent is a usual expectation at this rank, although this qualification may be in progress at the time of appointment according to the requirements of the relevant professional board. Letters, which may be from local sources, must attest to the quality of clinical practice and/or teaching capability. The candidate's teaching and organizational service to his or her department (here or at another institution) in areas related to clinical care and/or education should be documented. Invited presentations as well as publication of articles in professional journals, chapters, reviews, abstracts, textbooks, digital products, and other educational materials are evidence of scholarly engagement and are typical expectations of faculty at this rank. At times, documentation of exceptional teaching and service, e.g., awards, citations, speaking invitations, may support an appointment at this rank for an individual who may not yet have produced scholarly works.

Appointment, reappointment and promotion to clinical assistant professor are reviewed and recommended by

the School of Dentistry APT Committee and approved by the School of Dentistry Executive Committee.

An initial three to seven year appointment is usual, with an appointment review completed by the end of the third year. If non-reappointment is suggested after the first review period, the Chair will send a letter of non-reappointment no later than the first quarter of the fourth year, a minimum nine month notice. Clinical instructional track reappointments at the level of assistant professor will be for additional terms of no more than four years each. Individuals at the clinical assistant professor rank are strongly encouraged to seek promotion before or during the seventh year after appointment.

In some instances, individuals at this rank may not meet the criteria for promotion but still make significant contributions to the teaching and service missions of the school; therefore, to maintain the rank of assistant professor on the clinical instructional track, individuals must continue to demonstrate teaching and service appropriate for their rank, and in addition should seek engagement in scholarly activity that may lead to promotion. Evidence may include (not listed in order of importance):

- favorable departmental evaluations of teaching and service contributions
- teaching portfolio with positive teaching evaluations by students and peer faculty
- receipt of teaching or service awards
- mentoring of dental students, dental hygiene students or graduate students
- service on department, School and/or University committees
- presentation of Continuing Education inside or outside of the University
- participation as a principal or co-investigator on established ongoing research projects
- attendance at national meetings
- development of novel teaching materials, e.g., clinic manuals, podcasts, videos
- practice in DFA
- participation as a reviewer or as editorial board member for reputable journals
- service on an IRB
- performance of significant administrative duties
- publication of original research, case reports, critical reviews, book chapters, invited editorials, abstracts, or table clinics
- active participation in professional organizations, including committee assignments or leadership
- oral or poster presentations at regional, national or international meetings

**Clinical Associate Professor:** A clinical associate professor has demonstrated excellence in teaching and/or clinical service. Typically, the candidate should have produced scholarship that influences knowledge and/or clinical care. Appointment or promotion to this rank requires evidence that development as a clinician and/or educator has progressed to the point of establishing broad interdepartmental and regional recognition by professional colleagues. Typically, a reputation of this sort is documented by letters from impartial external sources; administration or leadership in local, regional, or national organizations; presentations at local, regional, or national meetings; and articles in professional publications. Although years in rank alone neither compels nor precludes advancement to clinical associate professor, promotion after less than five years in rank is based on extraordinary accomplishment produced during those years in rank.

The clinical associate professor title signals the passage into dental academia's senior rank. Individuals at this rank are expected to be role models of collegiality, integrity, scholarship, and excellence in their professions. A person promoted to this level is likely to have achieved an ongoing influence on quality of dental service and/or dental education. Examples include leadership in clinical or education organizations, improvements in teaching and/or quality of care, measurements of outcomes of patient satisfaction, and involvement in utilization management activities. Contributions in these areas are documented by relevant peers.

Evidence of continued contribution to dental education is expected. This may be through customary teaching situations (lectures, clinical instruction of students and residents, mentorship pairing, or scholarly work with

trainees) or through the preparation of educational materials, including educational brochures and learning aids, textbook chapters, reviews, podcast, Web based learning, and other instructional interfaces. Administration and organization of teaching programs are valued activities, and creativity in their execution can be documented by letters from appropriate knowledgeable faculty, students, and peers.

Evidence of excellence in clinical service and/or teaching may include favorable departmental evaluations, formal awards for performance, or invitations to speak at professional meetings or other institutions. In general, scholarship should be judged with the principle of peer evaluation and recognition, whether the products of the scholarly activity are papers, books or chapters, invited lectures, or some other mode of communicating results and ideas.

Appointment and promotion to clinical associate professor are reviewed and recommended by the School of Dentistry APT Committee, approved by the School of Dentistry Executive Committee, and endorsed by the Dean, the Provost and Executive Vice President for Academic Affairs, and the President of the University.

An initial three year appointment is usual, with an appointment review completed by the end of the third year. If non-reappointment is suggested after the first three year period, the Chair will send a letter of non-reappointment no later than the first quarter of the fourth year (minimum nine-month notice). Clinical instructional track re-appointments at the level of the associate professor will be for additional terms ranging from one to seven years in duration, with five years or seven years reappointment being the norm. Reappointments in the associate professor rank are made by the department chair and are approved by the Executive Committee.

Although years in rank alone neither compels nor precludes advancement to clinical professor, promotion after less than five years in rank is based on extraordinary accomplishment produced during those years in rank. Individuals at the clinical associate professor rank are strongly encouraged to seek promotion by the seventh year following initial appointment to that rank.

In some instances, individuals at this rank may not meet the criteria for promotion but still make significant contributions to the teaching and service missions of the school; therefore, to maintain the rank of associate professor on the clinical instructional track, individuals must continue to demonstrate teaching and service appropriate for their rank, and in addition should seek engagement in scholarly activity that may lead to promotion.

**Clinical Professor:** A clinical professor performs teaching and/or clinical service as described for clinical associate professor, usually over an additional period of five-to ten-years and has attained further regional, national or international recognition for teaching and clinical expertise.

Typically, the same qualitative criteria used for the clinical associate professor apply with expected quantitative differences in the number and impact of achievements. Service in regional or national dental societies, associations or boards is typical. Faculty at this level often have substantial products of their scholarly activity that have been subjected to peer review and that have resulted in broad peer recognition in the area of clinical dentistry and/or dental education. Scholarship should be judged on the basis of peer evaluation and recognition, whether the products of the scholarly activity are papers, books or chapters, invited lectures, or other modes of communicating observations, investigations, results, and ideas.

Appointment and promotion to clinical professor are reviewed and recommended by the School of Dentistry APT Committee, approved by the School of Dentistry Executive Committee, and endorsed by the Dean, the Provost and Executive Vice President for Academic Affairs, and the President of the University.

An initial three year appointment is usual, with an appointment review completed by the end of the third year. If

non-reappointment is suggested after the first three year period, the chair will send a letter of non-reappointment no later than the first quarter of the fourth year (minimum nine month notice). Clinical instructional track reappointments at the level of professor will be for additional terms of one to seven years in duration, with five years or seven years reappointment being the norm. Reappointments to the clinical professor rank are made by the department Chair and are approved by the Executive Committee.

### **C. Criteria for Appointment and Promotion in the Clinical Instructional Track**

The criteria for appointment and promotion in the clinical instructional track will be applied with an emphasis on the impact of the nominee on his or her professional environment. This impact may be in the teaching arena, and/or in professional activity usually manifested by clinical care, in service, e.g., organizational, administrative, community, volunteerism, or in scholarship. Supporting letters must specifically address how the nominee made an impact, with a detailed description of the work and its influence. Longevity in a rank or position is not sufficient evidence of accomplishment or merit for promotion.

In exceptional circumstances, for a faculty member who has had a profound effect on his or her environment in the role of clinician or educator, this alone may qualify the candidate for appointment or promotion. In this case, letters of support must explain the individual's impact with great detail and specificity.

Although tenure is not a facet of the School of Dentistry clinical instructional track, the University and the School of Dentistry envision parallelism between the clinical instructional track, the regular instructional track, and the research track in the mechanics of appointment and promotion. Long-term (up to seven years, renewable) commitments can be made in this track.

#### **1. Teaching**

Faculty members are expected to be knowledgeable about the literature in their field of expertise. The faculty member should demonstrate the ability to assimilate and integrate this knowledge and the ability to teach such knowledge effectively. Successful teaching of dental, dental hygiene and interdisciplinary students and graduate students is a cornerstone of the clinical instructional track.

Educational excellence may be demonstrated in a variety of settings. The educational roles of clinical faculty on the clinical track may involve a broad range of educational activities targeted at diverse audiences such as organizing or participating in local or regional Continuing Education activities or developing patient education tools, health profession education modules, or public health education programs. In addition to the usual peer sources, letters from former trainees or from colleagues may document educational impact.

The criteria for teaching effectiveness that will be considered in evaluation are quality, innovation, impact upon students, and level of responsibility. Evaluation will be made in all areas of the faculty member's assignments including classroom teaching, laboratory and clinical teaching, course coordination, seminar leadership, supervision of individual student projects, supervision of thesis or dissertation research, service on thesis or dissertation committees, and development of instructional materials. Inclusion of documentation of teaching effectiveness that highlights the development and improvement of teaching quality will be required at the time of the faculty member's promotion review.

##### *a.* Quality

The foundation of excellent teaching is mastery of the subject, including an in-depth knowledge of the current literature in one's discipline. Essential components of the teaching effort are use of appropriate methods of instruction, effective planning and organization, appropriate methods of evaluation, and adequate feedback to students. Teaching of superior quality may be characterized by:

- utilization of highly effective oral, visual, and written communication techniques
- stimulation of critical thinking and problem solving
- encouragement of conceptual comprehension as well as factual recall
- encouragement of students to raise questions and express ideas
- performance of duties with enthusiasm and energy

*b.* Innovation

Teaching excellence includes some degree of innovative effort on the part of a faculty member. Examples of innovations in teaching are:

- utilization of new technology to improve teaching effectiveness
- development of new courses and programs or unique learning experiences
- use of educational research -- development of methods to evaluate individual teaching, courses, or curriculum

*c.* Impact Upon Students

Teaching should have a positive effect on students. The qualities of teaching that have positive influences on the student are numerous and may be difficult to measure. Some information regarding the qualities of teaching that are exhibited by a particular faculty member can be gained through informal observation, but a more complete appraisal may be obtained through formal evaluation of teaching. Examples of favorable student-faculty interaction are:

- student pursuing independent study as a result of interaction with the faculty member
- students providing unsolicited favorable evaluation of faculty

Desirable characteristics of teachers include, but are not limited to:

- presents an evidenced-based point of view
- treats students with respect
- is fair, reasonable, and timely, in evaluation of students
- monitors student progress in a timely fashion; guides and provides supportive activities when appropriate
- continually evaluates his/her own teaching
- promotes academic integrity and professional development

It must be emphasized that student input in faculty evaluation is essential, but is only a portion of the information considered. Such input must be balanced against the other measures of the quality of teaching.

*d.* Level of Responsibility

The level of responsibility assigned to the faculty member is a consideration in the promotion process. The extent to which the faculty member's responsibilities contribute to the teaching programs of the School is of importance, e.g., directing a course or having primary responsibilities for a teaching program.

**2. Service**

Many organizational service activities are appropriate to faculty in the clinical instructional track, such as participation in committee work, IRB's administrative tasks, counseling, and special training programs. Activities (such as leadership of or service on a quality assurance, risk management, or utilization review committee) also pertain to this type of service. In addition, the University also expects many of its staff to render extramural services to other schools, industry, governmental agencies, relevant professional

organizations and the public at large. Examples include:

- memberships and offices held in professional societies
- public service activities that relate to the health of the general public
- continuing participation and leadership roles in medical/dental service organizations
- appointment as a section or symposium chairperson

*a.* Clinical Activity

A clinical instructional track faculty member's work is usually dominated by clinical responsibilities and a high level of clinical competency is expected in all ranks. Clinical excellence may be documented by letters from University of Michigan faculty and current or former colleagues as well as former trainees. Letters typically attest that the nominee is considered by the dental community as a clinical resource, is sought out for clinical expertise, and has a strong referral base. By their nature these letters will often come from sources that have personal knowledge of the individual's clinical skills and character. A clinician is a role model for dental students and must demonstrate collegiality, integrity, professional excellence, respect for diversity, engagement in community, and commitment to individual learning and scholarship.

Faculty members are expected to provide patient care both within the University and in the professional community. Patient care will be evaluated only when it is an assigned responsibility of the faculty member. Examples of activities relating to patient care include:

- certification by specialty board or achievement of Diplomate status
- awards that recognize clinical expertise
- consultation as requested by other faculty members
- membership on a specialty examining board
- service as a consultant on patient care, e.g., third-party payment groups, courts, health care organizations
- innovations to make clinical patient care more efficient and effective

*b.* Continuing Education

Continuing education is a special responsibility of the School of Dentistry and its faculty members. The state, the profession, and the general public depend on the School for help in maintaining high standards of clinical practice in this area of health care delivery. Continuing education is both an instructional and public service activity that the School of Dentistry is uniquely qualified to provide. Continuing education, as a special responsibility, may not be applicable to all faculty members. This area will be evaluated when appropriate.

### **3. Scholarly Activity**

Exceptional faculty are at the heart of the success of any educational institution. It is the diversity of the faculty and the variety of their contributions that strengthens and supports the mission of the institution, and exemplifies the institution's excellence. Scholarship is a required element for clinical track appointment and/or promotion. While peer reviewed scientific journal publications are the traditional standard, other meaningful scholarly products are used in assessing overall scholarly contributions, as scholarship is viewed in the context of all faculty's accomplishments, their complete portfolio, and may vary individually.

Recognizing the varied and valuable ways clinical track faculty contribute to the institution and the professions strengthens our enterprise. The scholarly activity of clinical track faculty can be non-traditional, but is always grounded in the creation and/or contributions to a subject area or discipline that

supports practice and/or education within the school and without. Non-traditional contributions should receive full recognition in the promotion process.

At the rank of Clinical Assistant Professor, the ability to participate in professional/clinical scholarship should be established. At the rank of Clinical Associate Professor, additional evidence of creation/innovation in professional/clinical scholarship should be demonstrated and recognized regionally. At the rank of Clinical Professor, sustained evidence of leadership in professional/clinical scholarship should be demonstrated, recognized nationally or internationally. Descriptions of scholarly activities that demonstrate expertise, innovation, and/or achievement by clinical faculty follows.

#### CLINICAL TRACK SCHOLARLY ACTIVITY METRICS

RANK	SCHOLARLY PRODUCT	SUGGESTED MINIMUM QUALIFICATIONS
Clinical Assistant Professor	1	Product should be within the last 10 years in field of practice
Clinical Associate Professor	10	Meaningful production at the clinical assistant professor rank. Most products should be within the last 10 years in the field of practice, with at least 5 in rank.
Clinical Professor	20	Meaningful production at the clinical associate professor rank, with at least 5 generated in rank.

#### a. Examples of Scholarly Activity

All scholarly activity supports teaching and/or professional service. The compilation, synthesis, and transfer of current knowledge is one aspect of this activity that contributes to and advances scholarship. Clinical track faculty members are likely to have “asymmetric” qualifications for appointment and/or promotion, with strong achievement in some areas and less achievement in others. This asymmetry is beneficial and significantly decreases disparities caused by subfield bias. Clinical experience and a significant demonstration of scholarly activity are required for promotion in the Clinical Track. Additionally, scholarly products should be clearly described in the faculty member’s portfolio and represent substantial and meaningful contribution by the faculty member. Meaningful contribution implies the product advances knowledge in the discipline, profession, research, practice, or education as determined by peers.

The following table are guidelines of scholarly products for clinical track faculty, but is not an exhaustive list. Where appropriate, peer review should determine the quality of the scholarly activity.

CLINICAL TRACK SCHOLARLY PRODUCTS
● Published in peer-reviewed publications including abstracts
● Obtained Patents
● Published book chapters, books, or educational websites
● Produced invited clinical reviews or conference proceedings
● Invited review of textbooks, reports, guidelines based on expertise



● Invited to present or participate in panels, symposia or conferences
● Presented live/virtual continuing education or podcasts
● Developed clinical trials, patient recruitment, led trial site
● Created innovations in: <ul style="list-style-type: none"> <li>○ teaching, educational resources/practices</li> <li>○ clinical care delivery/procedures</li> </ul>
● Contributed to Interdisciplinary collaborations in teaching and/or research
● Developed impactful professional guidelines, initiatives, or standards
● Generated performance data and performance goals through learning collaboratives or interdisciplinary work
● Developed teaching/educational modules or curricula
● Developed and/or presented Literature- or Case-based lectures or seminars
● Developed innovations in outcomes and implementation science
● Elected to membership in societies recognizing meritorious professional achievement (clinical, educational, research, etc.)
● Obtained certification by professional organizations such as specialty boards or national academies

b. Original Research and Publication

Research is the generation of new knowledge, through use of the scientific method. Such research may be basic, applied, behavioral, clinical or in health services. It culminates as manuscript publication in refereed scientific journals. A reasonable and consistent level of research productivity is required; however, it is the quality of the investigative activity that is of primary importance in evaluation. In addition, the research should have a focus. Other evidence of a significant research record may include:

- invitations to present one’s research at other universities or major scientific meetings;
- receipt of awards or other special recognition for outstanding scholarly activity;
- a record as a productive independent investigator or collaborator
- a record of primary or senior author status on a significant number of publications and co-authorship on others; specific numbers of publications in each case are not as important as the quality and significance of the work
- publication of research abstracts

### III. Research Track

#### A. Definition of the Research Track

Research track faculty members actively contribute to the School of Dentistry's research and teaching mission. Research faculty appointments are intended for individuals whose primary activity is research. Substantive curricular teaching in the research track may be reflected in a fractional appointment in another track.

#### B. University of Michigan Research Scientist and Research Professor Tracks Appointment and Promotion Policies

Refer to the University of Michigan, Office of Research Policies for a complete description of the research track ranks, criteria and time in rank limits

<http://research.umich.edu/appointments-promotions>.

#### C. School of Dentistry Research Track Policies

Research Scientist Track: Within the School of Dentistry, the research scientist track is intended to support the research mission of the school, enhance the research capabilities of established research groups within the school, and promote growth of research expertise of members of the research scientist track.

Faculty members appointed on the research scientist track are recruited with the intent that their primary responsibility is to the research program of a specific tenure track faculty member/principal investigator who has an active (funded) research program in the School of Dentistry. These positions are normally supported on externally derived research funds ("soft money").

The University of Michigan allows research track faculty to hold either a term-limited or an open-ended appointment. However, at the School of Dentistry, open-ended appointments are discouraged due to resource limitations.

- Term limited appointment: the term is defined by the external funding held by the faculty member principal investigator to whom the research track faculty is responsible.
- Open-ended appointment: This type of appointment is discouraged at the School of Dentistry. However, if this type of appointment is being considered, the sponsoring academic department must document that:
  - 1) The appointment is beneficial to the institution
  - 2) There is a long-term commitment of departmental resources to support the position.
  - 3) There is a critical mass (three or more) of tenure track faculty members within the School of Dentistry with whom the open-ended appointee will interact.
  - 4) Appropriate research space is available within the faculty member principal investigator's dedicated space.

In addition, the letter of offer must contain a description of the mandatory reviews and a statement that the appointment is subject to termination due to loss of funding, departure of the faculty member principal investigator, or other institutional needs.

As noted, above, Research Scientist Track appointments are not "stand alone" appointments and must be linked directly to the research program of a tenure-track faculty member principal investigator. In the event that the responsible faculty member fails to have sufficient funding to support his/her research group, all research scientist track appointments tied to that faculty must be re-evaluated by the sponsoring academic department, the school's Office of the Dean, the University Office of Academic Human Resources and the University Office of

## Research.

Research track appointments are expected to be full-time (80-100% effort) and used only when appointing individuals who are committed to scholarly investigation under the direction of the faculty member principal investigator. Less than full-time appointments may be considered when appropriate and approved by the Dean and the Executive Committee.

The Office of the Dean will not approve a Proposal Approval Form for external funding having a term limited appointee as a principal investigator unless the following conditions are met:

- 1) Should the proposed external research funding period extend beyond the current appointment period of the term limited appointee, there must be a documented commitment to reappoint the term limited appointee at the end of his/her current appointment pending funding of the application. The appointing academic department and responsible faculty member principal investigator must be able to demonstrate that full-time salary support is available for the term limited appointee before the reappointment is made.
- 2) Prior discussion with and approval from the faculty member principal investigator, department chair and Dean must be obtained before external funding applications from the term limited appointees are submitted.
- 3) Requests to submit an independent external funding application are made no later than three months prior to the sponsor submission deadline and should be made prior to engaging the school's Contracts and Grants Service Center to allow sufficient time for thoughtful discussions, review and approval by the Dean.
- 4) External funding applications from term limited appointees are intended to support the total research activity of the affiliated faculty member principal investigator's research program.
- 5) The sponsoring academic department guarantees that sufficient funding exists to ensure full salary support for the term limited appointee until he/she learns of the funding decision regarding a submitted external research funding application and the application is actually funded.
- 6) The sponsoring academic department guarantees funding for the term limited appointee to ensure that his/her compensation and appointment is maintained as full-time (80-100%) effort during the period in which he/she possesses independent funding support, since it is expected that term limited appointee appointments be full-time effort. This guarantee includes other contingencies that include, but are not limited to the departure of the sponsoring faculty member principal investigator and any grant support that would have kept the term limited appointee whole throughout the period during which he/she possessed independent funding support at principal investigator.
- 7) In all cases, the term limited appointee remains fully responsible to an externally funded faculty member principal investigator pursuing research in the same discipline
- 8) The term limited appointee may not submit an independent research application sponsored by a faculty member who is unfunded or likely to be unfunded during the term limited appointee's external funding application decision period.
- 9) No additional research space is required to accommodate the term limited appointee's proposed external funding application and he/she remains within the footprint committed to the faculty member principal investigator.

Upon departure of the faculty member principal investigator and any associated external research support:

- 1) In consultation with the University Office of Academic Human Resources and Office of Research, the term limited appointee shall be given a "reduction in force" notification and shall be entitled to the appropriate notice (SPG 201.72).
- 2) The term limited appointee may not initiate new or renew existing grants unless another tenure track faculty member (substitute faculty) assumes responsibility for the term limited appointee.
- 3) The substitute faculty member principal investigator must be pursuing research in the same discipline and have sufficient grant support and existing research space to accommodate the term limited appointee.

- 4) The sponsoring academic department must honor any prior commitments made to the term limited appointee to keep him/her appointed with a full-time effort for the duration of the term limited appointee's existing funding during which he/she is principal investigator.

**Appointment and promotion process:** Appointments of research track faculty are governed by the policies described by the University Office of Research policies for appointment and promotion. The home academic department and faculty member principal investigator must demonstrate that full-time salary support will be available for term limited appointees when the appointment or reappointment is made. Letter of offer to a term limited appointee may not be contingent on the success of a proposed, submitted or pending external funding application.

Letters of offer and memoranda of understanding for research track appointments must be approved by the School's Executive Committee and the Dean. Appointment and promotions at associate research scientist or research scientist must be approved by the Vice President of Research and the Provost. In addition to the memoranda of understanding described in the University Office of Research appointments and promotions policies, the school requires that an additional memorandum of understanding describing the school's policy governing the submission of external funding applications by research track faculty be provided to all research track faculty.

The cycle for faculty review and promotion on the research scientist track follows that for other School of Dentistry faculty tracks, while adhering to the Office of Research time in rank limits.

Unless initiated as a mandatory review, as described in the Office of Research Appointment and Promotion Guidelines, promotion requests and reviews must be initiated by a written request from the tenure track faculty principal investigator under whom the research track faculty member works to the department chair. Upon an internal departmental review of the candidate's work, the chair will notify Faculty Affairs that they recommend the candidate for early promotion.

**Commitment of resources to Research Scientist Track faculty:** Research scientist appointments will not be made with independently assigned space. Space assignments will be in the context and confines of the research program of the faculty member principal investigator. If a term limited appointee has grants as Principal Investigator, any staff persons associated with the grant will be housed and accommodated within the research space of the respective faculty member principal investigator.

**Criteria for Appointment and Promotion in the Research Scientist Track:** Characteristics that typically distinguish individuals on the Research Scientist track from those on the Staff Scientist Track

- Evidence as a developing authority on the scientific context of their research, with an in-depth knowledge of relevant literature in the field
- Evidence of commitment to a scientific field and research
- Evidence of facilitating development or origination of new research ideas in the laboratory group
- Record of peer-reviewed publications that include papers as first or corresponding author
- Record of grant applications, intramural and extramural, as appropriate for the research group and goals of the respective tenure track faculty member
- History of invited oral presentations at symposia or other institutions
- Evidence of mentoring lab personnel and students in the laboratory
- Evidence of leadership in contributing to overall laboratory and equipment care

**Participation in teaching and committee activities:** Since research scientists are supported on research grant funding, didactic teaching or teaching efforts other than laboratory mentoring is discouraged and generally disallowed by the funding sponsor. This does not apply to "incidental" lectures or "guest" appearances in regularly scheduled courses where such lectures are not an expectation. This is also true for service on

committees other than those directly linked to the funding source.

**Research Professor Track:** The research professor track is intended to enhance the research mission of the school and engage exceptional investigators whose primary mission is to function as an independent principal investigator who is not necessarily linked to a tenure track faculty member principal investigator. Historically, faculty have not been appointed to this track at the School of Dentistry. It is described here only to keep it available as an option in the event that the School decides to use this track at some time in the future. These appointments will be made only with a strong rationale to justify appointing to the research professor track instead of the tenure track. These appointments should be full time. Research professor track appointments are intended to be supported on research funds (“soft money”).

**Appointment and promotion process:** Entry to this track would be through either a promotion from a prior appointment on the research scientist track or as the result of a faculty recruiting effort directly to this track. Appointment recommendation is made by the department chair. Appointments to this rank must be approved by the Dean, the school’s Executive Committee, the Vice President of Research and the Provost.

The cycle for appointment and promotion review on the research professor track follows that for other School of Dentistry faculty tracks. Promotion requests and reviews will be initiated by the department where the individual is appointed. It is expected that the criteria and expectations for accomplishments in research, in both time frame and scope, would parallel that of faculty on the instructional tenure track.

**Submission of independent grant application:** Faculty appointed on the research professor track are eligible to submit independent grant applications, subject to prior discussion with and approvals by the department chair and dean.

**Commitment to resources for Research Professor Track:** Research professor track appointees are eligible for independent assigned research space based on the School of Dentistry research space guidelines.

**Participation in teaching and committee activities:** The core research faculty document describes the non-didactic teaching and mentoring of postdoctoral fellows, junior research colleagues or students within the context of one or more research fields. Didactic teaching or teaching efforts other than laboratory research mentoring are discouraged. This would not apply to “incidental” lectures or “guest” appearances in regularly scheduled courses where such lectures are not a regular expectation.

Institutional service is expected, but not at the level expected for the parallel rank on the instructional tenure track.

Note: The University of Michigan, School of Dentistry currently does not employ faculty on the Research Professor track.

## IV. SUPPLEMENTAL APPOINTMENTS AND OTHER TITLES

### A. Definition of Supplemental and Other Titles

Supplemental appointments are used for special faculty appointments that fall outside the standard categories. Supplemental appointments are made under the same criteria as appointments in the regular tracks to which they correspond. For example, the criteria for a visiting or adjunct associate professor are the same as for an associate professor in the regular instructional track.

### B. Supplemental Appointments

Visiting: The term visiting is used for persons primarily identified with another institution of higher education who assume some teaching responsibility at the University of Michigan and for persons whose employment with the University will be explicitly temporary. These appointments are for one year or less and may be extended only under unusual circumstances. They are not tenured appointments. Qualifications at each rank are consistent with those of the regular instructional track, clinical track, and research track.

- this title may be used in conjunction with all instructional, clinical, and research titles.
- appointees to this title must have employment responsibilities with another institution of higher education and are usually on leave from that institution, e.g., a professor from UCSF is at the University for a six month sabbatical
- appointees may be full-time, with a maximum length of appointment of one year
- written requests to extend appointments beyond one year may be granted under unusual circumstances

Adjunct: These titles are to be used for faculty appointments of .49 FTE or less within the School of Dentistry, including those courtesy (without salary) appointments and Dean's Faculty members. The term adjunct is assigned to faculty members in any rank whose primary employment responsibilities lie outside the University or in another capacity within the University. Adjunct appointments require annual review for appointment renewal. Refer to [Guidelines \(200.500\) for the Appointment and Promotion of Adjunct Clinical Track Faculty for rank establishment and promotion guidelines](#).

Emeritus: An honorary title received upon retirement (for titles in the regular instructional track, clinical instructional track and research professor track) given by the Regents on recommendation of the School. An active status appointment may be requested for retirees who wish to continue their clinical, research, or service activities to the institution. An active appointment is necessary if the retiree requires clinical privileges, receives payment for clinical services or teaching, or continues to be formally involved in research grant activity.

### C. Supplemental Promotions

Visiting faculty are appointed for a year or less and are normally not involved in any pro-motion considerations. The appointment of each adjunct faculty member, however, is subject to annual review and renewal. A request for promotion to a higher level may be made, with documentation, as would be required in the corresponding regular track.

### D. Joint Appointment Criteria

Joint appointments are implemented in a secondary or tertiary department (usually in another school or college of the University) for instances of substantial and ongoing academic or clinical collaboration beyond routine collegial interactions. The primary or home department usually is responsible for the paperwork. Joint appointments are extraordinary; they are not used for perfunctory title dissemination or routine recruitment enticements. They may be funded or unfunded (dry). Joint appointments, without tenure, can be initially requested for up to three years, and can be administratively renewed for additional years at the request of the department.

## V. APT Document Appendix (click links below to view documents)

- A. [Documentation and approvals required for faculty appointment, reappointment and promotion](#)
- B. [Guidelines for the Appointment and Promotion of Adjunct Clinical Track Faculty, U-M School of Dentistry Policy No. 200.500](#)
- C. [Description of Arm's-Length External Reviewer, Local Arm's Length Reviewer and Letters of Reference](#)
- D. [10-Year Tenure Clock Examples](#)