



**Guidelines for Faculty Appointment and Promotion
Stony Brook University School of Dental Medicine**

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1. Introduction

This document describes the standards by which faculty at the School of Dental Medicine at Stony Brook University will be evaluated in making appointments, recommending promotions, and in granting tenure. Faculty members at the School are diverse and differ in their activities, interests, and responsibilities. Standards set forth in this document recognize this diversity and provide a means for assessing each faculty member's contribution thoroughly and fairly. At the core of these standards is the concept of excellence, that is, a level of performance that is not just adequate or above average but outstanding, that does not satisfy minimal requirements but exhibits insight and creativity, and that does more than maintain the status quo but advances the School's mission. The basic considerations in assessing performance of a faculty member are mastery of subject matter, contributions to new knowledge, effectiveness and innovation in teaching, scholarly accomplishment, effectiveness of service/engagement, and potential for continuing professional growth.

2. The following academic ranks are considered:

Nonqualified rank Assistant Professor
 Associate Professor
 Professor

Qualified rank Research or Clinical Assistant Professor*
 Research or Clinical Associate Professor*
 Research or Clinical Professor*

* Tenure is granted only to full time nonqualified rank track faculty holding the title of Assistant Professor, Associate Professor, or Professor. The designation Research or Clinical to a faculty title indicates that the rank and title are qualified, that the position is not tenure-track and that the activities and responsibilities are generally focused in one of two possible directions.

3. Faculty

Nonqualified rank (tenure track)

Faculty members with a nonqualified rank are employed by the University on a full time basis in a tenured or tenure-track position. Such faculty members are expected to be active, not necessarily in equal degrees, in teaching, research and service. All such faculty members must demonstrate proficiency in and dedication to the educational and scholarly mission of the School and University. Faculty members holding a nonqualified title are expected to form the core leadership within the School and to exercise their responsibilities accordingly. Academic faculty members with a nonqualified rank are expected to be productive throughout their careers. It is recognized that faculty members with nonqualified rank are diverse in their interests, backgrounds, goals and responsibilities. For many faculty members, activities will be more focused and can best be described by the terms “research” or “clinical,” as follows:

Research Focus – All full time faculty members in this category, in addition to their teaching and service responsibilities, are expected to demonstrate a reputation for research activities including, but not limited to, grant support, publications in peer reviewed journals and presentations at the national level for promotion to associate professor, and at the international level for promotion to full professor;

Clinical Focus – All full time faculty members in this category, in addition to their teaching responsibilities, are to be recognized for clinical excellence and professional service; including but not limited to curricula development, board certification, leadership positions in professional organizations/societies and a record of clinical publications at the national level for promotion to associate professor, and at the international level for promotion to full professor.

Qualified rank

Faculty members whose rank and title are qualified by the term *clinical* are expected to focus primarily on imparting clinical skills to students, in establishing and providing patient care services, in maintaining and expanding their knowledge of new developments in their discipline, in seeking improvements to current diagnostic and therapeutic modalities, and in service/engagement to the institution or profession. Faculty members whose rank and title are qualified by the term *research* are expected to have a predominant commitment to research and creative scholarship, to seek external funding for their research activities, to publish the results of their studies in scholarly peer-review journals, to participate in conferences and symposia and to

participate in the educational programs of the School especially those programs at the graduate and post-graduate level. Qualified titles are not honorary titles; they must be earned. Although the activities and responsibilities of the clinical and research faculty differ, performance in all cases will be judged by the same standards of excellence.

4. Appointments and promotion

Assistant professor (qualified or nonqualified)

An individual may be considered for appointment or promotion to the rank of assistant professor if that individual has received the appropriate terminal degree (DDS, MD, PhD or their equivalents) and has high promise as a teacher and/or researcher. If the candidate is being considered for a tenure-track position, that individual must have the potential to sustain highly innovative scholarly activities. If the candidate is being considered for a qualified appointment, that individual should have advanced training or the equivalent (clinical track), or that individual should have postdoctoral training (research track).

Associate professor level (qualified or nonqualified)

Candidates for appointment or promotion to the rank of associate professor must hold the appropriate terminal degree and have demonstrated a high level of scholarly activity as a teacher and/or as an investigator. The evaluation of the candidate's work should be supported by substantial evidence of peer-review that has been carried out in a manner characteristic of and appropriate to the discipline. The candidate must exhibit the potential to meet requirements for the rank of full professor at some later time. If the appointment is to include tenure, the candidate must have a documented track record of sustained excellence and accomplishment. Candidates for appointment to the rank of associate professor who have tenure at their current institution are not automatically granted tenure at this institution.

Professor (qualified or nonqualified)

Candidates for appointment or promotion to the rank of professor are expected to have met the criteria for associate professor and to have a record of outstanding scholarly accomplishment and to be considered as a leader or have considerable potential for leadership in the relevant field of study or teaching. The rank of professor is expected to carry with it a standing of maturity of development, and the candidate is expected to have exhibited such attributes. Candidates for the rank of professor are expected to have a national and an international reputation. Candidates for a qualified rank of professor are expected to have reputations commensurate with other professors in their area of study. The evidence in support of this appointment or promotion should be unambiguous and unequivocal. A professor, whether on a research or clinical track, is expected to have demonstrated exceptional teaching ability and mentorship. Appointment or promotion to the rank of professor is to be issued for the candidate's entire achievements with focus on the activities performed since the candidate's most recent promotion and is awarded for activities that demonstrate the potential for continuing outstanding scholarly achievement. Candidates for appointment to the rank of professor who have tenure at their current institution are not automatically granted tenure at this institution.

5. Evaluation of scholarly activities

Evaluation of research activities

Research is expected to generate new knowledge, a better understanding of disease processes and result in improved therapies. Excellence in research can be gauged by a variety of measures, such as submission of grant applications, securing of research grant support from external agencies, publications in scholarly journals, organizing meetings and colloquia, invitations to speak at meetings or symposia, contributions to books and monographs, the awarding of patents, and the testing of new therapies in and management of clinical trials. Excellence in research is also reflected by service/engagement activities such as serving as a member of the editorial staff of a scholarly journal, the executive of a professional research organization or a reviewer on a scientific review committee. In a clinical institution, such as the School of Dental Medicine, the ability of an investigator to involve clinical colleagues as well as dental students, postdoctoral students and residents in his/her research endeavors should be warmly received and viewed with favor. Researchers are also expected to participate in meaningful ways in graduate education programs that lead to the MS and the PhD degree and postgraduate and postdoctoral programs of equivalent quality.

Evaluation of teaching activities

The evaluation of teaching activities is somewhat more difficult than the evaluation of research activities because teaching activities are more subjective and not always readily quantifiable. Nevertheless, excellence and innovation in teaching, whether for the basic, behavioral or clinical sciences, is just as real a phenomenon as excellence and innovation in research. Excellence and innovation in teaching can be gauged by a variety of measures, such as teaching awards, systematic and objective student evaluations, the development of new courses, the introduction of innovative course materials, teaching aids, or teaching methods, participation in the writing of text books or book chapters, and invitations to speak at other institutions or organizations regarding teaching programs and the like. Imparting of clinical skills can be judged by measures such as the performance of students on standardized evaluative tests, the insight and thoroughness of written student case reports, the establishment of new clinical services that involve student practitioners, the instruction of students in clinical research projects, the participation of students in published case reports, and the establishment of interdisciplinary clinical services that expand student understanding of patient care. It is also understood that faculty who enhance their own clinical skills, as for example by the passing of specialty boards, will be in a position to impart enhanced clinical skills to students and residents. Participation in professional organizations dedicated to improving the teaching of a subject area will also be viewed as an attempt to enhance the general level of teaching. It is recognized that faculty must maintain clinical skills through faculty practice and that the maintenance of clinical skills is necessary to be an effective clinical instructor. However, participation in faculty practice per se is not deemed a scholarly or service-related activity that can be used to advance a promotion or tenure decision.

Evaluation of service/engagement

All faculty members are expected to participate in a meaningful way in service to the institution. This can be administrative service such as serving on committees or patient-related service such as participating in specialty clinics. Service/engagement that is highly innovative, that advances

the institutional mission to a new level, that has far reaching consequences (i.e., state, regional, national or international impact), will be considered in the evaluation of a candidate for promotion and tenure. In general, junior faculty members who have not been considered for tenure should not be given major service-related responsibilities that will interfere with their ability to focus on scholarly activities. Should they, nevertheless be assigned and accept such responsibilities, they should be credited appropriately for such activities.

6. The centrality of the Department in appointment, promotion and tenure

A major responsibility for establishing and maintaining a high degree of excellence rests upon departmental chairs who must recruit individuals of great promise, attempt to provide an atmosphere where creativity and excellence are fostered, ensure that recruited faculty understand their responsibilities, explain the criteria that will be applied in considering advancement, provide adequate evaluation of performance at timely intervals and take responsibility for the difficult decisions that may lead to a non-renewal, non-promotion or non-tenure outcome. Faculty in a department, especially the more senior faculty, are expected to share in the responsibility for recruiting new faculty, in providing collegial assistance/mentoring to more junior faculty, and in evaluating performance.

7. The responsibility of the faculty member

Every faculty member should be cognizant of his/her responsibilities and obligations as well as the criteria that will be used in his/her evaluation. Each faculty member should seek the advice and counsel of senior faculty in matters pertaining to promotion and tenure and undertake to critically review their own performance with the aim of correcting weaknesses and deficiencies. A lack of awareness of the criteria for advancement is not a good reason for failing to achieve the necessary standards.

8. Documents relevant to appointment, promotion and tenure

To assist faculty in making themselves aware of official policies regarding appointment, promotion and tenure, the following documents are recommended for examination:

A. Policies of the Board of Trustees of the State University of New York

All actions, decisions and guidelines taken in relation to appointment, promotion and tenure must be consistent with the policies of the Board of Trustees of the State University of New York. The policies are updated from time to time, and all faculty members are advised to consult these policies when questions arise regarding promotional issues.

B. Agreement between the United University Professions (UUP) and the Executive Branch of the State of New York

The agreement between the UUP and NYS encompasses issues pertaining to promotion and tenure. Faculty who are members of the UUP may wish to consult the agreement reached between the UUP Negotiating Unit and NYS.

C. Bylaws of the APT Committee of the School of Dental Medicine

The APT Committee of the School of Dental Medicine is advisory to the Dean. All recommendations regarding appointment, promotion and tenure are made to the Dean. The

operating procedures of the School-wide APT Committee are approved by Faculty Council and available on the intranet (shared drive) of the School of Dental Medicine.

9. Tenure

Tenure or continuing appointment ensures that as long as the faculty position exists, the person with tenure will occupy that position. Tenure is not intended to provide job security, though this is indeed one of its outcomes. Tenure is meant to provide faculty with a stable base from which to undertake long-term, difficult or high risk scholarly activities. Tenure is also meant to advance the University's mission to create new knowledge by ensuring that faculty can exercise academic freedom, to hold minority or unpopular views without fear of losing one's job. Faculty who have not been innovative or who have met adequate but minimal standards regarding their responsibilities should not expect to receive a favorable tenure review. One important consideration in evaluating a candidate for tenure is the high probability that the candidate will continue to exhibit excellence following the granting of tenure. Factors that enter into this aspect of the evaluation include the faculty member's commitment and devotion to their studies and scholarly activities. Another consideration in a tenure evaluation is the faculty member's potential for further academic growth. In making this evaluation, the past evolution and maturation exhibited by the faculty member will be carefully analyzed.

In the NY State educational system, tenure or continuing appointment is not considered a promotion. It is considered to be a separate issue from promotion. When a faculty member is being considered for promotion and for tenure at the departmental or the school-wide level, two votes are taken, one for the promotion and one for tenure. Faculty can be granted tenure at any academic rank, though usually tenure is considered when a faculty member is promoted to the rank of associate professor.

A full-time faculty member in a nonqualified rank, must be awarded tenure after seven years of service. Faculty who fail to receive tenure after seven years must leave the institution. Tenure considerations are usually undertaken in the sixth year of a faculty member's appointment, giving a faculty member about one year to seek an alternative position. Faculty members who are in a qualified rank (clinical or research) are not considered for tenure. There is no "clock" ticking on their service. Occasionally, faculty members who are on a tenure-track are migrated to a non-tenure-track (i.e., a qualified rank). This stops the clock. Switching from a nonqualified rank to a qualified rank is an administrative matter. It is not an action voted upon by the School-wide APT Committee. However, switching from the qualified rank to the non-qualified rank of Associate Professor or higher will require action described in the School wide APT process.

Note: When a faculty member is taken off the tenure-track the "clock" stops then. When the faculty member returns to the tenure-track position the clock will continue with the years in service (before he/she moved to the non-tenure qualified position).

10. Emeritus academic rank

Emeritus faculty are retired Stony Brook University faculty/librarians who have been invited by the university president to append the term "Emeritus" to their title of academic rank following

their retirement. Emeritus faculty retain library, parking, and institutional email (@stonybrook.edu domain) privileges for life.

Who is entitled to become an Emeritus?

- Only tenured and tenure track faculty who retire are eligible to append the term “Emeritus” to their titles. Faculty who resign are ineligible.
- Tenured faculty may be full-time or part-time.
- Tenure track faculty must be full-time.
- Shortly after the PeopleSoft form for retirement is submitted to Human Resources, the faculty member will receive a letter from the University President thanking the individual for his/her service and advising the retiree to contact Alison Gibbons in the Provost Office (631-632-7000, alison.gibbons@stonybrook.edu) to be activated in the database of Emeritus Faculty. Ms. Gibbons will verify Emeritus eligibility and will advise on joining the Emeritus Faculty Association (EFA).

ADDENDUM

Appointment and Promotion of Part-Time Faculty

Part-time faculty have a vital role in the School of Dental Medicine especially in regard to the clinical education of pre- and post-doctoral students and residents. In addition to direct clinical supervision in the Dental Care Center, they often serve as clinical role models and provide a different perspective on clinical practice from the private sector.

Promotion of part-time faculty presents a special challenge. Part-time faculty often do not have the training, resources, time or institutional support to satisfy the criteria for promotion of full-time faculty. With due consideration of reasonable standards applicable to the promotion of part-time faculty, the following criteria must be considered:

1. **Teaching Effectiveness.** The primary role of part-time clinical faculty is the clinical education of pre- and post-doctoral students and residents. Therefore, evaluation of teaching effectiveness must be undertaken in consideration of an individual for promotion. This evaluation would include, but not be limited to, student, resident, alumni, and peer input on relative teaching effectiveness.
2. **Professional Recognition.** Achievements in this important area for consideration would include, but not be limited to, board certification, appointment to committees of professional societies, leadership roles in professional organizations, and clinical publications.
3. **Record of Innovation in Teaching.** To satisfy this criterion, the individual would have given evidence of developing new and improved therapies, given continuing education courses, and improved teaching methods through innovative ideas on course format and content.

It is the responsibility of the Chairperson to enunciate a clear departmental policy for part-time faculty for their promotion and to assist and counsel them in defining activities that would be of value for promotion. The part-time and full-time senior faculty within the Department are also expected to provide mentoring for part-time faculty of a junior rank. Promotion of part-time clinical faculty to the rank of clinical professor implies a record of exceptional performance in fulfilling all three criteria, including teaching obligations, contributing to the improvement of dental education in substantive ways, demonstrating a leadership role in clinical teaching, and professional recognition.