



# Stony Brook School of Dental Medicine

## STANDING RULES

### APPOINTMENT, PROMOTION AND TENURE COMMITTEE

### STONY BROOK UNIVERSITY SCHOOL OF DENTAL MEDICINE

(Adopted by Faculty Council 1995)

(Adopted in revised form May 5, 1999)

(Revised by School-wide APT Committee Feb 17, 2005)

(Adopted by Faculty Council April 5, 2005)

(Revised by School-wide APT Committee December 22, 2011)

(Adopted by Faculty Council January 14, 2013)

(Revised by School-wide APT Committee December 6, 2012)

(Adopted by Faculty Council January 14, 2013)

(Revised by School-wide APT Committee June 17, 2013)

(Revised by School-wide APT Committee October 28, 2013)

(Adopted by Faculty Council December 3, 2013)

(Revised by School-wide APT Committee March 27, 2018)

(Adopted by Faculty Council May 28, 2018)

(Revised by School-wide APT Committee April 18, 2019)

(Adopted by Faculty Council July 25, 2019)

(Revised by SDM HR August 18, 2021)

(Revised by School-wide APT Committee August 24, 2021)

(Revised by the School-wide APT Committee January 6, 2025)

(Adopted by Faculty Council January 13, 2025)

(Revised by the School-wide APT Committee February 13, 2025)

(Adopted by Faculty Council March 20, 2025)

(Revised by the School-wide APT Committee January 16, 2026)

(Adopted by Faculty Council on April 14, 2026)

## SECTION I: POLICIES OF THE BOARD OF TRUSTEES

[https://www.suny.edu/media/suny/content-assets/documents/boardoftrustees/SUNY\\_BOT\\_Policies.pdf](https://www.suny.edu/media/suny/content-assets/documents/boardoftrustees/SUNY_BOT_Policies.pdf)

## SECTION II: DEPARTMENTAL PROCEDURES FOR APPOINTMENT, PROMOTION AND TENURE

### A. *Initiation of Candidacy* – See Appendix A (Timeline for Promotions and Continuing Appointments)

- (1) The administrative officer of the academic unit (this is usually the Department Chair) shall initiate a candidacy for promotion and/or continuing appointment and inform the dean of this intent. In no case shall the administrative officer initiate a candidacy without first having obtained the consent of the faculty member involved.
- (2) Any individual faculty member may request to the administrative officer (i.e., Department Chair) to be considered for promotion and/or continuing appointment. If the administrative officer agrees to the request, the administrative officer shall assume the responsibility of assembling the candidate's evaluating file (as described below). Should the administrative officer decline the request, the faculty member shall have the opportunity to request a meeting with the departmental APT committee to evaluate the candidate's case. If the committee votes in favor of consideration for promotion and/or tenure of the faculty member, the committee shall appoint an appropriate administrative officer to assemble the material for the candidate's file.

### B. *Preparation of Material*

- (1) The administrative officer of the academic unit shall be responsible for the preparation and collection of appropriate materials on each candidate for promotion and/or continuing appointment. If the administrative officer is him/herself a candidate, the Dean of the academic unit or another appropriate authority shall be responsible for the preparation of this material.

Each candidate for promotion and/or continuing appointment shall prepare a dossier that will become part of his or her evaluative file. The dossier will include the candidate's biography or current curriculum vitae (Appendix B) and, where applicable, scholarly activity portfolio pages (Appendix C) listing information concerning his or her career and accomplishments that the candidate believes to be relevant to his or her readiness for promotion and/or tenure. The dossier may

also include the candidate's personal/reflective statement summarizing the candidate's past and future contributions to the institution (maximum three pages). The candidate may include in his or her file the names of persons from outside the University whom he or she believes would be in a position to write letters evaluating their scholarly or other accomplishments. See Appendix D (Provost's Guidelines on Academic Review) regarding the process of selecting letters of evaluation appropriate to title and rank.

When the candidate has completed his or her biographic file to his or her satisfaction, the candidate shall affix his or her dated signature to the face of the file and submit it to the administrative officer of his or her academic unit.

(2) The administrative officer of the academic unit shall prepare an evaluative file on each candidate for promotion and/or continuing appointment. This evaluative file shall include:

- i. Critical material arranged according to the evaluation criteria for the Trustees' Policies (see pp. 1-2). It is particularly important that copies of a candidate's publications or other examples of their work be readily accessible when possible. The evaluation of teaching effectiveness should include the opinions of all categories of the candidate, systematically gathered annually for all faculty members.
- ii. Letters of evaluation from outside the University (Appendices D and E). The judgment of authorities from outside the University should be considered in all cases (where appropriate) of promotion and/or continuing appointment. Each such letter should be current and should have attached to it a copy of the letter soliciting it, together with a brief biographical sketch of the author.

For appointments at the rank of Assistant Professor, a minimum of three letters of reference is required. For appointment at the non-qualified rank of Assistant Professor, three (3) outside of the University letters of reference are required. For appointment at the qualified rank of Clinical or Research Assistant Professor (salaried or volunteer) of the three (3) letters, a minimum of one (1) outside of the University letter of reference is required.

For appointments at or promotions to the rank of Associate Professor a minimum of five letters of recommendation is required. For appointments or promotions at the non-qualified rank of Associate Professor, five (5) outside of the University letters of reference are

required. For appointments or promotions at the qualified rank of Clinical or Research Associate Professor (salaried or volunteer) of the five (5) letters, a minimum of two (2) outside of the University letters of reference are required.

For appointments at or promotions to the rank of Professor a minimum of five letters of recommendation is required. For appointments at or promotions to the non-qualified rank of Professor, five (5) outside of the University letters of reference are required. For appointments or promotions at the qualified rank of Clinical or Research Professor (salaried or volunteer) of the five (5) letters a minimum of three (3) outside of the University letters of reference are required.

For appointments or promotions at the non-qualified rank, letters of reference are to be obtained only from references of the same non-qualified rank or higher.

For appointments or promotions at the qualified rank, letters of reference are to be obtained only from references of the same (qualified or non-qualified) rank or higher.

- iii. Letters of evaluation from other members of the candidate's administrative unit may be solicited and included in the evaluative file.
- iv. Letters of evaluation from other units within the School or University may be solicited when the candidate has been involved in teaching, research, or service with those units.
- v. Other material that's relevant to the candidate's evaluation, including the reflective statement, publications, teaching materials, etc.

- (3) In advance of making their recommendations, members of the candidate's department shall have ready access to the completed biographic and evaluation file on the candidate.

#### *C. Procedures of the Departmental Appointment, Promotion and Tenure Committee*

- (1) Membership – The Departmental Appointment, Promotion, and Tenure (APT) Committee shall consist of the Department Chair, who shall act as Chair of the Committee, tenured and non-tenured faculty of the non-qualified rank, and faculty of the qualified rank. The size of the APT Committee shall reflect the

number of faculty and be no less than 50% of those eligible to vote. For individuals being considered for appointment, promotion and/or tenure, the Departmental APT Committee shall have a minimum of 3 faculty eligible to vote on the candidate. Faculty members on sabbatical leave are not eligible for membership on either the School-wide or Department Committees. Part-time faculty members are not eligible to vote on appointment, promotion and tenure of full-time faculty. Part-time faculty may vote on appointments and promotion of part-time faculty within that department, provided the part-time faculty member is at a rank equal to or higher than the proposed rank of the candidate part-time faculty member.

- (2) Voting – Voting is by anonymous, written ballot. Only faculty members of equal or higher rank are eligible to vote in an appointment, promotion or continuing appointment consideration. Faculty of qualified rank cannot cast a ballot when a candidate is being considered for tenure or promotion to a nonqualified rank. A consideration is favorable if a majority of those eligible to vote are in favor of the recommendation. A departmental APT Committee may vote either for or against a recommendation. Tabling of a recommendation is not allowed. A *Departmental Summary* (see Appendix F) shall record those present, those voting and the distribution of votes (aye or nay). The Chair and the department secretary are to tally the vote. The tally is not to be communicated to the Department by the Chair, only whether the recommendation has been favorably considered or rejected.
- (3) When the candidate to be considered is a member of an affiliated institution, consideration shall be carried out first by the affiliated institution in accordance to that institution's procedures. The particular department of the affiliated institution shall forward its recommendation and the candidate's file to the Clinical Campus Dean (in the case of a clinical campus) for his or her review and commentary. The candidate's file shall then be forwarded to the appropriate dental school department chair and all procedures outlined in Section (3), Evaluation and Recommendation, shall be followed with the addition that the Clinical Campus Dean (for clinical campuses) and the affiliated institution department chair shall be informed of the decisions by the dental school department and School-wide Committees.
- (4) In those situations where there are less than three eligible faculty who can vote on the candidate being considered for appointment, promotion and/or tenure, the Chair shall appoint an ad-hoc Committee with members from within the School of Dental Medicine who satisfy all requirements to be a voting member set forth herein.

- (5) Should the Departmental APT Committee vote against the promotion and/or tenure of the candidate, the candidate has the right to submit the promotional and/or tenure request directly to the School-wide APT Committee.
- (6) Where a situation arises not covered by the procedures specified in this section, the most senior, full-time member of the department involved, the Chair of the School-wide committee and the Dean shall consult and devise a suitable means to deal with the situation.

*D. Recommendations from the Departmental Appointment, Promotion and Tenure Committee*

- (1) A recommendation from the Department Committee for the appointment of an individual to a junior rank (at or below the rank of Assistant Professor) is forwarded directly to the Dean. Recommendations for appointments at a senior rank (at or above Associate Professor) are made to the School-wide APT Committee. All recommendations regarding continuing appointments are forwarded to the School-wide APT Committee.
- (2) It shall be the responsibility of the Department Chair or administrative officer to forward the complete file to the Dean or the School-wide APT Committee for consideration (see Appendix G).
- (3) To preserve the right of dissent, any Departmental member may submit a signed comment.

Section III: EVALUATION BY SCHOOL-WIDE APPOINTMENT, PROMOTION AND TENURE COMMITTEE

The School-wide APT Committee shall review and evaluate the candidate's file. This Committee may seek additional information as necessary. After completing its deliberation, the Committee shall forward the file, together with the Committee's recommendation, to the Dean. The Committee shall inform the Department Chair as to its recommendation. If a prior recommendation is not upheld by the Committee, a record of the vote and the reasons for such action shall be communicated to the Dean and to the Department Chair. All members of the APT Committee shall sign the report. To preserve the right of dissent, any Committee member may submit a signed comment. That comment shall become part of the candidate's file.

*A. Membership*

The committee shall consist of a maximum of nine (9) faculty members whose primary appointment is in the School of Dental Medicine. There are three (3) categories of members:

- (1) Departmental Representatives – This category shall consist of six tenured faculty, one from each of the six departments: General Dentistry, Oral Biology and Pathology, Oral and Maxillofacial Surgery, Orthodontics and Pediatric Dentistry, Periodontics and Endodontics and Prosthodontics and Digital Technology. In the event that a department has no tenured individual, that department may elect a non-tenured representative.
- (2) Non-tenured representatives – Two (2) full-time non-tenured departmental members shall be selected on a rotating basis, in alphabetical order, from each of the six departments. The order of the rotation shall be as follows:
  - i. *General Dentistry,*
  - ii. *Oral Biology and Pathology,*
  - iii. *Oral and Maxillofacial Surgery,*
  - iv. *Orthodontics and Pediatric Dentistry,*
  - v. *Periodontics and Endodontics,*
  - vi. *Prosthodontics and Digital Technology.*

If a department does not have a non-tenured individual at the time of its rotation, the department next in line shall select a representative.

- (3) Part-time Representative – A single part-time faculty member shall be designated by the Dean.

B. *Term of Office for the School-wide APT Committee*

- (1) Department representatives – Three years
- (2) Non-tenured representatives – two years
- (3) Part-time representatives – two years

An individual may serve any number of consecutive terms.

### C. *Elections*

- (1) The election of the department representative shall be by all members of the department. It shall be the responsibility of the department chair to supervise the nomination and election procedures.
- (2) At an annual election, one of the tenured members of the Committee shall be elected by the Committee as Chair. The Chair may serve any number of consecutive terms.
- (3) The Secretary shall be appointed by the Dean and shall be a nonvoting member of the Committee.

### D. *Meetings and Quorum*

- (1) Meetings shall be scheduled by the Chair as needed to conduct business. Notice of meetings and their agenda must be distributed at least ten (10) calendar days in advance of scheduled meeting date.
- (2) A quorum shall consist of a majority of the members of the School-wide APT Committee.

### E. *Voting Eligibility*

- (1) Only tenured individuals may vote on tenure or the promotion of a tenured individual, and only those of equal or higher rank can vote on promotion to that rank. When an individual is being considered for both promotion and tenure, it will be considered as two (2) actions and the vote on promotion shall precede the vote on tenure. Individuals being considered for appointment or promotion without tenure may be voted upon by all the Committee members of equal or higher rank regardless of their tenure status.
- (2) Voting on the recommendation of faculty is to be by anonymous ballot and conducted in the following manner:
  - i. That the ballots be identified as to the candidate.
  - ii. That the ballots be turned in to the Chair or Acting Chair. If the Chair of the Committee is in the Department in which the candidate is being considered for appointment or promotion, the Chair shall recuse himself

or herself and appoint an Acting Chair to conduct the balloting, tally, and report to the Dean.

- iii. That the Chair shall count the ballots which shall be witnessed by the Secretary of the Committee.
- iv. That the result shall be announced as "approved" or "rejected".
- v. That a tally sheet or Summary be generated by the Chair or Acting Chair.
- vi. That the sealed envelope shall be kept as part of the permanent confidential record of the Committee and kept in the Dean's Office.
- vii. That the number of ayes, nays, and abstentions be transmitted only to the Dean.
- viii. That an abstention be considered a non-vote and not counted as either an aye or a nay in the tally.
- ix. That a tied vote by the Committee be considered to have failed.
- x. That a *Summary* (Appendix H) be completed at the time of voting indicating those in attendance eligible to vote, their signatures, the number of ayes, nays and abstentions. The Chair shall sign the Summary and indicate whether the action under consideration has been passed or rejected.

#### F. *Committee Recommendations*

- (1) Approval of action by Committee on Appointments, Promotion and Tenure requires an absolute majority of the committee members eligible to vote. Those eligible to vote shall vote either aye, nay or abstain. Majority is defined as more than one-half of the ballots cast. In cases where the vote is tied, the vote will be considered to have failed.
- (2) All actions taken by the Committee on Appointments, Promotion, and Tenure shall be reported to the Dean by the Committee Chair in writing.

### G. *Designations*

- (1) In the event that a designated representative terminates his/her relation with the Committee, institution, or becomes tenured during his/her term, the Dean shall designate a new individual, preferably from the same constituency and department, to complete the term.

### H. *Meeting Minutes*

- (1) The minutes of the Committee sent for distribution will not contain the results of any actions pertaining to matters of appointment, promotion, or tenure.

## Section IV: APPENDICES LISTING

Appendix A: Timeline for Promotion and Continuing Appointment

Appendix B: Curriculum Vitae

Appendix C: Scholarly Activity Portfolio

Appendix D: Provost's Guidelines on Academic Review

Appendix E: Sample Letter to External Reviewers

Appendix F: Departmental Appointment, Promotion, and Tenure Committee Summary

Appendix G: Checklist for Departmental Appointments, Promotion, and Tenure Actions

Appendix H: School-wide Appointment, Promotion, and Tenure Committee Summary

## APPENDIX A

### Timeline for Promotion and Continuing Appointment

1. Candidate / Chair/Supervisor discussion – Due May 1
2. Chair/Supervisor Request References – [Requests sent by June 1](#)
3. [References returned to Chair/Supervisor – Due by Departmental meeting](#)
4. Departmental APT meeting – Due within the month of August
5. Department letter to school APT Committee – Due within the month of September
6. School-wide APT Meeting – Due within the months of October and November
7. APT Letter to Dean – Due December 1
8. Dean’s Letter to Executive Vice President of Stony Brook Medicine – Due January 15\*

\*For continuing appointments and promotions to associate and full professors

**APPENDIX B**

**Curriculum Vitae**

**NAME:**

**ADDRESS:** Home:

Business:

**TELEPHONE:** Home:

Business:

Fax:

**EMAIL:**

**EDUCATION:**

Date	Degree	Institution
------	--------	-------------

**TRAINING** (including internship, residency, post-doctoral training, etc.):

Date	Type	Institution
------	------	-------------

**CURRENT POSITION:**

Date of appointment	Title	Institution
---------------------	-------	-------------

**PREVIOUS POSITIONS:**

*For all appointments, indicate S for salaried, V for voluntary and T for tenure*

Date of appointment	Title (S, V, T)	Institution
---------------------	-----------------	-------------

**ADMINISTRATIVE APPOINTMENTS:**

Date of appointment	Title	Institution
---------------------	-------	-------------

**BOARD CERTIFICATION AND LICENSURES:**

**ACADEMIC and PROFESSIONAL AWARDS/HONORS:**

**PROFESSIONAL AND SCIENTIFIC SOCIETY MEMBERSHIPS:**

**PROFESSIONAL SERVICE:** (institutional, local, regional, national, and international service including committee membership, leadership positions, symposia organized, grant review, consultancies, etc.)

Date	Committee or Society	Service
------	----------------------	---------

**COMMUNITY SERVICE:**

**RESEARCH INTERESTS AND GRANTS SUPPORT:**

Descriptions of all research projects should list the dates of the project, the title of the project, the role of the faculty member on the project (e.g., PI, Co-I, site PI for multi-center project), and the name of the principal investigator. Funded research should also include the funding source, the years of funding, the level of salary support for the faculty member (% FTE) and the amount of the award (specified in terms of total or direct costs). A description of the project and its goals is also helpful to include.

Dates	Title of project	Name of PI	Role on the project	Sponsor	%FTE	Award Amount
-------	------------------	------------	---------------------	---------	------	--------------

**PATENTS:**

**MANUSCRIPT REVIEW** (list journals) and **EDITORIAL BOARD ACTIVITIES** (give dates):

**TEACHING ACTIVITIES:**

Date	Institution	Role (indicate courses directed, curricula designed, lectures given)
------	-------------	--

**MENTORING ACTIVITIES:**

For mentoring activities include each mentee's name and position (e.g., medical student, resident, graduate student, faculty), the faculty mentor's role and the approximate time commitment. Also include mentees' current positions and underline mentees' names in the list of abstracts/publications.

Dates    Mentee name and position    Project                      Present position of mentee

**INVITED LECTURES OR PRESENTATIONS TO PROFESSIONAL SOCIETIES:**

Date    Institution or Society

**PUBLICATIONS:**

List publications according to the categories below. Give the complete citation including all authors in the order on the publication, the full title, the journal, volume number, the beginning and ending page numbers, the year of publication, and the PubMed reference number.

Publications should be in chronological order and numbered. Publications in predatory journals (see <http://scholarlyoa.com/publishers/>) will not count towards scholarly activities.

*PUBLICATIONS IN REFEREED JOURNAL (full papers, with 3 most influential papers marked):*

*REVIEWS/BOOK CHAPTERS/BOOKS LETTERS TO THE EDITOR:*

*REFEREED OR SELECTED ABSTRACTS:* (e.g., abstracts selected for a podium presentation or an award)

*ABSTRACTS:*

The information presented above is an accurate compilation of professional biographical information.

\_\_\_\_\_  
Signature of Candidate                      Date

**APPENDIX C**

**Scholarly Activity Portfolio Page**

Brief description:

Detailed description (optional):

Role of faculty member in activity (Required; Check all that apply):

- Conception
- Design
- Data Collection
- Data Analysis
- Data Interpretation
- Other: \_\_\_\_\_
- Drafting of written materials/manuscript
- Critical revision of written materials/manuscript

Type of activity:

- Journal article
- Oral presentation
- Book chapter
- Poster
- Case report
- Other: \_\_\_\_\_
- Grant

For oral/poster presentations, was selection competitive and peer-reviewed?  Yes  No

Type of meeting:

- Major national or international
- Subspecialty national or international
- State or Regional
- Local

Web link to written materials:

Abstract (if applicable and not available on-line):

## APPENDIX D

### Provost's Guidelines on Academic Review

Source: [https://www.stonybrook.edu/commcms/faculty-pathways/archive-fp/academic\\_review\\_guidelines.php](https://www.stonybrook.edu/commcms/faculty-pathways/archive-fp/academic_review_guidelines.php)

#### Promotion and Tenure

##### Research/scholarship/creative activity\*

Excellence in research/scholarship/creative activity looks different from discipline to discipline and department to department. Thus, it is understood that such standards will be articulated at the School, College, and Department level. We offer the following as a clarification of general expectations:

A candidate supervises an independent, productive research or creative program, or demonstrates a pattern of scholarship or art-making that addresses major and significant problems or topics; the candidate has produced a solid record of original and important publications in top peer-reviewed journals in the candidate's field, or first or senior author publications in books, monographs, or other recognized intellectual and artistic products that can be objectively evaluated on a retrospective basis; there must be evidence of a strong national reputation (and/or international reputation for Full Professors) and respect among peers documented through invited lectures, citation or use of published work, performance or presentation of art in significant venues and exhibitions, attracting students and fellows, as well as serving as a Principal Investigator of competitively reviewed grants or as lead investigator in a significant study, or equivalent, such as an independent, essential contribution to highly collaborative research or art-making.

For tenure-track and research-intensive faculty, commentary on the significance of the candidate's research or creative activity, the independence of their contributions to their field, the likelihood that the research or creative activity will have an impact on the field and move it forward, the prospects for the continued vitality and productivity of the candidate's research or creative activity, the anticipated visibility of their on-going research or creative trajectory, and the synergies of the work with the mission and strategic goals of the candidate's academic unit and/or School should be provided.

*Multi-Author Publications:* As research and scholarship are becoming increasingly collaborative and interdisciplinary, articles and other publications include multiple authors. When needed, the dossier should describe the specific role of the candidate in such collaborative endeavors and/or multi-author publications. Appropriate attention should be paid to contributions to collaborative and transdisciplinary research efforts (such as multi-investigator grants and publications and/or dynamic research teams). When relevant, a detailed discussion of non-traditional publications (online) and research outlets (networks) should be included. We acknowledge and value faculty engaged in a broad range of entrepreneurial outreach and creative activities in their teaching, research, and service, such as participation in center grants

and team science, publicly-engaged scholarship or creative activity with documented impact, active and service learning curricular innovation in the classroom.

*Publication/Performance/Exhibition Venues:* The significance of the publication and/or performance/exhibition venues of a candidate's work and contributions should be explained when it is not immediately apparent. It is especially important that the quality and significance of foreign language publications be fully explained and documented (along with a clear indication of the extent to which they have been rigorously peer-reviewed).

To be a tenured faculty member at Stony Brook, you should have a strong record as a teacher and as a member of the Stony Brook community; we individually, and as a group, are committed to the stated Mission of Stony Brook:

- to provide comprehensive undergraduate, graduate, and professional education of the highest quality;
- to carry out research and intellectual endeavors of the highest international standards that advance knowledge and have immediate or long-range practical significance;
- to provide leadership for economic growth, technology, and culture for neighboring communities and the wider geographic region;
- to provide state-of-the-art innovative health care, while serving as a resource to a regional health care network and to the traditionally underserved;
- to fulfill these objectives while celebrating diversity and positioning the University in the global community.

Evaluation of faculty for promotion and/or tenure includes their contributions to the institution's mission and stated priorities. We encourage faculty review committees (at the department and college/school level) to consider all the ways an individual candidate might be forwarding this mission. This does not mean, however, that a candidate must provide specific evidence of this.

### **Teaching Evaluation**

Effectiveness as an educator and other mentoring of undergraduate and graduate students and postdocs should be analyzed and discussed. Demonstration of strength in teaching need not be solely based on student response to instruction and may also include discussion of how the candidate has broadened educational opportunities for students (e.g., by developing new courses, degree programs, or curriculum materials); has contributed to the teaching mission of the University (e.g., by teaching across several subfields or contributing to high-demand or high-enrollment courses), or has shown innovation in teaching (e.g., by exploring new teaching technologies and modes of instruction). Faculty are not expected to address all of the above areas in order to demonstrate strength in teaching. These are merely provided as examples of different ways that faculty can demonstrate strength in teaching.

### **Institutional and Professional Service**

It is expected that all faculty on the tenure track will provide departmental, institutional and professional service. Senior faculty and Deans should work with junior faculty to ensure that research or creative activity, teaching, and service are appropriately balanced. At the same time, it is vitally important for junior faculty to develop a sense of their obligations as members of the University community and to be represented in School and University committees and activities.

### **External Referees**

External evaluation letters are an important part of the Candidate's file. The right mix of evaluators will be individual and determined by discipline or area expectations but it is clear that some letters are more important than others. We aim to clarify and standardize the quantity and quality of letters so that everyone knows how to create a file with impactful letters.

### **Selection**

The Candidate and Department/Committee each submit a list of 6 potential referees. Candidates can also submit a “do not contact list” of no more than 2 names, unless a written explanation is included. If the Candidate’s list and the Department/Committee’s list contain the same names, duplicate names should remain on the Candidate’s list and the Department/Committee should select additional names. The Department/Committee may rank the names—soliciting the first 3-4 before expanding the solicitation in cases where referees decline the invitation—or send an email solicitation to all the names at the same time. This can begin prior to the file being completed to secure the referee’s commitment. Any letter solicited and then received must be included in the file.

- In the case of a Candidate on a joint appointment, the primary unit is responsible for all aspects of the process, but should consult with the chair(s)/director(s) of the secondary unit(s) regarding the selection of referees. If all agree, the units may work together in creating the list.
- Beyond use of the Candidate list of referees and the “do not contact list,” the unit’s selection of referees must be done without consulting the Candidate; however, other internal or external experts can be consulted to ensure the most appropriate list.
- It is understood that sometimes requests for evaluation are denied by potential referees and so Departments/Committees should be ready to move on to the next name on the list. Documentation of all correspondence about external referees must be included in the Candidate’s file.

To move forward, a file must contain at least 5 letters, with 2 letters written by referees selected by the Candidate and 3 letters written by referees selected by the department. If the department has solicited at least 12 letters and has not received 5, the department can continue to solicit letters or move the file forward.

Referees must meet the requirements for selection as outlined below:

1. A referee must be established as a major contributor in a field relevant to the candidate's scholarship and/or creative works with a level of experience and accomplishment that allows for a rigorous review.
2. For promotion to associate professor with tenure, a referee must hold the academic rank of associate professor or professor. For promotion to professor, all referees must be at the rank of professor. Exceptions will be made only in well-documented cases where there is an insufficient number or lack of diversity of experts in that field of study at this rank. For both promotion levels, individuals who are not at an academic institution (e.g., in industry or a research foundation), and therefore do not hold the academic ranks listed above, will be considered provided an explanation of their appropriateness and status is made by the Chair or Committee.
3. A referee must hold an academic appointment at: an institution that is also a member of the AAU and/or is generally considered a peer or aspirational peer of Stony Brook University in that field of study. Exceptions will be made only based on evidence provided by the Chair/Committee that indicates the referee has established a distinguished career that would place that individual (nationally and internationally) among the top scholars and/or creative artists in their field of study.
4. A referee must have neither the existence nor the appearance of a conflict of interest that would call into question the unbiased nature of the evaluation. Referees must not include:
  1. Direct supervisors or mentors in any official capacity at any stage of the candidate's training;
  2. Anyone the candidate has directly supervised or mentored in any official capacity at any stage of the referee's training;
  3. Co-author or co-editorship on any publication (book or journal article), creative work, or grant application at any point in the career of the applicant;
  4. Family (through birth, adoption or marriage) or past/current romantic involvement.

In the case of the co-authorship or co-editorship requirement, exceptions will be considered only in cases where a clear argument can be made that the connection between the candidate and the referee presents no real or perceived conflict of interest.

There are several relationships that do not represent a conflict and in no way can be used to eliminate a potential referee from consideration. These include:

- Co-authors on a manuscript with an extremely large number of authors (including but not limited to position papers from professional organizations and mega-multi-authored research reports) in which there was negligible contact and/or mentoring between the candidate and the potential referee;

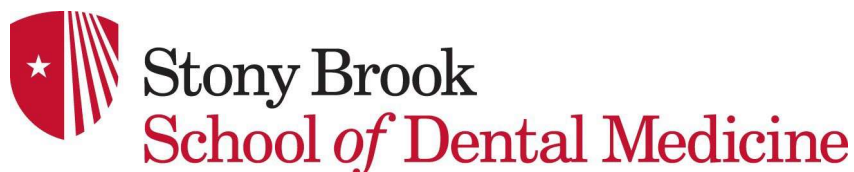
- Co-presenters in a research symposium, panel, or exhibition;
- Editor/chapter contributor relationship, series editor/volume editor relationship, or authorship on separate chapters in an edited book (co-editorship would be a conflict);
- An editor/board member relationship on a journal editorial board;
- A reviewer/contributor relationship on a creative work

The candidate or department may decide to include letters from referees that do not meet the above standards, but these letters should be distinguished from the 5 required letters. If the candidate is unsure about a conflict, they should consult with their Chair or Committee. If Departments/Committees have difficulty identifying appropriate external referees, they should request assistance from their Dean's office and the Provost's Office. As a professional courtesy, external referees should be notified about the outcome of the review for which they have provided an evaluation.

### **Internal Letters**

Internal support letters will continue to be accepted, but do not count toward the 5 required letters.

## APPENDIX E



### Sample of Department Chair's Letter to External Reviewers

DATE

«Name»

«Title»

«Adr1»

«Adr2»

«City\_State\_zip»

Dear Dr. «Name»:

**Name** is being considered for promotion/appointment with or without continuing appointment as New title in the Department of ..... in the School of Dental Medicine at Stony Brook University. Your name has been suggested as a reference for her/him. I would like to include your opinion of Dr. ..... in the material I am preparing for our faculty appointment committees and University administrators. I hope you will be willing to write regarding her/his academic qualification for this position.

In evaluating those aspects of Dr. ....'s career with which you are familiar, it would be helpful to know whether you have worked directly with her/him. Recognizing that Dr. ....is primarily a clinical and administrative faculty member, it would be important to have your assessment of Dr. ....'s capabilities as a teacher, clinician and administrator, her/his role in academics and professional organizations, as well as her other professional activities. In evaluating those aspects of Dr. ....'s career that you believe would be helpful in the deliberations regarding her/his promotion, please indicate whether you have worked with her/him directly in any of the above activities. I have enclosed a copy of her/his curriculum vitae for your convenience. It would be greatly appreciated if I could have your letter of support no later than RETURN DATE.

Your letter will be read by members of our departmental and school-wide peer review committees as well as by the University's senior academic officers. All employees in our statewide system are unionized under a contract that allows a faculty member to read such letters if a referee gives permission in writing. If you are willing that Dr..... read your letter, please indicate whether or not identification as to its source should be deleted. If your letter is silent on that point or if your request confidentiality, it will be strictly respected.

I would appreciate it if in addition to your letter of reference you would also include a brief biographical sketch of yourself- a paragraph is sufficient. This request is in keeping with the guidelines of the State University of New York appointment process.

Sincerely,

CHAIR TITLE

Department

APPENDIX F



# Stony Brook School of Dental Medicine

## DEPARTMENTAL APPOINTMENT, PROMOTION AND TENURE COMMITTEE SUMMARY

Date of Meeting: \_\_\_\_\_

Candidate Name: \_\_\_\_\_

Department: \_\_\_\_\_

\_\_\_ Non-Qualified Rank    or    \_\_\_ Qualified Rank

Action Under Review

\_\_\_ Appointment

\_\_\_ Re-appointment

\_\_\_ Promotion

\_\_\_ Continuing Appointment

Rank

\_\_\_ Instructor

\_\_\_ Asst. Prof

\_\_\_ Assoc. Prof

\_\_\_ Professor

Qualifier

\_\_\_ Research

\_\_\_ Clinical

\_\_\_ Visiting

\_\_\_ Other

Faculty Eligible to Vote

(include name, rank and tenure  
if appropriate)

Ad-Hoc Committee

(only in those cases where applicable)

Present and Voting

List names and include signatures

Total present and voting \_\_\_ Result of vote

Result of Vote

Number in Favor \_\_\_

Number Opposed \_\_\_

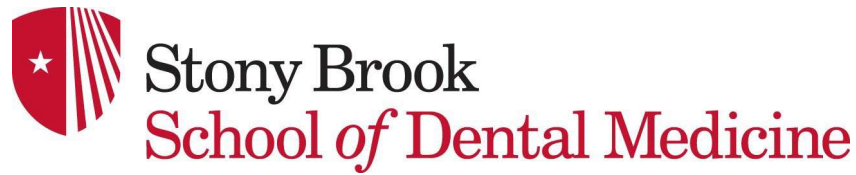
Number Abstaining \_\_\_

**RECOMMENDATION:** \_\_\_\_\_

\_\_\_\_\_  
Chair

\_\_\_\_\_  
Date

## APPENDIX G



### Checklist for Departmental Appointments, Promotion and Tenure Actions

#### Documents needed

1. Memo from Chair/Supervisor summarizing Departmental Committee action and explaining Chair's/Supervisor's own personal evaluation.
2. Summary sheet from Departmental APT committee meeting (Appendix B).
3. Candidate for promotion and/or continuing appointment may also prepare a supporting personal/reflective statement summarizing the candidate's past and future contributions to the institution (maximum 3 pages).
4. Current CV (Renaissance School of Medicine format, see Appendix B).
5. Complete optional Scholarly Activity Portfolio (Appendix C).
6. List of names of external reviewers from the candidate and department Chair/Supervisor. The number and source of reviewers for each level of academic rank, and whether non-qualified or qualified, are specified in the Standing Rules of the School-wide APT Committee. All reviewers for candidates at the qualified and non-qualified rank must have an academic title the same as, or higher than, the candidate.
7. Letter from Chair/Supervisor to external reviewers, as specified in the Standing Rules of the School-wide APT Committee for the candidate's respective academic level and rank, seeking letter of recommendation.
8. Brief bio-sketches of all external reviewers.
9. Letters of recommendation from external reviewers that accurately reflect the candidate's achievements.
10. Memos from Chair/Supervisor to Stony Brook Faculty seeking comments to candidate with responses (optional).

Procedure for Submission:

- For all appointments at or promotions to the rank of associate professor or higher, and for all continuing appointments, submit one printed copy plus one electronic copy to the Chair or secretary of the School- wide APT Committee. The printed copy will be saved in the SDM Administration's secure APT committee files and the electronic copy will be sent as an email attachment to all APT committee members for review prior to the respective APT committee meeting.
- For appointments to the rank of assistant professor or lecturer, submit one printed plus one electronic copy to the Dean's Office. Mark the folder with the original documents. Note that the appointment process at the level of assistant professor or lecturer does not involve the School-wide APT Committee.

APPENDIX H



# Stony Brook School of Dental Medicine

## SCHOOL-WIDE APPOINTMENT, PROMOTION AND TENURE COMMITTEE SUMMARY

Date of Meeting: \_\_\_\_\_

Candidate Name: \_\_\_\_\_

Department: \_\_\_\_\_

\_\_\_ Non-Qualified Rank or \_\_\_ Qualified Rank

Action Under Review

\_\_\_ Appointment

\_\_\_ Re-Appointment

\_\_\_ Promotion

\_\_\_ Continuing Appointment

Rank

\_\_\_ Instructor

\_\_\_ Asst. Prof

\_\_\_ Assoc. Prof

\_\_\_ Professor

Qualifier

\_\_\_ Research

\_\_\_ Clinical

\_\_\_ Visiting

\_\_\_ Other

Faculty Eligible to Vote

(include name, rank and tenure  
if appropriate)

Ad-Hoc Committee

(only in those cases where applicable)

Present and Voting

List names and include signatures

Total present and voting \_\_\_\_\_

Result of Vote

Number in Favor \_\_\_\_\_

Number Opposed \_\_\_\_\_

Number Abstaining \_\_\_\_\_

**RECOMMENDATION:** \_\_\_\_\_

\_\_\_\_\_  
Chair

\_\_\_\_\_  
Date