



School of Dental Medicine
UNIVERSITY OF COLORADO **ANSCHUTZ MEDICAL CAMPUS**

Appointment, Promotion and Tenure Requirements for Tenure Track Faculty

with start of employment, or appointment track transition ON or AFTER February 11, 2022

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Approved by the Executive Vice Chancellor for Academic and Student Affairs,
University of Colorado Anschutz Medical Campus

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TABLE OF CONTENTS

REQUIREMENTS FOR APPOINTMENT, REAPPOINTMENT, PROMOTION, AND TENURE.....	1
INTERIM EVALUATION PROCEDURES AND GUIDELINES FOR TENURE-TRACK FACULTY	12
PROMOTION AND TENURE REVIEW PROCESS.....	15
POST-TENURE REVIEW PROCEDURES AND GUIDELINES	19
REQUIREMENTS FOR PROFESSOR EMERITUS IN THE SCHOOL OF DENTAL MEDICINE.....	23
JOINT APPOINTMENTS AT THE SCHOOL OF DENTAL MEDICINE, UNIVERSITY OF COLORADO.....	24
FACULTY TITLES PER THE REGENTS OF THE UNIVERSITY OF COLORADO	24
APPENDIX A REQUEST FOR EXTENSION OF SEVEN-YEAR PROBATIONARY PERIOD	25
APPENDIX B PROCEDURAL GUIDELINES FOR REVIEW	26
APPENDIX C ORGANIZATION AND REQUIREMENT OF EVALUATION DOSSIER.....	30
APPENDIX D PROMOTION CRITERIA MATRIX	32
APPENDIX E GUIDELINES FOR THE EVALUATION OF SCHOLARLY/CREATIVE WORK	37
APPENDIX F SAMPLE OF AN INTERIM EVALUATION NOTIFICATION FORM	39
APPENDIX G CU SDM CURRICULUM VITAE FORMAT	40

Preamble

This governance document outlines the process of appointment, promotion and evaluation of all Tenure Track faculty members. Appointment, promotion and tenure decisions for Tenure Track faculty are based on summary evaluations of the faculty member's cumulative performance. These processes are separate and distinct from the annual merit performance evaluation. Every candidate for interim evaluation, promotion, and/or granting of tenure shall consult with and be advised by the chair of their department regarding the areas of performance that will be examined, the standards of performance that must be met, and the criteria that the Promotion, Tenure, and Post-Tenure Review Committee uses in reaching a decision about the candidate's performance. As such, the chairperson or a departmental level advisory committee is expected to provide a first level assessment of a faculty member's readiness for consideration of promotion or granting of tenure.

In preparation for a faculty member's interim review and submission of their name for promotion or tenure, the chair of their department has the responsibility for providing leadership toward the achievement of the highest possible level of excellence in the teaching (didactic, preclinical, and clinical), scholarly activity, and leadership and service activities, as appropriate. The chair is expected to articulate the goals of the department and to maintain a climate that is hospitable to creativity and innovation. The chair is also expected to be knowledgeable of and be able to articulate the processes and procedures outlined in this document. The chair shall assist the faculty member with the development of their review, promotion, and tenure dossiers.

Definitions/Glossary of Terms

Five years full-time service: will be based off 100% FTE and prorated for time less than 100% FTE.

Terminal Degrees:

- 1) For Dental Hygienists, at least a Master's degree in a related field
- 2) For foreign-trained dentists, BDS/DDS from non-U.S. accredited school and Master's degree or advanced training certificate from a U.S. accredited institution;
- 3) For general dentists, DDS/DMD from a US accredited school;
- 4) For specialists, advanced training certificate in addition to the DDS/DMD;
- 5) and PhD or equivalent for basic science researchers.

Scholarly presentations: presenting work (oral or poster presentations) that has resulted from research, clinical trials or educational innovation at state, national, and/or international conferences.

Continuing Education: presenting or attending courses designed to enhance your clinical skills and to stay current on changes in the field of dentistry.

Related Policies/Cross References

University Administrative Policy Statement (APS) 1022: Standards, Processes, and Procedures for Reappointment, Tenure, Promotion, and Post-Tenure Review

APS 1009: Multiple Means of Teaching Evaluation

APS 5008: Faculty Performance Evaluations

APS 5060: Faculty Titles

Campus Administrative Policy 1049: Reappointment, Tenure, and Promotion Review

Campus Administrative Policy 1050: Post-Tenure Review

Regent Law 5.C: Faculty Appointment and Tenure

Regent Policy 5.C: Faculty Appointments

Regent Policy 5.D: Reappointment (to a tenure-track position), Tenure, and Promotion

Regent Policy 5.G: Faculty Grievance

REQUIREMENTS FOR APPOINTMENT, REAPPOINTMENT, PROMOTION, AND TENURE FOR FULL-TIME TENURE-TRACK FACULTY IN THE SCHOOL OF DENTAL MEDICINE, UNIVERSITY OF COLORADO ANSCHUTZ MEDICAL CAMPUS

1. INTRODUCTION

The purpose of this document is to provide a written reference for the procedures and requirements for the appointment or promotion of tenure-track and tenured faculty within the University of Colorado School of Dental Medicine (CUSDM). Additional references that are also applicable are the sections which apply to the faculty appointments and rank in the Laws of the Regents of the University of Colorado, Administrative Policy Statement 1022, and Campus Administrative Policy 1049.

The department chair provides guidance in compiling a complete dossier for the candidate who then forwards it to the CUSDM Promotion, Tenure, and Post-Tenure Review Subcommittee via Interfolio. If a candidate is a department chair or a department chair refuses to nominate the candidate, the faculty member may be nominated by another full-time CUSDM faculty member of equal or higher academic rank for the position under consideration.

Departments shall ensure that reasonable mentoring opportunities are available for tenure-track faculty members during their probationary period. Department chairs have the responsibility to assist any faculty member who requests a mentor during their probationary period to locate an appropriate mentor on the campus. At times, it may be helpful to identify an external mentor from another CU campus or from outside the University.

2. TENURE ELIGIBILITY

A tenured appointment can only be held by a faculty member in one of the academic ranks of Professor or Associate Professor. Tenure may be awarded to faculty members who have demonstrated at least meritorious performance in each of the three areas of teaching, scholarly/creative work, and leadership and service, and demonstrated excellence in either teaching or scholarly/creative work. Tenure may not be granted based on excellence in leadership/service (Regent Policy 5.D – Reappointment (to a tenure-track position), Tenure, and Promotion; and APS 1022). Once attained, tenure remains in effect regardless of promotion to higher rank.

Administrative positions do not carry the possibility of tenure, but an administrator holding an eligible academic rank may be granted a tenured appointment in that rank as a faculty member.

A decision on a tenured appointment as a member of the CUSDM faculty is usually made after a maximum probationary period of seven years of continuous full-time service in

the ranks of Professor, Associate Professor, or Assistant Professor. The tenure probationary period shall begin when the faculty member is first appointed to the rank of assistant professor or a higher rank. Normally, the tenure review for a faculty member will commence at the beginning of the seventh year of service. A faculty member who is not awarded tenure will be given a one-year terminal appointment.

After appropriate consideration, and special circumstances, tenure may be awarded by the Board of Regents in less than seven years. Up to three years of full-time service in the ranks of Assistant Professor, Associate Professor, or Professor in an educational setting may be included in the probationary period or a faculty member may submit their dossier earlier than seven years.

A tenure-track faculty member may request an extension of the probationary clock (see Appendix A for request form). The request will be considered in extenuating circumstances so long as the letter is submitted prior to the start of the review for promotion or tenure by the School of Dental Medicine's Promotion, Tenure, and Post-Tenure Review Subcommittee. (See also Page 8.) Extensions may be granted in one-year increments, and must comply with university and/or campus policy and be approved by the Dean and the Chancellor or the Chancellor's designee.

A tenure-track faculty member may request a Clinical Teaching Track Appointment or a Research Track Appointment before the sixth year of a faculty appointment, or in the year prior to the expiration of an extension. Tenured faculty may also request appointment to the Clinical Teaching Track or Research Track. New faculty may be recommended for Clinical Teaching Track or Research Track during the hiring process.

Clinical Teaching Track and Research Track faculty may request a Tenure Track appointment while at the rank of Assistant Professor or Associate Professor. The probationary period will begin at the time of appointment to the Tenure Track. Faculty will be held to the requirements, processes, and procedures of a Tenure Track faculty in the most current Promotion and Tenure document at the time of appointment.

Interim tenure review (comprehensive review) is an important part of the tenure process. Each faculty member below the rank of Associate Professor shall be evaluated in a comprehensive manner and in accordance with the Administrative Policy Statement (APS 1022): Standards, Processes, and Procedures for Reappointment, Tenure, Promotion, and Post-Tenure Review, and Campus Administrative Policy 1049 at least once during the tenure probationary period apart from the review for award of tenure. This review typically takes place in the fourth year after appointment to the tenure track. Such evaluation may include external letters of evaluation of the candidate if requested by the Chair of the Promotion and Tenure and/or Dean's Review Committees. Each faculty member shall be informed orally and in writing of the results of the evaluation by the chair of their department, which will be one of two outcomes: a) reappointment to a tenure-track position, or b) one-year terminal appointment and the tenure-track appointment will not be continued. Guidelines for Interim Review are outlined in Appendix B.

Per Regent Policy 5D, A recommendation of tenure based on excellence in scholarly/creative work shall include evidence of impact beyond the institution. A

recommendation for tenure based on excellence in teaching shall include multiple measures of teaching evaluation and demonstrated achievement at the campus, local, national, and/or international level that furthers the practice and/or scholarship of teaching and learning beyond one's immediate instructional setting.

In addition to the School of Dental Medicine's Promotion and Tenure document, tenure track faculty should be familiar with Regent Policy 5.D, University Administrative Policy Statement (APS) 1022, and Anschutz Medical Campus Administrative Policy 1049.

3. CRITERIA FOR APPOINTMENT, REAPPOINTMENT, AND PROMOTION OF FULL-TIME FACULTY MEMBERS, CUSDM

A. The three primary categories that are used to evaluate faculty members are:

1. Teaching (and clinical activity where relevant)
2. Scholarly/Creative Work
3. Leadership and Service

In addition, a faculty member is expected to demonstrate professional growth and professional behavior. Professional behavior includes interactions with patients, staff, students, and colleagues. These two general aspects will, consequently, also be taken into account. The nature of the faculty member's duties must be considered but a faculty member who has administrative duties must meet standards for academic promotion and tenure as other faculty members.

During promotion review, faculty will be evaluated in the three areas of teaching, scholarly/creative work, and leadership and service as 1) Excellent, 2) Meritorious, or 3) Not Meritorious. For promotion to Associate Professor and granting of tenure, the candidate must be excellent in either teaching or scholarly/creative work.

Tenure Track Promotion to Associate Professor and Granting of Tenure	
Teaching	Excellent or Meritorious
Scholarly/Creative Work	Excellent or Meritorious
Leadership and Service	At least Meritorious
Tenure Track Promotion to Full Professor	
Teaching	Excellent (required)
Scholarly/Creative Work	Excellent (required)
Leadership and Service	Excellent (required)

Candidates for promotion should refer to Appendix C for guidelines on compiling their dossiers for submission to the Promotion, Tenure, and Post-Tenure Review Subcommittee.

The following written criteria are intended to serve as a guide for the appointment, reappointment and/or promotion of faculty members, and the awarding of tenure. In addition, they must be used in post-tenure review procedures. A Promotion Criteria Matrix is provided in Appendix D to evaluate teaching, scholarly/creative work and leadership and service activities.

The CUSDM Evaluation Committees will use the Promotion Criteria Matrix (Appendix D) to determine Meritorious or Excellent achievement in the three areas.

B. Criteria:

1. Teaching

High quality teaching is an important part of the mission of this School. As such, teaching will be evaluated rigorously. The following general criteria will be considered regarding a determination of teaching achievement:

- a. Active support of the teaching program of the School and University.
- b. Teaching responsibilities (e.g., contact hours, course directorship).
- c. Dedication of the faculty member to teaching, as shown by their knowledge of the subject and by such factors as course organization, innovations in teaching, objectivity and fairness in student evaluation, availability, enthusiasm, and ability to stimulate students to enhance their capacity for critical thinking. Evidence should be presented of continued mastery of subject areas (e.g., attendance at courses, conferences or teaching laboratories specifically designed to enhance teaching and clinical abilities). Presenting CE is considered under Leadership/Service.
- d. Preparation of teaching materials, evidence of teaching skills development (e.g., teaching portfolio), and use of appropriate methods of student evaluation for outcomes-based improvements.
- e. Evaluation by the candidate's department chair and/or peers (Peer Evaluation Form) of the faculty member's command of the subject and general effectiveness as a teacher in the didactic, clinical, and/or pre-clinical laboratory setting.
- f. Advising and mentoring of undergraduate, post-baccalaureate, pre-doctoral, post-doctoral, and graduate students.
- g. Student evaluations of the overall effectiveness of the faculty member as a teacher.
- h. Teaching awards, specialty training and other appropriate Board certification/recertification, and other significant accomplishments.
- i. Clinical Teaching as it relates to being a Practice and/or Team Leader.
- j. Participation in workshops or trainings intended to improve classroom culture, teaching or mentorship.

2. Scholarly/Creative Work

All full-time, tenure-track members of the faculty of CUSDM must engage in scholarly/creative work appropriate to their scientific and/or educational interests. The following general criteria will be considered in evaluating a faculty member's scholarly achievement:

- a. The quality and quantity of papers published in peer reviewed journals. These may include original research articles, review articles and extensive case/technique/application reports as outlined in Appendix E. The quality of the journals themselves and the position of authorship will also be considered. Publication is a critical component of scholarly activity and should be a continuous process as well as ideally displaying some degree of technical focus that allows definition of areas of expertise. External letters of reference should speak to the quality of the publications.
- b. To a lesser extent, the quality and quantity of papers published in State journals or non-peer reviewed journals.
- c. Contributions to textbooks (e.g., book author and/or editor, chapter author, etc.).
- d. Contributions to audiovisual works published by a company or institution other than the University of Colorado. In general, such items should be scholarly and not represent continuing education, which is considered under Leadership and Service.
- e. Funded research grants with external peer-reviewed applications receiving greater weight than internally funded or unfunded scholarly work.
- f. Unfunded research grant proposals. Reviewers' comments in these cases must be considered.
- g. Presentations of research and/or scholarly material (oral or poster presentations) and published abstracts associated with professional or scientific meetings. Invited presentations to speak at other institutions or at international/national meetings will receive greater weight than oral and/or poster presentations. This criterion does not include presenting continuing education courses, which is considered under Leadership and Service.
- h. Creation of new, original, advanced educational materials using innovative technologies including, but not limited to, digital dentistry, haptics, virtual/augmented reality, gamification, and/or iPads and applications. Creation of new PowerPoint/Keynote lectures will not be considered scholarship.

- i. Development of new techniques, therapies, clinical guidelines, patient care pathways or health care delivery systems that have improved the health of patients or populations.
- j. Inventor status on patents or patent applications, or invention disclosures, or electronic teaching media creation.
- k. A national or international reputation as a scholar/researcher, as evidenced by honors/awards, service as a grant reviewer, NIH study section participant, external program evaluator, or other significant accomplishments.
- l. The actual thesis involved in obtaining an advanced degree will NOT be normally considered, although publications emanating from the thesis will be considered. The rationale for not considering a thesis is that writing a thesis is part of training and generally reflects the influence of the graduate study supervisor.
- m. Presentations or publications on the Scholarship of Teaching and Learning
- n. Secures funding for or publishes on educational initiatives related to access to health care.
- o. Secures funding, or partners on one or more research projects with community organizations, for research related to access to health care.

3. Leadership and Service

The third component of typical faculty activities is leadership and service, which includes leadership and service to the School/University, the profession, and the community.

Leadership and Service to the University- This responsibility involves a general contribution to the University, over and above teaching and scholarly activity.

The following criteria will be considered:

- a. Participation in the administration and governance of the Faculty, the School, the Campus, and the University, including active and productive participation in committees at various levels.
- b. Representation of the School or University to organized dentistry and other professional groups, including participation on behalf of the School.
- c. Representation of the School or University to government agencies, when formally requested by the Dean or Department chairperson.

- d. Helping and encouraging the professional growth of junior faculty members and other colleagues.
- e. Doctoral dissertation and Master's committee participation and/or thesis committee member of students other than those in their program.

Leadership and Service to the Community and Profession- Leadership and service to the scientific and dental community is very important to the School and is essential to the future prosperity and survival of this and other dental schools. It involves both leadership and service to the dental profession, the scientific community, the surrounding region, the nation, and to the people of the State of Colorado.

The following criteria will be considered:

- a. Leadership and service to the profession and appropriate discipline(s) at the state, national, and international levels.
- b. Participation on NIH study sections, grant reviewer, and external program evaluation.
- c. Editorship of a journal, editorial board/reviewer for a journal, table clinic participation, panelist on professional panels.
- d. Consultative services to other health professionals, hospitals, institutions of higher education, and government agencies.
- e. Presenting continuing education lectures and/or clinical workshops at university, local, state, national, or international meetings. This criterion involves presentations that represent continuing education, rather than the presentation of research and/or other scholarly activity.
- f. Presentations on dentistry and related topics to the lay public.
- g. Participation in community dental health education projects.
- h. Participation on or leadership of a state, regional, national, professional task force related to access to health care.

NOTE: While leadership and service to the community as described in this section is important and casts a favorable light upon the School, faculty members must be careful to balance this activity with the University's legitimate expectations of them in teaching, scholarly/creative work, and leadership and service to the School.

4. QUALIFICATION FOR FACULTY RANK, PROMOTION, REAPPOINTMENT, AND TENURE

A. Assistant Professor

1. General Statement- An assistant professor is expected to have some successful teaching experience in dental education or equivalent. Faculty at this level will demonstrate advanced formal training beyond the doctoral dental degree, the Bachelor of Science in dental hygiene degree, or other terminal degree in an appropriate field. An important consideration is the balance between the teaching, scholarly activity, and leadership and service activities. Minimal activity in any of the three areas must be balanced by increased quality and quantity of activities in the other areas. The person under consideration must show evidence of considerable potential to the University.
2. Criteria for Assistant Professor
 - a. An appropriate terminal degree as defined in the Glossary of Terms.
 - b. Successful completion of advanced education/training beyond the terminal degree, receiving an MS, MPH, MSD, PhD, or ScD, certificate, or equivalent, or successful completion of an acceptable postgraduate training program not leading to a degree.
 - c. Documented evidence of interest and abilities in research and scholarly activity as demonstrated by research activities and/or publications, abstracts, etc. The quality of the scholarly activities will be considered as described in Appendix E and in the Promotion Criteria Matrix (Appendix D).
 - d. Evidence of leadership and service. For promotion only, as post-doctoral fellows do not normally have leadership and service activities to evaluate for initial appointment.
 - e. For promotion, three letters of recommendation from experts in the faculty member's field, solicited by the appropriate department chair/nominator after consultation with the applicant.

B. Associate Professor

1. General Statement- Normally, evaluation for promotion to associate professor and the award of tenure will be considered at the same time. Promotion to associate professor and the awarding of tenure mark a significant point in the development of a person as an academician. Consequently, the individual's activities and contributions in the three categories of teaching, scholarly/creative work, and leadership and service will be considered.
2. Criteria for Associate Professor
 - a. Qualification for assistant professor.
 - b. Typically, five or more total years full-time experience at the level of assistant professor in appropriate higher educational settings or its equivalent, and education/training beyond the terminal degree.

- c. For promotion, each faculty member below the rank of Associate Professor must have completed a comprehensive (Interim) review in accordance with the University's "Standards, Processes, and Procedures for Reappointment, Tenure, Promotion, and Post-Tenure Review" document at least once during the tenure probationary period apart from the review for award of tenure. Such evaluation shall include internal letters and may include extramural letters of evaluation.
- d. Documented evidence of meritorious teaching, scholarly/creative work, and leadership and service activities. Excellence must be documented in either teaching or scholarly/creative work.
- e. To receive an excellent rating in teaching, a candidate must have demonstrated achievement at the campus, local, national, and/or international level, which furthers the practice and/or scholarship of teaching and learning beyond one's immediate instructional setting.
- f. Faculty must show accomplishment (at least to the level of meritorious achievement) in scholarly/creative work as demonstrated by completed research and/or publications. The quality and quantity of the scholarly activities, as well as the extent of involvement and the initiative of the individual, are considered. Guidelines for publication are in Appendix E.
- g. For promotion, six letters of evaluation. Three of the evaluators should be from faculty within the University of Colorado and three must be from outside the University of Colorado. The external reviewers should be nationally recognized professionals who are experts in the applicant's field and be tenured associate professors or professors. The list of evaluators should be solicited by the appropriate department chair/nominator after consultation with the applicant. See Campus Administrative Policy 1049 for additional information on external letters. External reviewers must be asked to provide a biographical sketch or short vita to be included in the dossier.

3. Tenure Clock Extension

An extension to the seven-year probationary period to become an Associate Professor may be requested by a tenure-track faculty member and may be granted in accordance with current policies, which stipulate that: a) any Assistant Professor in the 5th or 6th year may submit a letter to the Dean requesting an extension (see Appendix A); b) prior to submission of the request, an ad hoc Promotion/Tenure Advisory Committee must review the faculty member's readiness for promotion; and c) the chair of the department must concur with the request for extension. Extensions of the probationary period may be granted in one-year increments and must be approved by the Dean and Chancellor (or Chancellor's designee).

The request for an extension will be considered in extenuating circumstances, so long as the letter is submitted prior to the start of the review for promotion or tenure by the School of Dental Medicine's Promotion, Tenure, and Post-Tenure Review Subcommittee.

Valid reasons for an extension might include interruption of one's career because of illness or family obligations, a significant change in career focus, assumption of major administrative, teaching or research responsibilities, or other extenuating circumstances as deemed valid by the Promotion/Tenure Advisory Committee.

If an extension is denied by the department chair, the faculty member may appeal to the Dean. An individual granted an extension to the probationary period shall not be subject to additional scholarship, leadership and service or teaching requirements above or beyond those normally required for promotion or tenure.

C. Professor

1. General Statement- Faculty at this rank typically have a minimum of five years at the rank of associate professor, demonstrate outstanding accomplishments in teaching, scholarly activity/creative work, and leadership and service, and have the terminal degree appropriate for their field or its equivalent. At this stage of development, the faculty member should have a strong record of academic leadership in the school as demonstrated by outstanding teaching, accomplishment in research and/or other scholarly activities, contributions to the development of junior faculty, and recognition as a scholar. Per APS 1022 Section V.G when a faculty member is evaluated for full professor, the most current primary unit criteria shall apply.
2. Criteria for Professor
 - a. Qualification for associate professor.
 - b. National/international recognition as demonstrated by major publications, invitations to present at national/international meetings, leadership in select national/international professional organizations, and/or significant consultantships.
 - c. Demonstrated excellence in teaching.
 - d. Demonstrated excellence in scholarly activity/creative work. Promotion criteria are included in Appendix D.
 - e. Demonstrated excellence in leadership and service to the University and the community.
 - f. A record that, taken as a whole, is judged to be excellent.
 - g. A record of significant contribution to graduate and/or undergraduate education.

- h. A record since receiving tenure or promotion to Associate Professor that indicates substantial, significant, and continued growth, development, and accomplishment in teaching, scholarly/creative work, and leadership and service.
 - i. For promotion, six letters of evaluation. Three of the evaluators should be from faculty within the University of Colorado and three must be from outside the University of Colorado. The external reviewers should be by nationally recognized professionals who are experts in the applicant's field and be tenured professors. The list of evaluators should be solicited by the appropriate department chair/nominator after consultation with the applicant. External reviewers must be asked to provide a biographical sketch or short vita to be included in the dossier.
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INTERIM EVALUATION PROCEDURES AND GUIDELINES FOR TENURE-TRACK FACULTY

1. INTRODUCTION

Interim evaluations (Comprehensive Reviews) are intended to facilitate faculty development consistent with the academic needs and goals of the School of Dental Medicine and in compliance with the University of Colorado rules and regulations.

These procedures apply to all tenure track faculty in their probationary period.

The Interim Review for reappointment is conducted in the fourth year of their appointment. If the interim review is unsatisfactory, the fifth year is the terminal year.

There will be one of two possible outcomes from the review: 1) the faculty member is reappointed to a tenure-track position, or 2) the faculty member is informed that they will be given a one-year terminal appointment and the tenure-track appointment will not be continued.

2. GENERAL GUIDELINES

- a. Each tenure-track faculty member shall be evaluated in a comprehensive manner at least once during the tenure probationary period apart from the review for promotion and/or award of tenure. The tenure probationary period shall begin when the faculty member is first appointed to the rank of Assistant Professor or a higher rank. The evaluation shall include external evaluation of the candidate if determined necessary by the committee. Each faculty member shall be informed orally and in writing of the results of the evaluation.
- b. Interim evaluations shall generally occur in the fourth year of a faculty member's full-time appointment to the rank of Assistant Professor. If a faculty member receives credit for experience at another institution toward the probationary period, the interim review would normally be conducted earlier than the fourth year. During the first year of a faculty member's appointment, the department chairperson (or the Dean, if the faculty member is a department chairperson) and faculty member shall jointly determine during which year the interim evaluation will be conducted, and state the agreed-upon year in writing (see Appendix F). The written agreement shall be maintained in the departmental files (or the Dean's office, if the faculty member is a department chairperson) and a copy forwarded to the CUSDM Office of Faculty Affairs.
- c. Department chairpersons (or the Dean, if the faculty member is a department chairperson) shall advise each faculty member regarding the criteria and standards that the School of Dental Medicine uses in reaching a decision about the candidate's

performance, and will provide the criteria and standards in writing to each faculty member well in advance of the interim evaluation period. In addition, department chairpersons (or the Dean, if the faculty member is a department chairperson) will advise individual faculty members at least once each year as to how they are progressing toward fulfilling the criteria for promotion and/or tenure.

- d. The criteria for evaluating the performance of faculty shall include those that are used in the School of Dental Medicine for promotion and tenure of full-time faculty. The faculty member's accomplishments in teaching, scholarly/creative work, and leadership and service shall be the main focus of the evaluation. The general guideline in determining acceptable performance is whether the faculty member's growth and accomplishments in these three areas are progressing at a level consistent with university expectations, showing that the faculty member is on a trajectory for tenure at the University of Colorado School of Dental Medicine.
- e. External evidence of a faculty member's performance should be incorporated in the evaluation. This evidence should include, but is not limited to, national awards, honors, offices in national or international academic professional organizations, editorial functions for scholarly journals, publications in refereed journals and papers presented at regional, national, or international meetings and obtaining of internal/extramural research grant support.

3. PROCEDURES

- a. The chairperson of each department (or the Dean, if the faculty member is a department chairperson) is responsible for annual evaluations of the faculty member. These evaluations should provide faculty with feedback in performance and progress in meeting standards for promotion and/or tenure.
- b. Faculty members and their department chairpersons (or the Dean, if the faculty member is a department chairperson) will be notified by the CUSDM Office of Faculty Affairs in the summer of the academic year in which the formal interim evaluation is to be conducted.
- c. The department chairperson (or the Dean, if the faculty member is a department chairperson) shall counsel the faculty member concerning updating their vitae (see Appendix G) and identifying supporting documentation to be submitted for the interim evaluation. This includes identification of peers to evaluate the candidate's performance.
- d. The faculty member, in consultation with the department chairperson (or the Dean, if the faculty member is a department chairperson), shall compile all documents to be submitted for the interim evaluation and forward them to the chairperson of the Promotion, Tenure and Post-Tenure Review Subcommittee.

An electronic version should be submitted through Interfolio to the SDM Office of Faculty Affairs no later than October 15th. The documentation must include at least the following:

1. Current curriculum vitae as outlined in Appendix G.
2. Letter of evaluation from department and division chairperson, when applicable
3. At least three internal evaluation letters that focus on the candidate's accomplishments in teaching, scholarly/creative work, and leadership and service.
4. A list of three authorities in the faculty member's field outside the Anschutz Medical Campus. Care must be taken to exclude any evaluators whose evaluations may constitute a conflict of interest, such as a dissertation director.
5. Student teaching evaluations or summary of student teaching evaluations prepared by the department chair or division chairperson.
6. Completed Peer Evaluation of teaching. See CUSDM Peer Evaluation Policy.
7. At least one additional means of evaluation of teaching. Examples include, but are not limited to instructional materials, curriculum development efforts, professional development and innovations related to teaching, teaching awards, grants for teaching and education improvements, documented efforts to create inclusive and equitable educational experiences for students, scholarly research and presentation or publication on teaching and learning. See APS 1009 for additional examples.
8. A single pdf file containing all publications since appointment at CUSDM. Include a cover sheet listing all career publications.
9. A single pdf file containing all Notice of Grant Awards (NOAs) or similar documentation, if applicable. Full grant applications are not required, only NOAs.
10. Summary of national, international invited presentations.
11. Other materials deemed appropriate for the committee to evaluate progress toward satisfying all promotion and/or tenure criteria. This could include summary statements for unfunded grants, list of other non-governmental unfunded grants manuscripts under review, planned clinical trials or clinical trials in progress, in progress scholarship of teaching and learning (submitted COMIRB applications, IRB applications), etc., and leadership/service activities.

- e. The Promotion, Tenure and Post-Tenure Review Subcommittee conducts a comprehensive evaluation of the faculty member's performance and accomplishments and progress toward promotion and/or tenure or may recommend termination at the end of the year following the review (5th year) (Campus Administrative Policy 1049).
- f. The Promotion, Tenure and Post-Tenure Review Subcommittee will vote on the three areas of review, teaching, scholarly/creative work, and leadership/service as 1) on track for tenure; 2) not on track for tenure, but could meet standards for tenure with appropriate corrections; or 3) not on track for tenure. An overall vote will be taken with one of two outcomes: 1) a recommendation for reappointment to tenure-track position, or 2) a recommendation for one-year terminal appointment (the tenure-track appointment will not be continued).
- g. The written summary and the candidate's dossier are forwarded to the chairperson and members of the Dean's Review Committee through Interfolio.
- h. The Dean's Review Committee evaluates the Promotion, Tenure and Post-Tenure Review Subcommittee summary with full access to the faculty member's interim review dossier and then prepares a written letter. The Dean's Review Committee will vote on the three areas of review, teaching, scholarly/creative work, and leadership/service as 1) on track for tenure; 2) not on track for tenure, but could meet standards for tenure with appropriate corrections; or 3) not on track for tenure. An overall vote will be taken with one of two outcomes: 1) a recommendation for reappointment to tenure-track position, or 2) a recommendation for one-year terminal appointment (the tenure-track appointment will not be continued). If required, through a vote of not on track for tenure, but could meet standards for tenure with appropriate corrections, the Dean's Review Committee makes recommendations for the development of a plan to assist the faculty member in meeting the relevant criteria for promotion and/or tenure.
- i. The Dean's Review Committee sends its letter to the CUSDM Office of Faculty Affairs who forwards both letters to the faculty member, the department chairperson, and the Dean.
- j. The department chairperson (or the Dean, if the faculty member is a department chairperson) and the faculty member meet to discuss the results of the evaluation.
- k. If requested, the faculty member and department chairperson (or the Dean, if the faculty member is a department chairperson) can meet with the chairpersons of the Promotion, Tenure and Post-Tenure Review Subcommittee and the Dean's Review Committee to discuss the evaluation letters and to seek clarification.

PROMOTION AND TENURE REVIEW PROCESS

1. INTRODUCTION

In accordance with the University's Administrative Policy Statement 1022: Standards, Processes and Procedures for Reappointment, Tenure, Promotion, and Post-Tenure Review and Campus Administrative Policy 1049: Reappointment, Tenure and Promotion Review, each tenure track faculty member will be reviewed for promotion, to Associate Professor, and tenure by their seventh year, unless granted an extension of up to three years. Usually, the promotion to Associate Professor and granting of tenure happen at the same time.

Comprehensive (Interim) Reviews should be conducted in the fourth (4th) year as outlined in the section above. If the comprehensive review is unsatisfactory, the fifth year is the terminal year.

Only tenured faculty may vote on granting of tenure. Only tenured full Professors may vote on promotion to full Professor (tenured).

The School of Dental Medicine's Primary Unit Evaluation Committee (PUEC) is defined as the Promotion, Tenure, and Post-Tenure Review Committee. Members of this committee are voted on through the Faculty Senate Constitution protocols.

There are multiple levels of review to include the Promotion, Tenure, and Post-Tenure Review Committee (PUEC), Dean's Review Committee, Dean, Vice Chancellor's Advisory Committee, Executive Vice Chancellor, Chancellor, and Board of Regents.

If tenure is approved, it is effective at the beginning of the eighth year. For candidates denied tenure, the eighth year is the terminal year. After the granting of tenure, a faculty member may submit their dossier for promotion to Professor. This typically occurs after at least five (5) years of full-time service at the rank of Associate Professor, but a faculty member may apply for promotion earlier if they believe they meet the criteria.

2. PROCEDURES:

- a. Prior to the submission of a dossier to the Promotion, Tenure, and Post-Tenure Review Committee, it is the Department Chair's responsibility to assist the candidate in assembling their dossier and requesting external letters of evaluation. External letters should be sent directly to the Chair of the Promotion, Tenure, and Post-Tenure Review Committee or the Office of Faculty Affairs.
- b. The candidate for tenure or promotion is responsible for preparing and submitting a clear, accurate, and detailed presentation of their record.
- c. A Tenure Track faculty member should submit a dossier by the beginning of their 7th year of employment on tenure track. The candidate and department chair should be aware of the timeline for submission.

- d. Candidates submitting their dossiers for promotion and/or granting of tenure, should submit their materials, through Interfolio, to the Office of Faculty Affairs no later than October 15th.
- e. Dossiers should be compiled as outlined in Appendix C of this document.
- f. A dossier will not be reviewed if it does not contain all required documents from the candidate; incomplete dossiers will be returned. A complete dossier must be submitted by the established deadline to ensure further consideration.
- g. Candidates seeking promotion to Associate Professor or Professor should refer to the Guidelines for the Evaluation of Publications, Appendix E (tenure-track/tenured).
- h. Curriculum Vitae should be formatted as outlined in Appendix G of this document.
- i. Reviewers at all levels will review and judge the record of accomplishments in teaching, scholarly/creative work, and leadership/service only as presented in the dossier.
- j. Candidates may add materials to the dossier after the review process has begun to confirm a recent addition to the candidate's record: confirmation of an article accepted, a grant awarded, an academic honor or recognition, leadership position bestowed, etc.
- k. For promotion and tenure, the committees will evaluate the candidate's teaching, scholarly/creative work, and leadership/service. Each committee member will rate the candidate as either excellent, meritorious, or not meritorious in each of the evaluative areas. The committee will then issue a positive or negative recommendation for promotion and/or tenure. Separate votes must be taken for each category, for promotion, and for granting of tenure.
- l. Discussion at all levels of the personnel process is confidential. Individual reviewers may not have any communication with the candidate or with anyone else about the review process, the details of deliberations, or the outcomes of meetings or votes.
- m. Members of the committees should recuse themselves from the deliberations when they believe that there is or may be a real or perceived conflict of interest with the candidate.
- n. A candidate for promotion or tenure may request that a colleague be recused from the review process only if a conflict of interest has been documented previously via an official complaint made to the appropriate administrative office. See Campus Administrative Policy 1049 for additional information on processes.

- o. In instances regarding granting of tenure, dossiers must be submitted to the Vice Chancellor's Advisory Committee by March 1st and include the primary unit criteria and the campus vote tally document.
 - p. Committee letters should include a description and evaluation of the candidate's teaching, scholarly/creative work, and leadership/service accomplishments; salient points of external reviewer's analyses, with care taken to maintain confidentiality; and a statement describing the procedures followed, perceived strengths and weaknesses of the candidate, and the committee vote.
 - q. In an instance where these committees or the dean disagree about promotion and/or granting of tenure, dossiers and summary letters must be sent to the Vice Chancellor's Advisory Committee by March 1st unless the candidate withdraws their name from consideration. See Administrative Policy Statement (APS) 1022 for further information regarding disagreements between School committees.
 - r. For Appeal and Grievance Rights, faculty should refer to APS 1022.
-

POST-TENURE REVIEW PROCEDURES and GUIDELINES

Tenure is granted with the expectation of continued professional growth and ongoing productivity in teaching, scholarly/creative work, and leadership and service. Thus, every tenured faculty member has a duty to maintain professional competence. As required by APS 1022, after the award of tenure, a faculty member must be evaluated in a comprehensive manner every five years. Post-tenure Review (PTR) is a summative evaluation of a tenured faculty member's performance record over a five-year period.

Additional information regarding Post-Tenure Review and Performance Improvement Agreements can be found in Campus Policy 1050 and APS 5008, respectively.

1. General Guidelines

- a. The intent of post-tenure peer review is to facilitate continued faculty development, and to ensure professional accountability by a regular, comprehensive evaluation of the performance of every tenured faculty member, undertaken every five years.
- b. Post-tenure review will be conducted by the Promotion, Tenure and Post-Tenure Review Committee in the Fall of each year. The evaluation materials will be submitted through Interfolio, to the CUSDM Office of Faculty Affairs no later than July 15th.
- c. Faculty members who fail to participate in any aspect of post-tenure review, as required, may be subject to sanctions for neglect of duty, which may include reduction in salary, reassignment of duties, unpaid suspension, or dismissal for cause.
- d. Faculty will normally be reviewed for the first time in the fifth year following the granting of tenure and at five-year intervals thereafter unless interrupted by promotion review. Promotion restarts the Post-Tenure Review clock. A faculty member whose annual review is below expectations may be subject to a Performance Improvement Plan prior to the fifth year.
- e. The criteria for evaluating the post-tenure performance of faculty shall include those that are used in the School of Dental Medicine for tenure evaluation of full-time faculty members. The faculty member's continued accomplishments in teaching, scholarly/creative work and leadership and service following the granting of tenure/promotion shall be the main focus of the review. The general guideline in determining acceptable performance is whether the faculty member's growth and accomplishments in these areas meet University of Colorado and School of Dental Medicine criteria and receive annual performance evaluations of at least "meeting expectations." The balance in accomplishments in these areas should also be evaluated in light of the goals of the School and department and any official changes

in job assignment, e.g., major increases or decreases in administrative, teaching, or research duties.

- f. Performance will be rated on the following scale: outstanding, exceeding expectations, meeting expectations, below expectations, or fails to meet expectations in each of the three areas of teaching, scholarly/creative work, leadership/service.
- g. External evidence of a faculty member's performance should be incorporated in the review. This evidence should include, but not be limited to national awards, honors, offices held in national or international academic professional organizations, editorial functions for scholarly journals, publications in refereed journals and papers at regional, national, or international meetings and obtaining extramural grant support. At the request of the Promotion, Tenure and Post-Tenure Review Committee, the review may also include evaluations from persons external to the University who have been selected from lists provided by the faculty member and the peer-review group.
- h. If a faculty member receives a PTR summary rating of "below expectations" or "fails to meet expectations," in any of the evaluated areas of teaching, scholarly/creative work, and leadership and service, the faculty member must undertake a Performance Improvement Agreement (PIA). If the goals of the PIA are not met, an extensive review will be conducted, and a development plan will be written. (See University of Colorado APS 5008 for information and procedures relating to PIAs and extensive review)

i. **Post-Tenure Regular Review**

Faculty undergoing Regular Review will submit the following:

- 1. Current curriculum vitae
- 2. Letter(s) of evaluation from department chairperson and division chair, when applicable
- 3. At least three internal letters of evaluation
- 4. The five previous Annual Performance Rating forms
- 5. Differentiated Annual Workload and Professional Plans from each of the past five years
- 6. Updated Professional Plan for the next five years
- 7. A list of three authorities (name, title, affiliation and email address) in the faculty member's field, chosen by the department chair with input from the candidate, from outside the Anschutz Medical Campus to be used by the committee in the event it determines that external input is required.

8. Teaching/course evaluations from the previous five years or summary of student teaching evaluations that is prepared by the department or division chairperson
9. A single pdf file that contains a list of all publications since the previous review period along with full pdf reprints of up to five papers that the faculty member feels best reflects their performance.
10. A single pdf that contains a list of grant awards since the previous review period along with copies of the Notice of Grant Award (NOA) or similar notices.
11. List of Leadership and Service activities since the last review.
12. Other materials deemed appropriate.

2. Procedures

- a. The chairperson of each department is responsible for annual evaluations of tenured faculty members. These evaluations should provide faculty with feedback on performance and progress in meeting post-tenure review standards.
- b. Faculty scheduled for a formal post-tenure review in a given year, their department chairperson, and the Chair of the Promotion, Tenure and Post-Tenure Review Committee will be notified by the CUSDM Office of Faculty Affairs of the review and the level of review to be conducted by June 1 of each year.
- c. The department chairperson shall counsel the faculty member concerning updating their vita and identifying supporting documentation to be submitted for the review. This includes identification of peers to evaluate the candidate's performance.
- d. The department chairperson shall counsel the faculty member on compiling all documents to be submitted for review. The faculty member will forward them to the chairperson of the Promotion, Tenure and Post-Tenure Review Subcommittee through Interfolio by July 15.
- e. The Promotion, Tenure and Post-Tenure Review Subcommittee appointed by the Faculty Senate, is responsible for the following:
 1. Review all materials submitted on behalf of faculty members being reviewed and identify additional materials needed to complete the review.
 2. Notify appropriate department chairperson of additional materials required to complete the evaluation and when such materials must be submitted.
 3. Select external experts to supply letters of evaluation on the faculty member, if it is determined that outside evaluations are necessary. The names selected are to be taken from the list provided by the faculty member/department chair or other qualified individuals identified by the committee. If letters are solicited, the

- committee chairperson shall consult with the faculty member to ascertain if they have any valid objections to the individuals chosen.
4. Conduct a comprehensive evaluation of faculty member's continued performance and accomplishments following the granting of tenure.
 5. Prepare a written summary of the evaluation of each faculty member and, if required, recommendation for the Department Chair and the individual to develop a Performance Improvement Agreement.
 6. Forward all written summaries and evaluative reports to the Dean for review and distribution to the faculty member and appropriate department chairperson. A copy of the review summary (or evaluative report) will be placed in the faculty member's personnel file.
- f. The Dean may discuss the written summary prepared by the Promotion, Tenure and Post-Tenure Review Subcommittee with the faculty member and appropriate department chairperson.
- g. The Dean shall forward a report to the Executive Vice Chancellor for Academic and Student Affairs by October 1 of each year summarizing the outcomes of all post-tenure reviews and faculty development plans during the past year.
- h. For Extensive Reviews, see APS 5008 Section II.I Extensive Reviews.

3. Appeal Process

Normal School procedures will be made available to any faculty member who wishes to appeal their PTR rating. Within the School of Dental Medicine, these procedures include, but are not limited to:

- a. the faculty member's right to submit any additional materials to the Promotion, Tenure and Post-Tenure Review Subcommittee that the faculty member feels are relevant
- b. the right to appear before the committee
- c. the right to disagree with the conclusions of the committee
- d. the right to submit a grievance concerning the review process or outcome to the School of Dental Medicine Faculty Grievance Committee.

Requests to appear before the committee and disagreements with the outcome of the process, together with reasons for disagreement, shall be submitted to the Dean in writing. The Dean will be the final administrative arbitrator of the disagreement; however, a faculty member may have the right to file a grievance with the University Faculty Senate Privilege and Tenure Committee (see Regent Policy 5.G.1).

REQUIREMENTS FOR PROFESSOR EMERITUS IN THE SCHOOL OF DENTAL MEDICINE, UNIVERSITY OF COLORADO ANSCHUTZ MEDICAL CAMPUS

1. INTRODUCTION

The title “emeritus” should be bestowed only on those retired faculty members whose contributions warrant it. The award should not be automatic but rather bestowed only on the basis of merit to preserve the significance of the title.

Any faculty member may be allowed, upon retirement and in accordance with the campus-defined process and approval by the chancellor, to retain their title with the description "emeritus/emerita."

2. CRITERIA FOR APPOINTMENT OF EMERITUS, CUSDM

The faculty member must be retired from a full-time, faculty position at the University of Colorado School of Dental Medicine and have had a distinguished career.

PROCEDURE:

1. A faculty member’s department chair may nominate a retired or retiring faculty member for the designation, “emeritus” (see Campus Administrative Policy 1011)
2. Supporting documentation required is a current curriculum vitae, a one-page summary of the faculty member’s accomplishments during their time at the University (to include promotion times, teaching honors and awards, etc.) a post-tenure review report completed within the past five years for tenured faculty, and the last three years of merit evaluations.
3. The nomination will be considered sequentially by the Promotion, Tenure, and Post-Tenure Review Subcommittee, and, by the Dean’s Review Committee, who will make their recommendation to the Dean. If the Dean concurs with the awarding of the emeritus status, the Dean will submit the recommendation to the Executive Vice Chancellor of Academic and Student Affairs for consideration for a recommendation of approval before forwarding to the Chancellor for consideration.

The effective date may be no earlier than the day following the faculty member’s retirement date.

JOINT APPOINTMENTS AT THE SCHOOL OF DENTAL MEDICINE, UNIVERSITY OF COLORADO

When joint or split appointments are made, the affected faculty member must be informed in writing, prior to the appointment, of:

1. The duties and expectations as agreed upon by all Schools/Departments involved.
1. Which School/Department will be responsible for such personnel recommendations as tenure, reappointment, promotion and salary.

FACULTY TITLES PER THE REGENTS OF THE UNIVERSITY OF COLORADO

For a list of current faculty titles, please refer to [APS 5060 Appendix A](#)

RELATED POLICIES, PROCEDURES, GUIDELINES, AND OTHER RESOURCES

1. APS 1022: Standards, Processes, and Procedures for Reappointment, Tenure, Promotion, and Post-Tenure Review, July 1, 2020
 - a. <https://www.cu.edu/ope/aps/1022>
2. Board of Regents Policy 5.C and 5.D
 - a. <https://www.cu.edu/regents/policy/5>
3. APS 5060: Faculty Appointments
 - a. <https://www.cu.edu/ope/aps/5060>
4. [Campus Policy 1050](#)
5. [APS 5008](#)
6. University of Colorado School of Dental Medicine Faculty Governance Document

APPENDIX A

UNIVERSITY OF COLORADO SCHOOL OF DENTAL MEDICINE

REQUEST FOR EXTENSION OF SEVEN-YEAR PROBATIONARY PERIOD FOR PROMOTION AND TENURE FROM ASSISTANT PROFESSOR TO ASSOCIATE PROFESSOR

Under the current policies, a one-year extension to the seven-year probationary period for promotion from Assistant Professor to Associate Professor may be granted, as long as the following criteria are met: (1) The standing Departmental Advisory Committee has reviewed the faculty member's readiness for promotion; (2) the chair of the department concurs with the request for extension; and (3) the request for extension is received prior to the start of the review for promotion or tenure by the School of Dental Medicine Faculty Promotion, Tenure, and Post-Tenure Review Subcommittee. The request is subject to final approval by the dean and chancellor or chancellor's designee. *

Please provide the following information regarding the faculty member requesting the promotion/granting of tenure extension:

Name:

Department:

Date of Initial Appointment as Assistant Professor:

Has the standing Departmental Advisory Committee reviewed this faculty member's readiness for promotion? Yes No

Date of Mid-Course Review:

Reason for Extension:

I concur with this request for extension.

Department Chair Signature

Dean

EVC for Academic and Student Affairs

THIS SECTION FOR FACULTY AFFAIRS USE

New Probationary Period Deadline: _____

**If an extension is requested and approved, the faculty member's dossier can still be submitted before the end of the new probationary period.*

APPENDIX B

PROCEDURAL GUIDELINES FOR FACULTY REAPPOINTMENT, PROMOTION, TENURE, and POST-TENURE REVIEW PROCESS

The following are guidelines that provide additional clarity to the reappointment, promotion, tenure, and post-tenure review process and should be followed whenever possible.

1. Promotion, Tenure, and Post-Tenure Review Subcommittee

- a. Only full-time, tenured associate/full professors or associate/full professors (C/T) should comprise committee membership.
- b. Selection of committee members will be by department chairs (1 person per department, although not necessary to be department member) with ratifying vote and continued oversight by officers of the Faculty Senate.
- c. Chair of the committee will be elected by the Promotion, Tenure, and Post-Tenure Review Subcommittee.
- d. The Promotion, Tenure and Post-Tenure Review Subcommittee will be the first level of review for all appointments, interim reviews, promotions, granting of tenure, and post-tenure reviews.
- e. Only members of the committee holding tenure may vote on decisions relating to granting of tenure.
- f. Only tenured full professors may vote on decisions related to promotion of tenured faculty to full professor.
- g. Committee members who are scheduled for promotion and/or post-tenure review, shall not be present during the review of their own dossier or the vote.

2. Dean's Review Committee

- a. Chair of the committee and members will be appointed at the discretion of the Dean.
- b. Faculty from outside the School of Dental Medicine may be appointed to the committee at the discretion of the Dean.
- c. Only full-time, tenured associate/full professors or associate/full professors clinical track should comprise committee membership.
- d. Only members of the committee holding tenure may vote on decisions relating to granting of tenure.
- e. Only tenured full professors may vote on decisions related to promotion of tenured or tenure-track faculty to full professor.
- f. The Dean's Review Committee will serve as the second level of review within the CUSDM for all appointments, interim reviews, promotions, and granting of tenure. The Dean's Review Committee does not evaluate faculty scheduled for post-tenure review.

3. Interim Reviews

- a. Each full-time faculty member below the rank of associate professor tenure track shall be evaluated in a comprehensive manner in accordance with the University's "Standards, Processes, and Procedures for Reappointment, Tenure, Promotion, and Post-Tenure Review" document at the end of year four by the Promotion, Tenure and Post-Tenure Review Committee and Dean's Review Committee. Findings will be communicated in writing to the candidate, the candidate's chair, Human Resources, and the Dean.
- b. The department chair should meet with the candidate to discuss the summary of findings and help plan appropriate strategies for improvement if necessary. Chairs of the Promotion, Tenure and Post-Tenure Review Committee and DRC should be available for clarification and suggestion if necessary.
- c. The candidate's dossier should be submitted through Interfolio to the Office of Faculty Affairs by October 15th.
- d. The dossier should be compiled as outlined in the Faculty Interim Evaluation Procedures and Guidelines.
- e. Information on the Differentiated Annual Workload and Professional Plan and annual performance ratings will be available to the chairs of each committee if necessary.

4. Promotion and Tenure Guidelines

- a. Tenure Track faculty should submit their dossier by the beginning of their 7th year of employment on tenure track, unless granted an extension of one-three years. The candidate and department chair should be aware of the timeline for submission.
- b. Departmental reviews should occur prior to submission to the CUSDM Office of Faculty Affairs.
- c. Candidates submitting their dossiers for promotion and/or granting of tenure, should submit their materials to the CUSDM Office of Faculty Affairs no later than October 15th.
- d. Candidates seeking promotion to Associate Professor or Professor should refer to the Promotion Criteria Matrix (Appendix D) and the Guidelines for the Evaluation of Scholarly Activities, Appendix E).
- e. Curriculum Vita should be formatted as outlined in Appendix G of this document.
- f. Dossiers should be compiled as outlined in Appendix C of this document.
- g. An electronic copy of the candidate's dossier should be submitted, through Interfolio, to the CUSDM Office of Faculty Affairs by October 15th.

5. Committee Protocols

- a. Pre-printed ballots, or electronic ballots when necessary, will be utilized when voting on tenure and promotion.
- b. All committee members should be present to register a vote and every effort should be made to have all committee members present when voting.
- c. Votes will be confidential and counted by the chair of the committee and one additional member, determined by vote of the committee.
- d. Letters of nomination/recommendation may be provided by members of committees for promotion and tenure candidates, but if received from the chair of either review committee an alternate chair should be appointed for evaluation of that candidate.
- e. If a committee member is being evaluated for promotion, the member should be excused from committee deliberations and votes on their promotion.
- f. For interim review of a tenure track faculty, the committees will provide an overall evaluation of the faculty member's performance in the three areas as either 1) on track for tenure, 2) not on track for tenure, but could meet standards for tenure with appropriate corrections, or 3) not on track for tenure. An overall vote will be taken with one of two outcomes: 1) a recommendation for reappointment to tenure-track position or 2) a recommendation to give a one-year terminal appointment.
- g. For promotion and tenure, the committees will provide an overall evaluation of the faculty member's performance as either excellent, meritorious, or not meritorious and separate category voting totals will be recorded (e.g., four (4) voted meritorious for teaching and three (3) non-meritorious, etc.) and communicated to the Dean for each candidate. A separate vote will be taken for promotion and a separate vote for granting of tenure.
- h. For post-tenure review, the committee will
 - i. Vote on the faculty member's performance as outstanding, exceeding expectations, meeting expectations, below expectations, or failing to meet expectations in each of the three categories of teaching, scholarly/work, and leadership and service,
 - ii. Vote on the overall performance of the faculty members as outstanding, exceeding expectations, meeting expectations, below expectations, or failing to meet expectations
 - iii. The committee must communicate in writing their evaluation of each candidate to the Dean.
- i. For post-tenure review, a copy of the evaluation summary will be given to the faculty member and a copy will be placed in the faculty member's personnel file.
- j. The Promotion, Tenure and Post-Tenure Review Committee should complete its evaluation(s) by the end of December; the Dean's Review Committee should complete its evaluation(s) by February 15th.

- k. In instances regarding granting of tenure, dossiers, committee letters, and a recommendation letter from the Dean, must be sent to the Vice Chancellor's Advisory Committee by March 1st.
- l. In the event the two committees and/or the Dean disagree about promotion (or granting of tenure), dossiers and summary letters must be sent to the Vice Chancellor's Advisory Committee by March 1st unless the candidate withdraws their name from consideration.
- m. Committee members may request a copy of the summary letter written by committee chairs to the candidate/Dean summarizing committee findings.

APPENDIX C

ORGANIZATION AND REQUIREMENT OF EVALUATION DOSSIER FOR PROMOTION AND TENURE FOR TENURE TRACK

Prior to the submission of a dossier to the Promotion, Tenure, and Post-Tenure Review Subcommittee, it is the Department Chair's responsibility to assist the candidate in assembling their dossier and requesting external letters of evaluation. External letters should be sent directly to the Chair of the Promotion, Tenure, and Post-Tenure Review Subcommittee or the Office of Faculty Affairs.

Further instructions can be found in Interfolio.

1. Curriculum Vitae- complete document in University of Colorado School of Dental Medicine format
2. Letters of Recommendation
 - a. Internal: three letters from individuals located on the Anschutz Medical Campus
 - b. External: three letters from individuals outside of the Anschutz Medical Campus
3. Teaching (Sequence with most recent first)
 - a. Teaching portfolio
 - i. Professional autobiography- concise review of professional and teaching experience (This also includes non-didactic teaching to include post-doc student mentoring.)
 - ii. Statement of teaching philosophy
 - iii. Statement of teaching advancements and accomplishments (teaching awards, classroom innovation)
 - iv. Evidence of student performance in your area (acceptance into residency programs, obtaining a post-doctoral position, evidence of advancement in field of study/research, student awards)
 - v. Teaching materials developed
 - vi. Teaching responsibilities (a short description of each class with contact hours)
 - b. Peer and Office of Education teaching evaluations
 - c. Student teaching evaluations
 - d. Evidence of professional growth in education
 - i. Continuing education in education- attended last 5 years
 - ii. Continuing education in your profession- attended last 5 years
 - iii. Research presentations/publications in education
 - iv. Board certification status for advanced trained dentists
 - v. Obtaining an education degree (i.e. Masters in Education)
4. Scholarly Activity (Sequence with most recent first)
 - a. Summary of scholarly activity
 - b. Publication list followed by a copy of publications.

- c. Grants- list of funded and unfunded grants with copies of Notice of Awards.
Committees may request copy of entire grant for additional information. Include dates submitted and proposed lifetime of award.
 - d. Scholarly presentations
- 5. Leadership and service (Sequence with most recent first)
 - a. Summary of leadership and service activity
 - b. Committee membership and chairs- includes faculty governance and organized dentistry leadership and service
 - i. National/ International
 - ii. State
 - iii. University
 - iv. Campus
 - v. School of Dental Medicine
 - vi. Departmental
 - c. Patient care activities- university associated only (Dental Faculty Practice, UC Health)
 - d. Consultantships or internal/external advisory board

APPENDIX D

UNIVERSITY OF COLORADO SCHOOL OF DENTAL MEDICINE PROMOTION CRITERIA MATRIX (Tenure-Track/Tenured)

Note: The following is intended to present examples of various levels of accomplishment in the areas of teaching, scholarly/creative work, and leadership and service. It is not exclusionary, but is intended to assist faculty, department chairs, and promotion committees in matching candidates' accomplishments to the promotion criteria. Moreover, areas frequently overlap in practice, although they are presented as distinct entities here. It should also be noted that the matrix specifies just two categories, meritorious and excellent. Professors will need to achieve excellence in a **significant number** of criteria relevant to their academic profile. Associate professors will have met fewer of these criteria or in not as great depth. The promotion process is meant to describe and reward continued professional growth and achievement. Performance that does not meet the requirements/most of the criteria for meritorious will be deemed not meritorious.

TEACHING	
Meritorious	Excellent
Active participation in teaching activities of the department, school, campus or university, including two or more of the following: presenting a series of lectures covering one or more topics; coordinating a course; acting as a primary instructor in a course; advising or mentoring students, residents, post-doctoral fellows or faculty; attending on an inpatient or outpatient service; organizing or facilitating a seminar series, journal clubs or laboratory exercises; participating in CE courses.	Multiple course directorships or co-directorship and/or participation across the curriculum; development of innovative teaching methods, such as educational websites, simulations, packaged courses or workshops. Invitations to present courses outside of primary department.
Meritorious teaching evaluations from students and peers. Expectation of at least a 4.0 on average to be meritorious.	Consistently receives outstanding teaching evaluations.
Participation in advanced faculty development programs and/or CE courses that enhance the faculty members teaching or pedagogy.	Completion of advanced faculty development programs that result in a certificate or degree in education, with evidence that the faculty member has applied these new skills or new knowledge to improve their teaching or pedagogy.
Participation in workshops or training intended to improve classroom culture, teaching or mentorship.	Receipt of honors or awards by students/mentees, including students from underrepresented groups.
Self-improvement activities (for example, participation in workshops or courses that are designed to improve teaching or mentoring effectiveness).	Development of mentoring programs that focus on career development or academic promotion of students, residents, fellows or faculty.

TEACHING Continued	
Meritorious	Excellent
Participation in mentoring programs for students, fellows, residents, or other trainees.	Recognition as an outstanding and influential teacher and/or role model for students, fellows, residents, or other trainees (teaching awards, hooding, mentoring awards).
Doctoral Dissertation and Master's committee participation and/or thesis committee member.	Chairing a Doctoral Dissertation or Master's committee and/or thesis committee (not primary advisor).
Develops new or significantly revises educational materials on a consistent basis.	Creates new courses or curriculum that incorporates innovative technologies.
	Evidence of positive impact on teaching in the discipline, such as citations of publications or presentations related to teaching, or authorship of a critically reviewed textbook or other educational materials that have been widely adopted by others.
	Consistent participation in national educational activities (for example, residency review committees, programs sponsored by professional organizations, re-certification courses or workshops).
	Institutional, national, or international teaching awards that recognize contributions to the discipline (e.g., pedagogical innovation, curricular redesign).
	Evidence of continued growth and mastery of subject areas (e.g., attendance at courses to enhance teaching and clinical abilities, conference, teaching laboratories, etc.).
	Record of successful mentorship of students, residents, fellows or other faculty, as measured by: letters of support from mentees; publications, presentations, grants, awards or other evidence of mentees' academic success; evidence that mentees have pursued outstanding careers.
	Development of innovative courses, innovative delivery of course content, problem-based learning cases, laboratory exercises or other instructional materials.
	Published research and/or externally funded research designed to improve pedagogy.

SCHOLARLY/CREATIVE WORK	
Meritorious	Excellent
Abstracts at national meetings (ADEA, AADOCR, IADR, etc.), invited research seminars at this or other institutions. Service as an ad hoc member on study section,	A national or international reputation, as evidenced by: external letters of reference; invitations to present at national or international meetings; invitations to write reviews or chapters, or to provide unique expertise as a collaborator on a research project; visiting professorships; service as a regular member on study sections; organization of national meetings; service as a national consultant or on editorial boards of journals.
Authorship of papers in peer-reviewed journals that demonstrate the ability to generate and test hypotheses.	An on-going, peer-reviewed publication record as outlined in Appendix E.
A principal and sustained role in the management of a research program with external funding, to include NIH, industry funding, or foundation funding. Management of internal grant funding.	Principal investigator status on competitive peer-reviewed research grants (for example: R03 or R21 awards or mentored K08 or K23 awards from NIH or private foundations for associate professors; R01, P0, HRSA awards, or other independent awards for professors). Ongoing record of peer-reviewed grant or contract funding. Secures funding to support educational initiatives related to access to health care.
Publishes articles on health care professional education with emphasis on hypothesis-driven research.	A continuous record of publications in health professional education and/or educational initiatives related to access to health care, including citation record.
Participation in the design, conduct, and publication of clinical and epidemiological research, including clinical trials.	Leadership in the design, conduct, and publication of clinical and epidemiological research, including clinical trials.
Written documentation of novel techniques in teaching on the delivery of care.	Development of new techniques, therapies, clinical guidelines, patient care pathways or health care delivery systems that have improved the health of patients or populations.
Development of patent applications for discoveries.	Awarded patents for discoveries.
	Principal Investigator (PI), Co-Investigator (Co-I) or Key Personnel status on grants or contracts.
	Member of review section or editorial board.

SCHOLARLY/CREATIVE WORK Continued	
Meritorious	Excellent
	Contributions to books, journals, or clinical information systems.
	Demonstrated evidence of significant independent intellectual contributions to successful research programs.
	Other evidence of clinical and epidemiological scholarship (for example, research, grants, publications or national presentations) that promote health care quality and patient safety or that advance the science and practice of health care quality improvement.
	Secures funding, or partners on one or more research projects with community organizations, for research that addresses access to health care.

LEADERSHIP/SERVICE	
Meritorious	Excellent
Active leadership and service on committees or task forces within the program, division, department, school, campus or university.	Appointment to responsible positions within the institution such as chair of a committee; faculty officer; program director; academic clinical coordinator; membership on major decision-making Anschutz Medical Campus committees.
Leadership and service to local, state, national or international organizations through education, consultation or other roles.	Leadership and service as an officer or committee chair in professional or scientific organizations.
Presenting continuing education at the school and local level.	Presenting continuing education lectures and/or clinical presentations at state, national, or international meetings.
Participating in a task force for a professional or scientific association or on a state or regional committee.	Chairing a task force for a professional or scientific association or serving on a national committee.
Participation in community dental health education projects.	Election to responsible positions dealing with health care issues at the local, state, regional, national or international levels.
Mentoring and encouraging the professional growth of junior faculty members.	Chairing a junior faculty mentoring committee or development of a faculty-mentoring program.
Participation in community dental health education projects.	Leading community dental health education projects.
Presentations on dentistry and related topics to the lay public.	Election to responsible positions dealing with health care issues at the local, state, regional, national or international levels.
	Participation on NIH study section, grant reviewer, and external program evaluation.
	Leadership and service awards from an area of the University or from a local, national, or international organization (civic, scientific and/or professional).
	Leadership and service on editorial boards of professional or scientific journals.
	Consultative services to other health professionals, hospitals, institutions of higher education, and governmental agencies.
	Serving as the Director of or on the Executive Board of Dental Faculty Practice

APPENDIX E
GUIDELINES FOR THE EVALUATION OF SCHOLARLY/CREATIVE WORK
TENURE TRACK/TENURED

1. For Associate Professor: A consistent record of publication of research is required. The quality of the publications themselves and the position of the authorship will also be considered.
 - A. Number of Publications – A minimum of 5 refereed publications while at the rank of Assistant Professor
 - 1) Publication is a critical component of scholarly activity and should be a continuous process.
 - 2) Ideally displaying some degree of technical focus that allows definition of areas of expertise.
 - 3) Evidence of publishing/averaging at least one refereed paper for each year, demonstrating positive impact in the candidate's field.
 - 4) Quality of publications will take precedence over quantity in promotion and tenure decisions.
 - B. Examples of appropriate publications (refereed or otherwise)
 - 1) original research articles
 - 2) review articles
 - 3) extensive case history/technique articles
 - 4) chapters in professional books
 - 5) professional book author or editorship
 - C. Additional demonstrated evidence of scholarly activities to assist in achieving excellent in scholarly/creative work. See also Appendix D.
 - 1) Published abstracts
 - 2) Presentations at scientific meetings or other universities
 - 3) National reputation as evidenced by NIH Study Section reviewer, refereed journal reviewer
 - 4) Patents
 - 5) Grants
 - 6) Other activities demonstrating scholarship
 - 7) It is recognized that significant research can be conducted without the support of peer-reviewed grant awards (e.g. educational research, public health research)

2. For Professor: Faculty must show a continuous record of refereed publications from the time they are promoted to Associate Professor to the time they submit for promotion to Professor. The quality of the publications themselves and the position of the authorship will also be considered.
 - A. Number of Publications – A minimum of 5 additional refereed publications at the rank of Associate Professor
 - 1) All 5 of these publications must be in recognized refereed journals.
 - 2) Evidence of publishing/averaging at least one paper in a recognized refereed journal for each year since appointment date. Continued and consistent publications that contribute significantly to an area of knowledge.
 - 3) Based on new work accomplished since the last promotion review.
 - 4) Quality of publications will take precedence over quantity of publications in promotion and tenure decisions.
 - B. Examples of appropriate publications (refereed or otherwise)
 - 1) Original research articles
 - 2) Review articles
 - 3) Extensive case history/technique articles
 - 4) Chapters in professional books
 - 5) Professional book author or editorship
 - C. Additional demonstrated evidence of scholarly activity – more substantial than for Associate Professor – to assist in achieving excellence in scholarly/creative work activities. See also Appendix D.
 - 1) Published abstracts
 - 2) Presentations at scientific meetings or other universities
 - 3) National reputation as evidenced by NIH Study Section reviewer, refereed journal reviewer
 - 4) Patents
 - 5) Grants
 - 6) Other activities demonstrating scholarship
 - 7) It is recognized that significant research can be conducted without the support of peer-reviewed grant awards (e.g. educational research, public health research)
 - D. Faculty member must have demonstrated continued excellent productivity for preceding 5 years as Associate Professor

In light of the increasing importance of interdisciplinary team-based research, the value of a faculty's meaningful and well-documented contributions to productive "Team Science" activities will be fully considered. However, it should be recognized that this evaluation will occur in conjunction with that of the more traditional individual faculty member achievements (i.e. publication record, funding as a principal investigator, invitations for national/international presentations, etc.).

APPENDIX F

SAMPLE OF AN INTERIM EVALUATION NOTIFICATION FORM

UNIVERSITY OF COLORADO SCHOOL OF DENTAL MEDICINE FACULTY INTERIM EVALUATION NOTIFICATION

FACULTY NAME (PRINT): _____

DEPARTMENT: _____

DATE OF INITIAL FULL-TIME APPOINTMENT: _____

CREDIT TOWARD PROBATIONARY PERIOD (if applicable): _____ Years

Interim evaluations are intended to facilitate faculty development, consistent with the academic needs and goals of the School of Dental Medicine and in compliance with the APS 1022 and Campus Administrative Policy 1049. Interim evaluations occur during the fourth year of a faculty member's full-time appointment. If a faculty member receives credit for experience at another institution toward the probationary period, the interim review would normally be conducted earlier than the third or fourth year. The faculty member and the department chairperson jointly determine which year the interim evaluation will be conducted, and state the agreed-upon year in writing.

THE INTERIM EVALUATION FOR THE ABOVE-NAMED FACULTY MEMBER WILL BE SUBMITTED IN OCTOBER OF _____

CONCURRENCE:

Faculty Signature

Date

Department Chairperson Signature
(or Dean, if applicable)

Date

The original notification form is maintained by the departmental office (or Dean's office, if the faculty member is a department chairperson), a copy is maintained by the faculty member, and a copy is forwarded to the Office of Faculty Affairs.

APPENDIX G
CU SDM CURRICULUM VITAE FORMAT

FULL NAME:

CURRENT DATE:

PERSONAL HISTORY

Office Address:

Phone:

E-mail:

Fax:

Home Address: *(Optional)*

Phone: *(Optional)*

EDUCATION:

(List highest earned degree first)

(Include Institution and Location; Degree; Date(s) Attended; Degree Major)

(Include Postdoctoral Training [Residency/Fellowship]; Graduate School; Dental School; College)

Examples

- | | |
|-------------|--|
| 1998 - 2001 | Doctor of Dental Medicine
Dental College of Georgia
Augusta University
Augusta, Georgia |
| 1998 - 2004 | Ph.D. in Oral Immunology
University of Texas San Antonio
San Antonio, Texas
Dissertation Advisor: Robert E. Jones, Ph.D.
Dissertation Title: Salivary proteins and aggressive caries |

SPECIALTY BOARDS:

(List board eligibility if not boarded)

LICENSURE:

PROFESSIONAL EXPERIENCE:

(Reverse chronological order)

(Include Institution/Organization, Department/Division, Location, Title(s)/ Position(s), and date(s) each was held)

(Optional: Separate into categories such as Academic Appointments, Administrative Appointments; Hospital Appointments; Private Practice Experiences; and Military Leadership and service if dental related)

HONORS:

TEACHING, SCHOLARLY/CREATIVE WORK, LEADERSHIP AND SERVICE:

1. TEACHING ACTIVITIES

Teaching Responsibilities:

(Reverse Chronological order)

*(Include: 1) Courses directed (brief summary of major responsibilities 2) **number of hours actually taught**)*

Course Participation:

(Include number of hours the individual actually taught)

Teaching Materials Developed:

Teaching Awards:

Mentoring Activities:

Summer Research Students (Dental only)

Graduate Students (Ph.D. or Masters)

Post-doctoral Fellows

2. SCHOLARLY/CREATIVE WORK

Current Research:

Financial Resources/ Grants & Contracts:

(Reverse Chronological Order)

(Include Project Title, Funding Agency, Date(s) of Project, PI or CO-PI, and Total Direct and Indirect Costs broken out (\$))

(Separate by Active Research Support and Completed Research Support)

(Separate into categories such as School of Dental Medicine, University Colorado Anschutz Medical Campus, Federal/State, Professional Associations)

Publications:

(Published and In Press)

(Reverse chronological order)

(Formatting examples attached)

Periodicals:

(Published and In Press)

(Reverse chronological order)

(Formatting examples attached)

Book Chapters:

(Published and In Press)

(Reverse chronological order)

(Formatting examples attached)

Abstracts:

(Indicate those that were presented)

Theses Directed:

(Include Date, Title, Type, and Student's Name)

3. LEADERSHIP AND SERVICE ACTIVITIES

Invited and Selected Presentations:

(Reverse chronological order)

(Include papers and table clinics; do not include presentations that also appear as published abstracts)

(Separate into categories such as Local, State, National/International)

Continuing Education Courses Presented:

(Reverse Chronological order except when same course is given in multiple times; then list under first time taught and include other dates given)

(Include Date(s), Course Title, Number of Hours, Location)

Administrative Positions at the School:

Governance Positions

Committee Appointments:

(Reverse chronological order)

School of Dental Medicine

Date(s) **Committee Name**

Date(s) **Offices Held**

University

Date(s) **Committee Name**

Date(s) **Offices Held**

State

Date(s) **Committee Name**

Date(s) **Offices Held**

National/International

Date(s) **Committee Name**

Date(s) **Offices Held**

Society/Professional Organizations:

(Reverse Chronological Order)

(Include Date(s), Society/Organization Name, Offices Held, and Date(s) held)

Grant Review Panels:

(Reverse chronological order)

(Include Date(s), Name of study section or panel and leadership position if any)

Editorial Boards of Journals:

(Reverse chronological order)

(Include position(s) held, and date(s))

Journal Peer Review

(List only Journal titles; no dates)

Textbook Peer Review:

Consultant Positions:

(Reverse chronological order)

EXAMPLES Reference Format

A. Journals (list all authors if six or less, otherwise list only first three and add et al.)

1. Standard Reference

Gibson GB, Richardson AS, Patton RE, Waldman R. A clinical evaluation of occlusal composite and amalgam restorations: one- and two- year results. J Am Dent Assoc 1982; 104:335-37.

2. Corporate Author

Federation Dentaire International. Technical Report No. 28. Guidelines for antibiotic prophylaxis of infective endocarditis for dental patients with cardiovascular disease. Int Dent J 1987;37;235.

B. Books and Monographs

1. Personal Author(s)

Tullman JJ, Redding SW. Systemic disease in dental treatment. St. Louis: The CV Mosby Co; 1983:1-5.

2. Chapters in a Book

Johns R. Restorative needs and methods. In: Cohen B, Thomson H, eds. Dental care for the elderly. London: William Heinemann Medical Books; 1986: 142-77.

3. Agency Publication

Miller AJ, Brunelle JA, Carlos JP, Brown LJ, Loe H. Oral health of United States adults. Bethesda, Maryland: National Institute of Dental Research, 1987; NIH publication no. 87-2868.

4. Dissertation or Thesis

Author. Title. [Thesis]. City, State: Institution, date, #p.

GRANTS, CONTRACTS, AND PATENTS

Date Agency & Amount, Title