

NYU College of Dentistry

Policies and Procedures for Appointment, Promotion and Tenure of Full-Time Tenure Track Faculty

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These policies pertain to all full-time tenure track faculty at the College of Dentistry.

I. SUMMARY OF ACADEMIC TRACKS & FACULTY TITLES

The tracks and their associated titles have a common requirement for teaching and/or service. They are:

- **Research-Scholar Track**, a full-time tenure track for those faculty members in any department whose primary career is in independent, investigator-initiated research and who devote some time to education and service.¹
- **Clinical-Scholar Track**, a full-time tenure track for those faculty in any department whose primary career combines preclinical and clinical teaching with productive scholarship, including participation in original research, and who devotes some time to service.²

II. APPOINTMENT AS A MEMBER OF THE FACULTY

Appointment as a member of the faculty, regardless of title and rank, is considered a mark of distinction and a privilege. All members are entitled to the respect afforded by their appointments and all members are expected to teach and to contribute as outlined below to our community of scholars. Appointments and consideration for promotion and tenure are governed by the Faculty Handbook of New York University.

III. GENERAL CRITERIA FOR APPOINTMENTS AND PROMOTION

The criteria for appointment, promotion and tenure are specified in the Faculty Handbook of New York University. The criteria that follow are offered as clarifications of those criteria in consideration specifically of the needs of the College, and to contribute to the stature of NYU as a whole.

Since excellence in research and scholarship is a requirement for all tenured academic appointees, evidence of such high quality research or other scholarship is necessary for advancement. Evidence of scholarly achievements must include publication of major peer-reviewed papers. Books and/or chapters that integrate, synthesize, summarize and extend the existing literature are also considered evidence of scholarly productivity. Certain other types of activities are generally recognized as demonstrative of an individual's stature in research or scholarship. Many of these activities are manifestations of peer recognition and may include: invitations to lecture on the national and international level; invitations to contribute to major scientific meetings and publications; membership on editorial boards of prominent journals; membership on scientific and professional advisory committees at national and/or international levels; membership on research peer review committees; the receipt of honors for scientific or scholarly achievements; election or selection to membership and/or leadership positions in professional organizations; funding from national peer-reviewed funding agencies (such as the National Institutes of Health, the National Science Foundation and similar agencies in the Government as well as national foundations), the private sector (e.g., corporate funding), or other high quality and highly

¹ *Envisioned, as a guideline, as 60-80% FTE devoted to research activities.*

² *Envisioned, as a guideline, as 40-50% FTE devoted to research activities.*

competitive funding sources (such as State Health Departments and major regional Foundations); and the attraction and training of productive undergraduate, graduate and predoctoral students and postdoctoral fellows.

In addition to research and scholarly activities, all tenure track faculty members are required to participate and demonstrate a high level of effectiveness in teaching such as is conducted in lecture rooms, small discussion groups, seminars, laboratories, and in the supervision of graduate students and postdoctoral trainees. Teaching activities in clinical departments may also involve preclinical laboratory/simulation teaching as well as the supervision of students and/or residents in the provision of patient care either at the College or affiliated dental clinical sites.

Every faculty member should maintain a teaching portfolio that contains information regarding this aspect of his/her career, as well as documented participation in extramural teaching activities at regional, national, and international levels.

In addition to major efforts in research and teaching, tenure track faculty members are also expected to contribute to the College in a service capacity. They can fulfill this obligation by participating in committee work, internal governance and/or community service.

IV. STANDARDS FOR TENURE AT NYU

A high standard of excellence and effectiveness in teaching in the context of a research university is a prerequisite for tenure at NYU, as is the promise of effective contributions toward the work of the individual's department or school and the intellectual life of the University. Once these prerequisites are met, outstanding scholarship is the requirement for tenure. Thus, in order to have a reasonable prospect of gaining tenure at NYU, a candidate must have a record of outstanding achievement and recognition in scholarly research together with a record of effective teaching integrally influenced by scholarship. In the absence of such a record, tenure will not be granted.

The process of evaluating a candidate for tenure is an inquiry: is the candidate for tenure among the strongest in his or her field, in comparison with other individuals at similar points in their careers?

The following section, Specific Criteria For The Various Tracks, provides specific benchmarks of achievement for tenure evaluation, as well as for promotion, within each of the two tenure tracks in the College that will serve as the framework for this 'tenure inquiry'.

V. SPECIFIC CRITERIA FOR THE VARIOUS TRACKS

A. Tenure Track, Full-Time, Faculty Titles

Awarding of tenure for the College's faculty must be considered within the first nine years as a member of the full-time faculty at New York University in the rank of Assistant Professor specified in the Faculty Handbook. Tenure is to be awarded following review of the faculty member's academic contributions by the department Chair, the AP&T Committee, and the Dean, using the specific criteria developed for

promotion and tenure in these tracks. Prior service at another educational institution may change the probationary timetable as specified in the Faculty Handbook.

Promotion on the Research–Scholar Tenure Track or the Clinical Scholar Tenure Track will require documentation of: (1) excellence in research or scholarship in one's discipline of sufficiently high quality to gain favorable recognition within the discipline at the national level; (2) a high level of effectiveness in teaching; and (3) significant contributions in the area of service to the college.

Promotion to the rank of Associate Professor, with or without the granting of tenure, can occur at any time during the ten-year probationary period. The process leading to promotion (with or without tenure) for faculty on the tenure track (both the Research-Scholar track and the Clinical Scholar track) should include the review of the Appointment, Promotion and Tenure Committee as described below.

Research-Scholar Track

Faculty in this track will carry the title of Assistant Professor, Associate Professor or Professor of the specific discipline. These faculty members will expend major effort in scholarly activity and investigator-initiated research. They are expected to publish their work in peer-reviewed journals, obtain extramural funding for their research from national or other highly competitive granting agencies, and ultimately achieve national or international peer recognition in their fields. Although faculty members in this track may fulfill clinical responsibilities in an outstanding and in some cases a world-renowned manner, clinical activities will not be used as the major criterion for promotion in this track. Further, they must demonstrate effective contributions to the teaching programs and to the College's service responsibilities.

Assistant Professor

The rank of Assistant Professor may be granted to those who have earned a terminal degree (or its equivalent) appropriate to their field, have proven their worth as investigators and have given evidence of character and productive scholarship. Assistant Professors are expected to show promise of continuing development with clear evidence of future potential to advance significantly their field of research. They should also be well qualified to teach at the College and its respective programs.

Appointment as Assistant Professor carries with it the possibility, but no presumption, of annual reappointment or the right to permanent tenure, or to further appointment or promotion to any higher rank. Although the promotion and tenure process may be initiated at any time, a full-time Assistant Professor who is not promoted and granted tenure at the expiration of the ten year probationary period must be removed from the tenure track and, except in exceptional circumstances, will be ineligible for any future full-time appointment.

Associate Professor

The rank of Associate Professor may be granted to those who, in addition to all the qualifications for Assistant Professorship, have continued to demonstrate productivity and research excellence as independent investigators. This must be documented by first or senior authorship of high quality papers in peer-reviewed journals, and by success in obtaining and maintaining external funding from national or other highly-competitive agencies to support their research. Associate Professors must be recognized nationally for

their research contributions to the advancement of their disciplines. They must demonstrate effective contributions to the teaching programs and to the service responsibilities of the College.

Appointment as Associate Professor carries with it the possibility, but no presumption, of annual reappointment or the right to permanent tenure, or to further appointment or promotion to any higher rank. Although the promotion and tenure process may be initiated at any time, a full-time Associate Professor who is not granted tenure at the expiration of five years if initially appointed as an Associate Professor, or ten years in the combined ranks of Assistant and Associate Professor, must be removed from the tenure track and, except in exceptional circumstances, will be ineligible for any future full-time appointment.

Professor

The rank of Professor may be granted only after careful consideration of the individual's character, scholarship, productivity, teaching ability, and national and international reputation among peers in his or her own field. The rank of Professor may be granted only to faculty members who have made exceptional, original and innovative discoveries and for whom there is reasonable certainty that they will continue to make outstanding contributions throughout the remainder of their working years.

The rank of Professor may be granted to those who, in addition to all the qualifications for Associate Professorship, have continued to demonstrate productivity and research excellence as independent investigators. This must be documented by accomplishments achieved since attaining the rank of Associate Professor, including first or senior authorship of high quality papers in peer-reviewed journals, and by success in obtaining and maintaining external funding from national or other highly-competitive agencies to support their research. Professors must be recognized nationally and internationally for their research contributions to the advancement of their disciplines. They must demonstrate continued effective contributions to the teaching programs and to the service responsibilities of the College.

The rank should never be granted as a reward for seniority and should be reserved as a mark of distinction in the field of scholarship and instruction. Notable academic achievements, such as awards and prizes and membership in prestigious scientific professional societies and advisory groups should attest to this distinction. Professorial rank should never be granted only as recognition of service in administration.

Although the tenure process may be initiated at any time, a full-time Professor who is not granted tenure at the expiration of three years' service if initially appointed as Professor must be removed from the tenure track and, except in exceptional circumstances, will be ineligible for any future full-time appointment.

Clinical-Scholar Track

Faculty in this track will carry the titles of Assistant Professor, Associate Professor or Professor of the specific discipline. These faculty members will devote a substantial amount of their careers to combined preclinical, simulation, and clinical teaching with productive scholarship, including participation in original research, with some time devoted to service.

Faculty members in this track should exemplify characteristics of the scholarly academic clinician. They must demonstrate evidence of participating in high quality original research and other scholarship. Faculty in this track must have achieved national or international peer recognition in their fields. Further, they must demonstrate effective contributions to the teaching programs, and to the service responsibilities of the College.

Assistant Professor

The rank of Assistant Professor in this track may be granted to those who have earned a terminal degree (or its equivalent) appropriate to their field, have proven their worth as scholars and have given evidence of character and productive scholarship. Assistant Professors are expected to show promise of continuing development with clear evidence of future potential to significantly advance their field. They should also be well qualified to teach in the College and its respective programs.

Appointment as Assistant Professor carries with it the possibility, but no presumption, of annual reappointment or the right to permanent tenure, or to further appointment or promotion to any higher rank. A full-time Assistant Professor who is not promoted and granted tenure at the expiration of the ten-year probationary period must be removed from the tenure track and, except in exceptional circumstances, will be ineligible for any future full-time appointment.

Associate Professor

The rank of Associate Professor in this track may be granted only to those who, in addition to all the qualifications for Assistant Professorship, have continued to demonstrate scholarly productivity and clinical excellence. Evidence of ongoing productivity must include publishing high quality papers in peer-reviewed journals, and by a combination of evidence that can include: (a) obtaining external funding from any of a variety of funding sources; (b) publishing books, book chapters, major literature review articles, and/or other scholarly contributions to the professional literature; (c) participating in clinical trials in significant roles; (d) developing innovative conceptualizations or novel solutions to health care problems; and/or, (e) performing patient care-related activities in a manner that extends well beyond excellent patient management. Associate Professors must be nationally recognized for contributions to the advancement of the discipline. They must demonstrate effective contributions to the teaching programs and to the service responsibilities of the College.

Appointment as Associate Professor in this track carries with it the possibility, but no presumption, of annual reappointment or the right to permanent tenure, or to further appointment or promotion to any higher rank. A full-time Associate Professor who is not granted tenure at the expiration of five years, if initially appointed as an Associate Professor or ten years in the combined ranks of Assistant and Associate Professor, must be removed from the tenure track and, except in exceptional circumstances, will be ineligible for any future full-time appointment.

Professor

The rank of Professor may be granted only after careful consideration of the individual's character, scholarship, productivity, teaching ability, funding history and national and international reputation among peers in his or her field. The rank of Professor may be

granted only to faculty members who have made exceptional, original and innovative discoveries and for whom there is reasonable certainty that they will continue to make outstanding contributions throughout the remainder of their working years. The rank should never be granted as a reward of seniority and should be reserved as a mark of distinction in the field of scholarship and instruction. Notable academic achievements, awards and prizes and membership in prestigious scientific professional societies and advisory groups should attest to this distinction. Professorial rank should never be granted only as recognition of service in administration. The rank of Professor may be granted to those who, in addition to all the qualifications for Associate Professorship, have continued to demonstrate productivity in research and scholarly activities. This must be documented by accomplishments achieved since attaining the rank of Associate Professor, including first or senior authorship of high quality papers in peer-reviewed journals and by success within the areas listed above in sub-items “a-e” as accomplishments for Associate Professors. Professors must continue to be recognized nationally for their scholarly contributions to the advancement of their disciplines. They must demonstrate continued effective contributions to the dental, graduate or postgraduate teaching programs and to the service responsibilities of the College.

A full-time Professor who is not granted tenure at the expiration of three years’ service if initially appointed as Professor must be removed from the tenure track and, except in exceptional circumstances, will be ineligible for any future full-time appointment.

VI. POLICIES OF ADMINISTRATION

A. General Policies

In order to implement the system of management of faculty appointments, titles, promotions and tenure, the following procedures are specifically required. In addition, any proposed changes to these guidelines must be approved by a vote only of the tenure and tenure track faculty by a closed ballot, and then forwarded to University administration for further review, comment and appropriate due process.

The following elements of administration will be adhered to by the College and will be affirmed as requirements of the College’s system of administration.

1. This document and its administration will in no way change the requirements for tenure as stated in the New York University Faculty Handbook.
2. A candidate may be proposed for tenure at any time considered appropriate for the individual member of the Faculty. This may be at any point from hire through the ninth year of continuous full-time service, with extensions available as stated in the Faculty Handbook.
3. Every faculty member in the tenure-track will have a mandatory, formal review by the AP&T Committee after the third year of service; and in addition, a formal review by the AP&T Committee will be provided after the sixth year of service if permanent tenure has not already been awarded.

4. The Dean will notify, in writing, the Chair of the appropriate department when these two formal reviews are due as mandated by this policy. After the mandatory 3-year and 6-year AP&T Committee reviews, the Chair of the department must meet with the faculty member and review the chances of being recommended for tenure. If the likelihood of being recommended for tenure at the time of the sixth-year review is considered poor, the Chair will so advise the faculty member and discuss the options available. These options can include offering the faculty member a one year terminal teaching contract or, in exceptional circumstances, offering the faculty member to switch to a non-tenure track (if a non-tenure track line is available) but not at the cost, or loss, of the tenure track line (i.e., it is not permissible to convert 'the current tenure track line' of that faculty member to a non-tenure track line). Switching from a tenure track line to a non-tenure track line requires the approval of the Chair of the department, as well as the Dean. After meeting with the faculty member, the Chair of a department will within 30 days notify the faculty member in writing as to the outcome.
5. This section refers only to a faculty member on a non-tenure track line who applies, in an open and competitive search, for a tenure line track and is subsequently chosen for this position by a process that includes a full tenure review and approval at both the College and University levels.

If, at the discretion of the Dean, acting in concurrence with the chair of a department a faculty member is appointed to the tenure track as in the above paragraph, he/she may not hold a non-tenure track full time position at the College at any time in the future.

B. Summary of Tenure Procedures

For each candidate for promotion or tenure, the department Chair will transmit to the Dean his or her own recommendation supported by a letter which provides a summary description of the academic responsibilities and contributions of the faculty member to the department and the College. In the rare event that the Chair of a given department does not hold tenure, then in cases involving tenure decisions on faculty from that department, the Dean, in consultation with the AP&T Committee, will appoint a suitable tenured faculty member to serve as a surrogate for the non-tenured Chair in the review process.

The package of supporting documentation forwarded to the Dean will contain the candidate's curriculum vitae, a set of selected publications, a record of extramural funding, and a one or two page description of the candidate's achievements and future academic plans. The documentation package will also include the teaching portfolio documenting participation and effectiveness in teaching. The supporting documentation will be prepared by the candidate. In addition, the department Chair will send to the Office of Human Resources and Faculty Services a proposed list of 3 internal referees and no less than 7 external independent³ referees who can provide letters of evaluation. Additionally, letters from up to 3 additional external referees, chosen by the candidate, who can provide working insights into the candidate can also be included in the review packet. These letters will be solicited by the department Chair and sent directly to the Office of Human Resources and Faculty Services. The AP&T committee will review all the materials, and make a final recommendation to the Dean, based on a

³ *Independent excludes significant or repetitive co-authors on published papers, collaborators on current research, former PhD mentors, former postdocs, etc.

majority vote of the Committee members. In the event that the AP&T Committee does not believe that it has adequate expertise to review a given candidate, it will consult with the Dean, and request the appointment of an ad hoc group of three additional tenured faculty members with the requisite experience. These three faculty members will participate in all subsequent discussions of the specific candidate and have the right to vote with the standing AP&T committee on the candidate.

All AP&T Committee votes must be by closed ballots. Subsequent phases of the tenure decision process will follow in all respects the University procedures as outlined in the Faculty Handbook.

C. Charge to and Composition of the Appointment, Promotion and Tenure Committee

C1. Charge to the AP&T Committee

The AP&T Committee is a standing and independent committee. The AP&T Committee reviews credentials and makes recommendations to the Dean for appointments, promotions and tenure of all faculty who serve on a full time basis, in tenure track positions. This Committee will, as necessary, review the guidelines for appointment, promotion and tenure and, when indicated, will recommend changes to the Dean, who will advise and consult with the Executive Management Council (EMC – consisting of all departmental Chairs, most deans and three faculty council representatives) on the changes. Any such changes will be voted upon by the full time tenure and tenure track faculty by closed ballot and, if approved, such recommendations will be referred by the Dean to the University for final determination. In addition, the Committee will have the responsibility of communicating to the faculty, on an annual basis, the guidelines for promotion and tenure.

All votes by the AP&T Committee, and by the full- time tenure and tenure track faculty of the College on these matters must be by a closed ballot.

C2. Membership

The Dean will appoint seven tenured faculty, including the Committee's Chair, for three-year terms. Across the AP&T Committee membership, the appointment terms will be 'overlapping' such that only a minority percentage of the Committee members terminate their appointment period in any one year to ensure continuity in the Committee. Members may be reappointed for two consecutive terms. Vacancies on the Committee will be replaced by the Dean for the duration of the vacated term of appointment.

D. Suggested Timetable for Promotion and Tenure Review

<i>Years 1-3</i>	Discussions, at least annually, between the Chair and the faculty member.
<i>Year 4</i>	Formal 3rd Year Review of tenure prospects by AP&T Committee, and annual discussion between the Chair and the faculty member.
<i>Years 5-6</i>	Annual discussions between the Chair and the faculty member.
<i>Year 7</i>	Formal 6th Year Review of tenure prospects by AP&T Committee. Track cannot be changed after the end of the 7 th year except in extraordinary circumstances. Annual discussion between the Chair and the faculty member.
<i>Years 8-9</i>	Annual discussions between the Chair and the faculty member leading to review by the AP&T Committee when the candidate is judged ready for promotion. The AP&T Committee makes its recommendations to the Dean. The recommendation of the Dean is submitted to the University for a final decision on the granting of tenure.
<i>Year 10</i>	Tenure, if awarded, is granted at the end of the 10th year.