

**BYLAWS**  
**UNIVERSITY OF CONNECTICUT**  
**SCHOOL OF DENTAL MEDICINE PREAMBLE**

All policies of the School of Dental Medicine, a component of the University of Connecticut shall be determined by the Board of Directors of the University of Connecticut Health Center and/or the Board of Trustees as specified in the Bylaws of the University of Connecticut hereafter termed 'the Board of Directors and/or Board of Trustees'. Administrative decisions are made by University officials in accordance with the policies of the Board of Directors and/or Board of Trustees. The School of Dental Medicine, within policies established by the Board of Directors and/or Board of Trustees and the guidelines herein, is responsible for the educational program leading to the degree Doctor of Dental Medicine, for graduate programs and courses approved by the Graduate School and conducted by faculty members of the School of Dental Medicine, for internship and residency programs for continuing education programs in the various dental sciences, for rendering patient care in programs established by the School of Dental Medicine, and for conducting research in dental and related sciences.

The Voting Faculty of the School of Dental Medicine is authorized to establish rules, regulations and policy with respect to academic matters, acting within the general policies as established by the Board of Directors and/or Board of Trustees. The chief executive officer of the School of Dental Medicine is the Dean. The Dean is aided in the administration of the School by Associate and Assistant Deans, by Department Heads, by Division Chairs, and by Administrative Committees.

The following guidelines describe the interrelationships and responsibilities of the individuals and groups within the School of Dental Medicine.

***SECTION I***

***FACULTY***

**Article One - Composition**

The faculty shall consist of the President, the Provost, the Vice President for Health Affairs, the Dean and all professors, associate professors, assistant professors and instructors belonging to departments administratively organized in the School of Dental Medicine and others who are appointed by the President.

**Article Two - Types of Appointments**

- 2.1 Appointments to the position of Professor, Associate Professor, and Assistant Professor shall be given to "full-time" members of the faculty who are either tenured or appointed in tenure-track positions and shall be subject to the guidelines described in the School of Dental Medicine's document *Senior Appointment and Promotions Committee: Principles, Guidelines and Procedures for Appointment, Promotion and Tenure, Section I. Faculty Holding Tenurial Appointment*

- 2.2 Appointments to In-Residence faculty positions shall be subject to the guidelines described in the School of Dental Medicine's document *Senior Appointment and Promotions Committee: Principles, Guidelines and Procedures for Appointment, Promotion and Tenure, Section II. Faculty Holding Non-Tenurial In-Residence Appointment*. These guidelines include but are not limited to the following:
- a. that the criteria for promotion that are emphasized in making decisions will be weighted according to the effort by the candidate in teaching, research, patient care and other professional activities.
  - b. that appointments to the rank of Instructor or Assistant Professor in this track will be made on the recommendation of the Department Head with the concurrence of the Dean. Appointments are for a period up to one year and are renewable.
  - c. that all future appointments be made with the understanding that individuals must be promoted to the rank of Associate Professor on or before the completion of the ninth year of employment. If the individual is not promoted, the appointment during the tenth year will be terminal.
  - d. that appointments to the rank of Associate Professor or Professor are subject to the usual review process by the Senior Appointments and Promotions Committee and the Dean's Advisory Committee.
  - e. that appointments to the rank of Associate Professor or Professor should be renewable term appointments if funding for the period is assured. The term for an Associate Professor may be for a period up to three years and for a Professor for a period of up to five years. In each case continued appointment is contingent on meeting the terms of agreement that are made at the time of appointment or reappointment.
  - f. that the designation "In Residence" be for administrative purposes only, and need not be used in correspondence or published faculty lists.
- 2.3 Appointments to "Clinical Category" faculty positions shall be subject to the guidelines described in the School of Dental Medicine's document *Senior Appointment and Promotions Committee: Principles, Guidelines and Procedures for Appointment, Promotion and Tenure, Section III. Faculty Holding Non-Tenurial Clinical Category Appointment*. These guidelines include but are not limited to following:
- a. that faculty appointed in this track shall have responsibilities that are primarily non-academic, e.g. direct patient care, clinical instruction, clinical administration.
  - b. that faculty appointed in this track shall have the opportunity to apply for reassignment to an academic track appointment.
  - c. that the modifying term "Clinical" shall be included in the faculty title e.g. Clinical Instructor, Clinical Assistant Professor, Clinical Associate Professor, and Clinical Professor.
  - d. that appointment to a rank within this track and the term of that appointment shall be determined by guidelines described in the document *Senior*

Appointments and Promotions Committee: Principles, Guidelines and Provisions for Appointments, Promotion and Tenure (Appendix X)

- e. that reappointment and promotion shall be determined by criteria described in the document Senior Appointments and Promotions Committee: Principles, Guidelines, and Provisions for Appointment, Promotion and Tenure.

## 2.4 Changes in Appointment Type

A change or transfer in appointment type may be considered between certain types of faculty appointments. Requirements for and restrictions on transfer of appointment are as follows:

- a. Sufficient justification, as determined by the Dean, must exist to warrant consideration of transfer of appointment.
- b. The faculty member, Division Chair (or appropriate designate) and Department Head must petition the Dean for consideration of transfer of appointment. The Dean may accept or decline the petition.
- c. Tenurial faculty may transfer to an In-Residence appointment but are not permitted to transfer to a non-academic Clinical Category appointment.
- d. In-Residence faculty may transfer to a tenurial appointment but are not permitted to transfer to a non-academic Clinical Category appointment.
- e. Clinical Category faculty may transfer to a tenurial appointment or an In-Residence appointment.
- f. Faculty members who transfer to a tenure track appointment may be given credit toward the required probationary period for tenure appointments. A minimum one-year probationary period is required of all individuals after appointment to the tenure track. With a change in track, appointments at the Associate Professor and Professor levels are subject to the usual review process by the Senior Appointments and Promotions Committee.
- g. In those instances where it is mutually agreed between the faculty member, the Division Chair (or appropriate designate), Department Head and the Dean that a faculty member was initially appointed in the wrong type or category of appointment, a correction of the employment authorization be permitted without compromising the privilege of transferring at a future date from one track to another as described in Section 2.4.h.
- h. Transfer from one appointment type or category to another appointment type or category, under the guidelines and restrictions described above in Section 2.4 a-e, will be permitted on one occasion only during the entire employment period of a faculty member in the School of Dental Medicine and such a change is irreversible.

- 2.5 Appointments to the usual faculty ranks with the modifying word "Adjunct" included in the title may be given to individuals who serve as part-time faculty members.. Such appointments shall be made for a term up to one year to individuals who are actively participating in programs of the School of Dental Medicine. Such appointments may be renewed annually.

- 2.6 Appointments to the usual faculty ranks with the modifying word "Visiting" included in the title may be made on an annual basis for a period not exceeding a total of two consecutive years.
- 2.7 Faculty may hold joint appointments between departments in the School of Dental Medicine, and between departments in the School of Dental Medicine and departments in other schools or colleges in the University.

### **Article Three -Appointment and Promotions Procedures**

- 3.1 Recommendations for appointment and promotion of a faculty member shall be made to the Dean by the Division Chair<sup>1</sup> and endorsed by the Department Head. In the case of appointments or promotions to the rank of Professor or Associate Professor the recommendation shall be reviewed by the Committee on Senior Appointments and Promotions, (see Section III, Article 3.4), and by the Dean's Advisory Committee, and their comments shall be given due consideration before the Dean makes his recommendation to the Provost of the University for transmittal to the President for final determination by The Board of Directors and/or Board of Trustees . In the case of appointments to the rank of Assistant Professor or below, or to temporary positions, committee review is not necessary. Recommendations for clinical appointments or to the volunteer faculty shall be reviewed in the manner established for the various ranks of the full-time faculty.
- 3.2 Recommendations for tenure shall be made to the Dean by the Division Chair and endorsed by the Department Head. The recommendations shall be reviewed by the Senior Appointments and Promotions Committee and by the Dean's Advisory Committee, (see Section HI, Article 3.4), and their comments shall be given due consideration before the Dean makes his recommendation to the Provost of the University for transmittal to the President for final determination by the Board of Directors and/or Board of Trustees.
- 3.3. Annual evaluation of faculty shall occur as described in the SDM Faculty Evaluation and Compensation Plan and may trigger post-tenure review of faculty as described in Appendix F (SDM Post Tenure Review Plan).

### **Article Four – Voting Faculty**

- 4.1 Composition: The Voting Faculty shall be composed of the President and Provost of the University, the Vice President for Health Affairs, the Dean of the School of Dental Medicine, and all Professors, Associate Professors, Assistant Professors and Instructors in any appointment category and who are paid a full or partial salary.
- 4.2 Responsibilities: The Voting Faculty is responsible for establishing rules, regulations and policy with respect to academic matters, acting within the general policies as established by the Board of Trustees. Its responsibilities include matters of student affairs, undergraduate dental education, graduate dental education, continuing education, and research. This responsibility for academic matters is presently delegated (see Section II, Article I following) to the School of Dental Medicine Senate (Appendix A).
- 4.3 Meetings: The Voting Faculty of the School of Dental Medicine shall be convened at the request of the President of the University, the Vice President for Health Affairs,

the Dean of the School of Dental Medicine, or by a request to the dean by one-third of the Voting Faculty. The President of the University or in his absence the Vice President for Health Affairs, or in his absence the Dean of the School of Dental Medicine shall preside at meetings of the Voting Faculty. An attendance of at least fifty per cent of the total Voting Faculty shall be considered a quorum. Decisions of the Voting Faculty shall be by majority vote.

## ***SECTION II***

### ***SCHOOL OF DENTAL MEDICINE SENATE***

#### **Article One – Structure and Operation**

The School of Dental Medicine Senate has been established by the Voting Faculty with the approval of the Board of Trustees of the University and operates under bylaws of the School of Dental Medicine Senate as approved by the Board of Trustees (Appendix A). It exercises by delegation the responsibility for academic matters within the jurisdiction of the Voting Faculty as outlined in Section I, Article 4.2. In addition to its delegated responsibilities for academic policy, the Senate, as an elected group representing the faculty, may discuss non-academic matters of interest to the faculty and make recommendations for the consideration of these matters by the administration and the Board of Directors and/or Board of Trustees .

#### **Article Two - Meetings**

The Senate shall be convened as specified in the ByLaws of the Senate, (Appendix. A), or by the President of the University, the Vice President for Health Affairs, the Dean of the School of Dental Medicine, or by a request to the Dean by one-third of the Voting Faculty.

#### **Article Three - Modification of Bylaws**

The bylaws and authority of the Senate may be modified by the Voting Faculty through the amendment procedures described in the bylaws of the Senate with approval by the Board of Directors and/or Board of Trustees.

## **SECTION III**

### **ADMINISTRATION**

#### **Article One - Vice President for Health Affairs**

The Vice President shall be a non-voting member of the School of Dental Medicine Senate. He shall interpret the bylaws, rules, and regulations of the School of Dental Medicine Senate and subject to approval by the President of the University, determine what matters fall within the purview of academic policy and what matters must be brought to the Board of Directors and/or Board of Trustees prior to implementation.

#### **Article Two - Dean**

- 2.1 Appointment: The Dean of the School of Dental Medicine shall be appointed by the Board of Directors and/or Board of Trustees upon recommendation of the President of the University.
- 2.2 Duties: The Dean shall be the principal administrative officer of the school. The Dean shall be responsible to the President of the University through the Vice President in all matters. The Dean's duties shall include the implementation of the regulations and policies of the University and the School of Dental Medicine as approved by the

Board of Directors and/or Board of Trustees. After consultation with the Division Chairs and Department Heads, the Dean shall prepare annual budget recommendations for the School. The Dean shall make recommendations regarding the appointment, promotion and tenure of members of the Faculty, Division Chairs, Department Heads, Assistant and Associate Deans. The Dean shall assign space which is available to the School of Dental Medicine to departments and other units.

### **Article Three - Dean's Advisory Committee**

- 3.1 **Composition:** The Dean's Advisory Committee shall consist of the Dean of the School of Dental Medicine who will serve as Chairman of the Committee, and the heads of the departments of the School of Dental Medicine. At the discretion of the Dean, other administrative leaders of the School of Dental Medicine or School of Medicine may be members of the Committee. Members of the Dean's Advisory Committee shall not concurrently serve as members of the Senior Appointments and Promotions Committee (SAPC) and shall not have served on the SAPC within a preceding period of 24 months.
- 3.2 **Responsibilities:** the Dean's Advisory Committee shall serve as an advisory group to the Dean.
- 3.3 **Meetings:** Meetings of the Dean's Advisory Committee shall be held as determined by the Dean or at the request of one-third of its members.
- 3.4 **Subcommittees:** There shall be at least two subcommittees of the Dean's Advisory Committee.
  - a. An Advisory Committee on Senior Appointments and Promotions shall advise the Dean and the parent committee on the award of tenure and on all appointments to the rank of Professor or Associate Professor, except for Division Chairs and Department Heads.
  - b. An Advisory Committee on Clinical Affairs shall advise the Dean and the parent committee on clinical matters as they pertain to the Health Center itself and to community hospitals or other health agencies.

These two committees and others that may be required shall be appointed by the Dean. The membership of the Committees need not be limited to members of the Dean's Advisory Committee.

### **Article Four - Standing Administrative Committees**

- 4.1 **Purpose:** In some areas administrative decisions or activities are best achieved through the collective effort or judgment of groups of faculty members. In these areas, standing administrative committees shall be appointed to implement established policy. In the area of student affairs, there shall be committees for Admissions, Student Standing and Promotion, and for other needs as they may develop.

In the areas of undergraduate, graduate and continuing dental education, there shall be committees responsible for the various components of the program. The activities of these committees shall be coordinated with those of Associate Deans, Assistant Deans or Program Directors. Reports summarizing the activities of the standing

administrative committees shall be made each year to the appropriate standing committee of the faculty.

- 4.2 Appointment: Administrative Committees shall be appointed annually by the Dean after consultation with the Division Chairs and Department Heads.

## ***SECTION IV***

### ***ORGANIZATIONAL STRUCTURE OF THE SCHOOL OF DENTAL MEDICINE***

#### **Article One - Purpose**

The Faculty shall be organized into various academic departments that represent the traditional areas of concern of schools of dental medicine. Departments and their subunits called Divisions serve as organizational units that provide a home for faculty members with similar interests, and that establish groups with general competence in specific fields of endeavor.

Departments and their Divisions shall provide personnel for educational and other activities that are organized as interdepartmental or interdisciplinary programs.

#### **Article Two - Structure**

There shall be departments of Craniofacial Sciences, Oral Health and Diagnostic Sciences and Reconstructive Sciences. There shall also be divisions within these departments as follows: within Craniofacial Sciences there shall be the Division of General Dentistry, the Division of Orthodontics, the Division of Oral and Maxillofacial Surgery and the Division of Pediatric Dentistry; within Oral Health and Diagnostic Sciences shall be the Division of Endodontology, the Division of Behavioral Science and Community Health, the Division of Oral and Maxillofacial Diagnostic Sciences and the Division of Periodontology; within Reconstructive Sciences there shall be the Division of Prosthodontics and Operative Dentistry. There shall also be departments within the School of Medicine that provide educational programming for the School of Dental Medicine; should it so desire, the School of Dental Medicine may request faculty representation from these School of Medicine departments in its governance or administrative committees or subcommittees.

Faculty from departments where educational or patient care responsibilities require may also be appointed to a Department of Dentistry for purposes relating to the John Dempsey Hospital. Changes in the departmental structure or the creation of new units may be brought about on recommendation of the Dean to the University administration after consultation with the Dean's Advisory Committee.

#### **Article Three - Department Heads**

- 3.1 Duties: There shall be a Department Head who shall serve as the chief executive of each department. The Department Head shall coordinate the activities of the department and shall consult and cooperate with those who are responsible for activities which are organized on a faculty-wide basis. The Department Head shall represent the department on the Dean's Advisory Committee and shall make recommendations as required with regard to appointments, budgetary needs and space needs.

- 3.2 Appointment: The Dean of Dental Medicine shall appoint an *ad-hoc* Faculty Search Committee which will advise the Dean in the selection of a Department Head. This Committee shall submit the names or name or individuals who are considered to be eminently qualified for the position. The Dean shall then make a recommendation for an appointment to the Vice President for Health Affairs for transmittal to the President and by the Board of Directors and/or Board of Trustees.

#### **Article Four- Division Chairs**

- 4.1 Duties: There shall be a Division Chair who shall oversee each division. The division chair shall coordinate the discipline-specific activities of the division in consultation with the Department Head of the department in which the division resides.
- 4.2 Appointment: The dean, in consultation with the Department Head, shall select and appoint a Division Chair.
- 4.3 In those Divisions that by approval of the Dean include subunits called Sections, the Division Chair may, with the agreement of the Dean, designate certain defined authorities or responsibilities to the leader of a section, e.g. a Section Chair. With agreement, the ability to designate such authorities and responsibilities may apply to all aspects and components of the Bylaws where the term 'Division Chair' is used.

### ***SECTION V***

#### ***ADOPTION AND AMENDMENTS***

##### **Article One - Adoption**

The provisions described in these Guidelines shall become effective after approval by the Board of Directors and/or Board of Trustees.

##### **Article Two - Amendments**

These Guidelines, except for Section II, may be amended by two-thirds of the Dean's Advisory Committee present and voting at any meeting for which due notice of not less than one week has been given, subject to the approval of by the Board of Directors and/or Board of Trustees , provided that before transmittal to by the Board of Directors and/or Board of Trustees , any amendment which alters the relationship between the Dean and the Dean's Advisory Committee or the Faculty shall also require the approval of the Dean, and any amendment to Section I, Article 4, shall also require approval of a majority of the total School of Dental Medicine Voting Faculty. A meeting of the Deans Advisory Committee to consider amendment of this document shall be convened by the Dean at his initiative or on the request of either one-third of the Dean's Advisory Committee or one-third of the voting faculty. Amendments to Section I, Article 4, shall be discussed at a general meeting of the School of Dental Medicine voting faculty and will be voted on by mail ballot not less than seven calendar days later. Amendments to Section II shall be made as specified therein.

Approved by the Board of Trustees: 10/11/74.



## **APPENDIX A**

### **CONSTITUTION AND BYLAWS SCHOOL OF DENTAL MEDICINE SENATE**

#### **PREAMBLE**

The Senate is the voice of the faculty and a voice for students in student affairs, pre-doctoral dental education, postdoctoral clinical education, continuing education, research, the academic environment, and similar matters. Through active participation in its Senate, the faculty and students of the University of Connecticut School of Dental Medicine (SDM) ensure the vigor of the School's programs in education, research and patient care. To those ends, the Senate, which was previously called the SDM Council, has been reconfigured, and its Constitution and Bylaws, which govern the election, structure and function of this body, have been rewritten.

Much of the Senate's work will be carried out by its standing Councils and their respective working committees. Service on these Councils and committees affords faculty and students with opportunities to participate directly in setting the direction of the SDM. The Senate will communicate fully and regularly with the faculty and students through open Senate meetings, prompt distribution of their minutes, reports of activities of Senate Councils and committees, and active engagement of Senators with their constituents. The Senate will maintain a dialogue with the administration and Department Heads to facilitate joint initiatives and to allow the faculty and students to deal rapidly and proactively with issues of importance.

Because Senators are elected by and represent their Departments and student bodies, service on the Senate is both an honor and a responsibility to be taken seriously. Attendance by Senators at Senate meetings ensures the energetic function of the body; thus, Senators who fail to attend meetings will be replaced. The faculty and the students of the School of Dental Medicine rely on their elected Senators to be their voices in School governance.

# CONSTITUTION OF THE DENTAL SENATE

## Article 1 – Name

School of Dental Medicine Senate

## Article 2 – Authority and Purpose

The faculty<sup>1</sup> of the School of Dental Medicine (SDM) delegates to the SDM Senate (the Senate) responsibility for establishing faculty policies on academic matters including student affairs, predoctoral dental education, postdoctoral clinical education, and continuing education and for commenting and providing advice on the academic environment and research. The Senate also reserves the right to review and comment on issues pertaining to the School of Dental Medicine, which are of interest.

The policies established by the Senate shall not contradict those established by the Board of Directors or the Board of Trustees, nor shall the actions of the Senate abridge the responsibilities assigned to administrative officers of the University by the Board of Trustees. Such administrative responsibilities include the authority to call meetings of the faculty, to preside at faculty meetings, and to serve, or to have their representatives serve, as non-voting members of all standing committees.

## Article 3 – Membership

The Senate shall consist of fifteen elected Senators from the full- and part-time SDM clinical faculty, seven elected Senators from the full-time basic science faculty, one elected Senator from the predoctoral dental student body, and one elected Senator from the postdoctoral dental student body.

Each of the three Clinical Science Departments in the SDM shall be represented by five Senators; no division shall have more than two Senators. The Basic Science Departments shall be represented by a total of seven Senators. Each Basic Science Department shall have one Senator.

Each Clinical Science Department will elect an alternate Senator who will be responsible for attending Senate meetings in the absence of the regular Senator. The alternate will have voting privileges when substituting for the regular Senator, but only if their vote does not bring the voting rights of a division to more than two votes. The basic science faculty shall elect one alternate Senator. The Dean, Associate Deans, Assistant Deans and Clinical Department Heads of the SDM, and the Executive Vice President for Health Affairs, or their designees, shall be non-voting members of the Senate. The aforementioned SDM officers as well as Department Heads are not eligible for voting membership in the Senate.

## Article 4 – Officers and Responsibilities

The officers of the Senate shall be the Chairperson and the Vice-Chairperson. The Chairperson shall preside over Senate meetings and over meetings of the Steering Committee of the Senate. The Chairperson shall call meetings of the Senate and of the Steering Committee on a regular basis. The Chairperson may call meetings of the SDM faculty. The Chairperson shall be responsible for conducting the elections of members of the Steering Committee and of the Vice-Chairperson. The Vice-Chairperson shall record minutes, shall communicate with the Senate webmaster, and shall preside at Senate meetings in the absence of the Chairperson.

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<sup>1</sup> Faculty members, for the purpose of this document, are defined as those with at least a 50% appointment (paid haltime or more by the University).

## Article 5 – Steering Committee

The Senate shall be guided by a Steering Committee. The Steering Committee shall meet monthly or more frequently if necessary. The Steering Committee shall be responsible for the Senate agenda and for the prior review of matters brought to the Senate for action. The Steering Committee may appoint *ad hoc* committees as necessary.

## Article 6 – Standing Councils and *ad hoc* Committees of the Senate

Standing Councils and *ad hoc* committees of the Senate shall possess suitable representation and expertise to deal with matters within Senate purview. The three standing Councils of the Senate shall be the Council on Education, the Council on Research, and the Council on the Academic Environment. The Council on Education and the Council on Research will be joint Councils, with voting participation of faculty, students, department heads and/or administration (see Council descriptions). There shall be student representation on the Council on Education, and there may be student representation on the Council on Research. These student representatives shall be selected from the appropriate constituencies of predoctoral, resident, graduate, and combined degree students.

## BYLAWS OF THE DENTAL SENATE

### Article 1 – Composition and Election of the Senate

1.1 For voting and election purposes, the SDM faculty consists of Clinical and Basic Science constituencies. The Clinical Science constituency shall comprise all faculty in the Departments of the SDM and their constituent divisions. The Basic Science constituency shall comprise all full-time faculty in the basic science departments of the School of Medicine. Any faculty member with a joint appointment in two or more departments shall, for voting and election purposes, be considered a member of the department in which the primary appointment is held.

1.2 The Clinical Science constituency shall have five Senators from each of the SDM's three clinical departments, with no more than two Senators from any one division. One of the five Senators from each Department shall be elected from the part-time faculty with at least a 50% appointment in that Department. Each Department shall elect a single alternate Senator. The Basic Science constituency shall have a total of 7 Senators, one each from the seven Basic Science departments. The Basic Science constituency shall elect one alternate Senator.

1.3 Election of the faculty Senators shall be by ballot of the faculty within the appropriate department. Each department will decide on the mechanism for electing their Senators, as well as their alternate.

1.4 All faculty Senators shall be elected for three-year terms, which start July 1 and end June 30. Approximately one-third of the Department Senators shall be elected each year.

1.5 One Senator representing the predoctoral dental student body shall be elected for a one-year term. Predoctoral dental students in the first, second and third year classes are eligible to vote and stand for election. The election shall be conducted by the Dean and shall employ a two-ballot system<sup>2</sup>.

1.6 One Senator representing the postdoctoral dental student body<sup>3</sup> shall be elected for a one-year term. Students with at least one year remaining in their program are eligible to vote and stand for election. The election shall be conducted by the Dean and shall employ a two-ballot system.

1.7 If the number of departments in the Clinical or Basic Science constituencies changes, departmental representation shall be adjusted (increased or decreased as necessary) so that the total number of Senators in that constituency remains the same.

1.8 Election of the Senators shall occur no later than May.

1.9 If a vacancy in the Senate occurs, it shall be filled for the period of the unexpired term by the alternate from the appropriate constituency or by a special departmental election if the alternate is either unavailable or no longer eligible.

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<sup>2</sup> A nominating ballot is circulated to the eligible voting constituency. The names of six members of the constituency with the most votes are placed on a second ballot to stand for election after ascertaining the candidates' willingness to serve. The candidates with the most votes on the second ballot shall be elected.

<sup>3</sup> Postdoctoral dental students include dental residents, postdoctoral students in clinical certificate programs, advanced degree programs or combined certificate/degree programs, but not postdoctoral research fellows.

1.10 Alternate status shall terminate at the end of one year or when the alternate is called upon to fill the unexpired term of a Department Senator. Until called upon to serve, alternates shall not have a vote in the Senate.

1.11 An alternate Senator may attend Senate meetings in place of a Department Senator when the Department Senator is unable to attend. The alternate Senator will have voting privileges when serving as a substitute for the Department Senator.

1.12 Any Senator who has two successive unexcused absences<sup>4</sup> or who attends less than fifty percent of Senate meetings in a year shall be dismissed by the Steering Committee.

1.13 All members of the Senate, including its officers and Council and committee members, shall serve until succeeded by newly elected members.

## Article 2 – The Election and Duties of the Officers

2.1 The Senate shall elect a Chairperson to be its presiding officer and to chair the Steering Committee of the Senate (the Steering Committee). The Chairperson must be a member of one of the constituencies described in Article 1.1 of the Bylaws. In June, the Dean shall convene a special meeting of the new Senate, elected in May, to nominate and elect its Chairperson. If, at the June meeting, no candidate receives the votes of a majority of the entire Senate, a vote of the entire Senate shall be taken by a mail ballot listing the names of the two candidates with the highest numbers of votes. The Chairperson's term of office shall be two years, starting July 1 after the election. No Chairperson shall serve more than two consecutive terms.

2.2 Following the May election of Senators, the newly constituted Steering Committee (see Article 3.1) shall elect, from its membership, a Vice-Chairperson of the Senate to preside in the absence of the Chairperson and to record the minutes of Senate and Steering Committee meetings. Minutes of meetings shall be submitted to the appropriate body for approval by a vote of the majority of those in attendance. The Vice-Chairperson's term of office shall be one year, starting July 1 following election.

2.3 Upon their agreement to serve, each newly elected Senator will receive a package which will consist of the following documents: (1) a cover letter in which the specific duties, responsibilities and expectations of Senators are delineated; plus copies of (2) the SDM Senate Constitution and Bylaws; (3) the Guidelines of the University of Connecticut School of Dental Medicine; and (4) Robert's Rules of order.

## Article 3 – The Election and Duties of the Steering Committee

3.1 The Steering Committee shall consist of six elected members, all of whom are voting members. Five of the six elected members shall be elected by and from the Senators. The sixth shall be one Clinical Department Head from the SDM, elected by the three Department Heads. The Dean of the SDM and the Chairperson of the Senate shall be non-voting members of the Steering Committee. The Chairperson of the Senate shall conduct the election of the Faculty members of the Steering Committee, following the May election of Senators. In the event of a tie vote for the final position, the names of those tied shall appear on a second ballot. Of the five elected faculty members of the Steering Committee, two members must be from the Basic Science constituency and three from the Clinical Science constituency. The Steering Committee members shall serve terms of one year, and no member shall serve more than three consecutive terms.

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<sup>4</sup> An unexcused absence occurs when a Senator fails to notify the Chairperson, Vice-Chairperson or Administrative Assistant when an absence is anticipated or could not be avoided.

3.2 The Steering Committee, at any time, may appoint *ad hoc* committees to deal with issues of importance to the faculty and students. The Steering Committee shall submit the names of the Chairpersons and the members of any *ad hoc* Senate committees for approval by a majority vote of those in attendance at the next regularly scheduled meeting of the Senate. The Steering Committee may appoint faculty or students with appropriate expertise to any *ad hoc* Senate committee.

3.3 The Steering Committee shall meet monthly, at a minimum, and set the agenda for Senate meetings.

3.4 The Steering Committee, when appropriate, may refer new business directly to a Senate Council or committee for review. The Steering Committee shall provide oversight for Senate Councils and committees through regularly scheduled or *ad hoc* meetings with the Council or committee Chairpersons.

3.5 The Steering Committee shall recommend and forward to the Senate for confirmation the names of SDM faculty members who will serve as Senate representatives on UCHC and University Institutional committees as required.

3.6 To provide continuity when the Senate Chairperson is replaced, the previous Senate Chairperson shall serve on the Steering Committee, without a vote, for one year.

#### Article Four – General Rules

4.1 Any member of the faculty or student bodies who wishes to submit an item of new business for the Senate's consideration shall submit it either to a Senator or to the Steering Committee for presentation at the next meeting of the Senate. New business shall be presented to the Senate for discussion, then shall be referred to the appropriate Council of Senate for review if necessary, and finally shall be presented at the next meeting of the Senate for a vote. Alternatively, with the approval of two-thirds of the Senators present, new business may be voted on at the time of its presentation to the Senate.

4.2 Attendance by fifty percent of the duly elected Senators shall constitute a quorum for conducting Senate business.

4.3 A simple majority vote of the quorum of the Senators present and voting shall suffice for Senate business, except when stated otherwise in these Bylaws or when dictated, for procedural reasons, by Robert's Rules. In the absence of a quorum, votes on pressing business shall be conducted by a mail ballot.

4.4 Regular meetings of the Senate shall be convened monthly, with the exception of May, when no regular meeting is scheduled. Special meetings of the Senate may be called by the Steering Committee, by the Chairperson with the support of a majority vote of the Steering Committee, or by the President of the University, the Executive Vice-President for Health Affairs, the Dean of the SDM, or by a request to the Dean from one-third of the SDM faculty or one-third of either student constituency.

4.5 Senate meetings shall be open to faculty, predoctoral students, dental residents and graduate students, and to members of the Board of Directors and the Board of Trustees, as observers. The privilege of addressing the Senate may be extended to observers by a majority vote of the Senators present.

4.6 Any proposals approved by the Senate, which require administrative or departmental implementation, shall be sent to the Dean of the School of Dental Medicine and to other appropriate administrators or Department Heads for their action. The Dean, other administrator or Department Head shall inform the Senate of progress toward the implementation of its proposals at the next meeting of the Senate, or within a time frame designated by the Senate.

4.7 In the event of a conflict between the administration and the Senate, or Department Heads and the Senate, e.g. in the administrative or departmental implementation of a Senate-approved proposal, an *ad hoc* committee consisting of three Senators, appointed by the Steering Committee, and three representatives of the administration, appointed by the Dean, shall endeavor to reach a mutually agreeable resolution of differences. Such resolution of differences will be reported in a timely fashion by the *ad hoc* committee to the Senate. If no satisfactory resolution can be reached, the following grievance procedure shall be followed: If a two-thirds majority or more of the Senate supports the grievance, it shall be presented to the Board of Directors of the Health Center, or its designee, who may choose either to hear the grievance, decline to hear the grievance, mediate the grievance or to refer it (e.g. to their Academic Affairs subcommittee or other appropriate body).

4.8 There shall be a Senate website. The minutes of the Senate, Steering Committee and standing committee meetings shall be posted on the Senate website and available to all members of the constituencies represented.

4.9 The Senate can be dissolved only with the approval of two-thirds of its total membership. If dissolved, an election shall be held within 30 days to form a new Senate for the remainder of that year. One-, two- or three-year terms of office shall be assigned by the Dean, by lot.

#### Article Five – Amendments

5.1 Amendments to the structure or operation of the Senate, as defined in this document, may be proposed if supported by the votes of two-thirds of the Senators present or one-third of the SDM faculty as defined in Article 1.1 of the Bylaws.

5.2 A meeting of the faculty shall be convened by the Dean to consider such amendments. The Dean shall preside, and the only business of the meeting shall be the discussion of the proposed amendment(s). If revisions to the proposed amendments or revisions of other sections of the Constitution and Bylaws are suggested, any changes must be approved as described in Article 5.1 of the Bylaws, and discussed by the faculty at a meeting convened by the Dean.

5.3 The proposed amendment(s) shall be voted on within seven calendar days following the faculty meeting. Adoption of amendments shall require the affirmative votes of two-thirds of the Senators and the affirmative votes of a majority of the SDM faculty as defined in Article 1.1 of the Bylaws.

5.4 This document and subsequent amendments shall require approval by the Board of Directors and/or the Board of Trustees as specified in the Bylaws of the University of Connecticut before they become effective.

Approved by BOD: June 11, 2007

## COUNCIL ON THE ACADEMIC ENVIRONMENT

### A Standing Council of the School of Dental Medicine Senate

- Name of Council:** Council on the Academic Environment
- Composition:** The Council on the Academic Environment shall consist of six faculty members, four of whom are from School of Dental Medicine (SDM) Clinical Departments and two from Basic Science Departments. Eligibility for Council membership is restricted to voting faculty who do not hold simultaneous administrative appointments.
- Selection:** The selection of the Council shall be by the two-ballot method<sup>2</sup>. Each Council member shall serve three years, with two members elected each year. Initially, two members will serve for one year, two for two years and two for three years. The initial terms of office will be determined by lottery. No faculty member may serve more than two consecutive terms.
- Election of Council members shall take place in June, and the election shall be conducted by the Senate Chairperson. The newly-elected committee members will assume their duties on July 1. Vacancies shall be filled for the period of the unexpired term by a special election.
- The Council chairperson shall be selected by the committee members.
- Reports to:** The Council reports to the SDM Senate. The Council chairperson will meet with the Steering Committee at least quarterly to report on the Council's activities. Minutes of the Council meetings, and recommendations approved by the Senate, shall be posted on the Senate website which will be accessible to all faculty, and to enrolled students/residents.
- Duties:** The duties of this Council are to discuss matters of significant interest to the faculty and to relay its findings and views to the Senate. Such matters are specifically defined neither in the University Laws and By-Laws nor in the Guidelines of the SDM.

Approved by BOD: June 11, 2007



## COUNCIL ON EDUCATION

### A Joint Standing Council of the School of Dental Medicine Senate and Administration

- Name of Council:** Council on Education
- Composition:** The Council shall consist of 8 faculty members, one predoctoral student, one postdoctoral student, one School of Dental Medicine (SDM) department head, the Associate Dean for Education and Patient Care (or administrative leader(s) with equivalent responsibility in academic affairs and clinical affairs), and the Dean for Academic Affairs of the School of Medicine. Each of the three SDM clinical departments will be represented by two faculty members, and the seven basic science departments will be represented by a total of two faculty members. All Council members shall have voting privileges. The Council shall elect a chairperson from among its SDM faculty members, including those holding administrative positions.
- Selection:** Faculty Council members shall be elected by the faculty of their respective departments. The elections will be held in June, and the elected faculty member will assume his/her duties on July 1. One representative from each SDM department will be elected each year, and will serve a term of two years. No faculty member may serve more than three consecutive terms. The SDM department head representative shall be selected by the three department heads, and must not be a member of any other SDM Senate Council. The student members will be selected by the Associate Dean for Education and Patient Care (or administrative leader with equivalent responsibility in academic affairs) . The Council members must have appropriate expertise and interest in education, and must communicate the activities, recommendations and decisions of the Council to their departmental colleagues.
- Reports to:** This Council reports to the SDM Senate. Council activities and recommendations will be communicated regularly to the SDM administration. The Council chairperson will meet with the Senate Steering Committee at least quarterly to report on the Councils' activities. Minutes of the Council meetings, recommendations and decisions of the Council will be posted on the Senate website which will be accessible to all faculty, and to enrolled students/residents.
- Duties:** This Council will meet at least monthly to oversee the development, modification, evaluation and measurement of educational programs at all levels: predoctoral, postdoctoral, continuing, and other related programs in the SDM. The Council is, thus, authorized to recommend policies and procedures for educational programs, admission, evaluation and promotion of students. The Council also may recommend the development or elimination of courses as the requirements of students, the SDM, and the profession change with time. To aid in its charge, the Council may appoint subcommittees (e.g. Predoctoral Education, Postdoctoral Education, Continuing Education, and Educational Review) composed of faculty members and administrators with appropriate expertise and students from appropriate constituencies. The Chairperson of the Council on Education will

serve as liaison to the Offices of Faculty Development and Continuing and Community Education in the School of Medicine.

Implementation of policies and procedures established by the Senate will be the responsibility of the Dean, who may elect to charge administrative committees or staff with specific tasks. These administrative committees may, at the discretion of the Dean, include members of the Senate or its Councils or committees. Senate representation serves as a conduit between related Councils and committees, and ensures that implementation strategies employed by administration are consistent with the policies and direction set by the Senate.

Approved by BOT: June 11, 2007

## COUNCIL ON RESEARCH

### A Joint Standing Council of the School of Dental Medicine Senate and Administration

**Name of Council:** Council on Research

**Composition:** This Council shall consist of one member from each of the three departments of the School of Dental Medicine (SDM), one member from each of the type 2 centers of the SDM, one SDM department head, two members representing the basic science departments, the Associate Dean for Research of the SDM and the Associate Dean for Research and Planning of the School of Medicine. All Council members shall have voting privileges. The Council shall elect a chairperson from among its SDM faculty members.

**Selection:** SDM faculty Council members shall be elected by the faculty of their respective departments and centers. The basic science faculty members will be elected from among all of the basic science faculty. The elections will be held in June, and the elected faculty member will assume his/her duties on July 1. Faculty members will serve a term of three years; no faculty member may serve more than two consecutive terms. The SDM department head representative shall be selected by the three department heads, and must not be a member of any other SDM Senate Council. The Council members must have appropriate expertise and interest in research, and must communicate the activities, recommendations and decisions of the Council to their departmental colleagues.

**Reports to:** This Council reports to the SDM Senate and the SDM administration. The Council chairperson will meet with the Steering Committee at least quarterly and with the SDM Executive Committee on an as needed basis to report on the Council's activities. Minutes of the Council meetings, recommendations and decisions of the Council will be posted on the Senate website which will be accessible to all faculty, and to enrolled students/residents.

**Duties:** This Council will meet at least monthly to initiate, develop, recommend and evaluate policies concerning all aspects of research. Additionally, the Council will promote SDM research initiatives, SDM interests in strategic and signature program initiatives, technology transfer, and faculty mentoring and collaborative relationships. To aid in its charge, the Council may appoint subcommittees composed of faculty members and administrators with appropriate expertise and students from appropriate constituencies.

Approved by BOD: June 11, 2007

# SCHOOL OF DENTAL MEDICINE SENATE

## Senate Membership

- 15 elected Senators from the full and part-time SDM clinical faculty
  - 7 elected Senators from the full-time Basic Science faculty
  - 1 elected Senator from the predoctoral dental student body
  - 1 elected Senator from the postdoctoral dental student body
- Total: 24 members**

## Standing Councils

<b>COUNCIL ON EDUCATION</b> <b>Total: 13 members</b>
<ul style="list-style-type: none"><li>• 8 faculty members</li><li>• 1 predoctoral student</li><li>• 1 postdoctoral student</li><li>• 1 SDM Department Head</li><li>• Associate Dean for Education and Patient Care</li><li>• Associate Dean of Academic Affairs of the School of Medicine</li></ul>

<b>COUNCIL ON ACADEMIC ENVIRONMENT</b> <b>Total: 6 members</b>
<ul style="list-style-type: none"><li>• 4 faculty from SDM Clinical Departments</li><li>• 2 faculty from Basic Science Departments</li></ul>

<b>COUNCIL ON RESEARCH</b> <b>Total: 9 members</b>
<ul style="list-style-type: none"><li>• 1 member from each of the three SDM Departments</li><li>• 1 member from each of the Type 2 centers of the SDM</li><li>• 1 SDM Department head</li><li>• 2 faculty from the Basic Science Departments</li><li>• SDM Associate Dean of Research</li><li>• School of Medicine Associate Dean for Research and Planning</li></ul>

Note:

Revised July, 2011 to reflect current position title and organizational structure

## APPENDIX B

### ORGANIZATION OF BASIC SCIENCE TEACHING

[June 23, 2011 Note: Appendix B was not updated in the SDM Bylaws update and revision of Summer 2011. Revision was not pursued in the 2011 SDM Bylaws update project as this Appendix refers to both the School of Dental Medicine and School of Medicine; therefore, revision could not be undertaken independently by the School of Dental Medicine. ]

#### **Basic Premises:**

The Schools of Medicine and Dental Medicine recognize the importance of reaching an agreement on the teaching of the Basic Sciences as an initial step in the simultaneous development of the two new schools.

After giving due consideration to existing practices in other institutions, to the desire to obtain the highest quality of faculty, and to the philosophies and objectives of the individual schools, it is agreed that the Basic Science Departments, Anatomy, Biochemistry, Physiology, Microbiology, Pharmacology, Pathology and *Research in Health Education<sup>a</sup>* will be administered as described in the following statements.

#### **Organization of Basic Science Departments:**

1. There will be several departments in the Basic Science area, their number and character to be determined according to the progress of planning. Anatomy, Biochemistry, Physiology, Pharmacology, Microbiology, Pathology, and *Research in Health Education<sup>a</sup>* will be represented together with what others seem appropriate in the fullness of time.
2. For administrative purposes these departments will be in the organization of the School of Medicine, and the chairman of each department will report to the Dean of the Medical School. Names of faculty members in all Basic Science departments will be listed in the bulletins of both Schools, as members of the faculty of each School.
3. Faculty personnel in each department will consist of a chairman, several senior members (professors and associate professors), and several junior members (assistant professors and instructors).
4. Selection and promotion of faculty:
  - a. Chairman: The Dean of Medicine will appoint a Search Committee to advise him in the selection of a department chairman. The Dean of Dental Medicine shall name one member of this Search Committee. When the report of the Search Committee is submitted the Dean of Medicine must consult with the Dean of Dental Medicine before recommending the appointment to the President. Should the recommendation of the Dean of Medicine be seriously at variance with the opinion of the Dean of Dental Medicine, the latter has the right to present his view also to the President.
  - b. Senior Faculty: The Dean of Medicine will appoint an *ad-hoc* committee, one member of which will be named by the Dean of Dental Medicine, to examine qualifications of candidates for appointment or promotion at the senior level, and to make recommendations to the Dean. Before acting on these recommendations, the Dean of Medicine must consult with the Dean of Dental Medicine. Should the action following such consultation be seriously at variance with the opinion of the Dean of Dental Medicine, the latter has the right to appeal such action to the President.

- c. Junior Faculty: These will be appointed by the Dean of Medicine on the recommendation of the department chairman. When he deems it appropriate the Dean of Medicine may consult with the Dean of Dental Medicine before acting on any appointment of promotion within the junior level.
5. The Chairman of each Basic Science department will present the recommended budget to the Dean of Medicine. The latter will consult with the Dean of Dental Medicine to determine the amount of each departmental budget. Under ordinary circumstances, each departmental budget will be allocated to the budgets of the two Schools, in proportion to the respective number of undergraduate students, but there special circumstances make it advisable there may be an unequal allocation.

### **Basic Science Program Organization**

1. A Committee on Medical Education of the School of Medicine will have as its responsibility the overall educational program of the Medical School. Its membership will include the Associate Dean for Undergraduate Dental Education. The Basic Science Program will be determined in its broad aspects by this committee, subject to approval by the School of Medicine faculty. Where the program is deemed unsuitable by the Associate Dean for Dental Education who shall have the right of appealing the decision of the CME to the President.
2. Should the Medical Basic Science Program, as it develops in ways appropriate to medicine, come to contain segments inappropriate for dental education, it is understood that the School of Dental Medicine may choose to organize, staff and support programs more suitable to its needs.

Approved by the Health Center Planning Committee: 9/30/65  
Updated-12/4/73

Approved by the Board of Trustees: October 11, 1974

- a) Approved by the Board of Trustees January 4, 1990: The closure of the Department of Research in Health Education.

## APPENDIX C

### DEPARTMENT OF DENTISTRY

The Department of Dentistry shall be an organizational entity within the School of Dental Medicine. The purposes shall be to facilitate access by School of Dental Medicine faculty to the University's John Dempsey Hospital as part of their educational and patient care responsibilities and to enhance compliance with various standards, rules and regulations which govern the operation of hospitals.

The Department of Dentistry is not intended to have the same scope of academic and administrative responsibility as the principal academic departments of the School.

1. Membership

Faculty holding primary academic appointments in any of the other departments of the School of Dental Medicine may also be appointed to the Department of Dentistry for the above stated purpose. Appointment will require successful completion of the John Dempsey Hospital's credentialing process and the approval of the head of the department in which the faculty holds their primary appointment and the Dean of the School of Dental Medicine. It is expected that all faculty who have the need to admit patients, provide consultation for inpatients and/or utilize the hospital's same-day surgery facility would apply for appointment.

2. Organization

The Dean of the School of Dental Medicine or his/her designee will serve as Head of the Department of Dentistry and Chief of Dentistry, John Dempsey Hospital. The Chief, with the concurrence of the Dean, will be responsible for the appointment of department members to appropriate hospital committees. In addition, the Chief will be responsible for convening meetings of the Department, carrying out the Department's responsibilities under Quality Assurance and such other duties and responsibilities as provided for in the Bylaws of the Medical Staff of the University Hospital.

Approved: Board of Trustees  
September, 1988

**APPENDIX G -SCHOOL OF MEDICINE  
OR  
APPENDIX D -SCHOOL OF DENTAL MEDICINE**

**THE ESTABLISHMENT AND GOVERNANCE OF CENTERS**

[June 23, 2011 Note: Appendix D was not updated in the SDM Bylaws update and revision of summer 2011. Revision was not pursued in the 2011 SDM Bylaws update project as this Appendix refers to both the School of Dental Medicine and School of Medicine; therefore, revision could not be undertaken independently by the School of Dental Medicine. ]

**I. Definitions**

USE OF THE WORDS "CENTER" AND "INSTITUTE": There are external reasons which require the free use of these words. Thus, while a "Center" grant may be administered entirely within one department, it would cause unnecessary confusion and even institutional harm if such usage were not allowed. Therefore, no limitations shall be placed on the free use of the words, "Center" or "Institute", whenever the use of such a term is advantageous to the University.

For internal use, centers and institutes shall be categorized by type number for purposes of describing their administrative structure. Two types are identified and defined as follows:

**Type I Center:** A Type I Center is a center of activity administered within the usual and customary structure of a department. The center itself by agreement among the heads of the relevant departments and the Center Director may consist of faculty members of more than one department or school. However, the heads of the departments, which contribute faculty, must agree in advance that the center will exist within the administrative structure of one of the departments. The head of that department shall accept administrative responsibility for the center. The heads will need to agree to matters such as resource allocation and conditions for continuing or discontinuing the center. No special approval of the dean(s) is required apart from the usual and customary reporting responsibility of the department head. Article XIII of the Bylaws of the Board of Trustees does not apply to Type I Centers.

**Type II Center:** A Type II Center may be created by the dean(s) when a university activity (research, service or outreach) cannot flourish within existing academic structures. The director of such a center reports directly to the dean of either school and the administrative structure exists outside of departments. If a Type II Center has faculty from both the Dental and the Medical Schools, the two deans shall agree in advance as to which dean shall be the responsible dean. Faculty members may participate in Type II Centers with the agreement of their department heads, who remain responsible for assignment of their duties and for promotion and tenure. Creation of Type II Centers shall require a written plan or description of their purposes and resources, approval by a majority of the relevant Dean's Advisory Committee(s), and approval by the relevant dean(s). Type II Centers shall be periodically reviewed by the dean and the results of such review shall be transmitted to the DAC(s). Type II Centers may be dissolved at the discretion of the responsible dean.



## **II. Mechanism for Establishment of a UCHC Center**

### **TYPE I CENTER**

A formal written agreement is required. The form of the inter-departmental agreement outlining the structure and governance of a Type I center shall be decided on an *ad-hoc* basis by the relevant department heads and the Center Director. The agreement shall be shared with the Dean and DAC for informational purposes.

A formal written proposal is required.

#### Content

1. Rationale, including a statement of the purpose of the center and the reason that the proposed activity cannot flourish within existing academic structures.
2. Relation to existing departmental and center programs.
3. Reporting relationships, including budgetary responsibilities.
4. Governance.
5. Requested institutional resources.
6. Extramural and intramural start-up and continuing funding.
7. Participation of departmental faculty, including time commitments, salary sources and distribution of grant and clinical income.
8. Academic development and academic responsibilities (including teaching) of involved faculty.
9. Time line of anticipated accomplishments.
10. Time line and mechanism of periodic review.
11. Guidelines to be followed if the center is dissolved, including the nature of any departmental responsibility for the affected faculty.

## **III. Review**

Type II proposals are to be presented to the dean(s), who will then initiate a formal review. Relevant school committees and department heads shall participate in the review. Their findings shall be forwarded to the dean. If the dean judges the proposal to have merit, the dean shall transmit these findings along with the proposal to the DAC(s).

Approved: BOT 9/1/94

## **APPENDIX E**

### **School of Dental Medicine**

#### **Guidelines for Types of Faculty Appointments**

##### **I. Purpose**

The Guidelines of The University of Connecticut School of Dental Medicine (SDM) recognizes three broad types of faculty appointments: a) Tenurial or Tenure Track, b) In-Residence and c) Clinical Category. Tenurial faculty must be “full time” while In-Residence and Clinical Category faculty may be “full time” or “part time”. (Section 1 Faculty, School of Dental Medicine By Laws). Within these three broad classifications or types of faculty appointments it is possible to identify multiple categories of faculty whose efforts directed to teaching, research, service to the institution and patient care can vary significantly. The purpose of this appendix which sets forth these tracks is to 1) recognize the diversity of faculty contributions, 2) serve as a basis for allocating faculty resources consistent with program priorities, 3) provide a framework for better relating the criteria for promotion and tenure to school and departmental expectations of faculty and 4) facilitate the setting of expectations and the evaluation of performance of departments programs and the SDM itself. This Appendix describes how existing University of Connecticut, University of Connecticut Health Center (UCHC) and SDM policies regarding types of appointments and tenure relate to each of the proposed faculty tracks.

##### **II. Faculty Appointments and Tracks**

###### **A. Tenurial or Tenure Track Faculty**

Faculty in this appointment type will be specifically appointed in the following tracks or sub categories: Dentist-Scientist; Clinician Scholar; Research Scientist or Leadership. Such faculty will hold the rank of Assistant Professor, Associate Professor or Professor in accordance with criteria recommended by the Dental Dean's Advisory Committee (DAC) and approved by the Dean. With the exception of special appointments clearly limited to a temporary association with the institution, such faculty will be eligible for appointment with tenure according to regulations regarding academic appointment and tenure as described in The University of Connecticut Laws and Bylaws (Section XIV.C.,2009) and will be subject to the terms and conditions of Article Two of The University of Connecticut School of Dental Medicine Guidelines (1988)Consistent with Article Two of the SDM Guidelines criteria used in making decisions regarding promotion and/or tenure must be weighted according to the candidates effort in teaching, research, patient care and other professional activities. The actual activities and apportionment of effort in the area of academically related professional development will be

determined for individual faculty through discussions with and the concurrence of the Department Head and Division Chair in the unit which the faculty member holds their primary appointment.

Efforts for faculty in the various faculty tracks may be individualized and should be clearly described in letters of appointment. In the absence of documentation to the contrary, efforts for faculty in the various faculty tracks will be weighted according to the following standard time and effort profile specified for each faculty track:

*Research Scientist:* 80% research, 10% teaching, 5% institutional service, 5%-other academically related professional development activities <sup>1</sup>

*Dentist-Scientist:* 50% research, 20% teaching, 15% institutional service, 15%-other academically related professional development activities <sup>1</sup>; *Clinician-Scholar:* 50% teaching, 15% institutional service, 35% other academically related professional development activities<sup>2</sup>.

*Leadership:* (See section 1 D Leadership) Dean, 65% administration; Associate or Assistant Dean, 50%; Department Head or Division Chair (or other leadership positions as specifically determined by the Dean, e.g. center directors, section chairs), 35% administration; other Appointments, 15% administration.

## **B. In-Residence Faculty**

The guidelines for appointment to In-Residence positions are described in the Guidelines Section 1, Article 2. Faculty in this appointment type will be specifically appointed in one of the following tracks or subcategories: Dentist Scientist; Research Scientist; Clinician Scholar; Research Development or Leadership. Such faculty will hold the rank or title of Assistant Professor In-Residence, Associate Professor In-Residence or Professor In-Residence in accordance with criteria recommended by the SDM's Dean's Advisory Committee (DAC) and approved by the Dean. Appointments will be for periods as determined by the Dean as follows: up to one year for Assistant Professor In-Residence; up to three years for Associate Professor In-Residence; and up to five years for Professor In-Residence. In all cases appointments will be renewable contingent upon satisfactory performance and availability of funds. In-Residence faculty will not be eligible for appointment with Tenure (The University of Connecticut Laws and Bylaws, Section XIV.C., 2009).

Efforts for faculty in the various faculty tracks may be individualized and should be clearly described in letters of appointment. In the absence of documentation to the contrary, efforts for

faculty in the various faculty tracks will be weighted according to the following standard time and effort profile specified for each faculty track:

*Research Scientist:* 80% research, 10% teaching, 5% institutional service, 5%-other academically related professional development activities <sup>1</sup>

*Dentist Scientist:* 50% research, 20% teaching, 15% institutional service, 15% other academically related professional development activities <sup>1</sup>;

*Clinician-Scholar:* 50%- teaching, 15%- institutional service, 35%- other academically related professional development activities<sup>2</sup>.

*Leadership:* (see section 1 D Leadership) Dean, 65% administration; Associate or Assistant Dean, 50%; Department Head or Division Chair (or other leadership positions as specifically determined by the Dean, e.g. center directors, section chairs), 35% administration; other appointments, 15% administration.

<sup>1</sup> academically related professional development activities for Dentist-Scientists and Research Scientists include but are not limited to professional consulting authorized by the Dean and within the limits imposed by UCHC policy acquiring additional important to the mission of the school through continuing education courses or similar or skills patient care, preparing manuscripts and grant applications, conducting research developing educational materials or programs and presentations for professional meetings.

<sup>2</sup> academically related professional development activities for Clinician-Scholars include but are not limited to conducting research and other activities such as professional consulting authorized by the Dean and within the limits imposed by UCHC policy, acquiring additional clinical, research or, educational knowledge or skills, patient care, preparing manuscripts and grant applications developing educational materials or programs and presentations for professional meetings.

### **C. Clinical Category:**

The guidelines for appointment to Clinical Category positions are described in the guidelines Section I, Article 3. Faculty in this appointment type will have few if any academic responsibilities in classroom-based teaching, research and or service and will have the majority of their effort (e.g. 95% effort) devoted to patient care, clinical instruction or clinical administration. Such faculty will hold the rank or title of Clinical Assistant Professor, Clinical Associate Professor, or Clinical Professor in accordance with criteria recommended by the Dental Dean's Advisory Committee (DAC) and approved by the Dean. Appointments will be for periods as determined by the Dean as follows: up to one year for Assistant Professor In-Residence; up to three years for Associate Professor; and up to five years for Professor. In all cases appointments will be renewable contingent upon satisfactory performance and availability of funds. Clinical Category faculty will not be eligible for appointment to tenure.

Efforts for faculty in the Clinical Category of appointment may be individualized and should be clearly described in letters of appointment. In the absence of documentation to the contrary, efforts for faculty in the various faculty tracks will be weighted according to the following standard time and effort profile specified for each faculty track:

Clinician, Clinical Instructor, or Clinical Administration: 95% patient care, instruction or administration; 5% teaching or institutional service.

### **III. Additional Information**

#### **A. Instructors**

Eligible individuals may be appointed as Instructors. The Instructor position is a unique faculty position that is structured to be of a short-term or interim basis. The Instructor position may also be utilized as a developmental appointment of limited duration over which a faculty member may qualify, as determined by the Dean, for appointment as an Assistant Professor in one of the three traditional types of appointments. The Dean may appoint both Clinical Instructors and Research Instructors. Appointments may be made for short periods of several weeks or months and in no case greater than one year. Appointments may be terminated for any reason as determined by the Dean; appropriate notice of termination must be given as determined by the University of Connecticut Health Center policy.

Specific school policies and expectations apply to the position of Research Instructor. A specified profile of scholarly activity and achievement is expected within the first two years of appointment as a Research Instructor; if not achieved, the appointment is subject to termination.

Efforts for Instructors may be individualized and should be clearly described in letters of appointment. In the absence of documentation to the contrary, efforts for faculty termed Instructors will be weighted according to the following standard time and effort profile specified for each faculty track:

*Clinical Instructor:* 95% patient care; 5% other effort

*Research Instructor:* 95% research; 5% other effort.

## **B. Leadership Track**

The leadership track is reserved for senior faculty with major administrative responsibilities. Individuals in this track will hold a senior rank (i.e. associate professor or professor) in either a Tenurial or In-Residence type appointment. . Criteria used in making decisions regarding promotion must be consistent with those described in the guidelines and must be weighted according to the effort by the individual in teaching, research, patient care and other professional activities.

In the absence of documentation to the contrary, efforts for faculty in this track will be weighted according to the standard time and effort profile specified for each faculty track in Section II.A above with appropriate additions to institutional service for administrative contributions not to exceed 65% for Dean, 50% for Associate/Assistant Dean, 35% for Department Head and 15% for others as determined by the Dean in consultation with their Department Head.

## **C. Emeritus Designation**

Individuals will be appointed as emeritus faculty according to the terms and conditions outlined in The University of Connecticut Laws and Bylaws (Twelfth Edition 1985).

## **IV. Transfers Between Tracks Within the SDM's (3) Broad Types of Faculty Appointments, i.e. Within Tenurial Appointments, In-Residence Appointments and Clinical Category Appointments**

### **A. Transfer Between Dentist-Scientist and Clinician-Scholar Tracks**

Transfer from the Dentist-Scientist track to the Clinician-Scholar track will be considered if the individual does not have funded research to justify the allocation of 50% effort to research and either has not submitted a grant with a request for personal salary support approved or funded over the past 3 years. In order to transfer, the individual should be recognized as having a high level of contemporary clinical knowledge and skills and demonstrated proficiency as a teacher.

Transfer from the Clinician-Scholar track to the Dentist-Scientist track will be considered on request if the clinician-scholar has received recurrent peer-reviewed grant funding with personal salary support for a three-year period.

**B. Leadership Track Transfers**

Transfer to the leadership track shall be made upon appointment by the Dean of an individual to a position having major administrative responsibilities. Transfer out of the Leadership track will occur upon discontinuation of the administrative appointment by the Dean. Individuals with tenure will be allowed to return to their previous track provided that they meet the stated criteria for appointment to that track. Individuals who no longer meet the criteria for appointment to their prior track or who want to enter an alternative track will be evaluated and assigned to a track for which they are qualified consistent with the current needs of the SDM.

**C. Other Transfers Between Tracks**

Transfer from the research development or full-time clinician tracks to other tracks will be considered provided that a need for additional faculty of that type has been recognized by the SDM and the faculty member meets the criteria for appointment to the track.

## APPENDIX F

### School of Dental Medicine

#### Post Tenure Review Plan

All tenured faculty members may be subject to post tenure review.

#### A. What will initiate post-tenure review?

The performance of tenured faculty will be assessed annually as described in the school's Faculty Evaluation and Compensation Plan. The final overall rating from this assessment (after all appeals are completed) will initiate post-tenure review under either of the following conditions:

1. The faculty member receives at least two "marginally meets expectation" ratings in a five-year review period that commences when tenure is awarded and is reset after each 5 years. This trigger only occurs at the end of each 5-year cycle.
2. The faculty member receives one "fails to meet expectation" rating. This trigger only occurs at the end of each 5-year cycle. EXCEPTION: during the period July 1, 2005 – June 30, 2010, two consecutive "fails to meet expectations" ratings will be cause for post-tenure review, and in this time interval such review will begin immediately (i.e. doesn't wait for the end of the 5-year cycle).

#### B. Post-tenure Review

1. SAPC will assess the performance of the faculty member over the last 5 years and determine if this is "satisfactory performance" or "unsatisfactory performance" for this time period. Failure of a faculty member to participate in the post-tenure review process will be grounds for a rating of unsatisfactory performance. SAPC will transmit its assessment to the Dean, the Department Chair and to the faculty member. The rating issued by the SAPC may be appealed using the faculty grievance process described in the University's Laws and Bylaws (article XV.T).
2. The criteria for this review will be that the faculty member must make sufficient meaningful contributions to the School's academic mission while taking into account the assigned distribution of effort. Such criteria include, but are not limited to the following:

#### Teaching

- depth of knowledge, currency of information and mastery of the subject matter taught
- organized, lucid and challenging presentations of subject matter
- ability to interrelate material by showing applications and correlations as, for example, between basic science principles and their clinical applications
- development and presentation of electives in field(s) of expertise
- development of innovative teaching methods or materials
- creation of new, combined or integrated courses or other educational experiences
- mentoring relationships with other faculty and/or graduate students
- development and supervision of undergraduate, graduate or postgraduate



laboratory-research or clinical rotations

- development and presentation of continuing education courses
- development of improved evaluation or grading mechanisms
- development of innovative and improved residency programs
- development of innovative mechanisms for the provision of care in an educational context as, for example, student instruction in a faculty practice context
- invited talks at other educational institutions or national and international meetings
- teaching awards

#### Research

- originality and importance of work
- steady, focused, continued productivity
- invitations to contribute (to) reviews, compilations or textbooks
- competitively awarded intra-and extramural grant and contract support
- impact of published work on the research field
- substantive collaborations
- participation in basic science or in clinical research centers
- development of innovative research programs, for example those transferring laboratory findings to the clinic, or employing clinical subjects or novel databases, or extending into the community at large

#### Health Care

- excellence and innovation in patient care
- development of continuing clinical education courses
- significant clinical consultancies (consistent with University of Connecticut School of Dental Medicine and Health Center Policy)
- development and implementation of improved health care programs for underserved patient groups
- skill in comprehensive patient management with medical integration
- election to the staff of external hospitals or other health-care delivery groups

#### Academically Related Professional Development Activities

- acquisition and application of new clinical, educational, research or health care skills, for example, as a mentee or significant collaborator in research
- preparation and submission of manuscripts
- preparation and submission of grant and contract proposals
- additional time spent in teaching, research or health care
- participation and leadership roles in substantive University, local, regional, national and international committees
- editorial or reviewer service for professional books or journals
- service as an ad hoc reviewer study section or as a fixed-term member of a grant review or contract-review
- service as an examiner for specialty boards
- service as a department section or division head
- achievement of diplomat status in area of specialization

3. SAPC may request and/or obtain any information on performance it deems necessary to carry out the post tenure review, but, at a minimum, the following items will be included:

- a. Copies of the faculty member's annual performance ratings as assessed in the Faculty Evaluation and Compensation Plan over the past 5 years.
  - b. A letter from the faculty member's department chair summarizing the individual's activities over the past 5 years including any mitigating circumstances and an evaluation of future prospects for academic success.
  - c. A current curriculum vitae and any other materials the faculty member may choose to submit to assist in assessing past academic performance. Failure to submit such materials in a timely manner will not be cause to delay the final assessment of the faculty member.
4. Within 3 months of the transmission by SAPC of an assessment of "unsatisfactory performance", a "faculty development plan" must be prepared by the department chair and approved by the Dean. Each department will define a procedure for developing such a plan that will in the least involve the chair and the faculty member. If the faculty member fails to cooperate in the development of the plan, the plan may be developed and approved without the faculty member's input.
- a. Within 10 working days of approval of the faculty development plan by the dean, the faculty member may appeal the content of the faculty development plan to the SAPC.
  - b. The goal of the plan is to return the faculty member to a state of satisfactory performance by both the criteria of the Faculty Evaluation and Compensation Plan and the Post-tenure Review process.
  - c. The plan may include reassignment of duties and effort.
  - d. The plan will not be implemented until any final appeal on the SAPC's initial assessment of "unsatisfactory performance" is completed.
  - e. The plan may include metrics. For example, the metrics might be that two NIH grant proposals of reasonable quality are submitted, or that two publications in peer-reviewed journals occur. Unlike criteria for promotion and tenure decisions, such criteria may be specified quantitatively since the overall standard is making sufficient meaningful contributions to the School's academic mission.
  - f. Interim metrics may be assigned for each year of the faculty development plan. For example, while the requirement may only be to submit two reasonably sound NIH grant proposals by the end of year one, obtaining an R01 might be the criteria in year three.
5. SAPC will monitor progress and performance towards the goals of the faculty development plan annually and will transmit its assessment to the dean, department head and faculty member using one of the following categories:
- a. The faculty member's performance has reached the level of "sustained satisfactory performance", in which case the post-tenure review and monitoring process will end and the faculty member will begin a new 5-year cycle of annual

reviews. Subsequent post-tenure review would be triggered by the criteria described in paragraph A (“What will initiate post-tenure review”) above.

- b. The faculty member’s performance in the preceding year adequately addressed the performance metrics in the faculty development plan for that year.
  - c. The faculty member’s performance in the preceding year did not adequately address the performance metrics in the faculty development plan for that year. This assessment may be appealed using the faculty grievance process described in the University’s Laws and Bylaws (article XV.T.)
6. A prolonged failure to contribute to the missions of the schools is deemed as adequate cause for loss of tenure and dismissal from the University for failure to perform one’s duties. In such cases the Dean may initiate dismissal procedures as described in the University Laws and Bylaws (Article XV.F).

Revisions in either the SDM Faculty Evaluation and Compensation Plan or the SDM Post Tenure Review Plan shall be approved by the Dean's Advisory Committee (see Section 3, Article 3) and will be duly noted and dated in the Guidelines of the University of Connecticut School of Dental Medicine.

Approved: UHC Board of Directors, March 1, 2005

## Chronological Record of Revisions:

1. Revision Approved by the Board of Trustees, July 11, 1975.
2. Revision Approved by the Board of Trustees, December 14, 1976.
3. Revision Approved by the Board of Trustees, March 11, 1983.
4. Revision Approved by the Board of Trustees, March 8, 1985.
5. Revision Approved by the Board of Trustees, November 14, 1986.
6. Revision Approved by the Board of Trustees, July 10, 1987.
7. Revision Approved by the Board of Trustees, March 11, 1988.
8. Revision Approved by the Board of Trustees, January 4, 1990.
9. Revision Approved by the Board of Trustees, June 14, 1991.
10. Revision Approved by the Board of Directors, March 1 2005
11. Revision Approved by the Board of Trustees, June 11, 2007.
12. Revision Approved by the Board of Directors, September 12, 2011.