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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 UConn Health and/or the University Board of Trustees as specified in the Bylaws of the University of Connecticut (such boards 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 of Doctor of Dental Medicine; graduate programs and courses approved by the Graduate School and conducted by Faculty members of the School of Dental Medicine; internship and residency programs for continuing education programs in the various dental sciences; rendering patient care in programs established by the School of Dental Medicine; and conducting research in dental and related sciences.

The Voting Faculty of the School of Dental Medicine (see Section I, Article Four) 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, organizational unit leaders, as well as 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 of the University, the Provost, the Executive Vice President for Health Affairs, the Dean, all Professors, Associate Professors, Assistant Professors and Instructors belonging to organizational units within the School of Dental Medicine (see SECTION IV - ORGANIZATIONAL STRUCTURE), 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 Section I. Faculty Holding Tenurial Appointment of the School of Dental Medicine’s document Senior Appointment and Promotions Committee: Principles, Guidelines and Procedures for Appointment, Promotion and Tenure (“SAPC Guidelines”).

2.2 Appointments to In-Residence Faculty positions shall be subject to the guidelines described in Section II. Faculty Holding Non-Tenurial In-Residence Appointment of the SAPC Guidelines document. These guidelines shall 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 respective organizational unit leader with the concurrence of the Dean. Appointments are for a period up to two years 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
Section III. Faculty Holding Non-Tenurial Clinical Category Appointment of the SAPC Guidelines document. These guidelines shall include, but are not limited to, the 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 SAPC Guidelines document.

e. that reappointment and promotion shall be determined by criteria described in the SAPC Guidelines document.

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 and the respective organizational unit leader or their designee, 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 respective unit leadership and the Dean that a Faculty member was initially appointed in the wrong type or category of appointment, a correction of the employment authorization will 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 may be made for a term
of 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 organizational units in the School of Dental Medicine,
and between the School of Dental Medicine and other schools or colleges within the University.

2.8 A clinician who is neither employed by UConn Health affiliated institutions, nor employed as a faculty
member by other units of UConn Health or the University, is eligible for a volunteer clinical faculty
appointment if he or she contributes to the academic mission of the School of Dental Medicine. The
academic ranks for volunteer faculty include Volunteer Clinical Instructor, Volunteer Clinical Assistant
Professor, Volunteer Clinical Associate Professor, and Volunteer Clinical Professor. The title Volunteer
Clinical Associate may be used for those who make intermittent or less than major contributions to the
academic programs of the School of Dental Medicine.

Article Three - Appointment and Promotions Procedures

3.1 Initial appointments are generally made at the Instructor or Assistant Professor level. Initial appointments
shall be recommended by the respective organizational unit leader to the Dean. The initial appointment shall
be made upon approval by the Dean or their designee, subject to relevant University processes. Initial
appointments to the rank of Professor or Associate Professor shall be reviewed by the Senior Appointments
and Promotions Committee and the Dean's Advisory Committee, and their comments shall be given due
consideration before the Dean approves the recommendation.

3.2 Faculty nominations for promotion may be made to the Dean by the respective organizational unit leader or
by the faculty member themself. The Dean may also initiate the nomination for promotion of any faculty
member. Nominations shall be reviewed by the Senior Appointments and Promotions Committee and the
Dean's Advisory Committee, and their comments shall be given due consideration before the Dean makes their recommendation to the Provost of the University for transmittal for final determination by the Board of Directors and/or Board of Trustees. In the case of appointments or promotion 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.

3.3 Recommendations for tenure shall be made to the Dean by the respective unit leadership[[ Department Head and Division Chair (if Division Chair exists)]]. The recommendations shall be reviewed by the Senior Appointments and Promotions Subcommittee and the Dean's Advisory Committee (see Section HI, Article 3.4), and their comments shall be given due consideration before the Dean makes his/her 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
Article Four – Voting Faculty

4.1 Composition: The Voting Faculty shall be composed of the President and Provost of the University, the Executive Vice President for Health Affairs, the Dean of the School of Dental Medicine, and all Professors, Associate Professors, Assistant Professors, and Instructors with primary appointments in the School of Dental Medicine in any appointment category who are paid a full or partial salary. Any paid Faculty from any other unit in the University who is a voting member of the School of Dental Medicine Senate and who is not otherwise included herein shall also be a member of the Voting Faculty.

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 Directors and/or the Board of Trustees. Its responsibilities include matters of student affairs, predoctoral dental education, graduate dental education, continuing education, and research. This responsibility for academic matters is presently delegated to the School of Dental Medicine Senate (as established by Section II, herein).

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 Provost and Executive Vice President for Academic 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/her/their absence the Provost and Executive Vice President for Academic Affairs, or in his/her/their 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, Operation and Authority

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 the Bylaws of the School of Dental Medicine Senate as approved by the Board of Trustees. 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, 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 Guidelines of the School of Dental Medicine Senate (Senate Guidelines), or by the President of the University, the Provost and Executive Vice President for Academic 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 Senate Guidelines

The Senate Guidelines may be modified by the Voting Faculty through the amendment procedures prescribed in the Senate Guidelines.
SECTION III – ADMINISTRATION

Article One – Executive Vice President for Health Affairs

The Executive Vice President for Health Affairs shall be a non-voting member of the School of Dental Medicine Senate. S/he may interpret the Bylaws, rules, and regulations of the School of Dental Medicine Senate and, subject to approval by the Provost and 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 Provost of the University.

2.2 Duties: The Dean shall be the principal administrative officer of the School. The Dean shall be responsible to the Provost and Executive Vice President for Academic Affairs 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, the unit leadership, and Assistant and Associate Deans. The Dean shall assign space that is available to the School of Dental Medicine organizational 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 Chair of the Committee, and the heads of organizational units of the School of Dental Medicine. At the discretion of the Dean, other administrative leaders of the School of Dental Medicine (e.g., Associate Deans, leaders of subsidiary units, etc.) 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 Subcommittee (SAPC).

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: Subcommittees of the Dean's Advisory Committee may be formed and dissolved at the discretion of the Dean. The membership of Subcommittees need not be limited to those individuals who are members of the Dean's Advisory Committee. Appointments and reappointments to any subcommittee of the Dean’s Advisory Committee shall be made by the Dean.
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. Reports summarizing the activities of the Standing Administrative Committees may be made periodically to or by request from the Dental Senate or its Councils.

4.2 Standing Committees

4.2.1 The Senior Appointments and Promotions Committee (SAPC) shall advise the Dean on the award of tenure and on all appointments to the rank of Professor or Associate Professor, except for the leadership of organizational units.

4.2.1.1 The SAPC shall operate consistent with the School of Dental Medicine document *Senior Appointments and Promotions Committee: Principles, Guidelines and Provisions for Appointments, Promotion and Tenure* (“SAPC Guidelines”).

4.2.1.2 Revisions to the SAPC Guidelines document are made by the Dean after consultation with the Dean’s Advisory Committee and the Dental Senate.

4.3 A committee shall advise the Dean on clinical matters as they pertain to the school, UConn Health and to community hospitals or other health agencies.

4.3.1 A committee shall advise the Dean on matters related to the school’s research activities.

4.3.2 In the area of student affairs, there shall be standing committees for Admissions and for other needs as they may develop.

In the area of academic affairs, there shall be standing committees on Student Standing and Promotion as well as committees responsible for the various components of the predoctoral, graduate and continuing dental education programs.

4.4 Appointment: Standing Administrative Committees and the chairs of those committees shall be appointed annually by the Dean.
SECTION IV - ORGANIZATIONAL STRUCTURE

Article One - Purpose

The Faculty shall be organized into various organizational units. These units and any subsidiary units shall serve an organizational purpose that provides a home for Faculty members with similar interests, and that establish groups with general competence in specific fields of endeavor. These units shall provide personnel for educational and other activities that are organized as interdepartmental or interdisciplinary programs.

Article Two - Structure

The various organizational units in the School of Dental Medicine shall be based upon the operational needs of the School, as determined by the Dean in consultation with the Dean’s Advisory Committee. The Dean shall solicit and consider feedback from the Faculty and the Dean’s Advisory Committee before any changes, including to unit naming conventions, are made to the organizational structure of the School. The current organizational structure of the School of Dental Medicine, including unit naming conventions, is described in detail in Appendix F. Appendix F shall be updated any time that changes to the structure are made consistent with these Bylaws.

In addition, departments within the UConn School of Medicine may provide educational programming for the School of Dental Medicine. Should it so desire, the School of Dental Medicine may request Faculty representation from one or more School of Medicine departments on the School of Dental Medicine Senate or any of its committees or subcommittees.

School of Dental Medicine Faculty from units with educational or patient care responsibilities may also be appointed to a Department of Dentistry for purposes relating to the John Dempsey Hospital.

Article Three – Unit Leadership

3.1 Duties: For each organizational unit of the School of Dental Medicine, there shall be a unit leader who shall serve as the chief executive of the relevant unit. The unit leader shall coordinate all activities of the respective unit and shall consult and collaborate with those responsible for School- and/or Faculty-wide activities. The unit leader shall represent the unit on the Dean's Advisory Committee and shall make recommendations to the Dean as required with regard to appointments, budgetary needs and space needs.

3.2 Appointment: The Dean of the School of Dental Medicine shall appoint an ad-hoc Faculty Search Committee that will advise the Dean in the selection of unit leaders. This Committee shall submit the names of individuals who are considered to be eminently qualified for the position. The Dean shall then make a recommendation for appointment to the appropriate UConn Health leadership for transmittal to the President and to the Board of Directors and/or Board of Trustees.

3.3 Vacancies: In the event of an unfilled vacancy for a unit leader position, the duties of the unit leader shall be assigned by the Dean to a member or members of the Dean’s Advisory Committee or other member of the Faculty on an interim basis.

Article Four – Subsidiary Unit Leadership

4.1 Duties: For units that have subsidiary units, subsidiary unit leadership may be established to oversee
the respective subsidiary unit. Subsidiary unit leaders shall coordinate the activities of the subsidiary unit in consultation with the unit leader of the parent unit.

4.2 Appointment: The Dean, in consultation with the unit leader, shall select and appoint subsidiary unit leaders.

SECTION V - AMENDMENTS

Article One - Adoption

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

Article Two - Amendments

2.1 These Bylaws, except for Section II (School of Dental Medicine Senate), 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 the Board of Directors and/or Board of Trustees.

2.1.1 A meeting of the Dean’s Advisory Committee to consider amendment of these Bylaws shall be convened by the Dean at his/her initiative or on the request of either one-third of the Dean's Advisory Committee or one-third of the Voting Faculty.

2.2 Notwithstanding Section V, Article 2.1, before transmittal to 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.

2.3 Notwithstanding Section V, Article 2.1, before transmittal to the Board of Directors and/or Board of Trustees, any amendment to Section I, Article 4 (Voting Faculty) or Section II (Dental Senate), shall require approval of a majority of the School of Dental Medicine Voting Faculty.

2.3.1 Amendments to Section I, Article 4 (Voting Faculty) and/or Section II (School of Dental MedicineSenate) shall be discussed at a general meeting of the School of Dental Medicine Voting Faculty and will be voted on by ballot not less than seven calendar days later.

APPENDIX A - ORGANIZATION OF BASIC SCIENCE TEACHING

[June 23, 2011 Note: Appendix A (formerly 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 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 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. Chair: The Dean of Medicine will appoint a Search Committee to advise them in the selection of a department chair. 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 Provost. 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 Provost.

   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 Provost.

   c. Junior Faculty: These will be appointed by the Dean of Medicine on the recommendation of the department chair. 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 Chair 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 predoctoral 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 Predoctoral 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 B - 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 organizational units of the School.

1. Membership

Faculty holding primary academic appointments in any of the other organizational units 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 organizational unit 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 C - THE ESTABLISHMENT AND GOVERNANCE OF CENTERS  
OR  
APPENDIX G - SCHOOL OF MEDICINE

[June 23, 2011 Note: Appendix C (formerly 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.


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).
APPENDIX D - 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 Bylaws). 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 describing 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 unit programs and the SDM itself. This Appendix describes how existing University of Connecticut, University of Connecticut Health (UConn Health) and SDM policies regarding types of appointments and tenure relate to each of the proposed Faculty tracks.

II. Faculty Appointments and Tracks

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 the criteria used in making decisions regarding promotion and/or tenure must be weighted according to the candidate’s 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 members through discussions with and the concurrence of the leadership of the respective organizational unit in which the Faculty member holds his or her primary appointment.

Allocations of effort for Faculty members 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, levels of effort for Faculty members 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. ¹

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

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

*Leadership:* The Dentist-Scientist, Research-Scientist and Clinician-Scholar Tracks with appropriate additions to institutional service for administrative contributions, not to exceed 65% for the Dean, 50% for Associate/Assistant Dean, 35% for Unit Leaders and 15% for others (e.g., Subunit Leaders), as determined by the Dean in consultation with the Unit Leader.

*In-Residence Faculty*

The guidelines for appointment to In-Residence positions are described in these Bylaws, 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 two years 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* ¹;

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

*Clinician-Scholar: 50% teaching, 15% institutional service, 35%-other academically related professional development activities* ²;

*Leadership: The Dentist-Scientist, Research-Scientist and Clinician-Scholar Tracks with appropriate additions to institutional service for administrative contributions, not to exceed 65% for the Dean, 50% for Associate/Assistant Dean, 35% for Unit Leaders and 15% for others (e.g., Subunit Leaders), as determined by the Dean in consultation with the Unit Leader.*
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 UConn Health policy; acquiring additional clinical, research or educational knowledge or skills; patient care, developing educational materials or programs and presentations for professional meetings, participation and leadership roles in internal and external committees and organizations or societies; acquiring additional clinical, research or educational knowledge or skills; giving invited talks; and organizing educational opportunities outside of UConn Health.

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 Uconn Health 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.
Clinical Category:

The guidelines for appointment to Clinical Category positions are described in the Senior Appointments and Promotion Committee (SAPC) guidelines Section I, Article 3. Faculty in this appointment type will have few if any academic responsibilities in classroom-based teaching, research or service. The majority of their effort (e.g. 95% effort) will be 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 two years for Clinical Assistant Professor; up to three years for Clinical Associate Professor; and up to five years for Clinical Professor. In all cases, appointments will be renewable contingent upon satisfactory performance and availability of funds. Clinical Category Faculty will not be eligible for 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.

Additional Information

A. Instructors

Eligible individuals may be appointed as Instructors. The Instructor position may 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, or for a traditional timeframe consistent with other appointments and positions. Appointments may be terminated for any reason as determined by the Dean; appropriate notice of termination must be given as determined by the UConn Health 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. The 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 Unit Leaders and 15% for others (e.g., Subunit Leaders), as determined by the Dean in consultation with the Unit Leader.

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).

II. 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. 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 sufficient funded research to justify the allocation of 50% effort to research and 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**

Faculty appointed in the Clinical Category may switch to the In-Residence Track. A switch of track from In-Residence to the Clinical Category is not allowed. All changes of tracks represent a change in type of appointment and must therefore by approved by the relevant unit leader.

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 E - 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 2 “marginally meets expectation” ratings within any 5-consecutive year period after the commencement of tenure. Post Tenure Review will be initiated immediately after receipt of the 2nd “marginally meets expectation” rating.

2. The Faculty member receives 1 “fails to meet expectation” rating any time after commencement of tenure. Post Tenure Review will be initiated immediately after receipt of the “fails to meet expectation” rating.

B. Post Tenure Review

1. The Senior Appointments and Promotion Committee (SAPC) will assess the performance of the Faculty member over the pertinent years of the performance ratings 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 relevant unit leader 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 XIV.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 material
- Creation of new, combined or integrated courses or other educational experiences
- Mentoring relationships with other Faculty and/ or graduate students
- Development and supervision of predoctoral, 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 UConn Health 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 healthcare 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 unit or subsidiary unit leader
• Achievement of diplomat status in area of specialization

3. The 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 pertinent years prior to and after receipt of the “marginally meets
expectations” and “fails to meet expectation” performance ratings.

b. A letter from the leadership of the respective organizational unit of the Faculty member summarizing the individual’s activities over these 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 the SAPC of an assessment of “unsatisfactory performance”, a “Faculty development plan” must be prepared by the relevant unit leader and approved by the Dean. Each organizational unit 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, the leadership of the organizational unit 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 consecutive period 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 XIV.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 XIV.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.

APPENDIX F - Organizational Structure
At present, the School of Dental Medicine has Departments of Craniofacial Sciences, Oral Health and Diagnostic Sciences, Reconstructive Sciences, and Biomedical Engineering. Divisions within these Departments exist as follows: within Craniofacial Sciences—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—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—the Division of Prosthodontics. This Appendix shall be revised upon any changes to the Department and Division structures made consistent with the School of Dental Medicine Bylaws.

For purposes relating to the John Dempsey Hospital, Faculty from any organizational unit within the School of Dental Medicine can be assigned to an entity called the Department of Dentistry.
Appendix G – Periodic Organizational Unit Reviews

I. Objectives of Review: The major objectives are to (1) review the Faculty, space, staff, and other needs of an organizational unit of the School of Dental Medicine in light of changing and/or developing institutional goals and (2) evaluate the effectiveness of unit leadership.

II. Frequency of Review: The frequency of review is at least every seven (7) years, in addition to any other review requested by the Dean.

III. Triggers for Review: Routine (every 7 years) reviews are initiated by the Dental Senate. When a review is triggered, the Dean informs the organizational unit of the planned review and appoints an ad hoc committee to evaluate the unit.

IV. Organizational support for the collection of data, gathering of surveys, assembling of reports and collation of the review package will be provided by the Dean’s office or a designee.

V. Composition of the Committee: Review Committees include three University representatives, one of whom must be a senior Faculty member of UConn Health who is not currently a unit leader in the School of Dental Medicine, and at least one senior Faculty reviewer from another university. Committee members may not be from the organizational unit under review.

VI. The Charge of the Review Committee: The committee will provide both a comprehensive evaluation and recommendations in the relevant areas described below. The results of such reviews will be transmitted to the Dean, the leader of the organizational unit being reviewed, and the Dental Senate.

1. Quality of the Faculty in the domains of education, research, and clinical services (as appropriate to the appointment types of the Faculty in the unit); national stature; professionalism.

2. Research: quality, vitality, and breadth of research efforts; need for facilities, equipment, or growth.

3. Teaching: the intellectual environment; availability of Faculty for teaching; effectiveness of the teaching efforts; need for additional resources.

4. Clinical Service: availability, quality, breadth, and vitality of clinical services; need for improved or expanded personnel or clinical facilities.

5. Mentoring: quality and availability of mentoring of professional development.

6. Unit leader: ability, leadership, and effectiveness, considering departmental/center and institutional goals in the education, research, and clinical domains.

7. Recommendations should include changes in size, facilities, or directions of the organizational unit. A specific recommendation regarding the continuation of a center is required. A specific recommendation regarding retention or replacement of the unit leader is also required.

VII. The leader of the organizational unit being reviewed should have the opportunity to respond to the review team in an exit interview. The Dean will discuss the review outcome with the unit leader-and will provide a report to the Dental Senate during a regular meeting.
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.
13. Revision Approved by the Academic Affairs Subcommittee of the Board of Directors, August 7, 2023.