West Virginia University School of Dentistry  
Policies and Procedures for Annual Faculty Evaluation, Promotion and Tenure  
Revised June 2013  
Approved: Health Sciences Center Chancellor, June 13, 2013  
Accepted: Office of the Provost, June 27, 2013

I. INTRODUCTION

Academic and professional performance reviews at the West Virginia University School of Dentistry ("SOD") go beyond a narrow periodic review process for promotion and/or tenure purposes. As important as these latter decisions are, faculty are also reviewed annually to establish a basis for merit salary adjustments and for professional development purposes. Properly administered, this faculty evaluation system will permit recognition of achievement, allow for professional growth and development, and assure retention of the faculty who demonstrate a high level of achievement in the areas of teaching, research and/or scholarly activity,\(^1\) and service. The evaluation of faculty must be guided by principles and procedures designed to protect academic freedom and to ensure accuracy, fairness and equity. This document broadly outlines these principles and is in accordance with the "West Virginia University Policies and Procedures for Annual Faculty Evaluation, Promotion and Tenure." This latter document is distributed by the Provost’s office early in the first semester of each academic year and can be found on the website of the Provost.

II. GENERAL PRINCIPLES OF FACULTY EVALUATION

The primary responsibility for presenting a faculty member’s accomplishment for evaluation rests with that individual. However, a meaningful level of assistance is expected from the Department Chair and the Administration. The legal authority and responsibility of the Department Chair, Dean and the Health Sciences Center (HSC) Chancellor also enter into the determination of academic personnel decisions as do the needs and circumstances of the departments and the SOD.

Faculty members are expected to contribute to each of the missions of the SOD. The extent to which a faculty member’s responsibilities relate to each mission area will vary. Collectively, faculty members within a department, teach, engage in research and scholarly activity, and provide public, professional and institutional service. Faculty evaluation is to occur in relation to that person’s particular roles within the Department and SOD. Accomplishments of faculty members are judged in the context of these roles. The details of a faculty member’s specific assignment will be subject to joint consultation, but are to be determined by the Department Chair and Dean. Adjustments in the expectations for faculty members may occur in keeping with changing priorities of the SOD, the Department and personal interests.

The faculty evaluation process has three distinct components: (a) the annual

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\(^1\) The term “research and/or scholarly activity” is used in this document to include appropriate professional activities such as research, scholarly writing, artistic performance, and creative activities and is defined in more detail in Section IV, b.
yet tenured. For these individuals, the annual evaluation provides an assessment of performance and develops information concerning the faculty member’s progress toward promotion and tenure. It communicates areas of strength and alerts the faculty member to performance deficiencies at the earliest possible time. Any concerns held by the evaluators regarding the faculty member’s performance should be stated in the written evaluation, which is intended to enhance the faculty member’s chances of achieving promotion and tenure.

Faculty transferring from other institutions may receive credit toward tenure. The amount of credit would be subject to review by the P&T Committee, to ascertain that credit from another institution would meet the same standards as held at WVU. The awarding of tenure upon hiring, or maximum amount of credit allowed would be identified in the letter of appointment, and must be approved in advance by the Dean and HSC Chancellor.

Annual and short-term (up to five year) performance milestones (CCC suggestion) should be established for each faculty upon hiring; this should be a joint effort by the Department Chair and individual, and should be approved by the Dean. In the first annual review, limited evidence of the faculty member’s progress may be available. For that review, material in the faculty evaluation file, such as reports by colleagues on one’s teaching, and information on one’s activities in research and service are useful in order to assess progress. As one moves through the tenure-track period, annual evaluations will focus increasingly on the successful outcomes of achieving one’s milestones rather than simply on the activities performed.

Annual evaluations will indicate whether or not progress toward promotion and/or tenure is occurring in a positive manner and the specific justifications for this conclusion. While the absence of negative annual evaluations does not guarantee the granting of tenure, these evaluations should apprise tenure-track faculty members of performance deficiencies. Occasionally, evaluations result in termination of the individual’s appointment, sometimes before the critical year, and when appropriate, termination of contracts. In these cases, notice shall be given in accord with the applicable Board of Governors policy.

All tenure-track faculty will be reviewed by the P & T Committee at mid-term (after the third year); this is intended to ascertain that the individual is on-target for successful achievement of promotion and/or tenure. If not, corrective measures and career counseling to re-direct the individual will be made. It is the responsibility of the Department Chair to forward the review at mid-term to the P & T Committee, providing the individual is continuing to pursue tenure at the SOD. Once completed, the Committee’s assessment will be forwarded to the individual, the Chair, and the Dean.

b. Tenured Faculty Not Fully Promoted

The annual evaluation of faculty, who are tenured, but not fully promoted, will specifically emphasize both quantitative and qualitative progress toward the rank of the professor. While not all faculty may attain the highest possible rank, annual evaluations should guide and encourage faculty toward that achievement. All tenured faculty not
(0.1 FTE or less) should receive periodic reviews that are appropriate to their assignment.

2. Descriptors for Annual Evaluations

The annual review of one's performance in each of the mission areas to which one is assigned shall be assessed as **Excellent** (characterizing performance of high merit), **Good** (characterizing performance of merit), **Satisfactory** (characterizing performance sufficient to justify continuation but not necessarily sufficient to justify promotion or tenure), or **Unsatisfactory**. Based on these descriptors, a faculty member with a preponderance of "Satisfactory" or "Unsatisfactory" ratings, particularly in an area in which a significant contribution is required, would not qualify for promotion or tenure.

The assessments provided by annual reviews should be a basis for those periodic recommendations forwarded to the Chancellor which relate to promotion, tenure or negative action. Positive recommendations for promotion and/or tenure should be supported both by (a) a series of annual reviews at the "Good" or "Excellent" level, and (b) performance which is judged to meet the more rigorous standard of **significant contributions**, which is defined as those contributions which meet or exceed those of peers recently (normally, within the immediately previous two-year period) achieving similar promotion and/or tenure. Tenure recommendations should go beyond a recommendation for promotion and justify a long-term commitment to the faculty member. (See below and Section V as appropriate).

B. **Criteria for Promotion in Rank and/or Tenure**

Promotion in rank recognizes exemplary performance of a faculty member. The evaluation for promotion in rank provides the opportunity to assess a faculty member's growth and performance since the initial appointment or since the last promotion. For an award of tenure, tenure-track faculty face a particularly rigorous evaluation involving an assessment of accumulated accomplishments and the likelihood that the faculty member's level of performance will be maintained or increased.

Successful teaching is an expectation for all faculty who are assigned to teach. In order to be recommended for promotion or tenure, a tenured or tenure-track faculty member will be expected to demonstrate **significant contributions** in two of the following areas: teaching in the classroom or other settings, research and/or scholarly activity, and service. In the other areas of endeavor, the faculty member will be expected to make **reasonable contributions**. The areas of **significant contribution** in which each faculty member is expected to perform, will be identified in the letter of appointment, or modified and set forth in a subsequent document.

In the teaching context, **significant contributions** are normally those which meet or exceed those of peers recently (normally, within the immediately previous two-year period) achieving similar promotion and/or tenure who are respected for their contributions in teaching at West Virginia University. External reviews of teaching contributions may be appropriate. A dental or dental hygiene faculty member must be
New faculty appointees, with advice and support from their Chairperson and the Dean, are expected to consider very carefully which academic track is most appropriate to their training and probable assignments as faculty members. Careful selection of track at the time of initial appointment should obviate the need for subsequent changes. Individuals who decide that their initial choice of track was inappropriate will be permitted one opportunity to cross over to the other track. To do so, they must meet the following requirements (1, 2, & 3 or 1, 2, & 4 as applicable):

1. All criteria for appointment at the same rank to the other track, and a series of annual reviews that are collectively judged to be good or excellent.

2. Approval of the Department Chair (or for joint appointees, relevant Chairs), the P & T Committee, the Dean and the HSC Chancellor by December 1st of the academic year in which the request is made.

3. Change from clinical-track to tenure-track at a rank of Associate Professor or Professor requires review and approval as described in #2 above. Tenure may or may not be granted at the time of the change. Years spent in the clinical-track may be included as part of the probationary period in the tenure-track provided that there is written recommendation from the Department Chair, and approval of the P & T Committee and the Dean. The faculty member would enter the typical six-year probationary period based on the aforementioned agreement. The faculty member would apply for award of tenure by the usual P & T process, including both internal and external evaluation.

4. Change from tenure-track to clinical-track at the rank of Assistant or Associate Professor requires review and approval as described in #2 above. After such a change, the faculty member would wait two full years minimum, beginning with the next contract year, before applying for promotion by the usual process.

IV. GUIDELINES FOR ANNUAL EVALUATION, PROMOTION IN RANK AND/OR THE AWARD OF TENURE. FULL-TIME FACULTY.

A. Introduction

Recommendations for promotion and/or tenure are based upon performance in the three categories of primary University concern (i.e., teaching, research and/or scholarly activity, and service) as they relate to the objectives of the SOD. These guidelines reinforce the annual evaluation process in monitoring progress toward the next promotion or a tenure decision. Such performance will be documented by presenting evidence of accomplishment using the criteria presented below. Annual evaluation will focus on the current year’s activities and also include a review of previous years. P & T decisions will be based on accomplishments since the last promotion or the initial appointment, whichever is
Department Chair will also utilize these categories and levels to evaluate an individual being considered for merit salary increases. An overall evaluation of the faculty member’s performance should be given that is assessed as a weighted-average of the assigned and evaluated categories.

B. Criteria for each category

TEACHING

Teaching is to be evaluated in terms of quality and quantity of teaching efforts. All faculty members are expected to inspire students to learn; respond to student inquiries in a positive manner; interact with students in a professional and collegial manner at all times; receive annual student evaluations of “good” or higher; follow and enforce appropriate SOD, OSHA, quality assurance and patient care guidelines; be punctual and prepared for all assigned teaching and clinical responsibilities and remain engaged with students until all tasks are complete; demonstrate course content competence; incorporate sound, contemporary educational principles in teaching; maintain appropriate licenses necessary for clinical teaching responsibilities; annually attend professional meetings, continuing education courses, and workshops or symposia.

In the teaching context, effectiveness is measured by quality, innovation, impact on students, and degree of responsibilities. Specifically, teaching criteria pertinent to all promotion and/or tenure decisions are as follows:

- Effective pre-clinical or clinical teaching as evidenced by such things as: supporting other SOD faculty’s courses or seminars by giving guest lectures; positive peer, supervisor and/or education specialist evaluations; and teaching awards.

- Effective management of assigned teaching responsibilities as evidenced by management of course content and schedule as documented by the Course Director or Chair.

- Design and development of innovative instructional materials and/or strategies such as resource material, computer-based and/or audiovisual material; new preparation or notable revision of syllabi, manuals, study guides, self-instructional packages.

- Documented effectiveness as student academic advisor.

- Formal assignment of effectiveness as a mentor for faculty of the SOD.

- Effective educational administration as documented by the appropriate administrator. Examples of this include supervising team leaders; supervising or
All faculty members are expected to follow appropriate OSHA, IRB and other research guidelines; maintain CITI certification; and maintain annual OSHA updates.

In evaluating research and/or scholarly activity for promotion and/or tenure, attention shall be directed to the time the faculty member had for research and/or scholarly activity. However, specific numbers of publications in each case are not as important as the quality and significance of the work. In all instances, the quality of the research and/or scholarly activity, as judged by the authorities in the field, will be the critical measure. The quality of research can be most readily measured through two peer review mechanisms: publication in refereed journals and the acquisition of grant funds from sources that evaluate proposals using a quality peer review system. In addition, a minimum of four (4) external reviews of the quality/relevance of the research in that field will ordinarily be obtained as part of the promotion to Associate Professor with tenure process. The Associate Dean for Research at the School of Dentistry will assist the Department Chair in determining the appropriate individuals to contact for said external review.

Additional research and/or scholarly activity criteria pertinent to all promotion and/or tenure decisions are as follows:

- Relevant Publication(s), which should focus on whether the publication was in: abstract form, a literature review resulting in a publication, a chapter in a textbook, case studies, surveys, clinical techniques or innovative educational strategies, a review of scholarly manuscripts for a professional journal, a combination of publications of chapters, case studies, surveys, clinical techniques or innovative educational strategies, and/or a publication of a textbook as author or editor.

- Research involving the creation and synthesis of knowledge by: assisting other faculty with research project headed by others, implementing one research project as principal investigator, mentoring (with documentation) other faculty members with research project implementation and design, implementing one or more research projects as co-investigator, and implementing multiple research projects as principal investigator.

- Peer reviewed publication of research efforts, including: publication of abstracts, acknowledgement of assistance of others with research, publication of research in a textbook or chapter therein\(^4\), publication of manuscripts\(^3\), and a record of peer reviewed publications focused on a specialized area that make a significant contribution to dentistry.

- Peer reviewed presentation of research efforts to the SOD or other units both inside and outside WVU, invited presentation of research programs to national dental or other professional organizations.

\(^4\) If research is an area of significant contribution, one of the items marked with this footnote should be periodically (every 1-3 years) accomplished for promotion, tenure, or merit salary adjustments. If not already in print, letters that unconditionally accept manuscripts, book chapters, etc. will be counted.
reviews or editorials in peer reviewed journals, holding office of a local, state, regional, national, dental or other health-related groups, receiving state recognition of service activities, reviewing abstracts, grants or other consultations for a professional organization, publishing more than one book review or editorial in peer reviewed journal, receiving national recognition of service activities, and reviewing grants or other consultations for a federal organization.

PATIENT CARE

With respect to direct patient service (if assigned), all faculty members are expected to provide patient care in the faculty practice, University Hospitals and other HSC clinics, participate in clinical professional development, maintain West Virginia Dental or Dental Hygiene License and Hospital Privileges, maintain West Virginia Specialty License when appropriate, follow appropriate OSHA and patient care guidelines; and use 75% of allotted chair time.  

Patient care will be measured in terms of quality and productivity by the Chair and the Quality Assurance Committee. Meeting every criterion listed under “Direct Patient Services” will result in a performance evaluation of satisfactory. Criteria for good and excellent performance will be developed in each department by the chair, published annually and approved by the P&T Committee and the Dean.

C. Note

Special activities, awards and peer recognition in a professional field and its associations will be recognized in all categories. Further, these are not intended to be exhaustive lists of the only items that may be considered when conducting the evaluation. Faculty members should list any other activities not set forth above and provide documentation of successful outcomes. The Department Chair will give appropriate credit at his/her discretion in consultation with the faculty member. Contributions not listed in these guidelines but of equivalent value to the SOD or the University to one of those listed will be given equivalent weight.

V. INSTRUCTIONS FOR THE APPLICATION OF THE GUIDELINES FOR ANNUAL EVALUATION, PROMOTION AND/OR TENURE, FULL-TIME FACULTY

1. Promotion to the Rank of Associate Professor:

   a) Evaluations begin at the start of one’s sixth year at the rank of Assistant Professor in this institution.

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6 Patient Care is a separate area for annual evaluation. Patient Care is a subcategory of Service for Promotion and Tenure evaluations.
7 New Faculty will be exempt for their first year.
VI. GUIDELINES FOR ANNUAL REVIEW AND PROMOTION IN RANK: NON-TENURE TRACK, PART-TIME SALARIED FACULTY

A. Part-time faculty members who are being recommended for promotion:

1. The result of the Department and the SOD annual peer evaluation of individuals in this category shall go to the Office of the Dean. Written notification of the promotion will then be issued over the signature of the Dean.

2. For part-time faculty the following equivalencies for service may be granted:

   a. \( \leq 0.5 \) FTE would require 2 years service to equal one year full time.

   b. \( \geq 0.6 \) FTE is equivalent to one year full time

   This action must be approved by the appropriate departmental chairperson, the School of Dentistry Faculty Evaluation Committee and the Dean.

3. The guidelines for promotion recommendations are as follows:

   a) Promotion to the Rank of Clinical Assistant Professor:

      (1) At least 4 years at the rank of Clinical Instructor in this institution at the time of the evaluation cycle, and

      (2) Meritorious performance in contributing to the goals and objectives of the Department as determined by the chairperson (with assistance from the departmental committee if appropriate) in concurrence with the Faculty Evaluation Committee and the Dean.

      (3) Meets reasonable criteria in categories of assigned responsibilities, teaching (and for some part-time faculty, service and/or patient care).

   b) Promotion to the Rank of Clinical Associate Professor:

      (1) At least 6 years at the rank of Clinical Assistant Professor in this institution at the time of the evaluation cycle, and

      (2) Meritorious performance in contributing to the goals and objectives of the department as determined by the chairperson (with assistance from the departmental
4. Adherence to all school policies in regards to use of dental dam, accurate impressions, well-made provisionals, etc., as monitored by the Chair of the Department of Community Dentistry;
5. Adherence to OSHA infection control, HIPAA, and other SOD guidelines as monitored by the Chair of the Department of Community Dentistry; and
6. Average student rating of 7 or above over the 10 year period.

It is to be noted that this document, once accepted by the Office of the Provost, is applicable to all faculty hired within a year of the effective date and those beginning a new cycle of promotion and/or tenure.

Approved:  

Christopher C. Colenda, MD, MPH  
Chancellor for Health Sciences

Date: 6/13/13

Approved:  

David A. Felton, DDS, MS  
Dean, School of Dentistry

Date: 6/14/13

Approved:  

C.B. Wilson, Associate Provost for Academic Personnel  
West Virginia University Office of the Provost

Date: 6-27-13
MEMORANDUM

To: CB Wilson, Associate Provost for Academic Personnel

From: David A. Felton, Dean, WVU School of Dentistry

Subject: Final (revised) Promotion and Tenure Document

Date: July 8, 2013

CB: Here is your copy of the final version of the School of Dentistry’s Promotion and Tenure Document. I’ve incorporated your suggested changes. Thanks so much for your insight, and assistance, in the process.

Sincerely,

[Signature]

e-mail: dafelton@hsc.wvu.edu
Telephone: 304-293-1000