

Herman Ostrow School of Dentistry of USC

Appointment and Promotion Guidelines for Research-Teaching-Practitioner-Clinical (RTPC) Track Faculty Updated Criteria

Achievements by Research-Teaching-Practitioner-Clinical (RTPC) faculty members are recognized by increase in rank. Consideration of such an increase is based on guidelines established in the following document and taking into consideration the specific track: the duration of service; and whether the faculty are full-time or part-time, paid or volunteer.

Promotion is based on a preponderance of outstanding or exceptional performance in the primary area of contribution (i. e. research, teaching, clinical service, and service), and a preponderance of outstanding or exceptional performance in at least one other area, as appropriate based on faculty profile.

Table of contents:

| | |
|---|---|
| I. Full-time Faculty (RTPC) | 1 |
| Research Track | 1 |
| Teaching Track (non-clinicians) | 2 |
| Practitioner- and Clinical-Tracks (includes instructional) | 2 |
| II. Clinical Scholar Designation | 5 |
| III. Part-time RTPC Track Faculty (50%-80%) | 6 |
| IV. Adjunct RTPC Track Faculty (less than 50%) | 6 |
| V. Appointment, Reappointment and Mid-contract terminations | 7 |

I. **Full-time Faculty (RTPC)**

A. Criteria - The basis for faculty promotion to the various ranks as outlined is outstanding or exceptional performance in the appropriate track (i.e. teaching, research, practitioner, or clinical). The ranks and titles for each track are as follows:

Research-Track

- Assistant Professor of Research
- Associate Professor of Research
- Professor of Research

Teaching-Track (non-clinicians)

- Assistant Professor – Instructional

- Associate Professor – Instructional
- Professor – Instructional

Practitioner- and Clinical-Tracks (includes instructional)

- Instructor of Clinical¹
- Assistant Professor of Clinical
- Associate Professor of Clinical
- Professor of Clinical

The general expectations for promotion within each track are included in this document (see below). The specific criteria for promotion for each discipline (Dentistry, OT, PT) from one rank to a higher rank are included in the addenda.

Teaching- and Clinical-Tracks:

1. Recognition by peers and/or students as having a preponderance of outstanding or exceptional performance in the primary area of contribution such as teaching, clinical service, and other scholarly activities and a preponderance of outstanding or exceptional in at least one of the areas of service and scholarship², as appropriate based on faculty profile.
2. Contributions to the development of educational experiences and materials (e.g. may include computer programs/activities, clinical evaluation forms, written instructional guides, chapters, books or other publications to facilitate learning).
3. Presentations at educational and/or professional meetings or those related to discipline focus, such as grand rounds, continuing education, symposia.
4. Evidence of involvement in school, university, local and national professional and/or educational organizations (e.g. ADEA, or APHA, SCDA, AOTA, APTA, or other organizations as appropriate).
5. Optional: Significant contributions to scientific literature through publications in refereed journals, as appropriate based on faculty profile.
6. Optional: Include success in achieving grant, foundation, governmental support for scholarship or service as appropriate based on faculty profile.

Research-Track:

1. The basis for faculty promotion is outstanding or exceptional performance in scholarship² with at least an outstanding or exceptional in at least one of the other areas (if included in their faculty profile).
2. Demonstrated record of scholarship, through recognized contributions to research programs.

¹ In all cases of promotion from Instructor, the Division/Department Appointments and Promotion committee makes a recommendation to the associate Dean, who decides whether to endorse that recommendation or not. If endorsed, the recommendation is passed directly to the Dean, bypassing Faculty Development Committee (FDC). If not endorsed, the faculty member can choose to have their dossier sent to FDC for its decision.

² When we consider a faculty member's research contributions, we use an expansive definition of scholarship (Boyer EL. Scholarship Reconsidered. A Special Report. The Carnegie Foundation for Advancement of Teaching. 1990). Evidence of scholarly contributions may include such things as peer-reviewed publications, textbook chapters, funded grants (including participation in funded projects), presentations at local, regional, national, and international meetings, continuing education presentations, innovative curricular developments and development of new courses, and many other forms of dissemination.

3. Contributions to the scientific literature through publications in refereed journals with selective editors and rigorous review.
4. Involvement in national and international research organizations; including committees and grant review panels.
5. Scholarly presentations of research before colleagues in disciplines of common interest at recognized academies and societies.
6. Optional: Success in achievement of external funding through grant, foundation or, governmental support for scholarship or service.

Practitioner-Track:

1. Recognized excellence and effectiveness in the public practice of a field of expertise.
2. Excellence may be in clinical practice, teaching or research, with reduced expectations in the other areas.
3. Will include elements of exceptional and/or outstanding performance as described in the teaching and clinical or research tracks as is appropriate, depending on the focus.

All tracks (except for instructor of clinical)³:

1. Periodic performance merit reviews by the division chair during the period of service since the initial hire or last promotion/appointment will demonstrate a preponderance of outstanding or exceptional performance in the primary area of contribution, such as teaching, clinical service, research, and service, as appropriate based on faculty profile.
2. A minimum of six years of service at the current rank. Promotion following a shorter time in rank is possible after two years in the current rank, with the fulfillment of established criteria, in situations such as productive/effective performance in leadership or administrative positions.
3. Evidence of involvement in school, university, local and/or national committees or professional and/or educational organizations (e.g. ADEA, APHA, SCDA, AOTA, APTA, or other organizations as appropriate).

B. Identification of candidates for promotion

1. During the periodic performance merit review process, the readiness for promotion is assessed and discussed with the faculty member and respective division/department chair, section chair, program/clinic directors or managers.
2. The division/department chair, section chair, program/clinic directors or managers may recommend a candidate for promotion.
3. Candidates may self-identify their readiness to be considered for promotion by contacting the division/department chair, section chair, or program/clinic directors or managers.
4. The division/department committee, comprised of the division/department's RTPC faculty, screen the documentation, assess, and recommend those candidates eligible to submit their dossiers.
5. If a candidate is deemed eligible, the division committee will advise the division chair to invite the candidate to prepare and submit the dossier and will determine a list of external internal, and student referees (as appropriate) considering the candidate's track and current rank.
6. For those deemed not yet eligible, the division committee will meet with the candidates to

³ The rank of Instructor of Clinical is intended to be a transitory rank for people entering the faculty without a PhD and research or teaching experience. Such faculty should develop eligibility to be promoted after 1-2 years.

provide guidance regarding how to strengthen their dossiers to become eligible in the future.

C. Dossier Preparation

1. The candidate's responsibilities:
 - a. To deliver the information that is requested to prepare to the designated division/department staff member.
 - i. Updated and accurate Curriculum Vitae (template available)
 - ii. Personal statement of maximum of 3 single-spaced pages in length outlining the candidate's academic contributions, goals and future plans.
 - iii. When appropriate, suggestions of individuals to serve as referees. Nonetheless, the majority of the referees solicited should be the choice of the Division/RTPC or Promotion Committee/Department Chair.
 - b. To meet the processing deadlines for the requested materials so that the dossier preparation can proceed in a timely manner. If materials are incorrect, incomplete or not received by the deadlines as requested, the dossier will be delayed to the next cycle.
2. The Division/RTPC or Promotion Committee/Department/Division Chair oversees the compilation and reviews the dossier's documentation, responsibilities: which includes:
 - a. To select a final list of referees and send letters soliciting their involvement in evaluating the candidate for promotion.
 - i. Referees should be leaders in research disciplines, clinical practice/service and/or education, and at minimum the same level as the expected rank of the applicant.
 - ii. The type of letters depends on track and rank:
 - External letters from referees who are "at arm's length;" e.g. those who are independent of the candidate's teaching, personal or work relationships.
 - Internal letters, where internal referees (might include students) share a teaching, personal or work relationships with the candidate.
 - iii. The minimum number of letters depends on track and rank.
 - Instructor to Assistant requires 3 internal letters.
 - Assistant to Associate requires 1 external and 2 internal letters.
 - Associate to Full requires 2 external and 1 internal letters.
 - b. To prepare brief biographies of each solicited referee and a table listing the referees and designating whether they were recommended by the candidate or Division/RTPC or Promotion Committee/Department Chair. Include those who declined the review and the reason given for not accepting the invitation.
 - c. To assemble summaries of year-end evaluations and reviews performed by the division/department chair during the period of service since the last promotion/appointment.
 - d. For those faculty with teaching profile, to prepare documentation of teaching excellence including peer observation or evaluation of student outcomes or both.

- e. To include evidence of teaching excellence, e.g. teaching evaluations from workshops, presentations, PBL facilitation, CE courses, teaching awards etc.
 - f. To prepare the Division/RTPC or Promotion Committee/Department Chair's/Division committee letter.
 - g. To request and include the Division/Department chair letter in the candidate's dossier.
 - h. The completed dossier documenting and evaluating the candidate's accomplishments in his/her facet of specialization is submitted to the Faculty Development Committee.
3. The Faculty Development Committee of the Herman Ostrow School of Dentistry
 - a. Reviews dossier and decides whether to recommend promotion.
 - b. Sends all reviewed dossiers to the dean for the final decision.

II. Clinical Scholar Designation

The purpose of the Clinical Scholar designation should provide a basis for recognizing the scholarly accomplishments of clinical professors at the Herman Ostrow School of Dentistry including the Chan Division of Occupational Science and Occupational Therapy, and the Division of Biokinesiology and Physical Therapy.

The Herman Ostrow School of Dentistry's "clinical scholar" designation should be available to those faculty and affiliated faculty on the RTPC track who have gained scholarly distinction in their field without fitting into the traditional profile of a tenure track faculty member. The designation will be based upon a rigorous evaluation process to ensure a validation of esteem.

The faculty (RTPC) ranks for the clinical scholar track are:

Clinical Scholar Track

- Associate Professor of Dentistry (Clinical Scholar)
- Associate Professor of Occupational Therapy (Clinical Scholar)
- Associate Professor of Physical Therapy (Clinical Scholar)
- Professor of Dentistry (Clinical Scholar)
- Professor of Occupational Therapy (Clinical Scholar)
- Professor of Physical Therapy (Clinical Scholar)

Clinical scholars shall be appointed on the RTPC track in accordance with the USC Faculty Handbook and the manual of the University Committee on Appointments, Promotion and Tenure (UCAPT). The President of the University will award the designation after advice by UCAPT. Such faculty members should, when the dean determines it is appropriate and feasible, have contracts of three to five years. University records will record them as being on RTPC track, with a clinical scholar designation.

Requirements:

As stated in the Faculty Handbook and the UCAPT Manual.

III. Part-Time RTPC Track Faculty (50% -80%)

A. Criteria - The basis for part-time (RTPC) faculty appointment time commitments will vary and

expectations for promotion in the part-time ranks differ with the candidate's involvement in the Herman Ostrow School of Dentistry's educational programs.

The ranks for part-time RTPC clinical faculty 50% to 80% are as follows:

50% or greater (Clinical)

- Clinical Instructor
- Clinical Assistant Professor
- Clinical Associate Professor
- Clinical Professor

Because it is anticipated that most, if not all, part-time faculty appointees concentrate their activities in teaching, most part-time faculty are expected to accomplish the following objectives to qualify for promotion:

1. Recognition by students/ peers as being outstanding or exceptional in teaching or clinical teaching and meritorious in all other areas as relevant to their load profile.
2. For those faculty where teaching is not the primary concentration, a preponderance of outstanding or exceptional performance in research or service is expected and meritorious in all other areas as relevant to their load profile.
3. Periodic performance merit reviews by the division/department chair during the period of service since the last promotion/appointment will demonstrate a preponderance of exceptional or outstanding outcomes in their primary area of contribution.
4. A minimum of six years of service at the current rank (promotion following a shorter time in rank is possible after two years in the current rank, with the fulfillment of established criteria, in situations such as productive/effective performance in leadership or administrative positions).

Teaching activities may include contributions to the development of educational experiences and materials (e.g. computer programs/activities, clinical evaluation forms, written instructional guides, chapters, books or other publications to facilitate learning).

Research/scholarly activities may include presentations at scientific, professional or educational meetings or those related to discipline focus; contributions to the scientific literature through publications in refereed journals, success in achieving grant, foundation, governmental support for scholarship or service.

Service activities may include evidence of involvement in school, university, local and national professional and/or educational organizations (e.g. ADEA, ADHEA, APHA, SCDA, AOTA, APTA, or other organizations as appropriate).

B. Identification of candidates for promotion – Same as for full-time RTPC faculty.

C. Dossier Preparation – Same as for full-time RTPC faculty.

IV. Adjunct RTPC Track Faculty (Less than 50%)

The ranks for Adjunct RTPC teaching/clinical faculty less than 50% are as follows:

Less than 50% (Adjunct)

- Adjunct Instructor (for faculty whose terminal degree is not clinical)
- Adjunct Instructor of Clinical
- Adjunct Assistant Professor of Clinical

- Adjunct Associate Professor of Clinical
- Adjunct Professor of Clinical

Because it is anticipated that most, if not all, adjunct faculty appointees concentrate their activities in teaching, most adjunct faculty are expected to accomplish the following objectives to qualify for promotion:

1. Recognition by students/ peers as having a preponderance of outstanding or exceptional reviews in teaching or clinical teaching and meritorious in all other areas as relevant to their load profile; for those faculty where teaching is not the primary concentration, a preponderance of outstanding or exceptional performance in clinical practice/service or research is expected and meritorious in the other categories depending on load profile.
2. Performance merit reviews by the division/department chair during the period of service since the last promotion/appointment will demonstrate a preponderance of exceptional or outstanding outcomes in their primary area of contribution.
3. A minimum of six years of service at the current rank (promotion following a shorter time in rank is possible after two years in the current rank, with the fulfillment of established criteria, in situations such as productive/effective performance in leadership or administrative positions).

Teaching activities may include contributions to the development of educational experiences and materials (e.g. computer programs/activities, clinical evaluation forms, written instructional guides, chapters, books or other publications to facilitate learning).

Research/scholarly activities may include presentations at scientific, professional or educational meetings or those related to discipline focus; contributions to the scientific literature through publications in refereed journals, success in achieving grant, foundation, governmental support for scholarship or service.

Service activities may include evidence of involvement in school, university, local and national professional and/or educational organizations (e.g. ADEA, ADHEA, APHA, SCDA, AOTA, APTA, or other organizations as appropriate).

V. Appointment, Reappointment and Mid-Contract Terminations

These actions concerning RTPC track faculty will observe all requirements of the Faculty Handbook and other University policies, and for full-time faculty will observe the requirements of the Faculty Handbook Section 4-G.

The general criteria for academic evaluation at the Herman Ostrow School of Dentistry are those stated in University policies, including the Faculty Handbook. Additional evaluation criteria, for those with clinical duties, are excellence in patient care and observance of all compliance and credentialing policies. The specific criteria for assessing the contribution of the individual's teaching, scholarship, or service, to the academic mission of the University are excellence in performing the duties assigned to the individual. The relative weights given to the criteria, and the relevant evidence, are in accordance with the work profile, or other allocation of duties, as determined by the division chair or his or her delegate. Evaluations, reviews, and other relevant evidence may be taken into consideration in making personnel decisions.

Any RTPC track faculty with patient care duties, who ceases to have a valid license to practice or otherwise fails to meet the obligations listed in the credentialing or compliance policies, may be terminated with a minimum of 30 days' notice or pay in lieu of notice.

The decision whether to appoint, promote, reappoint faculty or not is within the discretion of the

Dean/Associate Dean, provided that it is not for a reason prohibited by law or based on considerations violative of academic freedom. Before the Dean exercises discretion not to reappoint, the Dean shall request the Faculty Development Committee or an ad hoc committee to review thoroughly the documentation supplied by the Division Chair, so as to advise the Dean concerning the suitability and qualifications of the individual and the needs of the academic unit. This does not apply to other at-will administrative appointments which are solely at the discretion of the Dean/Associate Dean.

These guidelines are subject to amendment by the Provost, who may also approve exceptions or waivers. Any claim that these guidelines were not properly applied are subject to the Provost's decision as to what remedy, if any, is appropriate.

Addenda:

Division of Biokinesiology and Physical Therapy

Chan Division of Occupational Science and Occupational Therapy