



HANDBOOK

OF THE FACULTY OF
ARTS & SCIENCES



August 2016

DARTMOUTH COLLEGE
HANOVER, NEW HAMPSHIRE



FOREWORD

Dear Colleagues:

This electronic edition of the Faculty Handbook replaces all previous editions and is the document of record when referencing the operating principles of the Arts & Sciences. The purpose of this document is to provide all of us with a common source for understanding the various policies and procedures of the Arts & Sciences, to provide convenient access to the guidelines of other areas of the College, to aid in the identification of available College resources, and to describe our basic organizational structure.

Because of the range of topics covered in the Faculty Handbook, the source and authority for each varies. Some matters described in this document are the result of formal actions by the Faculty of Arts and Sciences or by one of its committees; others represent actions taken by the Board of Trustees; still others are the result of administrative practice and policy, either here in the Dean of the Faculty Office or other administrative areas. Some topics are covered primarily through links to online information in other areas of the College.

The electronic format of this document will continue to permit modification and clarification of our policies. You should consult it often when referencing Arts & Sciences policy to ensure you have the latest version. While every effort has been made to make this Handbook as up to date as possible, changes will undoubtedly occur. Various committees and officers of the College having responsibility for areas covered by the Handbook reserve the right to make such changes in the policies and procedures contained in this Handbook as deemed appropriate. As always, we would appreciate hearing from you regarding those things that require correction or clarification.

Sincerely,

A handwritten signature in black ink, appearing to read 'Michael Mastanduno', with a stylized, cursive script.

Michael Mastanduno

Dean of the Faculty

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HISTORY

Dartmouth College had its origins in More's (later Moor's) Indian Charity School, a precursor educational enterprise established in the year 1754 at Lebanon, Connecticut, by Reverend Eleazar Wheelock, a minister of the Congregational faith and a graduate of Yale. A search for support of this undertaking and difficulties in finding either Indians or a charter in Connecticut led Wheelock to relocate his mission to the province of New Hampshire, where offers of land and expressions of civic interest had earlier been elicited from the provincial authorities. Through the good offices of Governor John Wentworth, and others, a royal charter was obtained and approved on December 13, 1769, establishing a college "for the education and instruction of Youth of the Indian Tribes in this Land in reading, writing, and all parts of Learning which shall appear necessary and expedient for civilizing and Christianizing Children of Pagans as well as in all liberal arts and sciences and also of English Youth and any others." The following year Mr. Wheelock settled in the township of Hanover and erected his single log hut as the home of the new school. Wheelock had suggested that the school be called Wentworth, but the Governor who was so instrumental in securing the royal charter modestly preferred to name it for his friend William Legge, the Earl of Dartmouth, an important benefactor of the College, and a Trustee of its original endowment. The first class of four students was awarded baccalaureate degrees in the initial commencement exercises undertaken in 1771, and there has been a graduating class every year since.

The College was hardly established before jurisdictional disputes between John Wheelock, Eleazar's son and the second president, and the institution's Board of Trustees developed into a controversy, which threatened its very life. Persuaded by President Wheelock, Governor Plumer of New Hampshire and the State legislature enacted measures to "pack" the Board of Trustees and to rename the institution "Dartmouth University." Refusing to be intimidated, the former Board of Trustees continued to operate Dartmouth College side by side with the University until the controversy was settled finally by proceedings before the U. S. Supreme Court, in which Daniel Webster represented the College. The decision handed down by Chief Justice Marshall in February 1819 preserved the original charter free of interference from the Senate, in one of the most important statements on the freedom of private institutions existing in American jurisprudence. The future of the College was thus assured.

In 1797, prior to the Dartmouth College Case, Dr. Nathan Smith, one of the leading surgeons and physicians of the day had established the Dartmouth Medical School. Other additions to the College were established. In 1851 the Chandler School of Science was founded as the result of a generous gift by a Boston merchant of that name, and subsequently became an integral part of the College now represented in the various Science departments. In 1868 an agricultural school was established by the State of New Hampshire under the Morrill Land Grant Act. In 1892 it was relocated to Durham, New Hampshire, where it has since evolved into the University of New Hampshire. The Thayer School of Engineering was founded in 1871 through the generosity of Sylvanus Thayer, and in 1899 the Amos Tuck School of Business Administration was founded with an endowment furnished by another alumnus, Edward Tuck, Class of 1862. Post-baccalaureate studies were well established by 1850, when the Medical School alone had some 52 students in this category. Dartmouth first conferred a Ph.D. degree on a candidate in the Classics Department in 1885, but a doctoral program in the modern sense did not get underway until 1960, when the College authorized the development of a Ph.D. program in the Medical School that led to an interdisciplinary doctoral program in molecular biology. Shortly thereafter departmental programs in mathematics and physics were authorized, and since that time doctoral graduate study on a modest scale has been undertaken by all departments in the sciences and by the Department of Psychological and Brain Sciences. In addition, Masters Programs are offered in Electro-Acoustical Music, Comparative Literature, among others.

Originally a college for male students, Dartmouth has admitted undergraduate women candidates since 1972. Concurrently with this development, the College changed its curriculum to a four quarter, year-round educational calendar. Undergraduates must be enrolled in a summer term, usually following their sophomore year.

OUR MISSION

Dartmouth College combines the best features of an undergraduate liberal arts college with the intellectual vitality of a research university. Founded as an undergraduate institution more than two centuries ago, Dartmouth offers excellent graduate programs within the Arts and Sciences and in business, engineering, and medicine. The professional schools, among the first established in their respective fields, have had a historic role in defining the school's intellectual values. Dartmouth encourages a love of learning and discovery in every member of its community. It celebrates the diversity of that community, which includes men and women from different backgrounds, abilities, economic circumstances, perspectives, races, religions, national origins, and sexual orientations.

Dartmouth has a special character and is committed to fostering the unique bonds that exist between the institution and those who learn, teach, and work here. This character is rooted in the following essential elements:

A devotion to a vital learning environment that relies on a faculty dedicated to outstanding teaching and scholarship; a talented and intellectually curious student body; a staff committed to the institution and its purposes, and alumni/ae supportive of the pursuit of the highest ideals of teaching and learning.

A conviction that one of Dartmouth's strengths is providing students with close contact with faculty, and an appreciation that the quality of the educational and research experiences Dartmouth offers is one measure of its success.

A resolve to enrich the learning experience at Dartmouth by encouraging regular interaction among members of a diverse community. A Dartmouth education should prepare students for life in a complex world, one in which the ability to understand and appreciate differences and similarities among all people and societies is essential.

A commitment to sustain an academic residential community that cultivates and nurtures the social, emotional, moral, and physical well-being of its members. Dartmouth encourages intellectual endeavors, artistic expression, community service, athletics and outdoor activities, religious life, and political and social activism.

A recognition that its setting and location in northern New England offer Dartmouth unique advantages, special traditions, and ongoing obligations related to understanding our relationships to our community and to our environment.

PART II: STRUCTURE AND OFFICES

CHARTER

The statutes of the College are represented in the original Charter granted in the name of King George III in 1769 as amended by legislation enacted by the New Hampshire State government through the years. After the Supreme Court decision in 1819, the Charter was effectively established as a contract that could be modified only by the agreement of both parties involved. Thus, since that date all changes to the Charter represent the joint action of the State Legislature and the Dartmouth Board of Trustees.

The Charter established the composition of the Board of Trustees, its power, and its duties. As has been mentioned before, it states the purposes of the College and further sets forth the offices of the President, the Treasurer, the Clerk, an Usher, and a Steward to be appointed by the Board of Trustees. The duties of the President are set forth, but no specific functions are ascribed to the latter offices. Among other duties, the Board of Trustees is empowered to nominate or appoint such other officers, as it deems necessary to conduct the business of the College.

BOARD OF TRUSTEES

The Board of Trustees is granted final authority under the original Charter of Dartmouth College to establish such "ordinances, order and laws as may tend to the good and wholesome government of said College...." Other statutory functions of the Board include the appointment of faculty and principal administrative officers, the purchase and disposition of real property, the establishment of salary scales, and the awarding of degrees. In short, the Board of Trustees has ultimate responsibility for the financial, administrative, and academic affairs of the College.

The Board of Trustees consists of the President of the College, the Governor of New Hampshire (ex officio), and twenty-four others: sixteen Charter Trustees and eight Alumni Trustees. Charter Trustees are nominated and elected by the Board itself; Alumni Trustees are nominated by the alumni and elected by the Board. Duties and powers of all the Trustees are the same, and all elected members serve four-year terms. Both Charter and Alumni Trustees normally serve no more than two terms.

STANDING COMMITTEES OF THE BOARD OF TRUSTEES

The Trustees have established a number of standing committees to carry on the business of the Board in specific areas. The standing general committees, which meet regularly, are Academic Affairs, Alumni Relations, Executive, Finance, Governance/Nominating, Master Plan and Facilities, and Student Affairs. Standing special committees are Audit, Compensation, and Investment. The majority of the Trustees' work is channeled through these committees and all report to the Board in an advisory capacity.

Members of the Board also serve on boards overseeing the following: Dartmouth Medical School, Thayer School of Engineering, Tuck School of Business, Hopkins Center/Hood Museum, Dartmouth-Hitchcock Medical Center, Rockefeller Center for the Social Sciences, John Sloan Dickey Center for International Understanding, and the Tucker Foundation. Serving ex officio on these boards are administrative officers, members of the faculty, and students, who participate in the deliberations of the boards but do not vote. All Trustees have full voting privileges.

For more information on the Board of Trustees, including a meeting calendar, go to <http://www.dartmouth.edu/~trustees/index.html>.

OFFICE OF THE PRESIDENT

Under the Charter, the President is held responsible for the "immediate care of education and government of such students as shall be admitted into Dartmouth for instruction and education," and, as such, is the principal administrative officer of the College. As a member of the Board of Trustees, the President participates in the review and formulation of policy; and as its chief executive officer; he or she exercises general supervision of the interests of the College with particular oversight of the academic departments of instruction. The President presides at all academic functions at which he is present, and represents the College before the public.

For more information on the Office of the President, including links to various speeches and a biography of Dartmouth's sixteenth President, go to <http://www.dartmouth.edu/~presoff/office.html>.

INSTITUTIONAL DIVERSITY AND EQUITY

The President of Dartmouth has assigned responsibility for carrying out the affirmative action program to the Vice President for Institutional Diversity & Equity. The Vice President coordinates diversity initiatives and efforts throughout the College community, issues an annual report on progress of the College's Affirmative Action Plan, and biennially conducts an institution-wide salary review and disseminates a summary of that review. Under the supervision of the Vice President, the Director of Equal Opportunity and Affirmative Action monitors compliance with governmental equal opportunity/affirmative action statutes and provides institutional liaison to governmental agencies on EO/AA matters. In addition, the Director of Equal Opportunity and Affirmative Action investigates and mediates resolution of EO/AA complaints. For more information on the Office of Institutional Diversity and Equity, see <http://www.dartmouth.edu/~eoaa/>.

OFFICE OF THE PROVOST

The Provost is the College's chief academic officer with institution-wide responsibilities and is directly responsible for those operations transcending the work of a single faculty. The Provost chairs the committee that prepares the institutional budget for future years.

The Provost has oversight responsibility for Arts and Sciences, the Amos Tuck School of Business Administration, the Thayer School of Engineering, and the Dartmouth Medical School. The appropriate Deans have full operating responsibility in each case. The Libraries, Computing Services, the Hopkins Center, and the Hood Museum are the major academic support centers for which the Provost is directly responsible.

Other areas within the College for which the Provost provides broad oversight and guidance are Admissions and Financial Aid, Dartmouth Entrepreneurial Network, the Dickey Center, Electron Microscope Facility, Ethics Institute, Facilities Planning, Office of Sponsored Projects, Institute for Life-Long Education at Dartmouth, Institutional Research, Institute for Security Technology Studies, Montgomery Endowment, the Dartmouth College Rassias Center, Student Affairs, the Tucker Foundation, University Press of New England, and the Women in Science Program. Also reporting to the Provost are the Center for Addiction, Recovery & Education, the Animal Resource Center, Brain Imaging Center, the Center for Environmental Health Sciences, the Trace Metals Analysis Core Facilities, and the Molecular Materials Program.

The Provost also serves ex officio as a member of the trustee committees on Academic Affairs (Agenda Officer), Facilities (Agenda Officer), Development, Finance, and Medical School. For more information on the Provost's Office go to <http://www.dartmouth.edu/~provost>.

THE TUCKER CENTER

A resource to the entire Dartmouth community, the Tucker Center seeks to assist and facilitate all efforts that support and further the moral and spiritual work of the College.

The William Jewett Tucker Center inspires and supports members of the Dartmouth community to cultivate a deep sense of meaning and purpose through spiritual, ethical and moral exploration and engagement.

The Tucker Center aspires to:

- ✦ Affirm and support religious and spiritual identity and development
- ✦ Deepen religious understanding and mutual respect through interfaith dialogue, scholarship, and action
- ✦ Encourage each Dartmouth student to develop character, conscience and vision
- ✦ Serve as a vital partner in the larger Dartmouth community around issues of conscience
- ✦ Actively collaborate with all sectors of Dartmouth to improve the quality of community by fostering meaningful connection across difference
- ✦ Provide support and guidance to individuals and the community in times of celebration and need

To access the Tucker Center website, go to <https://www.dartmouth.edu/~tucker/>.

OFFICE OF THE DEAN OF FACULTY

The Dean of the Faculty is the chief officer of the Faculty of Arts and Sciences. He or she is responsible for all matters relating to the effectiveness, development, and well-being of the Faculty of Arts and Sciences. He or she oversees the educational policies and programs of instruction of the Faculty.

Ex officio, the Dean is a member of the Faculty of Arts and Sciences, the Committee of Chairs, the Agenda Subcommittee, the Committee Advisory to the President, the Committee on Organization and Policy, the Committee on Instruction, the Committee on Off-Campus Activities, the Committee on the Faculty, the Council on Computing, the Council on Sponsored Activities, the Steering Committee of the General Faculty, the Facilities Planning Board, the Board of Overseers of the Hopkins Center and Hood Museum, and the Trustee Committees on Budgets, Educational Affairs, and Student Affairs.

The Dean of the Faculty is assisted by Associate Deans of the Faculty who also serve as chief officers of the Divisions of Arts and Humanities, the Sciences, the Social Sciences, and Interdisciplinary Programs. There is also a Dean of Graduate Studies. **The Associate Dean for Interdisciplinary Programs also oversees the Guarini Institute for International Education (Off-Campus Programs).** Other staff includes the Associate Dean for Finance & Operations, the Director of Finance & Research Administration, the Director of Operations and Finance Center, the Chief of Staff for Administration and Advancement, the Executive Director of Off-Campus Programs, and the Associate Director for Administration and Advancement. A complete list of staff in the Dean of the Faculty office can be found at <http://www.dartmouth.edu/~dof/who/index.html>.

The Office of the Dean of the Faculty is responsible for the following functions:

- ✦ Oversight for the processes of recruitment, appointment, and promotion of faculty;
- ✦ Personnel records for the faculty;

- ✦ Faculty compensation matters and maintenance of comparative compensation data from other institutions;
- ✦ Oversees development of the curriculum;
- ✦ Development activities for Arts and Sciences in cooperation with the Office of Development;
- ✦ Facilities planning for the Faculty of Arts and Sciences;
- ✦ Arrangement of faculty meetings, publication of the Organization of the Faculty of Dartmouth College, and administrative support of the various committees of the Faculty;
- ✦ All affirmative action procedures for the Faculty of Arts and Sciences including collaboration with the Office of Institutional Diversity and Equity with regard to monitoring affirmative action policies and goals.

GRADUATE STUDIES OFFICE

The Dean of Graduate Studies has administrative responsibility for post-baccalaureate programs in the Faculty of Arts and Sciences. The Dean is assisted by the Assistant Dean and Registrar of Graduate Studies. The functions of the Office of Graduate Studies include:

- ✦ Planning and implementation with respect to the intellectual character and organization of graduate activity in the Arts and Sciences;
- ✦ Assistance in raising external funds;
- ✦ Administration of graduate student fellowships and scholarships;
- ✦ Admission of graduate students and graduate special students;
- ✦ Registration of graduate students and graduate special students;
- ✦ Maintenance of graduate student and graduate special student academic transcripts and records;
- ✦ Adjudication of graduate student disciplinary cases;
- ✦ Oversight of graduate student housing and other aspects of graduate student life.

Ex officio, the Dean of Graduate Studies is a member of the Council on Graduate Studies, the Council on Sponsored Programs, and the Council on Libraries. For more information on post-baccalaureate programs in Arts and Sciences see <http://www.dartmouth.edu/~gradstudy/>.

OFFICE OF THE REGISTRAR

The Registrar's Office is responsible for the planning, organization, and record keeping of instructional activities of undergraduate students in Arts and Sciences at Dartmouth. This is an office of the faculty and acts as its proxy by coordinating activities including but not limited to efficient course registration; enrollment pattern planning; scheduling classes into classrooms; maintaining accurate records of courses offered and grades awarded for student academic performance; maintenance, protection and release of academic records; and certification of students for graduation. The Office creates and maintains the master schedule of courses and identifies appropriate credit and degree requirements associated with each course.

The Registrar, on behalf of the Faculty of Arts and Sciences, implements, administers, and monitors academic policy and communicates procedure and policy to the College's various constituents. The Registrar sets the Academic Calendar and publishes the College bulletin. Ex officio, the Registrar is a member of the Committee of Chairs, the Committee on Instruction, the Committee on Off-Campus Programs, and the Language Waiver Committee.

The Registrar's Office supports the College's external reporting requirements and its institutional research and academic planning activities by maintaining a comprehensive database of student academic and demographic information. The Office certifies student enrollments, degrees awarded and academic eligibility to various governmental, public, private and academic agencies including but not limited to the Veterans Administration and the National Student Clearinghouse.

The Registrar's Office supports academic advising and course planning to help students incorporate academic experiences at home and abroad to fulfill educational and personal goals. The Office also advises students on course selection and planning in order to meet all requirements for the degree. For more information on the Registrar's Office, go to <http://www.dartmouth.edu/~reg/>.

OFFICE OF THE DEAN OF THE COLLEGE

Many aspects of college life influence the education of Dartmouth students. Some of these pertain to the formal undergraduate curriculum, while others involve programs, services, activities, and facilities that are customarily grouped under the term "student life." These include considerations of where students sleep, eat, and go for assistance when confronted by medical, academic, or personal concerns, as well as how students can most effectively benefit from all the opportunities for intellectual, social, and personal growth while at Dartmouth. The quality of the undergraduate experience at the College depends heavily on an integration of all aspects of a student's life and the Dean of the College Office seeks to blur these boundaries as students grow and learn.

The Dean of the College has overall responsibility for the supervision, coordination, long-range planning, and budgeting for most of the offices in the area of "student life," including the Academic Skills Center, Athletics and Recreation, Career Services, College Health Service, Dining Services, First-Year Office, International Office, the Native American Program, Office of Counseling and Human Development, Outdoor Programs, Residential Life, Safety and Security, Student Life, Undergraduate Judicial Affairs, Upperclass Deans Office, the Women's Resource Center, and the Offices of the Advisors to Black Students; Asian and Asian American Students; Gay, Lesbian, Bisexual, Transgender Students; and Latino/Latina Students.

The Office of the Dean of the College serves as the official link between the College and the student body and represents student interests in relationship to other committees, councils, departments, and offices at the College. The deans are prepared to handle a wide variety of student concerns. They plan and implement programs to provide guidance and information that will help students take full advantage of the many opportunities and services available at the College. The deans also serve as advisers to many student groups and organizations, including the Class Councils. They also sit on a number of College committees and councils, particularly those that directly concern student life, such as the Council on Student Organizations, the Committee on Student Life, the College Commencement Committee, the Committee on Off-Campus Programs, the Council on the Libraries, the Council on Computing, the Sexual Assault and Sexual Harassment Committee, and the Dartmouth College Athletic Council.

Students in need of assistance in virtually any area of College life—academic, social, extracurricular—can expect help from the Office of the Dean of the College: first-year students primarily through the First-Year Office and upper class students primarily through the Upperclass Deans Office. Because they maintain a close working relationship with all student affairs offices, the deans are able to provide both direct advice and referral to other offices of the College, and they are available to discuss any academic or personal concern that a student may have.

UNDERGRADUATE DEANS

For students experiencing academic difficulty, undergraduate deans are available for meetings to review progress, identify and deal with problems, and explore other support services available to students at the College.

A student on academic “Risk”, “Warning” or “Probation” is expected to consult with his/her class dean. A student on “Probation” is expected to meet with that dean during the first week of classes, at midterms when professors file midterm reports, and approximately every two weeks during the term. During these meetings, the student’s progress is reviewed, and suggestions are made for improvements, including possible referral to other offices.

Even if a student is not on “Risk,” “Warning,” or “Probation”, he or she is encouraged to consult with a class dean about any problems.

ACADEMIC SKILLS CENTER

The Academic Skills Center, 301 Collis Center, 646-2014, offers help to all students who want to become more efficient and effective learners. Improved reading comprehension, peer tutoring, time management, study strategies, note taking, and exam preparation can improve grades and academic self-confidence. Workshops and individual sessions are available every term in addition to a course in reading improvement. The Academic Skills Center also houses an Academic Enrichment Library of printed materials, audiocassettes, videos, and computer programs for improving learning strategies.

ACADEMIC COUNSELING FOR STUDENT-ATHLETES

Student athletes have access to a variety of services funded by the NCAA Academic Enrichment Fund. These services include individual academic counseling, academic programs which target the needs of student-athletes, and other academic skills resources. In addition, the NCAA Fund supports a Laptop Checkout Program that allows student-athletes to check out college-owned laptop computers for use during athletic-related travel or away competition.

DISABILITIES

Dartmouth provides accommodations and auxiliary aids to help students with disabilities have the same access to all programs as other students. Disabilities include but are not limited to hearing, orthopedic, speech, or visual impairments, cerebral palsy, diabetes, hemophilia, epilepsy, multiple sclerosis, muscular dystrophy, cancer, mobility impairments, or psychiatric disabilities. Call 646-2014 for information or visit the Student Disabilities Coordinator in the Academic Skills Center.

TUTOR CLEARINGHOUSE

The Academic Skills Center maintains a file of qualified students who are willing to tutor other students in many academic subjects offered at Dartmouth. Students on financial aid have their tutoring paid for by the College. Study groups are offered each term for introductory level courses. Leaders are selected, trained, and paid by the Academic Skills Center. Study groups meet regularly once a week to discuss course material and do practice problems.

For more information on the office and services of the Dean of the College area, refer to <http://www.dartmouth.edu/~deancoll/>.

OFFICE OF THE EXECUTIVE VICE PRESIDENT

The Executive Vice President and Chief Financial Officer (EVP/CFO) of the College has responsibility for financial, human resources, central operations and administrative management activities for the College. These activities include: budgeting and financial planning for operations and capital needs, general accounting, human resources and payroll, project management, finance centers, other central operations, and risk management and internal control services. Along with the President's Office, the EVP/CFO convenes the Budget Committee of the College and oversees the activities of Computing Services. The EVP/CFO serves as agenda officer for the Audit and Finance Committees of the Board of Trustees.

Direct reports to the EVP/CFO include the Vice President for Finance, Vice President for Human Resources, Director of the Project Management Office, and Director of Risk Management and Internal Controls Services. The VP for Computing Services is a dual report to the EVP/CFO and Provost. The Chief Investment Officer is a direct report to the President with a dual report to the EVP/CFO.

ENVIRONMENTAL HEALTH AND SAFETY (EHS)

The Office of Environmental Health and Safety (EHS) is charged with ensuring Dartmouth's compliance with the myriad of environmental and occupational health and safety requirements that affect an academic institution. These requirements encompass a practical rationale (protection of individuals and environment) and regulatory necessity (Federal and State laws).

EHS reports to the Executive Vice President for Finance & Administration but maintains close ties to the Dean of the Faculty (DOF) and Provost. EHS has developed a wide range of programs to address occupational safety and health management, emergency response, fire safety, ergonomics, radiation safety, laboratory safety, and hazardous waste management to help ensure a safe and healthy campus. A service organization to the entire Dartmouth community, EHS provides assistance in a variety of ways, including establishing written policies and procedures, presenting safety and health training programs, facility audits and inspections, and the collection and disposal of hazardous wastes. The use of hazardous materials (biological, chemical, or radiological) in laboratory research must be registered with EHS. To learn more, please visit <http://www.dartmouth.edu/~ehs/>.

FACILITIES OPERATIONS AND MANAGEMENT (FO&M)

FO&M is a service department reporting to the Executive Vice President for Finance & Administration. The functional responsibilities include management of maintenance, preservation and repair services, and budgets for all College facilities; provide maintenance planning and services to professional schools and Office of Residential Life for projects and routine services; total campus grounds care and landscape preservation; capital planning and repair for all College facilities; campus-wide conference and event support; custodial, transportation, recycling, and related services; utility systems planning and operation for entire campus including purchase, generation, and distribution.

In addition, the following services are provided by FO&M: issuance of academic building keys; maintenance of the College events calendar and events scheduling systems; provision of rental car services; operation of campus mail services; maintenance of campus telephone equipment, including desktop equipment, distribution systems, and major processors; after-hours emergency services for College-owned facilities on and off campus. For more information on FO&M services, go to <http://www.dartmouth.edu/~fom/>.

RISK AND INTERNAL CONTROLS SERVICES

Risk and Internal Controls Services is responsible for the strategic leadership and oversight of an integrated risk management program. The Director is assisted by an assistant director in performing the following functions:

- ✦ Selecting fiscally sound insurance programs to cover fortuitous (accidental) losses.
- ✦ Administration, coordination, and settlement of insurance claims, i.e., fire (property loss), liability, auto liability, automobile physical damage, and workers' compensation (Note: medical claims are handled by the Benefits Office at Human Resources.);
- ✦ Loss prevention; systematically identifying and analyzing risk exposures from campus-wide activities; selecting and/or recommending and implementing appropriate risk control strategies.

Risk and Internal Controls website can be found at <http://www.dartmouth.edu/~rmi/>.

CONTROLLER

The departments of the Controller's Office are part of the financial administration of the College under the Executive Vice President for Finance & Administration and Associate Vice President for Fiscal Affairs. The departments of the Controller's Office: Financial Reporting, Accounting Services, Payroll, Accounts Payable, Student Financial Services, and Endowment Administration, collectively provide financial services and related information through collaboration with the Dartmouth community and its partners to facilitate the management and protection of College assets. The services provided include:

- ✦ Maintain the financial records of Dartmouth College;
- ✦ Develop and maintain a system of internal control designed to protect the College's financial assets and to ensure the completeness and accuracy of the College's financial reporting;
- ✦ Prepare financial reports with the Budget Office for the College's management and Board of Trustees and for certain external parties;
- ✦ Process all payroll disbursements and cost allocations in cooperation with the Office of Human Resources for compensation of all College employees;
- ✦ Process all disbursements to creditors and cost allocations in company with Procurement Services for goods and services purchased by and provided to the College;
- ✦ Deliver a range of financial services for students and their families, including billing and collecting tuition and other fees, administering and collecting student loans, and coordinating the collection and application of student financial assistance with the Financial Aid Offices;
- ✦ Operate the Cashier's Office for the employees and students of the College;
- ✦ Administer the College's endowment funds in association with the Investment Office, including accounting for the investments and the distribution of endowment for unrestricted and restricted operating purposes;
- ✦ Administer a range of life income and other charitable gift instruments along with the Development and Investment Offices;

For more information on the Controller's Office, visit <http://www.dartmouth.edu/~control/>.

HUMAN RESOURCES

Reporting to the Executive Vice President for Finance & Administration, the Associate Vice President has immediate supervision of the Office of Human Resources, which is responsible for employment, placement, training, employee and union relations, and benefits administration. They are also responsible for compensation of all College employees except faculty and senior officers. With a number of associates, including the Directors of Employment and Employee Services, Employee and Labor Relations, Total Compensation, Benefits, and Training and Development Services, the functions of the Office of Human Resources are standard for such organizations, but certain of these are of special interest to the faculty as follows:

- ✦ Building effective working relationships between employees and managers;
- ✦ Designing training programs that support employee development as well as the achievement of departmental goals;
- ✦ Collaborating on the hiring process and human resource support services;
- ✦ Providing an equitable and competitive compensation program;
- ✦ Administering benefits programs including retirement, medical, dental, flexible spending accounts, life insurance, and disability plans, to all eligible faculty and staff;
- ✦ Utilizing H.R.M.S., the Human Resources and Payroll information system, which is maintained as part of Administrative Computing central systems;
- ✦ Producing open communications from and about the Office of Human Resources;
- ✦ Maintaining accurate and confidential employee data;
- ✦ Operating a Faculty and Employee Assistance Program that offers free, confidential, professional counseling services for members of the Dartmouth College faculty and staff and their families.
- ✦ Issuance of an identification card to each faculty member for convenience and personal use. In addition to providing identification for use outside of Dartmouth at banks, hotels, etc., this card also provides access to the library and carries the faculty member's user number for access to the Kiewit Computation Center's time-sharing system.

To find out more about the Office of Human Resources, visit <http://www.dartmouth.edu/~hrs/>.

OFFICE OF VICE PRESIDENT FOR DEVELOPMENT

The Vice President is the senior officer responsible for fund raising at the College. The Vice President is a member of the Trustee Committee on Development.

Staff officers associated with the Vice President are the Associate Vice President for Individual & Organizational Giving, the Associate Vice President for Planning & Operations, the Director of Principal Gifts, the Director of Leadership Giving, the Executive Director of the Dartmouth College Fund, the Associate Director of Development, the Director of Gift Planning, the Director of Foundation and Corporate Relations, the Director of Information Resources, the Managing Director of Venture Initiatives, the Director of Campaign Projects & Reporting, the Director of Communications for Development and Alumni Relations, the Director of Development Research, and the Director of Donor Relations.

All Arts and Sciences development solicitations must be cleared by and coordinated through the Office of the Assistant Dean of the Faculty for Development. For more information on development activities within the Division of Arts and Sciences, visit <http://www.dartmouth.edu/~dof/asdev/index.html>.

OFFICE OF THE VICE PRESIDENT FOR PUBLIC AFFAIRS

The Vice President for Public Affairs is the senior officer responsible for the College's internal and external communications programs. The focus of the program is advancing Dartmouth's academic and strategic priorities by generating knowledge, understanding and support among the college's various constituent groups.

The Vice President oversees the functions of Conferences and Special Events, News and Public Information, and Publications. The primary function of these programs is to communicate with the College's various constituencies through news releases, media relations, special events and conferences, and a variety of print and electronic publications and broadcast outlets. The functions coordinated by this office include, but are not limited to:

- ✦ Communicating the strategic priorities of the College.
- ✦ Publicizing and promoting the scholarship, expertise and accomplishments of Dartmouth faculty, staff and students.
- ✦ Managing Dartmouth's public presence on the World Wide Web, and maintaining the college's home page and the Public Affairs "Dartmouth News" page.
- ✦ Coordinating campus-wide communications.
- ✦ Working with faculty and staff on writing and editing opinion articles and commentary for the media, and providing advice on working with the media.
- ✦ Organizing and coordinating annual flagship events such as Commencement and Convocation, as well as other special events including building dedications and regular events conducted in cooperation with the Development Office.
- ✦ Providing campus-wide conference and event planning and support services.
- ✦ Coordinating summer camps and conferences.
- ✦ Planning and developing traditional printed and electronic publications.
- ✦ Providing professional print and digital photography services.

For more information on the Office of Public Affairs, go to <http://www.dartmouth.edu/~news/>.

PART III: POLICIES AND PROCEDURES

FREEDOM OF EXPRESSION AND DISSENT

The Faculty of Arts and Sciences adopted the following policy statement on freedom of expression and dissent in June 1968:

Dartmouth College prizes and defends the right of free speech, and the freedom of individuals to make independent decisions, while at the same time recognizing that such freedom exists in the context of law and of responsibility for one's actions. The exercise of these rights must not deny the same rights to any other individual. The College therefore both fosters and protects the rights of individuals to express their dissent. Protest or demonstration shall not be discouraged so long as neither force nor the threat of force is used, and so long as the orderly processes of the College are not deliberately obstructed.

In taking this action, the Faculty requested the Officers of the College and all appropriate agencies of the Faculty and the student body to communicate this policy to all segments of the Dartmouth community in such a way that it would be understood that membership in this community carried with it, as a necessary condition, the agreement to honor and abide by this policy.

Faculty of Arts and Sciences
Action
June 6, 1968

ACADEMIC FREEDOM

In 1973 the Faculty of Arts and Sciences reaffirmed its agreement with the Trustees on the broad issues of Academic Freedom, Tenure, and Responsibility of Faculty Members as currently set forth in the OFDC.

THE ACADEMIC HONOR PRINCIPLE

Note: The Faculty Resolution establishing the Academic Honor Principle, voted unanimously on February 13, 1962, appears in the publication, Organization, Regulations and Courses (ORC). The following statement implements that resolution (approved updated most recently on May 17, 1999):

Therefore be it Resolved that,

- I. The Faculty of Dartmouth College, in recognizing the responsibility of students for their own education, assumes intellectual honesty and integrity in the performance of academic assignments, both in the classroom and outside. Each student upon enrollment at Dartmouth College accepts this responsibility with the understanding that any student who submits work which is not his or her own violates the purpose of the College and is subject to disciplinary actions, up to and including suspension and separation.
- II. The Faculty recognizes its obligation: (a) to provide continuing guidance as to what constitutes academic honesty; (b) to promote procedures and circumstances which will reinforce the principle of academic honor; (c) to review constantly the effective operation of this principle.

- III. The practice of proctoring examinations is hereby discontinued, though a teacher may be present at appropriate times for the purpose of administration or to answer questions.
- IV. The Committee on Standards shall undertake: (a) to publish and interpret the Resolution on Academic Honor to the student body each year; (b) to adjudicate reported violations according to established procedures; (c) to review constantly the effective operation of this principle and, if necessary, make recommendations to the Faculty for maintaining the spirit of this Resolution.

The faculty, administration and students of Dartmouth College recognize the Academic Honor Principle as fundamental to the education process. Any instance of academic dishonesty is considered a violation of the Academic Honor Principle.

Fundamental to the principle of independent learning are the requirements of honesty and integrity in the performance of academic assignments, both in the classroom and outside. Dartmouth operates on the principle of academic honor, without proctoring of examinations. Any student who submits work which is not his or her own, or commits other acts of academic dishonesty, violates the purposes of the college and is subject to disciplinary actions, up to and including suspension or separation.

The Academic Honor Principle depends on the willingness of students, individually and collectively, to maintain and perpetuate standards of academic honesty. Each Dartmouth student accepts the responsibility to be honorable in the student's own academic affairs, as well as to support the Principle as it applies to others.

Any student who becomes aware of a violation of the Academic Honor Principle is bound by honor to take some action. The student may report the violation, speak personally to the student observed in violation of the Principle, exercise some form of social sanction, or do whatever the student feels is appropriate under the circumstances. If Dartmouth students stand by and do nothing, both the spirit and operation of the Academic Honor Principle are severely threatened.

A number of actions are specifically prohibited by the Academic Honor Principle. These focus on plagiarism and on academic dishonesty in the taking of examinations, the writing of papers, the use of the same work in more than one course, and unauthorized collaboration. This list of examples covers the more common violations but is not intended to be exhaustive.

1. **Examinations.** Any student giving or receiving assistance during an examination or quiz violates the Academic Honor Principle.
2. **Plagiarism.** Any form of plagiarism violates the Academic Honor Principle. Plagiarism is defined as the submission or presentation of work, in any form, that is not a student's own, without acknowledgment of the source. With specific regard to papers, a simple rule dictates when it is necessary to acknowledge sources. If a student obtains information or ideas from an outside source, that source must be acknowledged. Another rule to follow is that any direct quotation must be placed in quotation marks, and the source immediately cited. Students are responsible for the information concerning plagiarism found in *Sources: Their Use and Acknowledgment*, available in the Deans' Offices.
3. **Use of the same work in more than one course.** Submission of the same work in more than one course without the prior approval of all professors responsible for the courses violates the Academic Honor Principle. The intent of this rule is that a student should not receive academic credit more than once for the same work product without permission. The rule is not intended to regulate repeated use of an idea or a body of learning developed by the student, but rather the identical formulation and presentation of that idea. Thus the same paper, computer program, research project or results, or other academic work product should not be submitted in more than one course (whether in identical or rewritten form) without first obtaining the permission of all professors responsible for the courses involved. Students with questions about the application of this rule in a specific case should seek faculty advice.

4. **Unauthorized Collaboration.** Whether or not collaboration in course work (labs, reports, papers, homework assignments, take-home tests, or other academic work for credit) is permitted depends on expectations established in individual courses. Students are sometimes encouraged to collaborate on laboratory work, for example, but told to write their laboratory reports independently. Students should presume that collaboration on academic work is not permitted, and that submission of collaborative work would constitute a violation of the academic honor principle, unless an instructor specifically authorizes collaboration. Students should not presume that authorization in one class applies to any other class, even classes in the same subject area. Students should discuss with instructors in advance any questions or uncertainty regarding permitted collaboration.

FACULTY GUIDELINES FOR RESPONDING TO VIOLATIONS OF THE ACADEMIC HONOR PRINCIPLE

At a meeting of the faculty on May 23, 1983, it was voted that the Faculty of Arts and Sciences adopt the following statement on the Academic Honor Principle:

An instructor who suspects that a student may have violated the Academic Honor Principle of the College should observe the following guidelines:

1. The instructor may want to discuss the suspected violation with the student(s) to determine that there has been no misunderstanding between the instructor and student(s).
2. The instructor is strongly encouraged to test the validity of his/her suspicion by consulting a colleague or the department/program Chair.
3. If, after consideration, the instructor believes that the suspicion is valid, the instructor should immediately bring the matter to the attention of the Committee on Standards by contacting the Undergraduate Judicial Affairs Officer in the Dean of the College Office at 646-3482 and should inform the department/program Chair. The Judicial Affairs Officer will consult with the instructor about the kinds of information and materials needed for a judicial review and will consult with the Dean of the College about proceeding with a hearing. Under no circumstances should the instructor who suspects a violation of the Academic Honor Principle attempt to resolve the matter independently or in camera with the student in question.

For further information about the Academic Honor Principle, consult with the Dean of the Faculty, the Dean of the College, or the Undergraduate Judicial Affairs Officer in the Office of the Dean of the College. Copies of **Sources: Their Use and Acknowledgment** is available online at <http://www.dartmouth.edu/~writing/sources>.

FERPA GUIDELINES ON CONFIDENTIALITY OF STUDENT EDUCATION RECORDS

The Family Educational Rights and Privacy Act (FERPA) affords students certain rights with respect to their education records and prohibits disclosure of information to third parties without student consent, unless subject to a FERPA exception. Student rights are:

- ⊕ The right to inspect and review their education record within 45 days of the College's receipt of a request;
- ⊕ The right to request amendment of their education record if the student believes it is inaccurate or misleading;
- ⊕ The right to consent to disclosures of personally identifiable information contained in the student's education record, except to the extent FERPA authorizes disclosure without consent.

Under FERPA, Dartmouth is generally prohibited from disclosing personally-identifiable information from the student's education record to third parties. The definition of an "education record" is very broad and includes virtually all personally-identifiable information concerning a student's academic work and activities unless it is covered by an exception. Disclosure of education records is permitted as follows:

1. "Directory information," including name, age, dates and status (part-time or full-time) of enrollment and residence, class year, major, degrees awarded, awards and honors, addresses and telephone numbers on campus, home address and telephone number, date and place of birth, relationship to an alumnus or alumna of the College, most recent school previously attended, extracurricular activities, weight and height of members of athletic teams, and other similar information, unless the student objects in writing to the Office of the Dean of the College.
2. To faculty members and other officials of Dartmouth College who have a legitimate educational need to access a student's education record in order to fulfill their professional responsibility. College officials eligible to review education records for this purpose may include administrative, supervisory, academic or support staff members; individuals or entities with whom the College has contracted; members of the Board of Trustees; and persons assisting these officials in performing their tasks.
3. To government agencies entitled to it by law.
4. To the parent(s) or guardian(s) of a student unless the student has filed with the Dean of the College Office a statement certifying that he or she is not financially dependent as defined by the federal income tax laws.
5. In response to a lawfully-issued subpoena or court order. (Instructions on what to do if you receive a subpoena or court order for education records may be found at <http://www.dartmouth.edu/~legal/advice/records.html>.)
6. To determine the student's eligibility for financial aid or to enforce the terms or conditions of financial aid that a student has received.
7. To an organization conducting a study if the organization certifies that (i) the study will not be conducted in a way which will permit the personal identification of the students and (ii) the organization's record of such information will be destroyed when the study is completed.
8. To appropriate parties in a health or safety emergency in which the health or safety of a student or other individuals is seriously threatened and the parties to whom the information is disclosed are in a position to meet the emergency.
9. Upon request, to officials of another school in which a student seeks or intends to enroll or another institution which is part of a student exchange program.

College faculty members should not disclose student education records to any unauthorized person. The Office of the General Counsel (646-2444) is available to advise faculty members on whether one of the FERPA exceptions applies and whether the disclosure of education records is appropriate. Please contact the Office of the General Counsel before disclosing information from a student education record or if you have any questions.

TEACHING GUIDELINES FOR FACULTY

Members of Dartmouth's faculty hold excellence in teaching as a central goal. According to the College's mission statement, academic excellence at Dartmouth is founded on "a culture of collaboration" that promotes the "vigorous and open debate of ideas within a community marked by mutual respect." In such collaboration, students need to trust the faculty member's knowledge, judgment and authority, and members of the faculty need to wield that authority responsibly. These guidelines for Dartmouth faculty reflect generally accepted teaching practices at the College meant to foster this trust between student and professor. Members of the faculty, especially those new to the College, should consult with colleagues and department/program chairs for guidance about implementing these guidelines. Formal rules that govern the teaching of courses at Dartmouth, some of which are noted or reproduced here, also appear in the annual Organization, Regulations and Courses (ORC).

1. *Class meetings*

Members of the faculty are responsible for instruction in their courses through the entire term, including during reading and examination periods. Course meetings shall be commensurate with those established for the designated course hour in the weekly schedule in the ORC. Class cancellations arise, and are often anticipated, due to other professional, administrative, and/or personal commitments. All scheduled and unscheduled absences should be made up (for example, by arranging for a guest lecture, by using unscheduled x-hours to hold an alternate lecture, or by substituting another pedagogically appropriate alternative). Faculty members who are unable to meet a class because of illness or other emergency should promptly notify their departments/programs and students.

Some courses include a period of time with no class meetings to allow for individual research or project preparation. During such periods, faculty should continue to be available for consultation in office hours on a regular basis at a time accessible for students.

2. Syllabus

A syllabus defines the academic content of a course and establishes expectations regarding course goals, content, requirements, methods of assessment, and procedures. It becomes a matter of record for both faculty and students. As such, a syllabus is essential for each class and should be made available to students at the beginning of the term. Members of the faculty should make every attempt to have all decisions concerning the syllabus made by beginning of the term so that students may plan accordingly.

The Dartmouth Center for the Advancement of Learning (DCAL) provides advice, consultation, and resources that may aid in course organization and design, including templates for syllabi.

Recommendations for Syllabus Content

- A. Learning goals or objectives for the course
- B. Course requirements
 - i. Required books, articles, readers and where these may be found (on reserve, online, purchase).
 - ii. A schedule of topics, readings, and assignments for the course, including missed days and scheduled x hours (students quickly assume that unless otherwise indicated x-hours will not be used, and they plan accordingly). Any anticipated missed class days should be made up during x-hours or at a specified time outside normal class hours (see section IV on “Other course activities”).
 - iii. New or experimental courses, as well as advanced seminars, often work differently from regular courses. In such cases, instead of an explicit daily or weekly schedule, the syllabus should provide a description of how topics, readings, and assignments for the course will be determined during the term. This structure permits flexibility while still providing enough of a framework so that students are able to plan and organize their academic time effectively.
 - iv. Statement on grading, due dates of assignments, exam dates, etc.
 - v. Course activities outside normal class hours, such as field trips, films, exams (see section IV on “Other course activities”).
 - vi. Statement on attendance/absences (see section V)
- C. Course Procedures
 - i. Office hours, contact information.
 - ii. Homework policy, policy on revisions.
 - iii. Policy for late work, make-up exams.
 - iv. Disability policy about how students should seek accommodation in the course (see ORC, Access and Accommodation for Students with Disabilities).
 - v. Honor Principle statement and course policy on limits (if any) to collaborative work in fulfilling course requirements (see ORC, Academic Honor).

While many of the suggested aspects of the syllabus are dependent on the nature of the course and instruction, there are several aspects which are required by the ORC: B.iii, C.iv and C.v. In discussing the required texts for the course (B.i), faculty shall conform to the Higher Education Opportunity Act by providing textbook information at the time a student registers for a course, in particular the ISBN number and the retail price.

Adjustments to the syllabus are unavoidable and often desirable to accommodate varying pace and interest in a class. Members of the faculty have significant discretion in revising their initial syllabus to adapt to the unique circumstances of each class. However, some aspects of the syllabus shall not be changed after the add/drop date:

- ✦ Changing the due dates of papers or timing of exams (unless to the obvious advantage of the students).
- ✦ Changing the terms of evaluation of the course (i.e., the grading scheme and weighting of the components) inequitably.
- ✦ A major change in the materials for the course that would impose a significant financial burden on the students (e.g., changing the readings so that initial purchases become unnecessary or new readings require additional purchases).

3. Student evaluation and grading

Members of the faculty are directly and solely responsible for assigning and reporting grades for their courses. Students are more confident that they will be evaluated fairly when they receive (or have access to) a clear statement of methods and procedures for grading. Grading policies and standards shall be clearly discussed on the syllabus so that students know the basis for the mark that they will receive. The syllabus should clearly indicate the proportional weight that the various assignments and exams carry. Grading standards shall be consistent with Section 1 under Scholarship Ratings in the ORC, and scheduling of exams shall conform to Section 4 under Working Rules and Procedures in the ORC. Instructors who use undergraduate course assistants should consult the guidelines in the Faculty Handbook concerning the use of undergraduate assistants.

An important purpose of evaluation is to give students timely feedback in order to facilitate subsequent learning and improvement in their work. Therefore, faculty members should ensure that students receive feedback on assignments and exams in a timely fashion. Faculty members are encouraged to provide feedback to students before the withdrawal deadline sufficient to aid those students who are contemplating leaving the course. In the case of work completed at the end of the term (e.g., final papers and/or final exams), faculty members must make the graded work available to students for review.

In the case of a grading dispute, faculty members shall provide a rationale for their grades (either a final grade or the grade on an individual piece of work) to the student. Because grade changes may occur up to the end of the second term after the end of the course (see the section on Scholarship Ratings in the ORC), faculty shall keep relevant materials and records for at least two terms after the end of the course. Many faculty members keep this material for at least one year.

As is described in the section on Scholarship Ratings in the ORC:

Citations are designed to procure an official record of information about undergraduates who have made particularly favorable impressions on members of the faculty because of their unusual talents, dependability, initiative, resourcefulness, or other meritorious characteristics that are not indicated adequately by academic grades.

Because they appear as part of a student's transcript, citations must be relatively brief (100 words or less). Faculty should take care not to reveal inappropriate information about a student. In addition to information that is legally prohibited (e.g., information concerning disabilities and/or health status), faculty should not reveal information that reflects poorly on the student, even if the information is provided as background to

a commendation. When a course has more than one instructor, all instructors shall submit a single citation for each deserving student.

Due to various circumstances, instructors may be unable to submit a student's final grade for a course before the deadline at the end of the term. There are three designations for these cases: Incomplete (I), Ongoing (ON) and Administrative Delay (AD). Each of these is described in detail in the ORC (Temporary Transcript Designations).

All students retain their privacy rights under the Family Educational Rights and Privacy Act (FERPA) in every course. Faculty members should review FERPA regulations (Dartmouth Student Handbook, FERPA, Registrar's FERPA [Tutorial](#)). Specifically, graded coursework must not be returned in a manner that can potentially allow students to see each other's grades. Some classes use a specific FERPA waiver for homework, exams, and/or papers. Examples are available via DCAL.

4. Other course activities

In addition to the internal structure of their courses, faculty members should also consider how their courses relate to other aspects of Dartmouth life outside of their course contact hours. Faculty members shall make clear their policy on attendance and obligations having to do with course activities scheduled outside regular class hours (e.g., exams, field trips, film screenings, make-up classes and labs). Such activities should be carefully constructed to have as minimal an impact as possible on students' other academic commitments, and reasonable accommodations must be made for students with conflicts. For example, classes requiring exams, field trips, and/or screenings outside of class time are expected to provide alternate times and/or means of satisfying the requirement. When such accommodations are impossible (e.g., attendance of a play with only one performance), the course syllabus shall clearly explain the requirement (and its impact on the course and the student's grade) to provide students the opportunity to opt out of the course if the requirement is impossible for them to meet. Faculty members should also carefully consider the economic cost of outside activities and make accommodations in the case of economic hardship.

5. Absences

Because Dartmouth students invariably pursue a rich and diverse range of activities, faculty members are often confronted with student activities that conflict with class time and/or outside-of-class requirements. No instructor is required to excuse absences during either regularly scheduled class time or required x-hours. The ORC (Section 4 of Working Rules and Procedures) emphasizes this point with regard to College-sponsored or College-recognized extracurricular activities:

Regular class attendance is expected of all students. Though academic schedules may sometimes conflict with College-sponsored or College-recognized extracurricular events, *there are no excused absences for participants in such activities*. Students who participate in athletics, debates, concerts, or other activities should check their calendars to see that these events do not conflict with their academic schedules. Should such conflicts occur or be anticipated, each student is responsible for discussing the matter with his or her instructor at the beginning of the appropriate term. Instructors may be accommodating if approached well in advance of the critical date.

Such accommodations can be made only when the conflict occurs because of a scheduled College-sponsored or College-recognized event. No participant should expect to be excused in order to attend a team meeting or orientation session, practice session, meal, or other such activity.

No College-sponsored or College-recognized regular-season event may be scheduled during Pre-examination Break or a Final Examination Period.

Faculty members should also be aware that students may wish to participate in religious observances during the academic term; faculty may wish to consult a list of religious holidays to identify potential conflicts and put in place policies to resolve them. The COP reviewed and recommended the following language for adoption on course syllabi:

Some students may wish to take part in religious observances that occur during this academic term. If you have a religious observance that conflicts with your participation in the course, please meet with me before the end of the second week of the term to discuss appropriate accommodations.

In addition to these guidelines, faculty members may wish to consult the following sources for additional information and/or more detail:

1. Dartmouth's Mission Statement
2. Academic Honor Principle and Guidelines for Faculty
3. The Academic Skills Center discussion of students with Disabilities
4. Dean of the College's discussion of confidentiality of student records
5. Registrar's discussion of course shopping and the add/drop period
6. The Faculty Handbook sections on Sexual Harassment and Consensual Relationships
7. DCAL's discussion of extensions and incompletes

POLICY ON INSTRUCTOR-STUDENT AND STAFF-STUDENT CONSENSUAL RELATIONSHIPS

INTRODUCTION

For purposes of this policy:

- ✦ an "Instructor" is any faculty member (regardless of rank or permanent or visiting status), post-doctoral fellow or associate who supervises or evaluates students. (As set forth in paragraph 5, undergraduate and graduate student teaching assistants also are considered "Instructors" with respect to students whom they supervise or evaluate.)
- ✦ a "Staff member" is any person who is not an Instructor but who has authority over students, including deans of any rank, athletic coaches, advisers and directors of student organizations, and others who advise, mentor or evaluate students.

The integrity of the educational process depends upon the maintenance of a professional relationship between Instructors and Staff members, on the one hand, and the students whom they supervise or advise, on the other. Where an Instructor or Staff member uses a position of authority to induce a student to enter into a *non-consensual* romantic or sexual relationship, the Instructor's or Staff member's conduct violates law and College policy and can subject both the individual and the College to legal liability. Even where the relationship is *consensual*, the conduct of a romantic or sexual relationship between an Instructor or Staff member and a student he or she supervises or advises may raise issues of conflict of interest or abuse of authority, with potential to adversely impact not only the student involved in the relationship but other students as well. Such situations may diminish confidence in the College and place it in a legally vulnerable position. For these reasons, the College has adopted this policy concerning Instructor-student and Staff-student consensual relationships.

This policy should be interpreted in accordance with its objective of preserving the integrity of the educational process and providing an appropriate learning environment for students. Even where particular situations are not prohibited by this policy, Instructors and Staff members should avoid relationships that would cause observers to question the Instructor's or Staff member's professional judgment. Instructors and Staff members are urged, in doubtful cases, to consult with their respective department/program chairs, deans (or their designees), or supervisors. Students are urged to consult with their respective deans. Questions about this policy may also be directed to the Provost, the Office of the General Counsel, and the Office of Institutional Diversity and Equity.

If, notwithstanding this policy, a relationship prohibited by this policy develops, the Instructor or Staff member should immediately disclose it to his or her chair or supervisor, who should take steps to address any conflict of interest posed by the relationship. Violation or failure to promptly disclose and correct violation of this policy is grounds for disciplinary action.

INSTRUCTOR-STUDENT RELATIONSHIPS

The pedagogical relationship between Instructor and student must be protected from influences or activities that can interfere with learning and objective evaluation. Accordingly:

- ✦ Because of the special risk of a real or perceived power imbalance whenever *undergraduate students* are involved, no Instructor shall have a romantic or sexual relationship with a Dartmouth undergraduate, regardless of whether the Instructor has or is likely to have academic responsibility over the student and regardless of whether the relationship would be consensual. (For this purpose, “Instructor” includes undergraduate or graduate student teaching assistants only with respect to students whom they supervise or evaluate.)
- ✦ No Instructor shall enter into a romantic or sexual relationship with a *graduate student* over whom that Instructor has academic responsibility or is likely to have academic responsibility in the future (for example, because the student is in the Instructor’s department), regardless of whether the relationship would be consensual. Conversely, no Instructor shall exercise academic responsibility over a graduate student with whom the Instructor has or has had a romantic or sexual relationship, regardless of whether the relationship is or was consensual.

STAFF-STUDENT RELATIONSHIPS

Staff members working in the student life area and other areas are often called upon to work closely with and advise students with respect to students’ personal lives. Objectivity and trust are essential. Staff members in such positions cannot perform their duties effectively if they become romantically or sexually involved with students who they are responsible for advising or mentoring. Accordingly, no Staff member shall have a romantic or sexual relationship, regardless of whether the relationship is consensual, with a student for whom that Staff member has advising, mentoring, evaluation, or student organization management responsibility. Similarly, no Staff member shall exercise such responsibility with respect to a student with whom that Staff member has had a romantic or sexual relationship in the past, regardless of whether the relationship was consensual.

Even where a Staff member does not have direct responsibility for a student as described above, romantic or sexual relationships between Staff members and students in the same school or division should generally be avoided, and schools or divisions may wish to supplement this policy as appropriate for their circumstances. For example, under a policy adopted by the Dean of the College Office in 1993, employees working in that Office may not engage in romantic or sexual relationships with current undergraduates regardless of the Staff members’ specific job responsibilities.

* * *

In unusual circumstances, responsible deans (or divisional associate deans, in the Faculty of Arts and Sciences), in their discretion, may permit departures from this policy provided that appropriate conflict management procedures, such as transfer of evaluation responsibility, are feasible and are put into place. For example, where a student’s academic program requires a course that is taught only by the student’s spouse or partner, the dean may, in his or her discretion, allow the student to take the course so long as the conflict has been disclosed and arrangements have been made for a person other than the spouse/partner Instructor to evaluate and grade the student’s work, provided such arrangements are feasible for the particular course involved.

PROCEDURES FOR RECRUITMENT AND HIRING

Recruitment activity will be conducted with due regard to Dartmouth's Equal Opportunity Employment Policy and its diversity goals. The various departments and programs of instruction are responsible for instituting appropriate searches and other recruiting activity to fill faculty positions as authorized by the Dean of the Faculty. A Faculty Recruitment Authorization containing a brief job description will be forwarded to the Dean of the Faculty for approval. A copy of the Recruitment Authorization form will be forwarded to the Office of Institutional Diversity and Equity (ID&E), and the appropriate Associate Dean's office will maintain the original. The Dean of Faculty Office must approve all travel and associated expenses involved in recruitment in advance. Recruitment activities may include the following:

1. Identification of candidates through notices in professional journals and liaison with graduate schools, professional organizations, professional minority group organizations, and the like.
2. Identification of candidates through travel by department or program Chairs and/or their designated representative to the annual professional meetings of the discipline(s) involved.
3. Invitation to the most promising candidates to visit Hanover for colloquia and interviews.

Before initiating recruitment, the department/program must obtain a formal authorization from the Dean of Faculty Office setting forth the description of the position, expected level of training, and other qualifications sought.

Formal offers of appointment are prepared by the appropriate Associate Dean of the Faculty in consultation with the department/program concerned. Copies of correspondence between the candidate and the department or program should be included in the departmental recommendation.

In accordance with requirements of the U.S. Bureau of Citizenship and Immigration Services (BCIS), any appointment is contingent upon verification of eligibility to accept employment in the United States by completing the BCIS Form I-9. An I-9 form must be completed prior to placing any employee on the College's payroll. Completed forms are due in the Dean of the Faculty Fiscal Office no later than the effective date of any appointment. The I-9 form can be downloaded at <http://www.uscis.gov/i-9>. It is preferable that the I-9 be completed in person in the Dean of Faculty Fiscal Office. A completed I-9 form where a third-party has examined all supporting documentation as our agent is also acceptable. The College can designate a current employer's human resources office, an accountant or a lawyer to act as our agent.

When the formal offer of appointment has been issued, a copy, with the salary omitted, will be sent to the Chair of the department or program concerned.

ATTENDANT AFFIRMATIVE ACTION CONCERNS

The Dean of the Faculty and Associate Deans have overall responsibility for affirmative action in searches to fill vacancies in the Faculty of Arts and Sciences. The Office of ID&E is responsible for monitoring procedures and provides assistance in developing recruitment and advertising strategies.

For sound educational reasons, the objective of Dartmouth is to achieve a diverse, multi-racial faculty of both sexes. All provisions of Dartmouth's Diversity Statement are applicable to members of the Faculty of Arts and Sciences and the Faculties of the Professional Schools.

To attain its goals in faculty recruiting, the institution will undertake special measures to ensure that each department and program will seek out minority and female candidates for all positions for which recruitment is authorized. These measures include the following steps:

1. Maintenance, use, and expansion by departments and programs of an up-to-date list of potential minority and female candidates for appointment at each level of instruction.

2. To the maximum extent feasible, female and minority faculty members should be included on search committees. Where this is impossible, knowledgeable female and minority faculty should be consulted.
3. Departments/programs and search committees are expected to expand recruitment contacts to include deans and faculty in traditionally black colleges and universities, professional organizations, well-known minority and female figures in the field, specialized caucuses, and the producers and distributors of appropriate directories.
4. Associate Deans responsible for authorizing travel funds for serious candidates to visit the campus will first review the composition of short-listed candidates. The appropriate Associate Dean should consult with the Vice President of ID&E if there are no minority and female candidates on the short list and may require additional recruiting, if appropriate.
5. Funds can be provided to cover additional recruiting when more intensive efforts are required to ensure a representative pool of candidates.
6. Departments and programs are expected to expand the number of women and minorities in their own graduate programs where such programs exist.
7. To widen knowledge of existing graduate programs and to familiarize those in such programs with Dartmouth's efforts in the area of affirmative action, departments and interdisciplinary programs are encouraged to invite female and minority speakers and scholars to the campus.

The Vice President of Institutional Diversity and Equity will be consulted during the search process at the following points:

- ✦ **Pre-Recruitment.** The Search Committee Chair consults with the Vice President of ID&E to discuss affirmative action procedures and guidelines, the job description, the proposed recruitment plan, and the search committee composition.
- ✦ **Proposed Short List.** When a proposed interview or short list has been selected from the applicant pool, the Initial Affirmative Action Recruitment Report is completed, and the Search Committee Chair consults with the Office of ID&E to discuss it.
- ✦ **No Women and Minorities on Short List.** If the short list does not contain at least one female and one minority candidate, the Associate Dean will consult with the Office of ID&E and may then require additional recruitment as appropriate.
- ✦ **After Final Ranking.** Before authorizing an appointment, the Authorization for Faculty Appointment and Affirmative Action Recruitment Report will be completed. The Associate Dean will contact the Office of ID&E to discuss whether all affirmative action procedures were followed.

FACULTY RECRUITING BUDGET

Funds are centrally held by the Dean of the Faculty to augment departmental/program budgets for the following tenure and tenure-track recruitment activities:

1. Travel of departmental/program representatives off campus to professional meetings or elsewhere. The appropriate dean should authorize these visits in advance so that funds may be set aside to cover them.

2. Transportation, room, and board in connection with visits of candidates to Hanover. The College does not cover the expenses of the candidate's spouse, partner or family except in rare instances and as authorized in advance by the appropriate dean. Spouse, partner or family expenses are fully taxable to the candidate under IRS provisions. Up to \$400 per visitor is allowed for entertainment and meals during a single visit.
3. The appropriate Associate Dean may specifically authorize extra recruitment expenses.
4. Special efforts above and beyond normal recruitment to identify minority and women candidates for existing or potential openings at the College, including liaison with established minority and women professionals at other institutions.

Procedures for payment of expenses require that the department, program, or individual submit bills and Business Expense Reimbursement Forms to the Fiscal Office of the Faculty of Arts and Sciences showing the name of the candidate, the department or program, and the name of the faculty member incurring the expense. Where room and meal expenses are billed directly to the Dean of Faculty Office by the vendor, the faculty member authorizing payment should ensure that the above information is included on the bill before signing it.

FACULTY APPOINTMENTS

Assessing the competence and performance of faculty members relative to the needs of the institution is the responsibility of the faculty, the Associate Deans and the Dean of the Faculty of Arts & Sciences, the Committee Advisory to the President (CAP), and the President of Dartmouth College. Tenure appointments will be made only when there is judged to be clear evidence of outstanding accomplishment and demonstrated potential for distinction in scholarship and teaching. The promise of distinction in the future, based largely upon an evaluation of scholarly activity and teaching during the first term of appointment is also the basis for making reappointments as Assistant Professor.

The Board of Trustees, upon recommendation of the President after consultation with the Committee Advisory to the President (CAP), makes all tenure appointments. Each department or program, when nominating a candidate for tenure to the CAP, takes into account the tenure structure and needs of the department, in addition to the candidate's qualities as a scholar, a teacher, and a contributor to the College community.

EFFECTIVE DATE OF APPOINTMENT FOR REGULAR FACULTY

The effective date for appointment of faculty in the ranks of Instructor, Assistant Professor, Associate Professor, and Professor is July 1 of each year, and the nine-month academic year obligation of three terms falls within the twelve-month period following this date.

July 1 is the effective date for promotions, reappointments, and for salary adjustments.

Resignations, retirements, and terminations normally become effective on June 30.

TENURE-TRACK APPOINTMENTS

RECRUITMENT

Recruitment for all tenure track positions must be authorized by the Associate Dean for the department or program undertaking the search and the Dean of the Faculty. Official approval using the appropriate permission form must be obtained before advertising for positions or bringing candidates for interviews. The Associate Dean is expected to participate in the interviews.

of all candidates. A second form, authorizing visits and maintaining a record for consultation with the Director of Equal Opportunity & Affirmative Action is also required. Special arrangements are required when recruitment is for joint appointment (between department and a program or between two departments or two programs) or when the appointment may be of major consequence to another department or program.

All formal offers of appointment are made by the Associate Dean or the Dean of the Faculty normally on recommendation of the Chair acting on behalf of the members of a department or program. The rules of the faculty governing department or program decisions, as described in the current OFDC are carefully followed; it is expected that very high standards will be applied in all decisions, and the Associate Dean and the Dean of the Faculty can decide not to make an offer of appointment. In the absence of suitable candidates, in consultation with the Associate Dean, a decision will be made to continue with or delay the search usually until the next academic year.

INSTRUCTOR

Appointment as Instructor is made when advanced degree requirements are not completed. The normal appointment as Instructor is two years. Appointments beyond the second year are normally terminal in that rank.

Dartmouth's policy is to appoint to the faculty persons who have completed their graduate studies and have been granted the highest academic degree in their fields. In special cases, if requirements have not been completed and the degree has not been granted, the nominee will be appointed as an Instructor for a two-year period. If the degree is granted by July 1 or before the beginning of classes in the fall term of the first year as Instructor, the appointment is automatically advanced retroactively to the rank of Assistant Professor, effective July 1. The Graduate Dean or other appropriate officer of the institution granting the degree must certify completion of all degree requirements.

After the beginning of classes in the fall term of the first year, promotion to the rank of Assistant Professor from Instructor requires recommendation from the department or program and the Associate Dean and approval of the Dean of the Faculty. The recommendation must include a statement verifying that the promise of future distinction in research and teaching made at the time of initial appointment still holds. Promotion becomes effective on July 1 of the second or third academic year, depending upon the date of the completion of the degree. If the degree is awarded either before June 30 of the first year as Instructor or between July 1 and the first day of classes in the fall term of the second year as Instructor, then promotion to Assistant Professor is effective July 1 of the second academic year and retroactively in the latter case. If the degree is completed after the first day of classes in the fall term of the second year as Instructor, promotion will be effective on the following July 1.

If an Instructor fails to complete the degree requirements within the two years, only in exceptional cases will a reappointment be offered for one additional year; the one-year reappointment will be terminal in this rank. Third-year reappointments must be recommended by the department or program and approved by the Dean of the Faculty.

ASSISTANT PROFESSOR

Appointment as Assistant Professor is made for individuals who have completed the Ph.D., or the appropriate advanced degree, or have equivalent experience in the creative arts or other professions. Normally appointment as Assistant Professor is for a three-year term followed by reappointment for another three-year term. Consideration for promotion to Associate Professor with tenure takes place in the sixth year. Earlier action requires truly exceptional scholarly achievement (normally including

service in rank at another institution) and must be approved by the appropriate Associate Dean who will consult with the chair and the tenured faculty in the department or programs.

REVIEW OF PERFORMANCE: ASSISTANT PROFESSORS

Assistant Professors will receive periodic evaluations of their performance from their faculty colleagues and the Associate Dean. Every year, the tenured members of the department or program, , meet to assess the progress of the Assistant Professors and Instructors. Following discussion, the Chair will submit a written appraisal of the individual's progress to the Associate Dean. The appraisal is a written evaluation of the progress in scholarship, quality of teaching, and contributions to the overall activities of the department or program; it is drafted in consultation and shared with the tenured faculty.

In the case of joint appointments, the review will be conducted by the mentoring committee designated at the time the Assistant Professor was hired. Following discussion, the Chair of the mentoring committee will submit a written appraisal of the individual's progress to the Associate Dean and to the Chairs of both the Assistant Professor's home units.

The Chair of the department, program, or mentoring committee will give each Assistant Professor a copy of the evaluation and provide an opportunity to meet with the chair to discuss the evaluation.

Each Assistant Professor also will meet annually with the appropriate Associate Dean to review the evaluation. The Assistant Professor may choose to respond in writing to the tenured faculty or Associate Dean as a matter of record. The information in the evaluation is advisory. Departments or programs are encouraged to identify points of strength that must be sustained and to identify specific areas where improvement is needed to meet the standards in scholarship and teaching that are required for reappointment, promotion and tenure.

Peer review by colleagues and evaluations by current and former students should be the basis for a judgment on teaching effectiveness. Department and program procedures for implementing this policy include such things as class visitations by tenured senior members, team teaching of junior and senior colleagues, student course evaluations, interviews of selected students, etc. Each department and program must maintain a statement of the specific procedures that it uses in evaluating teaching, and all faculty members should be aware of the procedures.

REAPPOINTMENT: ASSISTANT PROFESSORS

Normally actions to reappoint are taken in the winter term of the third year as Assistant Professor. A department or program recommendation for reappointment must provide evidence of performance that demonstrates high quality in scholarship and teaching and that shows promise of future distinction.

In preparation for reappointment, the candidate should submit an updated C.V. and a two-page, single-spaced, statement about research and teaching to the department or program by November 1st of the year of reappointment. The tenured member of a department or program meet to discuss the candidate's record and to vote on whether to recommend reappointment.

The Chair (or designee) submits a letter drafted in consultation and shared with all members participating in the discussion, describing the department or program recommendation and the vote for or against reappointment. It must include strong evidence of the individual's success in scholarship and teaching, their contributions to the department or program and College, and an estimate of the candidate's long-term prospect for promotion. The Associate Dean transmits the letter, the candidate's C.V. and personal statement, and the Associate Dean's own recommendation to the Dean of the Faculty, who, in turn, places the case on the agenda of the CAP.

Following the CAP action, the Associate Dean will meet with the candidate; the candidate also will be provided with a copy of the department or program recommendation letter and a statement of the CAP action on the reappointment. The letter prepared by the department or program at reappointment also will be included in the tenure dossier submitted to the CAP if and when the candidate is considered for appointment to Associate Professor.

Personnel actions in the same year from a department or program are usually considered at a single meeting of the CAP so the committee can be most efficiently apprised of the overall staffing situation before acting on the several appointments.

If the CAP advises against reappointment during the third year, either in support of or contrary to the department or program recommendation, the candidate will be offered a one-year, terminal appointment.

Occasionally the tenured members of a department or program may conclude at an earlier date that an Assistant Professor should not be continued beyond the third year and recommend termination to the Associate Dean, who then transmits that proposal with the Associate Dean's own recommendation to the Dean of the Faculty, who in turn, places the case on the agenda of the CAP. CAP action must be completed and the person informed before June 30 of the second year of the initial appointment as Assistant Professor.

GUIDES FOR PROMOTION AND TENURE: ASSOCIATE PROFESSOR

Promotion to the rank of Associate Professor, when accompanied by a tenure commitment, is the most critical personnel decision made by the Faculty. Tenured members of the department or program normally consider promotion of Assistant Professor to Associate Professor in the sixth year in rank for those holding full-time or the ninth year for a person with less than full-time appointments.

Specific evidence of outstanding performance in scholarship and teaching is essential. A person's other contributions to the College also will be considered. Although most personnel actions are voted at meetings of the Trustee Executive Committee, the Board has explicitly requested that all appointments with tenure be presented to the full Board with a summary of the achievements of the candidate and of the evaluation reached by the CAP. Implied in such appointments is the common interest of the individual and the College in a long-term association. In the final analysis, the tenured members of the department or program, the CAP, the President, and the Board of Trustees must exercise judgment in tenure decisions to provide Dartmouth with the most distinguished faculty possible.

Assistant Professors may request consideration for promotion and tenure prior to the sixth year in exceptional cases; permission will only be granted on the recommendation of the appropriate Associate Dean, in consultation with the tenured members of the department or program.

In rare cases where promotion to Associate Professor is made without a recommendation either for tenure or a terminal contract, appointment as Associate Professor will be made for three years, with the understanding that a decision regarding tenure will be taken by the end of the second year. In the case of a second review of a faculty member previously promoted to Associate Professor without tenure, whenever feasible, evaluations should be sought only from scholars and students who were not involved in the earlier decision.

Initial non-tenure appointment to the Dartmouth faculty in the rank of Associate Professor will normally be for a term of four years, with the expectation that a decision regarding tenure will be reached no later than the end of the third year.

EXPECTATIONS OF PERFORMANCE: ASSOCIATE PROFESSOR

In addition to consideration of the needs of the institution, the decision to make a tenure appointment involves experienced judgment regarding expected performance in the ensuing years, based on an individual's record at that point. It is not possible to enumerate specific qualifications for tenure so precisely and objectively that the need for judgment is obviated. Every candidate should present an outstanding record both as scholar and teacher, with a clear likelihood of maintaining professional distinction and of providing intellectual leadership in the faculty in the years ahead.

With respect to scholarship, broadly defined, the judgment of professionals outside the College, as well as that of Dartmouth colleagues, will be given specific weight. The qualitative assessment of books and articles and of artistic and other professional accomplishments or contributions to the larger scholarly community will be more consequential than the quantity of work. Nonetheless, the quantity of scholarly work must indicate significant progress and a sustained professional trajectory.

It is difficult to define outstanding teaching in specific terms. Comparative judgment by current and former students and by faculty colleagues is a necessary part of weighing the candidate's performance against the standards of the College. Consideration will be given primarily to classroom instruction, but work with individual students and a creative role in course and program development will be fully recognized.

In weighing the performance of a candidate beyond scholarship and teaching in what is traditionally termed community service, emphasis will be placed on the nature and quality of the contribution to committees and to department or program administration, on initiatives with students over and beyond the instructional obligations, and on assistance to other colleagues in research and teaching.

EXTENSION AND POSTPONEMENT OF REAPPOINTMENT OR TENURE

Junior faculty members with primary childcare responsibilities are entitled to extension of the pre-tenure contract by a maximum of one year per dependent child. Extensions may be applied to initial contracts prior to reappointment, as well as to second contract periods prior to tenure consideration and will be granted by the CAP upon a year's advance notification to the department or program and the appropriate Associate Dean.

Persons with extenuating circumstances having to do with health or personal or family matters that impose special and arduous burdens and responsibilities may request a postponement of tenure review with a concomitant extension of the existing contract. All extensions of this type must be accompanied by a recommendation from the members of the department or program and must be approved by the Associate Dean and the CAP.

PROMOTION AND TENURE: ASSOCIATE PROFESSORS

GUIDE TO THE CANDIDATE

In the spring term prior to the academic year in which promotion to the rank of Associate Professor with tenure is considered, the candidate will meet with the appropriate Associate Dean to review the following procedures. It is important that the candidate also discuss all aspects of the process with the Chair of the department or program.

1. By May 1st, the candidate should submit to the Chair of the tenure committee, and to the Associate Dean, a current curriculum vitae and a list of eight to ten individuals qualified to review the candidate's scholarly work, some of whom will be selected for the final list. Normally these reviewers must hold tenured appointments or their equivalent at peer institutions. The list should include the prospective reviewers' addresses, their field of specialization, and a brief description of their qualifications for the task. Potential conflicts-of-interest (e.g., coauthors, PhD, postdoctoral advisors) should be identified. The names of reviewers and their evaluations are confidential and will not be made

known to the candidate. Maintaining confidentiality is critical to the process, and the obligation to protect this confidentiality should be recognized and is required by all participants.

2. The candidate may submit a list of students especially qualified to speak about his or her teaching and mentoring to the Associate Dean, who will request letters from them if they have not already been solicited as part of the normal sampling process. These letters are identified as "recommended by the candidate." These additional requests for letters will not normally exceed twenty. The candidate will not be informed of the names of any students who are identified as part of the normal sampling process.

The candidate may submit to the Chair of the tenure committee a list of department or program Chairs, or Directors of Dartmouth centers, institutes, or organizations, who could provide relevant information about teaching, mentoring, or service outside the candidate's home department or program.

3. Normally no later than December 1, the candidate will submit a portfolio of materials, in electronic format, which will be made available to the tenure committee, outside reviewers, and the CAP. Any modification of this date needs to be authorized by the Associate Dean. The portfolio will consist of the following:
 - a. curriculum vitae,
 - b. published works, manuscripts, or other evidence of artistic or professional work (e.g., books, articles, or portfolios),
 - c. published reviews of the candidate's work, where available, and
 - d. a statement (approximately five single-spaced pages) outlining the candidate's achievements and goals relating to scholarship, teaching, or other contributions to the College.

If the candidate is unsure what to include, he or she should consult with the Associate Dean. Although the intent is to distribute most materials electronically, certain materials (e.g., published books) may be provided in hardcopy. In some cases (e.g., where the professional work consists of performances or exhibitions), alternate forms of external review may be arranged. It is the candidate's responsibility to assemble the portfolio and ensure its accuracy, but reasonable associated costs (purchase of books or software, mailing of print materials) will be reimbursed by the Dean of Faculty.

4. After the tenure committee has submitted its recommendation, the Associate Dean will discuss the recommendation with the candidate before forwarding it to the Dean of the Faculty. At this time the candidate should raise any procedural questions or concerns that he or she has.

GUIDE TO THE DEPARTMENT OR PROGRAM

The tenure committee will normally consist of the tenured members of the candidate's department or program, chaired by the department or program Chair. Those members who cannot, or choose not to, participate in person in the committee's deliberations are not voting members, although they may submit a letter to the committee Chair. The committee Chair is allowed to cast a vote. If they prefer, Chairs may choose to abstain unless their vote is needed to break a tie.

A committee must consist of at least four voting members. If a department or program is not large enough, a minimum of two additional tenured full professors from one or more other departments or programs will be added to bring the total to at least four. In exceptional cases, the Dean of the Faculty may recommend that the CAP augment the tenure committee with at least two additional tenured faculty members, even if there are already four or more in the department or program. The Associate Dean should confer with the candidate and the department or program Chair regarding the composition of this committee. Then the Dean of the Faculty, in consultation with the Associate Dean, will assemble a list of potential committee members, submit it to the CAP for approval, and will appoint the committee.

When more than one candidate is being considered for promotion and tenure in any given department or program within a single year, they will normally share the same committee, and their cases will come before the CAP at the same time. Each case, however, receives consideration on its own merits; candidates are not competing for a limited number of positions.

1. The Chair will remain in close communication with the candidate throughout the tenure procedure. Any modification of the December 1 date for delivery of materials must be authorized by the Associate Dean.
2. By May 1st, the candidate should submit to the Chair of the tenure committee and the Associate Dean a list of eight to ten possible external reviewers. The list should include the prospective reviewers' addresses and a brief description of their qualifications for the task. The Chair, in consultation with the other members of the committee, will list eight to ten more prospective reviewers including addresses, their field of specialization, and a brief description of their qualifications for the task. The Chair will forward the committee's list to the Associate Dean by June 1st, and may choose to comment on the candidate's selections. The list compiled by the Chair may include names of reviewers, normally not more than three, that also appear on the candidate's list. The Associate Dean compiles the composite list of reviewers to be solicited. The Associate Dean may independently add names not on either the candidate's or the committee's lists. Normally these reviewers must hold tenured appointments or their equivalent at peer institutions. The names of these reviewers are confidential and will not be made known to the candidate. In some cases, for example, where the professional work consists of performances or exhibitions, alternative forms of external review may have to be arranged.

The Chair of the tenure committee will solicit letters from any department or program Chairs, or Directors of Dartmouth centers, institutes, or organizations, on the list submitted by the candidate and inform those Chairs or Directors that they may submit a letter to the appropriate Associate Dean.

3. The members of the committee will examine the materials submitted by the candidate, review the letters solicited by the Dean of the Faculty Office from external reviewers, former students, and other appropriate sources, and consider other evidence (e.g., department or program teaching evaluations, class visitation reports, and College course assessments). The committee should also consider the recommendation that the department or program submitted at the time of the candidate's reappointment.
4. After the committee has met to deliberate on the promotion, the Chair will write a letter to the Associate Dean, drafted in consultation and shared with all members of the committee, that reports the vote and presents in detail the committee's reasoning based on the evidence of the candidate's scholarship, teaching (including graduate teaching and work in the graduate program where appropriate), and other contributions. The letter, even as it makes a case for the majority, should ideally reflect all members' points of view; if, however, individuals feel the Chair's letter does not adequately represent his or her particular perspectives, they are free to submit separate letters that either support or dissent from the recommendation. These letters must be succinct and they must be submitted to the Chair who will share them with the tenure committee. They will then be submitted to the Associate Dean along with the committee's letter.

The committee chair's letter to the Associate Dean should report the vote tally, indicating who was present and which members voted for and against recommending tenure and which abstained. Votes should normally be open and reported to the CAP. Any member of the committee may propose the use of a secret ballot. If the committee uses a secret ballot, the letter must provide an explanation for this choice and a list of those present, and then report the number of votes for and against the recommendation and the number of abstentions.

The tenure committee must recommend either promotion with tenure or a one-year terminal appointment at the rank of Assistant Professor. A tie vote is effectively a vote against recommending tenure.

5. After the committee concludes its deliberations, but before the Chair submits the results in writing, the Chair will inform the candidate of the recommendation (positive or negative) and will consult with the Associate Dean. The Chair can also inform the candidate whether the vote was unanimous but the vote tally is confidential as are all individual opinions and statements made at any time during the deliberations.

The Associate Dean will submit a personal recommendation covering the transmission of the materials to the Dean of the Faculty. If the Associate Dean cannot support the tenure committee's recommendation, he or she will consult again with the Chair and, if appropriate, with the other members before forwarding the case to the CAP. At this point, the committee may be asked for clarification of its position.

GUIDE TO THE ASSOCIATE DEAN

The Associate Dean bears primary responsibility for assuring that the tenure review process conforms to College policies.

1. In spring term prior to the academic year in which promotion is considered, the Associate Dean will meet with the candidate to review procedures.
2. The Associate Dean and the Dean will assemble and appoint the tenure committee by May 1.
3. By May 1st, the candidate should submit to the tenure committee Chair and the Associate Dean a list of eight to ten possible external reviewers. The list should include the prospective reviewers' addresses, their field of specialization, and a brief description of their qualifications for the task. The Chair, in consultation with the other members of the committee, will list eight to ten more prospective reviewers including their addresses and a brief description of their qualifications for the task. The Chair will forward the committee's list to the Associate Dean by June 1st, and may choose to comment on the candidate's selections. The Associate Dean compiles the list of reviewers to be solicited. The Associate Dean may independently add names not on either the candidate's or the committee's lists. The Associate Dean should normally obtain letters from eight to ten reviewers. Normally the reviewers must hold tenured appointments or their equivalent at peer institutions. Reviewer names are confidential and will not be made known to the candidate.
4. The Associate Dean, on behalf of the Dean of the Faculty, will solicit letters from among the candidate's former students. Any student or students who have been accused by the candidate of Honor Code violations should be excluded from this solicitation.
5. By October 1st, the candidate may submit to the Associate Dean a list of students especially qualified to speak about his or her teaching and mentoring. The Associate Dean will request letters from those students if they have not already been solicited by the Dean of the Faculty as part of the normal sampling process. These letters are identified as "recommended by the candidate." These additional requests will not normally exceed twenty. The candidate will not be informed of the names of any students who are identified as part of the normal sampling process.

The candidate may submit to the Chair of the tenure committee a list of department or program Chairs, or Directors of Dartmouth centers, institutes, or organizations, who could provide relevant information about teaching, mentoring, or service outside the candidate's home department or program.

6. By December 1st, the candidate will provide to the Associate Dean a copy of his or her portfolio, as described in the previous section. The Associate Dean will send the candidate's portfolio to the external reviewers, along with a letter explaining the criteria for tenure and promotion.
7. The Associate Dean will discuss the committee's recommendation with the candidate before forwarding it to the Dean of the Faculty with his or her own recommendation. At this time the candidate should raise any procedural questions

or concerns. If, at any time, the Associate Dean or Dean thinks that the tenure review process has been compromised, the CAP will delay deliberation until the issues have been resolved. The Associate Dean is not obliged to share their personal recommendation with the candidate.

8. The Associate Dean will submit his or her recommendation when transmitting the dossier to the Dean of the Faculty. If the Associate Dean cannot support the tenure committee's recommendation, he or she will consult with the Chair and, if appropriate, other members of the tenure committee before forwarding the case to the CAP.
9. The dossier forwarded to the CAP will contain the following:
 - a. Department or program roster with appointment terms for all faculty,
 - b. Letter of recommendation from the Associate Dean to the Dean of the Faculty,
 - c. Teaching and leave schedule of the candidate, year by year and term by term since the time of initial appointment,
 - d. Tenure committee's letter of recommendation,
 - e. Letters from tenure committee members who, having reviewed the Chair's letter, wish to express an individual viewpoint either dissenting from or supporting the recommendation,
 - f. Other letters solicited by the Chair of the tenure committee from Chairs of programs in which the candidate taught,
 - g. Department's or program's letter submitted to the Associate Dean at the time of reappointment,
 - h. Curriculum vitae,
 - i. Statement submitted by the candidate,
 - j. Testimony solicited by the Associate Dean from external reviewers, accompanied by the reviewer's curriculum vitae,
 - k. Letters solicited by the Associate Dean from current and former students, and
 - l. Other evidence deemed appropriate by the Dean of the Faculty (e.g., previous department or program and Associate Dean letters submitted for CAP action).

During CAP deliberations, the Associate Dean will be available to present background and answer questions, but will not be present during the CAP discussion and vote.

PROMOTION TO FULL PROFESSOR

EXPECTATIONS OF PERFORMANCE

Candidates for appointment to the rank of professor must present an outstanding record of scholarship and teaching and have attained professional recognition in their field. Their record since tenure must be characterized by continued excellence in scholarship, maintenance of high standards in the classroom, and continued institutional service or academic leadership. Sustained levels of quality and productivity, as judged by external review, must characterize scholarly profile since tenure.

Evidence for appointment includes testimony from professionals outside the College, obtained by procedures applicable for promotion to Associate Professor. These evaluators will consider only scholarly work beyond that considered during the tenure review. The promotion committee must also furnish recent evidence affirming the candidate's continued excellence in teaching and service.

GUIDE TO THE CANDIDATE

Faculty may present themselves for promotion to professor in or after their sixth year in the rank of associate professor. A candidate who desires to come up for promotion should speak first with the department or program Chair and with the Associate Dean. Although promotion normally is considered only on or after five full years of service at Dartmouth in the rank of associate professor, service in rank at another institution may be taken into account. Earlier action requires truly exceptional scholarly achievements, and must be approved by the appropriate Associate Dean who will consult with the tenured full professors in the department or program.

1. Faculty members should notify their department or program chair and Associate Dean of their intention to be considered for promotion, normally by May 1 of the preceding academic year.
2. Normally by May 1st, the candidate will submit to the chair of the promotion committee, and the Associate Dean, a list of eight to ten possible external reviewers, some of whom will be selected for the final list. (The promotion committee normally consists of the tenured full professors in the candidate's department or program, chaired by the departmental or program Chair.) Normally these external reviewers must themselves hold Full Professor appointments or their equivalent. The list should include the prospective reviewers' addresses, their field of specialization, and a brief description of their qualifications for the task. Potential conflicts-of-interest (e.g., coauthors, PhD, or postdoctoral advisors) should be identified. The names of reviewers and their evaluations are confidential and will not be made known to the candidate. Maintaining confidentiality is critical to the process, and the obligation to protect this confidentiality should be recognized and shared by all participants.
3. By October 15th, the candidate will submit a portfolio of materials, in electronic format, which will be made available to the promotion committee, outside reviewers, and the CAP. Any modification of this date needs to be authorized by the Associate Dean. The portfolio will consist of the following:
 - a. curriculum vitae,
 - b. published works, manuscripts, or other evidence of artistic or professional work (e.g., books, articles, or portfolios), beyond what was considered during the tenure review,
 - c. published reviews of the candidate's work, where available, and
 - d. a statement (approximately five single-spaced pages) outlining the candidate's achievements and goals relating to scholarship, teaching, or other contributions to the College.

If the candidate is unsure what to include, he or she should consult with the Associate Dean. Although the intent is to distribute most materials electronically, certain materials (e.g., published books) may be provided in hardcopy. In some cases (e.g., where the professional work consists of performances or exhibitions), alternate forms of external review may be arranged. It is the candidate's responsibility to assemble the portfolio and ensure its accuracy, but reasonable associated costs (purchase of books or software, mailing of print materials) will be reimbursed by the Dean of Faculty.

4. The candidate can choose to submit to the Chair of the promotion committee a list of department or program chairs who will be asked to provide information about teaching, mentoring, or service outside the candidate's home department or program.
5. After the promotion committee has submitted its recommendation, the Associate Dean will discuss the recommendation with the candidate before forwarding it to the Dean of the Faculty. At this time, the candidate should raise any procedural questions or concerns.

GUIDE TO THE DEPARTMENT OR PROGRAM

The promotion committee will normally consist of the tenured full professors in the candidate's department or program, chaired by the departmental or program Chair. Those full tenured professors who cannot, or choose not, to participate in person in the committee's deliberations are not voting members. The committee Chair is allowed to cast a vote. If they prefer, Chairs may choose to abstain unless their vote is needed to break a tie.

A promotion committee must consist of at least four tenured full professors. If a department or program is too small, a minimum of two additional tenured full professors from one or more other departments or programs will be added to bring the total to at least four. In exceptional cases, the Dean of the Faculty may recommend that the CAP augment the promotion committee with at least two additional tenured full professors, even if there are already four or more in the department or program. When more than one candidate is being considered for promotion to Full Professor in any given department or program in a single year, normally the same persons from outside the department or program will be on the individual's promotion committees. The Associate Dean should confer with the candidate and the department or program Chair regarding the composition of this committee. Then the Dean of the Faculty, in consultation with the Associate Dean, will assemble a list of potential committee members, submit the list to the CAP for approval, and will appoint the committee. The promotion committee will submit its vote and recommendations to the Associate Dean.

1. After receiving the candidate's curriculum vitae, the promotion committee will meet to select a list of eight to ten professional reviewers. The list, including reviewers' addresses, their field of specialization, and brief descriptions of their qualifications, is normally submitted to the Associate Dean by June 1st.
2. Reviewers should hold the rank of full professor or have equivalent professional qualifications in the candidate's field. The names of the reviewers selected and their evaluations are confidential, and they will not be made known to the candidate. Maintaining confidentiality is critical to the process. The obligation to protect this confidentiality should be recognized and shared by all participants. The Associate Dean compiles the list of reviewers to be solicited after consultation with the chair of the promotion committee. The Associate Dean may independently add names not on either the candidate's or the committee's lists. In some cases (e.g., where the scholarly work consists of performances, exhibits) alternative forms of external review may have to be arranged.

The Chair of the promotion committee will solicit letters from any department or program chairs on the list submitted by the candidate and inform those Chairs that they may submit a letter to the appropriate Associate Dean.

3. The members of the promotion committee will examine the materials submitted by the candidate, review the letters from professional reviewers and other appropriate sources solicited by the Dean of the Faculty Office, and consider evidence related to teaching (e.g., teaching evaluations, class visitation reports, and College course assessments).
4. After the committee has met to deliberate on the promotion, the Chair will write a letter to the Associate Dean, drafted in consultation and shared with all members of the committee, that reports the vote and presents the committee's reasoning based on the evidence of the candidate's scholarship, teaching (including graduate teaching and work in the graduate program where appropriate), and other contributions. The letter, even as it makes a case for the majority, should ideally reflect all members' points of view; if, however, individuals feel the Chair's letter does not adequately represent their particular perspectives, they can submit separate letters that either support or dissent from the recommendation. These letters must be succinct and they must be submitted to the Chair who will share them with the committee. They will then be submitted to the Associate Dean along with the committee's letter.

The committee chair's letter to the Associate Dean should report the vote tally, indicating who was present and which members voted for and against recommending promotion and which abstained. Votes should normally be open and reported to the CAP. Any member of the committee may propose the use of a secret ballot. If the committee uses a secret ballot, the letter must provide an explanation for this choice and a list of those present, and then report the number of votes for and against the recommendation and the number of abstentions.

The promotion committee must recommend either promotion or no promotion. A tie vote is effectively a vote against recommending promotion.

5. After the committee concludes its deliberations, but before the chair submits the results in writing, the Chair will inform the candidate of the recommendation and will consult with the Associate Dean. The Chair normally informs the candidate whether the vote was unanimous but the vote tally is confidential as are all individual opinions and statements made at any time during the deliberations.
6. The Associate Dean will submit a personal recommendation covering the transmission of the materials to the Dean of the Faculty. If the Associate Dean cannot support the committee's recommendation, he or she will meet again with the Chair and, if appropriate, with the other members before forwarding the case to the CAP. At this point, the committee may be asked for clarification of its position.

GUIDE TO THE ASSOCIATE DEAN

The Associate Dean bears primary responsibility for assuring that the promotion review process conforms to College policies.

1. In the spring term prior to the academic year in which promotion is considered, the Associate Dean will meet with the candidate to review procedures.
2. The Associate Dean and the Dean will assemble and appoint the promotion committee by May 1st.
3. Normally by May 1st, the candidate should submit to the committee Chair and the Associate Dean a list of eight to ten possible external reviewers. The list should include the prospective reviewers' addresses, their field of specialization, and a brief description of their qualifications for the task. The Chair, in consultation with the other members of the committee, will list eight to ten more prospective reviewers including their addresses and a brief description of their qualifications for the task. The Chair will forward the committee's list to the Associate Dean by June 1st, along with comments on the candidate's selections. The Associate Dean compiles the list of reviewers to be solicited. The Associate Dean may independently add names not on either the candidate's or the department's or program's lists. Normally the reviewers must hold the rank of full professor or its equivalent. The names of the reviewers are confidential and will not be made known to the candidate. The Associate Dean should normally obtain letters from eight to ten reviewers. After the candidate submits his or her promotion materials, normally by October 15, the Associate Dean will send each reviewer these materials along with a letter explaining the criteria for a promotion.
4. After the promotion committee has submitted its recommendation, the Associate Dean will discuss the recommendation with the candidate before forwarding it to the Dean of the Faculty with his or her own recommendation. The Associate Dean is not obliged to share that recommendation with the candidate. At this time the candidate should raise any procedural questions or concerns that he or she has. If the Associate Dean or Dean at this point becomes convinced that the promotion review process has been compromised in any way, the CAP will delay consideration until the issues have been resolved.
5. The Associate Dean will submit his or her own recommendation when transmitting the dossier to the Dean of the Faculty. If the Associate Dean cannot support the committee's recommendation, he or she will consult again with the Chair and, if appropriate, with the other members before forwarding the case to the CAP.
6. The dossier forwarded to the CAP will contain the following:
 - a. Department or program roster with appointment terms for all faculty,
 - b. Letter of recommendation from the Associate Dean to the Dean of the Faculty,
 - c. Teaching and leave schedule of the candidate, year by year and term by term since tenure,
 - d. promotion committee's letter of recommendation,
 - e. Letters from promotion committee members who, having reviewed the Chair's letter, wish to express an individual viewpoint either dissenting from or supporting the recommendation,
 - f. Other letters solicited by the Chair of the promotion committee from the Chairs of departments or programs in which the candidate taught,
 - g. Department's or program's letter submitted to the Associate Dean at the time of tenure,

- h. Curriculum vitae,
- i. Statement submitted by the candidate,
- j. Testimony solicited by the Associate Dean from external reviewers, accompanied by the reviewer's curriculum vitae,
- k. Other evidence deemed appropriate by the Dean of the Faculty, including previous letters submitted for CAP action.

APPEAL OF REAPPOINTMENT/TENURE/PROMOTIONS DECISIONS FOR ARTS & SCIENCES FACULTY

The purpose of the appeal process for a reappointment/tenure/promotion decision in the Faculty of Arts and Sciences is to determine if there has been a violation of the College's non-discrimination or academic freedom policies, or if material procedural error took place when making these critical decisions.

There are three grounds for requesting that a case be re-examined:

1. There was an alleged violation of the College's non-discrimination policy;
2. There was an alleged violation of the faculty member's academic freedom;
3. There was alleged procedural error (e.g., failure to include proper information or facts that should have been made available under the submission and evaluation guidelines in the Faculty Handbook, or a failure to follow the procedures stipulated in the Faculty Handbook for considering a case) that could reasonably have affected the decision.

The substantive evaluation of a case is not subject to appeal unless the appeal is based on one or more of these three grounds. Alleged violations of the College's non-discrimination policy will be reviewed by the Director of Equal Opportunity and Affirmative Action (EO/AA); alleged violations of academic freedom will be reviewed by the Council on Academic Freedom and Responsibility (CAFR) as indicated in the Organization of the Faculty of Dartmouth College (OFDC); alleged violations of procedural error will be reviewed by the Review Committee (RC).

APPEAL PROCEDURE

A request for review must be made no later than 90 days after the date of written notification of the decision. Before formally initiating an appeal under any of the grounds described above, faculty members are encouraged to confer with the Dean of Faculty or a member of the Review Committee. There are three ways that requests for review can be initiated by the faculty member whose reappointment/tenure/promotion has been denied:

1. Should the faculty member allege that a violation of the College's nondiscrimination policy has taken place, s/he will submit a letter to the Director of EO/AA stating the grounds for appeal. The Director of EO/AA will conduct a factual review of the faculty member's claim within 45 days and provide the results of that review to the President, the Dean of Faculty, and Committee Advisory to the President (CAP). During this review he or she may choose to confer with members of the Review Committee or the Vice President for Institutional Diversity and Equity. If the review determines that discrimination has occurred the CAP will then review the case in the light of the new findings.
2. Should the faculty member allege that a violation of academic freedom has taken place, s/he will submit a letter to the RC stating the grounds for appeal. The RC will examine the case and within 45 days determine whether the case should be forwarded to CAFR. If the RC forwards the case to CAFR, CAFR will conduct a review of the case in accordance with the "Agreement Concerning Academic Freedom, Tenure, and Responsibility" as indicated in the OFDC and

forward its report to the President, the Dean of Faculty, and the CAP. If CAFR determines that there was a violation of academic freedom the CAP will then review the case in light of the CAFR report.

3. Should the faculty member allege that procedural errors that could reasonably have affected the decision were made in the determination of the case, s/he will submit a letter to the RC stating the grounds for appeal. The RC will conduct an investigation within 45 days and report its findings to the President, Dean of Faculty, and CAP. If the RC determines there was procedural error that could reasonably have affected the decision then the CAP will review the case in light of the report of the RC.

In its review, the RC may find further review is warranted for reasons pertinent to non-discrimination or academic freedom. In this case the RC will forward the case to the Director of EO/AA (in cases involving possible discrimination) or the CAFR (in cases involving possible violation of academic freedom), who or which shall follow the procedures outlined above in sections (1) and (2), respectively.

If in any of the three cases described above the CAP reviews a case it will determine within 45 days if its original recommendation should be changed. The CAP will then report its conclusions to the President. Based on this report and the report from the Director of EO/AA, CAFR, and/or the Review Committee (as appropriate), the President will decide whether to recommend promotion or tenure to the Board of Trustees, or will make the final decision in the case of reappointment of an assistant professor.

Days during the summer term are not counted towards the 45 day limits given above. For good cause, the 45-day limits set forth above may be extended by the Director of EO/AA, the RC, or the CAP, as the case may be.

In reviewing a case, the Director of EO/AA, CAFR, and the Review Committee will seek to maintain confidentiality to the maximum extent consistent with obtaining information relevant to the case. The written request for appeal and other documents relating to an appeal under this procedure will form part of the faculty member's reappointment/tenure/promotion file but will not be placed in a general personnel file.

The Dean of Faculty will report annually to the COP on the number of appeals made, the grounds upon which the appeals were made, the number of cases that the CAP reconsidered, and the number of times that the initial CAP decision was changed. No details of the individual cases will be provided.

Faculty of Arts and Sciences Action
May 24, 2010

JOINT APPOINTMENT PROCEDURES

INITIATING JOINT APPOINTMENTS

Joint appointments occur between programs and departments, two departments, or two programs. Proposals for joint appointments must be discussed in advance with the appropriate Associate Dean(s) and the Dean of the Faculty. Joint appointments may be used to recruit individuals whose work cuts across existing departments and programs; such appointments can assist Dartmouth to provide strong interdisciplinary offerings and to build in emerging fields that cross beyond the borders of the traditional disciplines. A joint position will usually be shared equally by the two academic units hiring the individual, but it may also be regarded as based in one or the other. The Dean of the Faculty will determine where the joint appointment will be primarily based. If the individual holding that appointment should leave, the search for the replacement will usually revert to the primary base. The new search may involve a different pairing of academic units. The courses to be taught by the holder of a joint appointment may come from the existing course pool, or they may be add-ons for one or both of the academic units. This matter should be clarified and recorded before initiating the search.

Early in the process of initiating a joint appointment, the two academic units should consider the issues listed below under “Teaching Responsibilities, Annual Reviews, and Service” and “Evaluation, Promotion and Tenure.”

THE SEARCH AND THE INITIAL APPOINTMENT

There are two ways to search for joint appointments. One is when the field is open to candidates across a range of knowledge fields. An ad hoc search committee develops the candidate pool. This ad hoc committee will be appointed by the Dean of the Faculty, in consultation with the appropriate Associate Dean(s) and the departments or programs involved. The ad hoc committee usually includes members from the potential participating units. The affected academic units will read the files of the leading candidates and will take part in interviewing those on the short list. To conclude the search, the participating units must agree to recommend appointing the candidate.

The other search method occurs when there is a specified partnership between two academic units. Each of the entities involved will usually receive equal representation on the ad hoc search committee, which will be appointed by the Dean of the Faculty, in consultation with the appropriate Associate Dean(s) and the departments or programs involved. The two academic units will read the files of the leading candidates and will take part in interviewing those on the short list. To conclude the search, the participating units must agree to recommend appointing the candidate.

If the appointment is to be in different divisions, then one of the Associate Deans will be designated by the Dean of the Faculty as the person to meet with candidates, write the appointment letter, and to hold annual meetings with the faculty member. The other Associate Dean will be consulted throughout the process.

In all cases, the initial appointment has to be approved by separate votes of the tenure-track members in each department or program (as per E.1 in the OFDC).

APPOINTMENT LETTER: TEACHING RESPONSIBILITIES, ANNUAL REVIEWS, AND SERVICE

The initial appointment letter should state where the position is based (or, if it is a position equally shared by two departments/programs, the letter should clearly state that such is the case). As a rule, the individual’s teaching would be evenly divided between the two departments or programs, but exceptions are possible. Therefore the letter must establish the specific division of teaching responsibilities between the two academic units. If any special considerations have been made regarding the distribution of courses when the individual is on sabbatical or leave for part of the year, that should also be indicated in the letter. Changes in the distribution of courses between the two components of the joint appointment would have to have the support of the chair of both academic units, and then approval by the Dean of the Faculty.

The appointment letter should indicate any special procedures for carrying out the annual reviews of those appointed to the rank of Assistant Professor. For instance, an individual’s research, due to its specialized nature, may be evaluated by only one of the departments or programs, but teaching and service would be evaluated by both.

Any special expectations regarding service, location of the individual’s office, etc. should also be stated in this letter. Departments and programs need to be sensitive to the fact that the individual may be faced with “double duty” in terms of meetings, attendance at sponsored events, advising, registration, job searches, independent studies, and the like.

EVALUATION, PROMOTION AND TENURE

Annual evaluations of non-tenured individuals holding joint appointments will be conducted by a mentoring committee of no fewer than four tenured faculty members drawn equally from both departments/programs. The committee’s evaluation will

be submitted to the Associate Dean, the chairs of both units, and shared with the junior colleague. Each unit will make its evaluation available to its counterpart. This procedure will also be followed for reappointment. (If either a department or a program has fewer than four eligible people to serve on a committee for reappointment, tenure, or promotion, then an ad hoc committee will be appointed in accordance with the procedures outlined in the *OFDC*.)

RECOMMENDATIONS FOR PROMOTION AND TENURE:

The candidate, by early fall term, should submit to the Chair of each academic unit and the Associate Dean an updated curriculum vitae and a list of eight to ten possible external reviewers, some of whom will be selected for the final list. In the Arts and Humanities Division this will occur in the spring term of the year prior to promotion consideration.

Also early in the fall term, the chairs of the two academic units will forward a combined list of another eight to ten prospective reviewers, including addresses, their field of specialization, and a brief description of their qualifications for the task, to the Associate Dean. Usually, this list will comprise three referee names from each of the two academic units and four other names that the two units agree upon. The Associate Dean compiles the final list of reviewers after consultation with the chairs of the academic units. The Associate Dean may independently add names not on either list. Normally these reviewers must themselves hold tenured appointments or their equivalent. The names of these reviewers are confidential and will not be made known to the candidate. In some cases, e.g. where the professional work consists of performances, exhibitions, and etc., alternative forms of external review may have to be arranged.

The tenure and promotion committees of each academic unit will examine the materials submitted by the candidate, review the letters solicited by the Dean of the Faculty Office from external reviewers, former students, and other appropriate sources, and consider other evidence (e.g., program/department teaching evaluations). The committees should also consider the recommendation that the academic units submitted at the time of the candidate's reappointment. Normally, the academic units will take their final votes within a short time of each other.

Tenured faculty holding joint appointments in two academic units may only participate and vote in one unit. The Associate Dean, in consultation with the chairs of the academic units, will decide the unit in which that participation and vote takes place.

After each academic unit has met to deliberate on the promotion, the Chairs of each will write a letter to the Associate Dean, shared with all members of the committees, that reports the vote and presents the unit's reasoning based on the evidence of the candidate's teaching (including graduate teaching and work in the graduate program where appropriate), scholarship, and other contributions. The letter, even as it makes a case for the majority, should ideally reflect all members' points of view; if, however, individuals feel the Chair's letter does not adequately represent their particular perspectives, they are free to submit separate letters that either support or dissent from the recommendation. These letters must be submitted to the Chair who will share them with the committee. They will then be submitted to the Associate Dean along with the committee's letter. If the two academic units forward different recommendations, the CAP will, as in all tenure cases, make the final recommendation to the President and the Board of Trustees.

Promotion to full professor will follow the same procedure as for tenure.

JOINT APPOINTMENTS FOR CURRENT MEMBERS OF THE DARTMOUTH FACULTY

Current members of the Dartmouth faculty can receive joint appointments; however, such a change in status requires separate recommendations by the two departments/programs concerned, approval by the Dean of the Faculty, and final approval by the CAP. Only in exceptional cases would such a change be approved for an individual who does not already have tenure.

It is expected that the approval of a joint appointment would reflect the teaching and research interests of the faculty member, and would also involve a specific course commitment by the faculty member to the department or program comprising the new portion of the joint appointment. The appointment letter should indicate the specific teaching commitment, and it should also deal with any other considerations that are appropriate (for instance, the promotion procedure for someone in the rank of Associate Professor should be stated in the letter). Only faculty members with permanent full or joint appointments may vote in reappointment, tenure and promotion cases. Approval of joint appointments normally would not entail any change in the course allotment or FTE to each department or program, nor will it result in any net increase in the number of tenure-track lines for the Arts and Sciences faculty as a whole.

CHECKLIST OF PROCEDURES FOR JOINT APPOINTMENTS

Points to be discussed by departments and/or programs before request is initiated:

1. Rationale for the appointment
2. Type of appointment: based in one academic unit, or shared equally?
3. Division of teaching between the two academic units, including any special understandings regarding years when the individual holding the appointment may have a leave or a sabbatical
4. Review procedures for reappointments, tenure, and promotion
5. Expectations regarding service, keeping in mind that the individual may be faced with "double duty"

Points to be covered in letter from Dean authorizing the search:

1. Who conducts the search: the program or department where the appointment will be based, or a joint search
2. Same as #2 above
3. Same as #3 above
4. Same as #4 above
5. Same as #5 above

Points to be covered in the appointment letter from the Dean:

1. Naming the department(s) and/or program(s) sharing the appointment
2. Division of teaching between the two academic units including any special understandings regarding years when the individual holding the appointment may have a leave or a sabbatical
3. Special considerations regarding service expectations, office location, and etc.
4. Review procedures for reappointments, tenure, and promotion

SENIOR RECRUITMENT

Appointments into the senior ranks (e.g., Associate or Full Professor) with tenure provide an important strategic opportunity for bringing leadership to departments or programs, addressing priorities and critical needs, and bringing additional academic distinction to the Faculty of Arts and Sciences.

Stated below are the procedures for identifying and appointing all senior candidates. See also the section in this manual on Faculty Recruitment.

1. The decision to authorize a senior appointment will be made by the Dean of the Faculty after consultation with the department or program.
2. A search committee will be appointed by the Dean of the Faculty in consultation with the appropriate Associate Dean and department or program Chair; it will normally include several department or program tenured faculty members. In some cases faculty from outside the department or program will be added to provide particular expertise, strategic oversight, or diversity to the committee.
3. The department and search committee will conduct a screening process to identify viable candidates, including the possibility of seeking letters of recommendation from external experts in the relevant field. The search for a person to be appointed to the senior ranks may involve an extended effort. Some searches may not be completed in a single year, but usually will be completed within two years.
4. During the search and recruiting process, extraordinary efforts must be made to identify candidates who are members of underrepresented groups. An extended search will help promote this goal.
5. The Associate Dean, after consultation with the Dean of the Faculty, will authorize visits to campus. The candidates should be scheduled to meet faculty members and students in the department or program, the Dean of the Faculty, and when appropriate, other faculty members and senior officers, including the President and the Provost.
6. Throughout the search, close liaison must be maintained between the department or program and the search committee and with the Dean of the Faculty Office. The search committee will submit its report to the department or program and to the Dean of the Faculty. The department or program will then prepare its recommendation for appointment with tenure and forward its decision to the Associate Dean in the normal manner for consideration by the Dean of the Faculty and the CAP.
7. The Dean of the Faculty will offer the candidate a tenured faculty position, contingent on a formal tenure review.
8. The Associate Dean will initiate a tenure review consistent with the procedures for tenure and promotion outlined in this Handbook, with one point of clarification. Multiple votes will be necessary: the tenured and tenure-track faculty of the department or program should vote on the question of making an appointment, but only the tenured professors may vote on the question of tenure. If the candidate is seeking a position as full professor, the tenured full professors should then vote on the question of rank. As in all tenure and promotion cases, the vote is limited to those faculty who have read the file and who are physically present for the vote. All tenured faculty in that department/program may read the confidential letters from external reviewers, regardless of the proposed rank of the candidate.

LESS THAN FULL-TIME APPOINTMENTS

Less than full-time tenure-track or tenured appointments are governed by all rules applying to full-time faculty appointments regarding such matters as compensation, sabbaticals, and support for research opportunities. All less than full-time tenure-track appointments are the result of a regular search process. A change from a full-time tenure position to a less than full-time position, or a less than full-time to a full-time position, will require both departmental or program approval and action by the CAP before the President transmits a recommendation which ultimately must be approved by the Trustees.

RESEARCH FACULTY

INTRODUCTION

The title of Research Assistant Professor, Research Associate Professor, or Research Professor, with the rank determined by seniority, is awarded to persons who are carrying out their own independent research in Arts and Sciences. Appointments in

these ranks are made in order to increase the college's intellectual base and research capability beyond the limits allowed by tenure-track appointments.

Appointments in the research faculty ranks are similar to those in the tenure track with regard to the requirements of independence, excellence and productivity in research. Research faculty should also have the ability and interest to engage in the context of informal supervision and guidance of students and, when an educational need exists or develops, in a formal classroom setting. Research faculty are expected to adhere to the same standards of professional and personal conduct as tenure track faculty.

Appointments in the Research Faculty track are appointments within Arts and Sciences by respective divisional associate deans upon the recommendation of a department or program. They do not convey tenure or concurrent membership in the Faculty of Arts and Sciences, but may in some cases lead to long-term affiliation of an individual with the College. Individuals in research faculty positions are expected to provide their own support from research grants and contracts. The College does not assume any responsibility for salary support, except for compensation by course during periods when an individual is asked to participate in regular classroom teaching and compensation for periods spent developing grant proposals as outlined in the Research Faculty Compensation section below.

SPECIFICATIONS

Details concerning regular Research Faculty positions are as follows:

1. Faculty in the research track can, and are expected to, serve as Principal Investigators (PIs) on externally funded grants and contracts, defined as any monies awarded to the College and administered through the Office of Sponsored Projects.
2. Although sponsored research of the highest quality is the primary responsibility of research faculty, they may also engage in regular classroom teaching. A common arrangement is the teaching of one course per year for which the (sponsoring) department or program is generally charged 0.17 FTE. During a term in which research faculty teach one course, they are paid at 50% effort for teaching and 50% effort for research. (The research faculty member's total effort may not exceed 1.00 FTE for research and teaching combined; the rate of compensation for teaching may differ from the rate of compensation for research.) This norm neither obligates nor entitles a research faculty member to teach, since department/program teaching needs and FTE cap will determine the availability of teaching opportunities for research faculty. The teaching load can be negotiated up or down on a year-by-year basis, depending on the needs of the teaching and/or research programs.
3. Research faculty may, when appropriate and allowable under the terms of their award(s), be asked to serve on department/program committees, organize research seminars and contribute generally to the intellectual breadth of the department or program.
4. Space allocation is at the discretion of the department or program Chair in consultation with the appropriate Associate Dean and is determined by the needs of the sponsored project. Ordinarily, space allocation is tied to funding and ends when the funding ends. Under some circumstances (e.g., bridging short periods between funding, when experiments involving thesis students are in progress, or through terminal appointments) it may be appropriate to extend space allocation beyond the funded period. Such extensions are at the discretion of the department/program Chair in consultation with the appropriate Associate Dean. It should be noted that the needs of the department or program will always have priority.

ELIGIBILITY

Persons who are carrying out their own independent research in Arts and Sciences are eligible for appointment as Research Faculty. Rank (Research Assistant Professor, Research Associate Professor, Research Professor) is determined by seniority. Most

senior individuals who have already established themselves as successful PIs and who have produced a significant body of high-quality research may be appointed directly as Research Associate Professor or as Research Professor. Appointments as Research Assistant Professor are not intended to replace regular post-doctoral or research associate appointments: only individuals of unusual achievements, who appear to have the capability of becoming self-sustained, would be considered. For example, a recent Ph.D. degree recipient who shows promise of developing into a successful independent researcher and PI may be appointed to an Assistant Research Professorship with initial financial support coming from a funded research program already in existence at the College.

PROCEDURES FOR INITIAL APPOINTMENTS, REAPPOINTMENTS AND PROMOTION

1. An appointment file should contain curriculum vita, complete publication list, three letters of recommendation from individuals, two of whom are outside the Dartmouth community, and a statement from the candidate concerning her/his view of the job and plans for research at Dartmouth. The tenure-track faculty vote on all initial and subsequent appointments within their department or program.
2. Initial appointment is for three years and is generally initiated by tenure-track faculty recommendation to the department/program, which upon approval is forwarded to the associate dean. On occasion, appointments such as Interagency Personnel serving government agencies such as NSF, NASA etc., which are administered by the College, may be for a shorter period.
3. Reappointment to a second three-year period in rank, following the initial appointment in that rank, is contingent upon satisfactory performance. For reappointment, performance is reviewed by an ad-hoc committee of two tenure-track faculty members, of higher rank than the research faculty member, appointed by the department or program chair. The review at the end of the first appointment in any rank is internal; research assistant professors are expected to have made substantial progress towards establishing an independently funded research program, associate and full research professors are expected to have achieved and maintained those goals. Unsatisfactory performance as determined by the department or program can lead to a one-year terminal appointment in the research faculty rank.
4. A review soliciting outside input is typically performed at the end of the second three-year term in rank. For assistant research professors, it normally leads either to promotion, an evaluation of whether Research Scientist/Analyst/Engineer is a more appropriate appointment for those not directly engaged in the academic mission of the College, or a one-year terminal appointment if performance, which includes ability to raise external support, is not satisfactory. For associate research professors, it normally leads either to promotion, a re-appointment in the same rank, to transition to Research Scientist/Analyst/Engineer, or to a one-year terminal appointment. While this review applies to a full research professor whose initial Dartmouth appointment was in this rank, those promoted to this rank as a result of the in-depth review are thereafter appointed on a rolling three-year basis. That is, unless the individual gives shorter notice, the position remains in force for three years from any given point in time or from the time the College indicates its intention to terminate the appointment. For an individual whose initial appointment was in the rank of research professor, the in-depth review leads to continuation, on a rolling appointment basis, to transition to Research Scientist/Analyst/Engineer or to a terminal appointment, normally from one to three years.
5. In conducting the in-depth review, the relevant associate dean shall collect letters of reference that provide an assessment of the quality and importance of the individual's research as viewed by professionals in the field, including testimony from at least three experts who are not affiliated with Dartmouth. The associate dean selects appropriate experts, after consulting names provided by the candidate and by the department/program chair, and provides materials generated by the candidate: a curriculum vita and a research statement. The experts' letters, and the candidate's materials, are reviewed by the department's (or program's) tenure-track and research-track faculty members of higher rank than the candidate, who then vote on promotion and reappointment. The overall benefit to the College of continued association with the individual under review will be assessed. On the basis of the review and vote, the department or program chair makes a written recommendation to the associate dean.
6. Rolling appointments of research professors normally are not re-reviewed following their initial appointment in that rank and therefore may be thought of as permanent until retirement. However, the associate dean may initiate a

review if concerns arise about lack of funding, about the level and quality of contributions by the individual to the College, or about personal or professional conduct. Research professors holding rolling appointments are expected to be self-funded and to contribute to the collective research of the department or program, which includes helping to bring in RA support for graduate students and to provide research opportunities for undergraduates, such as WISP, supervision of Presidential scholars and senior honors theses, or other equivalent contributions to the research infrastructure of the department or program.

7. Research faculty are permitted to submit grant proposals for the balance of their appointment plus one year, or in the case of rolling appointments, for four years. Proposals for longer funding periods, e.g. five-year funding opportunities, must be negotiated individually with approval of tenure-track faculty in the department/program and the associate dean.
8. Salary increments are determined annually by the Dean of Faculty, based on merit as determined by the record of research and scholarship. As with tenure-track faculty, research-track faculty will receive a “faculty record supplement” form from the Dean of Faculty Office on which to document their activity in research and mentoring. For Research Assistant Professors, the associate dean may also solicit an evaluation from the relevant department or program chair and the PI of the supporting grant when relevant.
9. Visiting Research Faculty appointments, for periods of time adapted to an individual case, are handled in the same manner as visiting faculty appointments, approved by the chair and forwarded to the associate dean.
10. Final decision on all research appointments rests with the Dean of Faculty Office, as administered by divisional associate deans. However, certain types of alleged misconduct by faculty including research faculty come under the purview of the Council on Academic Freedom and Responsibility of the General Faculty of Dartmouth College.

OTHER APPOINTMENTS

Individuals may be provided one of the following appointments when their association with Dartmouth and the community will be of mutual benefit. Individuals holding these appointments are not members of the Faculty.

RESEARCH ASSISTANT

This title is used for individuals (without an advanced degree) who are hired to engage in research activities under the supervision of a member of the faculty. This is a staff position; please contact the Arts & Sciences Finance Center for assistance in initiating and filling such a position. For those individuals with advanced degrees, refer to the following sections.

RESIDENT SCHOLAR, VISITING SCHOLAR

This title can be given to established scholars and others with distinction in their fields – faculty on leave from other institutions, government officials, writers, and so forth – whose association with Dartmouth and the community will be of mutual benefit. This appointment is normally intended for those with a doctoral degree or with similar experience or stature. The appointment is made by the associate dean on recommendation of the department or program Chair and the sponsoring faculty member, if there is one, and normally does not extend beyond twelve months. The term “Visiting Scholar” is used for scholars who have a primary appointment elsewhere and are visiting Dartmouth for the appointed period; the term “Resident Scholar” is to be used for those who do not have an appointment elsewhere.

A teaching appointment is not required, but if arranged, the scholar is appointed as a Lecturer during the teaching term(s). Other compensation is not usually provided, unless supported by extramural funding.

For faculty on leave from other institutions, teaching one or more Dartmouth courses while visiting Dartmouth, an appointment as Visiting Professor may be more appropriate (see section on Visiting Appointments).

POSTDOCTORAL SCHOLAR

This title is applied to “an individual who has received a doctoral (or equivalent) degree and is appointed for a limited period of time of mentored advanced training to enhance the professional skills and research independence needed to pursue his or her chosen career path. The primary purpose of a postdoctoral scholar is to engage in advanced study and training; in some cases teaching may be part of that training. Normally, a postdoctoral scholar will be supported by external awards or fellowships.” [This definition was adopted by the Council on Sponsored Activities in April 2011.] A typical appointment is for twelve months and can be renewed annually upon recommendation of the relevant department, program, center, or institute. Postdoctoral Scholars are not members of the Faculty.

Nearly all postdoctoral scholars, including those selected by Centers and Institutes as named “Fellows”, are classified by Human Resources as *Research Associates*. There are three exceptions: (1) postdoctoral scholars who receive a sponsored training fellowship *directly to the fellow* are appointed as a Postdoctoral Scholar without compensation; (2) postdoctoral scholars who are funded on certain training grants (such as NRSA and T32) are classified by Human Resources as *Fellows*, and (3) Research Instructors are also Postdoctoral Scholars.

RESEARCH ASSOCIATE

This title is used when appointing postdoctoral scholars, as defined above. The appointee receives a specific title (Research Associate A, Research Associate B, or Research Associate C) based on the length of employment, as defined by the Office of Human Resources. As postdoctoral scholars, Research Associates are expected to have a transient employment with the College, typically fewer than 6 years. No further delineation of rank (e.g., Senior Research Associate) is available. In some cases, Research Associates may progress to a position as Research Scientist, Research Analyst, Research Assistant Professor, or tenure-track professor. Appointments to the Research Associate position do not require a formal search; position descriptions are based upon the needs of the mentor with whom they train and salaries are commensurate with both community norms of the sponsoring entity and market metrics. Research Associates are not members of the Faculty.

RESEARCH SCIENTIST, RESEARCH ANALYST, RESEARCH ENGINEER

This title can be given to individuals who perform essential roles in the research enterprise of individual laboratories (i.e., under the auspices of a faculty sponsor), in institutional cores, or in providing support for broad-based institutional initiatives through roles in data analysis and assessment. Some such individuals may function as managers of individual labs, managers of core services or analysts of institutional data that is used either internally or externally (e.g., in support of major extramural programs). In most cases, such individuals will hold a doctoral or equivalent terminal degree; for (unprefixed) Research Scientists/Analysts/Engineers, a Masters degree may be appropriate or even preferable. Research Scientists/Analysts/Engineers (unprefixed, Senior, or Principal) are not members of the Faculty; they are full-time professionals recruited to work in program areas defined by the faculty. They are not expected to pursue *independent* research beyond the scope of faculty programs. The faculty is ultimately responsible for the direction and quality of the research activity, according to universal norms of publication and relevance. Research Scientists/Analysts/Engineers (at all levels) may, upon approval by the appropriate Dean, be given eligibility to serve as PI or Co-PI on research grants and proposals.

New appointments to the rank of (unprefixed) Research Scientist/Analyst/Engineer for those supported from limited (e.g., individual investigator) research programs will not require a national search. New appointments to Senior or Principal Research Scientist/Analyst/Engineer positions that reflect broader responsibilities (e.g., directors of institutional cores) will require a national search. Appointments are made by the relevant Dean at the recommendation of a department or program Chair, to a renewable term, normally for 1–5 years.

RESEARCH SCIENTIST, RESEARCH ANALYST, RESEARCH ENGINEER

In most cases, support for such individuals is expected to derive from extramural sources, but, in a limited number of instances support may be drawn from central funds (e.g., to support core institutional services). As Research Scientists/Analysts/Engineers are considered long-term employees, it is the expectation that they receive annual evaluations, submitted by the faculty sponsor to the department or program Chair and the relevant Dean. At this level, Research Scientists/Analysts/Engineers are not required to have a reputation for their work outside of the institution, although external reputation is a critical component of advancement to senior or principal rank.

SENIOR RESEARCH SCIENTIST/ANALYST/ENGINEER

Individuals employed as Research Scientist/Analyst/Engineer who assume a higher level of responsibility in terms of personnel management and/or in providing key services to the institution as a whole may, upon the approval of the sponsoring Dean, be promoted to Senior Research Scientist/Analyst/Engineer. Promotion (or initial appointment) to Senior Research Scientist is justified based on the level of responsibilities and competence. For promotion, there is no standard timing, and the recommendation for advancement will be made following an internal review of performance with three letters from external referees. Senior Research Scientist/Analysts/Engineers may also hold titles such as Director or Technical Director of a Core or Institutional Service.

Senior Research Scientist/Analysts/Engineers are expected to maintain professional standing in their fields through as made evident through publication, external activity, and/or professional service. Senior Scientists/Analysts/Engineers are expected to take on supervisory duties and to participate in obtaining funding for research.

PRINCIPAL RESEARCH SCIENTIST/ANALYST/ENGINEER

Promotion (or appointment) to Principal Research Scientist/Analyst/Engineer can follow demonstration of professional leadership and productivity in conjunction with three letters from external referees and recommendation by the appropriate internal reviewing body of the individual academic unit to its Dean. Principal Research Scientists/Analysts/-Engineers are expected to take on supervisory duties and to participate fully in obtaining funding for research, and are also expected to have more external visibility than Senior Research Scientist/Analysts/Engineers. Principal Research Scientists/-Analysts/Engineers may also hold titles such as Director or Technical Director of a Core or Institutional Service.

DISTINGUISHED FELLOWS (OF SPONSORING DEPARTMENT, PROGRAM, CENTER, INSTITUTE)

This title may be awarded to a *highly* limited number of individuals who have exceptional national/international stature in their given field of endeavor, but do not meet criteria for a faculty rank. Distinguished Fellows are not members of the Faculty. The decision to recommend the title of Distinguished Fellow rests with the appropriate Dean and must be approved by the appropriate mechanism for the employing school and by the Provost.

It is the expectation that such individuals will be supported from extramural funds. Appointments for Distinguished Fellows will be limited to a 3-year term, which may be renewed. It is the expectation that these individuals will, in nearly all cases, be targeted hires and thus be eligible for a waiver from a national search with respect to EO/AA policies. However, any individual hired as a Distinguished Fellow who does not meet waiver criteria must be identified by a national search and hired following standard Dartmouth College search protocols. Distinguished Fellows must be employed by Dartmouth College while they hold this title. Distinguished fellows may be named in association with an Institute or Center that itself does not have the ability to make academic appointments, but such individuals must also have an affiliation with an academic department or program. In such cases, the Center may bear the financial responsibility for the hire, as well as the administrative

responsibility for executing the search and day-to-day support for the academic endeavors of the Distinguished Fellow. However, the department or program will have responsibility for other administrative processes pertinent to such employees, such as payroll authorization smart forms, visa processing, and reappointments.

EQUIPMENT TRANSFER GUIDELINES

In the event that a faculty member decides to leave the College and desires to transfer equipment purchased while at Dartmouth to another institution, the faculty member's Associate Dean will be guided by the following procedures in negotiating this transition.

1. Contact the Fixed Asset Coordinator in Procurement Services to obtain a list of all equipment, including all computer equipment, purchased by the faculty member listed in the fixed asset system. The list will include a description of the equipment, date purchased, account purchased, serial numbers, ID tag number(s), and current location.
2. Send this list to the A&S Fiscal Office for verification of account status (open DOF account, closed DOF account, open sponsored project account, closed sponsored project account, government-furnished, other) for each piece of equipment on the list. The Fiscal Office may contact the appropriate person in the Office of Sponsored Projects or the relevant Research Grant Manager to determine the status of sponsored project accounts.
3. Discuss the equipment on the list with the faculty member to ascertain what equipment, if any, he or she may wish to transfer to another institution. The faculty member should also be asked to add any additional relevant equipment to the list.
4. Negotiate with the faculty member and the Chair(s) of the faculty member's department(s) or program(s) to determine which pieces of equipment the faculty member will be allowed to transfer. In general, the assumption is that equipment which is of continuing use to Dartmouth faculty and researchers should be retained by Dartmouth College. More specifically:
 - a. Equipment purchased with College funding is the property of Dartmouth College and should be retained by Dartmouth College if the equipment will be used here.
 - b. Title to equipment purchased on closed sponsored projects accounts has been fully vested in Dartmouth College so this equipment should also be retained by Dartmouth College if it is of use to researchers at Dartmouth.
 - c. Equipment purchased by open sponsored projects accounts may be transferred to another institution with the written approval from the awarding agency and Dartmouth College.
 - d. Equipment furnished by a government agency remains the property of the government agency, and the Office of Sponsored Projects must be contacted to ensure that disposition of such equipment remains the prerogative of the awarding agency.
 - e. Transfers of equipment to another institution may involve reimbursement to Dartmouth College.

The Associate Dean is the final arbitrator concerning which pieces of equipment, other than government-furnished equipment, can leave the College.

5. Contact the Fixed Asset Coordinator to obtain the fair market value of equipment to be transferred.
6. Draft a letter formally requesting to transfer capital equipment from Dartmouth College to another institution. The letter should include:
 - a. a list of the equipment,
 - b. the current market value of each piece of equipment,
 - c. a description of each piece of equipment,

- d. an indication of whether the equipment was purchased with College or sponsored project funding (open or closed projects) and
 - e. a summary of the amount to be reimbursed to Dartmouth College for the transfer.
7. The letter needs to be signed by the faculty member (PI), their department or program chair, the Associate Dean and the Director of the Office of Sponsored Projects. The letter should be copied to the Fixed Asset Manager in Procurement Services so that the fixed asset system information remains current.
 8. Once the letter is signed, a copy needs to be given to the A&S Fiscal Office. A fiscal officer will finalize arrangements for payment by the receiving institution and ensure payment is received.

The Office of Sponsored Projects details a policy relevant to these guidelines:

<http://www.dartmouth.edu/~osp/resources/manual/post-award/equiptransfer.html>

PROCEDURE FOR TRANSFERRING CAPITAL EQUIPMENT FROM ONE INSTITUTION TO ANOTHER

When a Principal Investigator is transferring from Dartmouth College to another institution and they want to transfer capital equipment purchased with sponsored research funds they should:

- ✦ Type up a letter formally requesting to transfer the capital equipment from Dartmouth College to another institution. The letter should list the current market value of the capital equipment and it should describe the piece of equipment.
- ✦ The letter needs to be signed by the Principal Investigator, their Department or Program Chair and the Director, Office of Sponsored Projects.
- ✦ Fixed Assets Coordinator of Procurement Services needs to be notified when capital equipment is being transferred so they can then remove the piece of equipment from the inventory list. Fixed Assets Coordinator of Procurement Services should be copied on this letter.
- ✦ Once proper signatures have been obtained, the letter should be sent to the appropriate OSP, Sponsored Research Manager. The OSP, Sponsored Research Manager will keep the original letter in the grant file.

INTERDISCIPLINARY PROGRAMS

PROGRAM CHAIRS

Program chairs will normally be appointed from the voting membership of the Program, according to the procedures provided in the OFDC.

The Chair represents the Program in its formal external relations, reporting to the Associate Dean and the Council on Interdisciplinary Programs, and serves as a member of the Committee of Chairs.

The Chair chairs the Personnel and Steering Committees and calls a meeting of the Steering Committee at least once a term. The Chair reports to the Steering Committee on Program activities and needs, as well as any other items requested by the Steering Committee.

PERSONNEL COMMITTEES

Tenure-track faculty holding full appointments or permanent joint appointments in the Program are automatically members of the Personnel Committee. Personnel Committee members may participate in deliberations only concerning colleagues below their own rank. For example, Assistant Professors may participate and vote in hiring, but not in reappointment, promotion, or tenure cases. If fewer than four faculty members are eligible to constitute a Personnel Committee for a specific case, an *ad hoc* review committee will be appointed for that case by the CAP.

PROGRAM MEMBERSHIP

Membership in Programs may take any of the forms outlined below.

Permanent joint appointments are established at the time a faculty member is hired or in rare cases, by conversion of an existing contract. [See “joint appointments for current members of the Dartmouth faculty.”] Such appointments entail full membership in and full responsibility to both units.

Adjunct appointments replace the former “joint title” designation and may be made for renewable terms of 1-5 years upon the recommendation of the Program Personnel Committee and approval by the Associate Dean. Adjunct membership is normally based on a combination of the following criteria:

- ⊕ Recent or current engagement in the curricular activities of the Program, including such activities as teaching courses in the Program or courses cross-listed with the Program; the supervision of honors thesis work and/or independent studies; advising students in the Program;
- ⊕ Committee service within the Program;
- ⊕ Research and/or publications in the field.

Adjunct appointments do not automatically include teaching assignments, but rights and obligations should be outlined by the host Program in its letter to the Associate Dean. Faculty members holding temporary adjunct appointments may not vote in reappointment, tenure, or promotion cases unless appointed by the CAP to an *ad hoc* review committee for a specific case. Faculty members holding adjunct appointments may self-designate as “Adjunct Assistant/Associate/Professor in the XYZ Program” during the duration of the appointment.

Affiliated faculty status is determined upon the request of the individual faculty member and the approval of the host department or program. Such affiliations can be short or long term. There is an expectation but no promise of participation in teaching, advising, or program governance. Faculty members holding Affiliated status may not vote in reappointment, tenure, or promotion cases unless appointed by the CAP to an *ad hoc* review committee for a specific case. An affiliated faculty member may self-designate as “Affiliated with XYZ Program” during the duration of the affiliation.

The Personnel Committee assesses the Program membership on an annual basis. Program committee nominations are solicited from the active members of the Program, who will then vote on membership of the Personnel Committee.

STEERING COMMITTEES

Membership on Steering Committees is to be determined by the Personnel Committee of the Program in consultation with the Associate Dean. The duties of the Steering Committee include all matters involving the curriculum of the Program, including changes to the curriculum, and in determining staffing, proposing program events, and responding to student proposals and petitions.

The Chair of the Program chairs the Steering Committee.

FACULTY SALARY AND COMPENSATION

The Dean of Faculty Office conducts a salary review of individual faculty members. For continuing tenured, tenure-track, and research-track faculty, this salary review may include a merit increment based on evaluation of professional and institutional contributions.

All tenure-track and research-track faculty are required to submit an annual Faculty Record Supplement to ensure that publications and other professional activities are kept current. This form provides important information for the salary review process.

COMPENSATION AND ACADEMIC YEAR OBLIGATION: TENURE-TRACK FACULTY

In discussing faculty compensation, it is important to define what constitutes an academic year appointment for purposes of pay. Most regular faculty appointments in the Faculty of Arts and Sciences are for a twelve-month period with nine months (three terms) of obligation. The academic calendar at Dartmouth embraces four terms and tenure-track faculty members on a full-time academic year appointment are expected to teach and engage in College activities full-time for three of the four academic terms (nine months) over a twelve-month span of time. As departmental schedules may require, faculty members will be requested, on occasion, to teach during the summer term as one of the three terms of the academic year.

Faculty members do not cease to be such while on vacation or during their free term when there is no specific obligation to the institution. Normally, office space, library services, computer support, and other institutional facilities remain available for their use throughout the year.

Individual salaries are established effective July 1 and are paid on the first of each month in twelve equal installments over the year ending next June 30. Thus, tenure-track faculty who do not teach in the summer receive their first two pay installments after July 1 (on August 1 and September 1) as a partial advance against services to be rendered in the remainder of the academic year. Because of this practice, June 30 is the standard date for resignation from the College. Any faculty member who wishes to resign on a date other than June 30 must have prior written approval by the appropriate Associate Dean of the Faculty.

SUPPLEMENTARY COMPENSATION FOR TENURE-TRACK FACULTY: FREE TERM ACTIVITIES

There will be a number of opportunities for faculty members on nine-month appointments to engage in research and other College activities during their free term (summer or otherwise) for which additional salary at current salary rates may be received. Please see the section on Sponsored Faculty Compensation regarding these payments. Conversely, faculty may not receive supplementary compensation during any term in which they are being paid by the College (except for special arrangements involving consulting and outside employment). Conditions under which supplementary compensation is provided are as follows:

- ✦ The upper limit of time for which extra salary may be earned is three months, and the corresponding limit of additional salary to be received is 3/9 of the academic salary in any fiscal year. For this purpose, the four terms are reckoned as falling within the dates shown in the section on payroll procedures.
- ✦ Funds must be available to cover extra compensation, either in the instructional budget or from outside sponsored activities. Thus the amount of funding is equally limiting.
- ✦ During a period in which individuals are receiving salary for full-time service during their free term, they should not accept appointment to or expect to be compensated for a second, concurrent program of activity.

- ✦ Some special free-term tasks may involve a level of responsibility and expenditure of time extending into regular terms—e.g., preparatory work during the term before. In the assignment of individuals to such activities, adjustments should be made to departmental assignments in the regular academic year. Normally, involvement in the free-term responsibilities during the regular academic year should not constitute an "overload" and should be reflected in a reduction of other assignments. In some cases it may be appropriate to plan a yearly program for these individuals involving term-trading on a regular basis.
- ✦ Only in very unusual circumstances should individuals with full-time calendar year appointments be allowed to accept substantial extra-mural responsibilities (whether remuneration is involved or not) in addition to their primary areas of concern. Department/program heads and/or appropriate academic supervisory officers must be involved in the discussion of such activities well in advance. For such appointees, this rule applies to all four terms.
- ✦ Free term activities to be paid out of the instructional budget must be authorized by letter of appointment from the Dean or Associate Dean of the Faculty, covering the scope and details of the activity to be undertaken.
- ✦ The Chairs of academic departments and programs normally receive a reduction in teaching load. Faculty members who are appointed Chair or acting Chair of departments by the Dean of the Faculty are also awarded additional annual salary for each academic term they serve. This extra salary will be paid in two installments during the term in question and is included in the annual 3/9 cap.
- ✦ Chairs who serve during a free term are required to be on campus a minimum of two days per week throughout the term, with the exception of a two-week absence from campus. Chairs do not accrue sabbatical credit for service during a free term. Chairs should discuss their free-term schedules with the respective Associate Dean well in advance of the term.

SUPPLEMENTARY COMPENSATION: SPECIAL ACADEMIC YEAR ACTIVITIES

As a rule, neither extra compensation nor honoraria are paid with Dartmouth College administrative funds to tenure-track faculty (or other College officers) for participation in academic year activities. This rule derives from the fact that the academic year salary rate established for an individual represents full pay for total academic year obligation to the institution, whether in regularly scheduled instructional or research commitments or participation on College committees and other such activities.

Similarly, no additional compensation will be paid to full-time faculty for participation or consultation in sponsored activities administered by Dartmouth College during the nine- or twelve-month academic year commitment of the individual involved, as applicable.

In exceptional cases, when extensive preparation is required of a faculty member to assist in alumni programs or to provide services on behalf of community or civic agencies, supplementary compensation must be paid. The principles governing in such cases are as follows:

1. The equivalent of four to five days a month should be considered the maximum for any consulting and other outside employment. This would permit participation in a weeklong Alumni College. In no case should consulting or other outside activities, including Alumni College, interfere with the normal teaching schedule and other College responsibilities and obligations.
2. Compensation in any full-time term will not be augmented by Dartmouth for services during that term relating to instruction or extra-curricular activities involving Dartmouth students.

3. Supplementary compensation can be provided in situations where the faculty member is addressing non-student groups. Such compensation is annually limited to 10% per academic year of the individual's academic year salary. The payment(s) will be made during the academic term(s) of the scheduled event(s) and is nontransferable from one year to the next.
4. Prior approval from the Dean of Faculty Office is required before payments can be made. Payroll authorization forms also will require appropriate authorization from the Dean's Office. Honoraria or extra compensation paid from College sources is treated as wages and is subject to standard withholdings.
5. Supplementary compensation is subject to the annual 3/9 cap.

SPONSORED FACULTY COMPENSATION GUIDELINES

The Dean of the Faculty encourages faculty to seek extramural support for their research program, funding that can support student researchers and postdoctoral scholars, equipment and supplies, and faculty salary. The purpose of these guidelines is to delineate policy for salary drawn from sponsored projects, enabling flexibility while encouraging faculty to maintain a balance between research and time in the classroom. This policy applies to faculty with tenured or tenure-track appointments in the Arts & Sciences (A&S), except those whose primary appointment is in the Thayer School of Engineering, and takes effect with the 2015-15 academic year.

REGULAR COMPENSATION

Tenured and tenure-track faculty in the Arts & Sciences are entitled to 9 months base compensation paid by Dartmouth College each fiscal year for three terms of full-time academic year service as articulated in an annual appointment or salary letter. This compensation will normally be paid in 12 monthly installments. Compensation and payment schedules will be adjusted for less than full-time service.

FREE TERM AND ACADEMIC YEAR SUPPORT ON SPONSORED PROJECTS

The fourth term of the academic year not included above is called the 'free term.' Tenured and tenure-track faculty may be paid up to 3 months additional compensation for their free term from available College and sponsored sources. Compensation from sponsored sources must be paid according to College and sponsored source guidelines. *College sources* include negotiated extra payments, chair stipends, approved support for special projects, and payments from Salary Research Reserve (SRR) accounts. *Sponsored sources* include grants and contracts awarded through the Office of Sponsored Projects.

Recognizing that research activity is not confined to a faculty member's free term, payment from sponsored sources shall be spread over the applicable period of each award reflecting appropriate free-term and academic term commitments. Faculty who draw compensation from sponsored sources are required to certify the distribution of their compensation across all funding sources annually. This annual salary distribution certification is the method by which the faculty member and the institution recognize compensation for ongoing institutional and sponsored research obligations that occur throughout the certification period. At no time may a tenured or tenure-track faculty member be paid per month more than:

- ✚ 75% from sponsored sources while on a non-teaching residence term (R term),

- ⊕ 50% from sponsored sources while teaching one course in a term or on sabbatical, or
- ⊕ 25% from sponsored sources while teaching two courses in a term.

FREE TERMS

Faculty wishing to be paid free term support in any amount from sponsored sources must also be paid from non-sponsored sources during the annual salary distribution certification period. This contribution is required, in recognition of non-sponsored activity such as interactions with students, departmental and professional obligations, and research activity not related to the specific sponsored projects being charged. Sources include academic year salary, SRR, and other approved non-sponsored sources.

NON-FREE TERMS

A professor who has drawn the full 3/9 salary during his or her free term, and who has made the necessary arrangements per the policy above regarding effort allocations to free and academic-year terms, may (with approval of the Associate Dean and Fiscal Officer) allocate additional effort to sponsored projects during a non-free term (that is, Residence (R) terms or teaching terms). No course reductions result, and the professor is expected to participate in all department/program and College activities expected of a faculty member during a residence or teaching term. Sabbatical credit accrues as normal.

- ⊕ If there is effort committed and salary is not budgeted, Dartmouth cost-shares the appropriate level of effort on the departmental faculty compensation account.
- ⊕ If there is effort committed and salary is budgeted, the appropriate amount of salary is drawn from the grant. This amount is later provided to the investigator as a deposit into his or her SRR account (see below).

RESEARCH LEAVE TERMS (RESL)

A professor who has drawn the full 3/9ths salary during his or her free term, who has made the necessary arrangements per the policy above regarding effort allocations to free and academic-year terms, and who has additional support for one term (3/9ths of nine - month salary plus fringe benefits) may request to take a term devoted solely to research, subject to approval by the department/program chair, Associate Dean, and Fiscal Officer. Appropriate course reductions are granted as in the A&S sabbatical policy; during the RESL term, the professor is not expected to participate in department/program or College activities. No sabbatical credit accrues for a Research Leave term nor does SRR.

Furthermore, a professor who has met all of the conditions for a Research Leave above may consider an alternative option to reduce his or her teaching to pursue externally funded research during an academic-year term. Specifically, a faculty member who has funding sufficient to cover 1/6th of his or her 9-month compensation (1.5/9ths) may, with the permission of the appropriate Associate Dean, reduce his or her teaching load by one course per year. Under this option, the professor is expected to be fully engaged in all department/program activities during the specified term and will receive sabbatical credit for the term. This option may not be granted more than once in any academic year such that if a second research leave term is requested in that year, the faculty member must cover 1/3rd of his or her 9-month compensation. No SRR accrues from this option.

NIH AND OTHER SALARY CAPS

For professors subject to the NIH salary cap (and similar salary caps & restrictions), Dartmouth will cover the difference between the salary and the cap for up to three months (one term) where the cap applies. Professors with additional months of support are required to use SRR or other non-sponsored funding sources to top-up any salary paid to them from a capped source.

ARRANGMENTS FOR SPONSORED SUPPORT

Faculty members eligible for salary support beyond their regular 9-month academic-year compensation, including those who wish to charge sponsored projects for compensation during an academic year term or RESL term, should make arrangements for compensation within this policy with their Research Grant Manager and the Arts & Sciences Fiscal Office during the spring term prior to each fiscal year. Faculty may also arrange an equal 12-month compensation plan with sufficient funding.

RESEARCH FACULTY COMPENSATION GUIDELINES

Research Faculty are subject to different compensation guidelines than tenure or tenure-track faculty in part because research faculty are expected to generate their own support from research and sponsored sources for their regular compensation. While some faculty on the research track may be compensated for classroom teaching as defined in the section on Research Faculty, research faculty are primarily compensated through non-teaching funding sources. Research faculty are normally paid over 12 months for 12 months of service and therefore do not have a free term and are not eligible for any additional 3/9 compensation.

Research track faculty are often entirely engaged in sponsored research and paid solely from sponsored funding sources. As long as the research faculty member is only working on the project(s) through which he or she is funded, it is appropriate for that faculty member to be paid entirely from these sponsored sources. When a research faculty member spends some of their time to prepare a new proposal, however, this activity cannot be paid from such funding. Therefore, when a research track faculty member submits a proposal for new sponsored funding, he or she is eligible to receive a portion of his or her compensation from College sources – regardless of whether the faculty member is also teaching for the College in that year. The portion that will be paid from College sources will normally be equal to 5% of the compensation the research faculty member is scheduled derive from sponsored (non-college) sources during the academic year (July 1st – June 30th). The 5% is intended to relieve sponsored sources of scheduled compensation and will not result in a higher FTE or overall level of compensation for the research faculty member.

Research faculty members should make arrangements for compensation within this policy with their Research Grant Manager and the Arts & Sciences Fiscal Office during the spring term prior to each fiscal year.

ADDITIONAL COMPENSATION

Occasionally faculty members have the opportunity for compensation beyond their 12-month annual salary. Such payments are restricted due to Federal guidelines that limit faculty pay to 100% of 12-month salary plus fringe.

Dartmouth defines four types of payments that may be allowed beyond this limit:

- ✦ **Prizes:** Prizes are awarded for past achievement rather than for a current service obligation and will not be counted as regular annual compensation.
- ✦ **Reimbursement:** Reimbursements for expenses incurred by a faculty member that are paid through the payroll system are allowable. Examples include reimbursement for participation in an off-campus program or visa application fees.

- ⊕ **Special Payments:** Payments for activities not within the scope of a faculty member's regular duties at the College will not be counted as regular annual compensation. Examples include playing a musical instrument for a College function, holding a quilt-making workshop for staff, or teaching swing dancing to students (provided such activities are not part of a faculty member's area of academic expertise).
- ⊕ **De minimis Payments:** De minimis payments for non-recurring, additional service to the College within the scope of a faculty member's duties may be allowed up to a limit of \$1,000 per fiscal year. Examples include payments for Alumni College, student advising, service to a College administrative office, or giving a lecture. Payments of this type beyond the first \$1,000 can be made but are subject to the 3/9 cap on regular additional compensation. Non-recurring refers to payments not expected to happen more than twice in three consecutive years.

ARRANGMENTS FOR ADDITIONAL COMPENSATION

Faculty members who provide service and are offered additional compensation need to inform those offering payment of the above guidelines to avoid overlap between such payments and other available additional payments such as support from sponsored sources. Research Grant Managers and the Arts & Sciences Finance Center are available to provide assistance when an additional payment situation arises.

Funds offered to faculty may also be placed in an SRR account if they cannot be paid as salary under the above policy.

SALARY RESEARCH LEAVE (SRR) ACCOUNTS

Faculty members are eligible to be reimbursed into a Salary Research Reserve (SRR) account when the Arts & Science faculty compensation budget is relieved of paying some salary directly. For example, an SRR transfer would be appropriate when a faculty member charges salary and fringe to a sponsored project in excess of 3/9 free-term support. The professor's SRR account is increased by an amount equal to his or her non-free-term salary (and fringe) charged to all sponsored projects during a fiscal year, annually after the fiscal year ends (typically in November). SRR accounts, like IRR (Individual Research Reserve) accounts, are intended to support research costs. The only difference between SRR and IRR accounts is that a professor may draw salary from his or her own SRR account. The SRR account balance is capped at the investigator's annualized (12-month) salary + fringe: on the day when the annual IRR/SRR distribution occurs, any SRR-destined funds exceeding the cap will be distributed into the investigator's IRR.

A professor may draw compensation from an SRR account provided that he or she has exhausted all other sponsored and College-funded free-term or RESL support, and he or she draws no more than 3/9 salary from an SRR in any fiscal year.

PAYROLL PROCEDURES

Payment of salary to tenured and tenure-track faculty are made on a monthly basis on the first working day of the month over a twelve-month period each year. Members newly appointed receive their first payment on or about August 1 and will receive eleven more equal amounts throughout the year. Research faculty are also paid on a monthly basis according to the dates in their appointment letters. Arrangements may be made with the Arts & Sciences Finance Center to have salary payments deposited directly into banks where a checking account in the payee's name has been established. In all cases, a monthly statement is furnished to the individual faculty member indicating various withholding and gross and net salary earned. Also, contributions made separately by the College to Pension Investment Funds are shown in aggregate each month.

Extra salary and stipends are combined with regular salary in the month paid and are included in the monthly salary figure shown on the employee's salary check stub.

Temporary faculty salary payments are made on an effort-rendered basis as earned. For those terms beginning and/or ending in the middle of the month, the first and/or last paychecks will be partial.

Summer	June 15	through	August 31	(06/15-8/31)
Fall	September 1	through	November 30	(09/1-11/30)
Winter	December 15	through	March 14	(12/15-3/14)
Spring	March 15	through	June 14	(03/15-06/14)

All faculty members are urged to review the itemization of pay sent with the salary checks, particularly at year-end. Errors can creep in on rare occasions. The individual can help to effect timely correction in such cases through attention to these statements.

RESEARCH LEAVE (RESL)

Currently teaching loads are established to permit a significant portion of the individual faculty member's time to be devoted to research. While sponsored projects are encouraged where these will further a faculty member's research and the College's purposes, the College ordinarily does not expect nor seek salary support from research grants for a faculty member's academic year effort on a sponsored research project when normal departmental assignments can be carried on concurrently. In certain circumstances a faculty member may seek released time in the form of a reduced departmental workload to permit additional time on a sponsored research project. In these cases, as indicated above, arrangements must be worked out with the department/program involved to schedule the release time necessary, and funds should be requested in the proposal to support such release time.

Some grants require that the College "cost share" a portion of the work to be performed under the grant. This can be done by allocating to the project a portion of the salary expense paid by the College appropriate to the academic year effort expended by the faculty member(s) involved. This arrangement is consistent with the current College practice of underwriting fully all academic year effort, both teaching and research, except where a reduced departmental teaching or other assignment is required.

Salary paid during the academic year will also be charged to a sponsored project account when a faculty member receives a portion of his or her 9 month compensation during an otherwise free term to satisfy the provisions in the Sponsored Faculty Compensation Guidelines section of this handbook. See that section for additional information. On occasion, however, a faculty member may wish to request release time in the form of a research leave (RESL) to pursue sponsored research during a term that would otherwise have been part of the faculty member's three term academic-year obligation to the College. In such cases the faculty member must have sponsored funding for each complete term (one-third of the nine-month salary) and apply for a RESL on the Leave Request Form. When on a RESL faculty continue to be paid through the Dartmouth College payroll system and receive full benefits. Faculty members on RESL will work with the Arts & Sciences Fiscal Office to ensure pay is drawn from the appropriate sources. Faculty do not accrue sabbatical for terms on RESL.

SALARY ADVANCES

Dartmouth faculty undertaking assignments on behalf of the College at locations remote from Hanover, such as in the case of study programs abroad, may secure advances of pay to underwrite their expenses until such time as normal financial channels can be reestablished. Arrangements for advances of pay for this purpose may be made through the Office of the Dean of the

Faculty. The Gilman Loan Fund and commercial banking sources are available to faculty members experiencing temporary financial need.

U.S. LAWFUL PERMANENT RESIDENT (LPR OR “GREEN CARD”) SPONSORSHIP POLICY

Dean of the Faculty Office advises faculty who are foreign nationals to consider applying for permanent residence sponsorship at the beginning of their Dartmouth faculty appointment. To assist them in this process, the Dean of the Faculty Office will pay the full cost of the Labor Certification process on Special Handling cases directly to an approved law firm (a non-taxable benefit). The Dean of Faculty Office will also reimburse other attorney and government filing fee expenses up to \$5,000 paid by the candidate (a taxable benefit under U.S. tax withholding laws).

Should you wish to proceed with permanent residence sponsorship, please notify both your immigration advisor in the Office of Visa and Immigration Services and the Assistant Dean of the Faculty that you will be moving forward with an application. Both the Office of Visa and Immigration Services and the Assistant Dean for Administration have a list of immigration lawyers who have been used successfully by Dartmouth faculty. For a College-sponsored petition, one of these attorneys must be used. You may not select an attorney not on the College-approved list. Submit your receipts to the Arts & Sciences Finance Center (ASFC@dartmouth.edu) reimbursement.

Given immigrant visa processing backlogs and delays caused by lengthy security clearance checks with the Department of Homeland Security, the LPR process can sometimes take in excess of two or three years. If the processing of your LPR application is subject to either visa backlogs or unavoidable security delays, and as a result you are subject to additional attorney and filing fees for temporary work cards and temporary travel documents, you may also apply for an additional hardship reimbursement not to exceed \$1,000 (a taxable benefit under U.S. tax withholding laws). This additional reimbursement will only be considered if the processing time for your adjustment of status application (Form I-485) exceeds 18 months.

FRINGE BENEFITS

Dartmouth College offers a full range of benefits to its faculty, administrative and staff employees.

Benefits include medical insurance, dental insurance, retirement plans, long-term disability insurance, life insurance, and medical and dependent care reimbursement accounts. Fringe benefits at Dartmouth College are established by the Human Resources Office and are subject to change. There are a number of benefits that are a constituent part of faculty compensation. The College is required under federal legislation (ERISA) to distribute information about these benefit plans to participants, in the form of Summary Plan Documents. The benefit descriptions that follow should not be considered Summary Plan Documents, and it is recommended that the Benefits Office be contacted for more complete information at (603) 646-3588 or point your browser to <http://www.dartmouth.edu/~hrs/benefits/index.html>

The expense of fringe benefits is paid by a central fund administered by the College. Deposits to this fund are generated through a fringe rate charged on all salary. Both academic and supplementary salaries are charged the same fringe rate. Fringe rates are established annually through the budget process. Where payments of salary are charged to grants or contracts administered by the College, the fringe rate will be charged to grant funds.

CLARIFICATION OF BENEFIT ELIGIBILITY

Faculty members are eligible for the following benefits subject to the qualifying requirements of each plan, provided they are working at least half-time in positions of at least nine consecutive months duration each year: medical insurance, dental

insurance, retirement plans, term life insurance, medical and dependent care reimbursement accounts, long-term disability, workers' compensation, family and medical leave, adoption benefit, infertility benefit, long-term care insurance, and 7% special benefit. (For more information on faculty member leave policies, please refer to the Faculty Leaves section of this Handbook.)

Research Associate C's are eligible for all of the above benefits as well as short term disability.

When working less than full-time, regular, benefit eligible faculty and Research Associate C's receive prorated benefits according to their percent of working full-time.

Research Fellows and Research Associate B's are eligible for benefits under the Standard Benefits program. Research Associate B's are also eligible for short term disability and the voluntary Supplemental Retirement Account.

Temporary faculty and temporary Research Associates are not eligible for benefits, but are covered under Worker's Compensation and can elect a voluntary Supplemental Retirement Account.

INTEREST-FREE LOANS

Under a fund established by the Gilman family, benefit-eligible faculty and Research Associates may borrow, at no interest and without security, up to \$2,000 to assist them in meeting temporary financial problems. Requests should be made using the Gilman Loan Application Form (http://www.dartmouth.edu/~hrs/benefits/loans/gilman_loan_application08.pdf) and are subject to approval. Loans must be repaid within one year. Because of limited funds, once a loan has been approved there is a two-year wait before one can apply for another loan. Research Fellows are not eligible for the loan program.

FLEXIBLE RETIREMENT OPTIONS (FRO)

The Flexible Retirement Option (FRO) program was originally approved by the Board of Trustees of the College on November 16, 1973, and has been modified and reaffirmed to date.

PURPOSE OF THE OPTION

Dartmouth College provides a Flexible Retirement Option (FRO) that is designed for eligible faculty members who desire to make a gradual transition from full-time employment to retirement over a period of years. It is recognized that the pattern of full-time work until retirement, with minimal to no work immediately following retirement, is far from ideal. It would be more beneficial for individuals to be able to gradually retire from a long-time career over a period of years. FRO is designed to provide a gradual transition from full-time employment to full retirement.

The FRO program allows an individual to perform the equivalent of one year of full-time service over a period of three years, while receiving a more than proportional amount of salary for three years. Subject to the needs of the College, there may also be an opportunity to perform additional services for additional compensation from the College. In addition to the FRO Base Salary, additional compensation may be earned while on FRO, according to established policies. The participant is not restricted from working outside Dartmouth College for the three-year period.

ELIGIBILITY AND PLAN DESIGN

Eligibility begins on the July 1 following the individual's 59th birthday and ends on the July 1 following the individual's 72nd birthday. Eligible faculty are those who are benefits-eligible and have held an appointment as a Professor, Associate Professor, Research Professor, or Research Associate Professor for 15 years or more, and who either 1) hold an appointment

with tenure; or 2) have obtained approval by the responsible Dean of a plan for funding the FRO. All faculty members must obtain approval for the FRO plan through the responsible Dean. If implemented, the FRO plan will begin on July 1.

SALARY

The salary in effect on July 1 of the year in which FRO is elected will be considered the "Base Salary" for calculation purposes. As of that date, salary payments to the FRO participant will be reduced depending on age and years of eligible service, as defined below:

- ✦ **Election of FRO between age 59 and 67:** The percentage factor will be 60% for a participant with 15 years of eligible service, increasing by 1% for each additional year of service to a maximum of 75% for 30 or more years of service. The reduced salary will be considered the "FRO Salary" and will be paid each month through the regular monthly payroll cycle.
- ✦ **Election of FRO between age 68 and 72:** For those electing FRO beyond age 67 (ages 68, 69, 70, 71, or 72), there will be a further 6% reduction per year for each year FRO was not elected beyond age 67. For example, if FRO is elected at age 69, with 25 years of eligible service, the FRO Salary will be reduced by an additional 12% (6% for each of the two years beyond age 67). The FRO Salary would then be 58% of the Base Salary, rather than 70% had FRO been elected between ages 59 and 67. Years of eligible service used in the FRO eligibility calculation are capped at age 67. No additional years of service are accrued beyond age 67.
- ✦ **Salary Increases:** The FRO Salary may be increased annually, on each succeeding July 1 by an amount determined each year by the President of the College. The increase will be approximately one-half of the average increase granted to active members of the Faculty who are not participating in the FRO agreement.

REDUCED WORK REQUIREMENTS

In exchange for the salary reduction, Dartmouth College will reduce the participant's work obligation to the institution. If the FRO plan is elected and implemented, the participant will be required to work one year, at full-time schedule or, if approved by the Academic Dean, the equivalent of one year spread over the three-year life of the FRO. Since the needs of the participant's department must be considered, the details of the FRO must be worked out with and approved by the Academic Dean.

BENEFITS

All benefits currently available to benefits-eligible faculty will continue to be available to FRO participants until expiration of the three-year FRO agreement. This is in accordance with terms and conditions of each benefit plan, including any amendments or changes generally applicable to participating faculty members that occur during the three-year FRO period.

HEALTH AND WELFARE PLANS

FRO recipients will continue to be eligible to participate in the College's Dartflex Health and Welfare plans. Changes may be made during the annual open enrollment period as for any other faculty member.

LIFE INSURANCE

The College group life insurance amount will be dictated by the insurance election in place, according to College policy, through the end of FRO. The plan also provides accidental death and dismemberment (AD&D) insurance equal to the amount of life insurance in force (up to a maximum of \$250,000) through the end of FRO.

TRAVEL ACCIDENT INSURANCE

While on FRO the faculty member will continue to be covered by the College's travel and accident insurance plan at no cost, while traveling on College business or on business related to and serving to further the interest of the College, regardless of what organization pays the travel expenses. This insurance terminates at retirement.

RETIREMENT PLANS

The College's contribution toward a FRO recipient's retirement plan(s) will be paid in accordance with College policy in effect as of the effective date of the FRO. The contribution amount will remain constant, without any adjustments, during the three-year FRO period. In the event that, due to tax law limitations or restrictions, this entire amount may not be contributed to the FRO participant's plan account, the amount that cannot be contributed will be paid to the participant as a taxable payment outside the plan. In addition to the retirement plan contribution, benefits will be calculated on the base salary, without any adjustment during the participant's FRO period.

PRIVILEGES

A faculty member electing the FRO will continue to have all the privileges of participating in Dartmouth activities as a regular full-time faculty member for the three years of the FRO. However, he or she will be expected to vacate offices and laboratories and will cease to have tenure when the FRO work requirement is completed. Faculty members will not be eligible for sabbatical leave after electing FRO.

ADDITIONAL COMPENSATION/WORK ASSIGNMENTS

FRO participants will be eligible for further work assignments from the College for additional compensation, on a temporary, part-time basis, at the request of an Academic Dean when it is demonstrated that such employment is in the best interest of the College. Compensation, in addition to the Base Salary, may be earned while on FRO, in accordance with established policies.

TERMINATION OF EMPLOYMENT BY DEATH, TOTAL DISABILITY, RESIGNATION, OR DISCHARGE FOR CAUSE

Upon termination of employment at Dartmouth College by death, total disability, resignation, or discharge for cause, salary and benefits will be modified as follows:

- ✚ **Salary:** If the equivalent of the full-time work requirement for one year has been completed, the unpaid balance of the FRO salary for the three-year FRO contract will be payable in equal monthly installments or in a lump sum equal to the present value of said balance as of the date of termination of employment from the College.

If less than the equivalent of the full-time work requirement has been completed, the unpaid balance of the FRO salary for the three-year FRO contract will be pro-rated according to the proportion of the unfulfilled work

requirement. Any unpaid balance due will be payable in equal monthly installments or in a lump sum equal to the present value of said balance as of the date of termination of employment from the College.

- ✚ **Benefits:** In the event of death, benefits and retirement plan contributions will cease according to plan documents, except for the benefits payable as a result of death.

In the event of total disability (as defined by the Plan Document), benefits and retirement plan contributions will continue per plan regulations through the duration of the FRO contract, at which point active benefits will cease and any applicable retiree benefits will begin.

In the event of resignation or discharge for cause, benefits and retirement plan contributions will cease upon termination of employment from the College, per plan regulations.

COMPLETION OF FRO/POST-FRO RE-EMPLOYMENT

Upon completion of FRO, the faculty member will be a retiree and eligible for retiree benefits in effect at the time of retirement. Arrangements must be made with Human Resources for the completion of any applicable retiree paperwork. Any work post-FRO must remain less than half-time and not be benefits-eligible.

APPLICATION PROCEDURE

To elect the FRO, an agreement must be reached with the Academic Dean by the deadline date set each year. After the terms of the FRO agreement are complete, the Benefits Department of the Office of Human Resources will be responsible for administering the program, including the allocation of charges to appropriate accounts. The Academic Dean will notify the Benefits Office in writing of the specific terms of the agreement, as well as provide the appropriate account strings to be charged. A contract outlining terms and conditions will be sent from the Benefits Department to the participant once the July 1 Base Salary has been set.

Faculty may contact the Office of Human Resources at (603) 646-3588 to discuss the various terms of the FRO agreements. Written correspondence should be directed to the Office of Human Resources, 7 Lebanon Street, Suite 203, Hanover, New Hampshire, 03755-2112.

PLAN APPROVAL

The Board of Trustees approved the plan for the Flexible Retirement Option, and the Board (or the Executive Committee thereof) reserves the right to modify or revoke the FRO program at any time.

GUARANTEE TO PARTICIPANTS

The Flexible Retirement Option will not be modified or revoked without notice, and no person enrolled in the FRO plan prior to modification or revocation will have his or her rights impaired under the Plan by reason of such change.

COLLEGE TUITION AID PROGRAM (CTAP)

SUMMARY

Dependent children of Dartmouth faculty members on active service holding tenure-track appointments (ranks of Professor, Associate Professor, Assistant Professor, and Instructor) who are enrolled on a full-time basis in a four-year undergraduate program leading to a B.A. or other post-secondary institution are eligible for an annual grant to meet the tuition costs and related fees over the period required to secure the degree (but no more than four years) up to the amounts shown in the schedule below:

Dean of Faculty Parent's Appointment	For Children Attending Dartmouth College	For Children Attending Another College
Before 7/1/64	\$2,500	\$2,500
7/1/64 – 6/30/72	\$2,500	\$2,100
7/1/72 – 6/30/88	\$1,000	\$1,000
After 7/1/88	\$0	\$0

ADMINISTRATION OF THE PROGRAM

The Office of Human Resources administers the CTAP. Further details as to the terms, benefits, conditions, and other information about the program can be obtained through that office. Although not a direct fringe benefit in the normal sense of the word, it is included in this section on Fringe Benefits because its cost is counted for the purposes of computing faculty compensation for comparative purposes.

The grants are subject to the following terms:

- ✦ The student must be enrolled on a full-time basis in a pre-baccalaureate program only at an institution determined to be eligible for U.S. federal financial aid programs. During the period of the grant, the student must be dependent on the faculty parent in the sense of federal income tax regulations.
- ✦ Sons and daughters of faculty who have served less than full-time will be eligible for grants in half of the amounts shown above.
- ✦ Sons and daughters of emeriti faculty or faculty in the ranks of Associate and full Professor who have died in active service or faculty who are receiving disability compensation under the College program are also eligible for the grants.
- ✦ The grant covers tuition and applicable educational fees (library, computing, etc.) only and is not available for other expenses incurred in attending the pre-baccalaureate institution involved.
- ✦ In the event a student receives a scholarship or grant from any source other than Dartmouth College, the Dartmouth payment will be reduced by the amount that the sum of both awards exceeds the tuition charge at the institution attended (unless that institution determines that there is additional need, using nationally accepted need analysis procedures for dependent students).

Procedures for obtaining grants require that annual applications signed by the parent and the son or daughter be submitted to the Office of Human Resources. CTAP application forms can be obtained by sending an email to: human.resources@dartmouth.edu. Parents are asked to certify on these forms that the child is a dependent for income tax purposes. Tuition payments under the grant are made directly by the CTAP administrator to the faculty member unless the faculty member requests that payment be sent directly to the institution. It is the responsibility of the faculty member to notify

the administrator of the program if the son or daughter withdraws from or fails to return to the college during the course of the academic year for which the application was filed.

As a result of a Trustee vote, employees hired after June 30, 1988 will not be eligible for the College Tuition Aid Program.

ACADEMIC CALENDAR AND TERM-TRADING

The academic calendar commences July 1 of each year and runs over four curricular terms, ending June 30 of the next calendar year. Within this framework, full-time Dartmouth faculty are obligated to teach or to take on other assignments for three of the four terms. While the opportunities to take on full departmental assignments during the summer term are limited (student enrollment and the number of courses offered are about one-third of those in other terms), the calendar still provides a significant degree of flexibility for faculty to vary their teaching schedules, to combine vacation terms with sabbaticals, and to schedule their research opportunities in a way compatible with their teaching and other College obligations.

A faculty member on full salary must be in residence on campus or a Dartmouth off-campus program during three of the four academic terms in a given year. Where variations in teaching schedules within the normal three-term academic year commitment are sought, arrangements can be made informally so that a faculty member's course assignments can be lightened in one year and adjusted in the next. This kind of flexible scheduling can be arranged with the approval of the department or program. All teaching schedules must receive final approval by the appropriate Associate Dean of the Faculty.

"In residence" is defined as being on campus (or on a formal off-campus program) fully available for such departmental/program or College-wide as may be assigned. Except in extraordinary situations, summer cannot be used as a non-teachings Residence (R) term. During R-terms a faculty member continues to fulfill college and departmental/program responsibilities such as thesis advising, supervision of student research, the teaching of independent study courses and participation on committees. When legitimate scholarly pursuits arise that would be aided through extended absence during an R-term, the faculty member must seek approval from the chair and relevant associate dean(s) by the end of the term prior to the R-term. R-terms with accumulated absences of greater than two but less than four weeks will typically not count towards the normal sabbatical accrual for that term. If approval is given for an absence of greater than four weeks during an R term, a faculty member will typically not accrue sabbatical for the entire academic year.

Where formal term-trading is established so that a faculty member can be free from all College commitments for one of the three terms comprising the normal academic year assignment, such schedules require formal approval in advance by the appropriate Associate Dean of the Faculty to authorize such an arrangement and to assure that pay is continued during the period of absence from campus. Term-trading arrangements will not extend beyond a two-year period. A two-term academic year assignment can be taken in advance, followed by a four-term assignment, or vice versa. The conditions of formal term-trading are as follows:

- ⊕ Over the two-year period, six terms out of eight will be in residence and committed by the faculty member to normal teaching, administrative, and other departmental obligations.
- ⊕ Sabbatical and College Fellowship terms or research leaves covered by a grant held by the College are counted as a departmental assignment for purposes of fulfilling part of the six-term commitment.
- ⊕ Term-trading cannot extend beyond the expiration date of the faculty member's appointment, nor for more than one year in advance.
- ⊕ The faculty member is compensated each year at the full academic year rate.
- ⊕ Term-trading normally requires teaching in the summer as the summer term cannot be taken as a residence term.

- Faculty are not allowed to have more than one Residence term in each academic year.

To illustrate, three sample schedules that might be possible over a two-year period under the year-round calendar are set forth below:

	YEAR 1				YEAR 2			
	Summer	Fall	Winter	Spring	Summer	Fall	Winter	Spring
CASE 1	T	T	R	T	F	S	F	T
CASE 2	F	F	T	T	T	R	T	T
CASE 3	T	T	T	R	F	F	T	T

T = Teaching on campus or on a formal off-campus program

R = In Residence

F = Free Term

S = Sabbatical or Fellowship Term

For purposes of term-trading and defining the free term for extra compensation, the academic terms normally are construed to fall within the following dates:

Summer: June 15 – August 31

Fall: September 1 – November 30

Winter: December 15 - March 14

Spring: March 15 - June 14

INSTRUCTIONAL CALENDAR

The Faculty voted approval of the following College calendar in May 2011:

- The number of class days in a term shall not be less than 47 (45 – two days each term to be used for a Pre-Examination Break).
- An interval not less than 12 days shall separate the last examination day of one term from the first class day of the following term.
- Summer term registration shall normally take place on the second Wednesday after Commencement Sunday.
- Fall term registration shall normally take place on the third Sunday in September (fourteen weeks after Commencement).
- Fall term registration shall normally take place on the second Sunday in September.
- Commencement normally shall fall on a Sunday not earlier than June 9 (8) and not later than June 15 (14).
- In those terms when registration falls on a Wednesday, the opening classes on Thursday and Friday will be followed on Saturday by what would normally be Wednesday classes.
- The fall term shall normally consist of 47 class meeting days plus a 2 day Pre-Examination break with the final examination period and the term ending before the Thanksgiving holiday.

Another change in legislation passed at the same time:

- "No College-sponsored or College-recognized regular-season athletic event may be scheduled during a Pre-examination break or a Final examination period except with the permission of the Provost, Dean of Faculty, and Dean

of the College. One such exception is the regularly scheduled Saturday football game that is scheduled during the fall final examination period; during this day normally final examinations are suspended."

FACULTY LEAVES

GUIDELINES ON LEAVE TERMS AND TEACHING COMMITMENTS

Leave terms are an investment in the future and are granted to faculty members planning projects of study and scholarship of importance to both the individual and the College. These guidelines apply to the following types of leave taken within a single academic year — Sabbaticals, Junior Faculty Fellowships, Senior Faculty Grants, Leave on Own Charges, and Research Leaves:

- 1-term leave: 3 courses to be taught
- 2-term leave: 1 course to be taught
- 3-term leave: 0 courses to be taught*

No combination of leaves in a single academic year can result in a reduction of more than the normal full course load.

** For those departments and programs with fewer than four formal courses as the teaching load, the reductions would be 1/3, 2/3 and 3/3 of the teaching load.*

JUNIOR FACULTY FELLOWSHIP (JFF)

The Junior Faculty Fellowship program is open to Assistant Professors in their second term of appointment and is administered on a competitive basis.

Each year the Trustees, on the recommendation of the President, award Junior Faculty Fellowships to Assistant Professors of exceptional promise, permitting them to pursue study and research of significance to their own professional development. The number awarded varies from year to year. Eligibility is limited to Assistant Professors who will be in their 4th or 5th year in that rank on or before July 1 of the academic year in which the fellowship is to be taken. Such leaves are granted on the assumption that colleagues and students will benefit from the enlarged perspectives of the faculty member. Accordingly, acceptance of a Junior Faculty Fellowship carries with it a commitment to return to the faculty for no less than one year. Fellowships may not be used during the year of a tenure review or during a terminal year. One of these Fellows will be designated the Class of 1962 Fellow. Information on the application procedure can be found online at:

<http://www.dartmouth.edu/~dof/facresearch/internal/fellow.html>

SENIOR FACULTY GRANT (SFG)

Senior Faculty Grants are made each year to a limited number of full Professors and Associate Professors on a competitive basis.

Beginning in 1977, the Trustees initiated a program of grants for scholarly research to senior members of the faculty with the understanding that such grants normally will not be awarded to the same person more frequently than once every four years. In practice, because of the high level of competition, the normal period between awards has been eight or more years.

The purpose of this program is to provide one term of released time for senior members of the faculty who have established reputations in a given field or are venturing into a new field outside their accustomed area of study. It is expected that most applicants will seek support for research projects of unusual promise, research likely to lead to publication. In the past, six

Senior Faculty Grants have been awarded each year. It should be noted that the number of applications has increased to a level which, in some years, does not permit support for more than one in six of the requests.

Senior Faculty Grants are awarded based on the assumption that colleagues and students will benefit from the enlarged perspectives of the faculty member. Accordingly, acceptance of a Senior Faculty Grant carries with it a commitment to return to the faculty for no less than one year. Information on the application procedure can be found online at:

<http://www.dartmouth.edu/~dof/facresearch/internal/fellow.html>

SABBATICALS (SAB)

All members of the faculty who have spent the requisite amount of time in the ranks of Assistant Professor, Associate Professor, or Professor are eligible to apply for sabbatical leave. Applications for sabbatical must be approved by the department or program chair, the Arts & Sciences Fiscal Office, and the Divisional Associate Dean. Each tenure-track faculty member is eligible for sabbatical leave on the following basis: 1 term in the year following 9 terms of full-time academic assignment (usually taken in the fourth year), 2 terms after 18 terms of full-time academic assignment, or 3 terms after 27 terms of full-time academic assignment.

In no case can sabbatical credits accrue beyond one year's compensation (i.e., 27 credits). Faculty begin to accrue sabbatical leave on appointment to one of the three professorial ranks (assistant, associate, or full). In rare instances, a faculty member may elect a 1-1/2 term sabbatical after 15 terms of full-time academic assignment. This option has been elected on occasion by persons who have obtained outside funding to cover salary for part of the leave period.

No leave term (sabbatical, junior faculty fellowship, senior faculty grant, research leave, leave own charges, prestigious award, maternity leave, parental leave, medical leave) will count toward sabbatical accrual. However, effective with the 2012-13 academic year, terms spent in residence (formal teaching and/or other College activities in an R term) during the academic year in which one takes a sabbatical leave do count toward sabbatical leave accrual.

Part-time faculty members earn sabbatical leave on the same schedule as full-time faculty. Certain terms are not considered in computing sabbatical credit accrual. Terms in which a faculty member is on leave, including Junior Faculty Fellowships, Senior Faculty Grants, Leave on Own Charges, Maternity Leave, Prestigious Awards, research or family leave, or extra teaching for additional compensation, do not count toward the next sabbatical.

The sabbatical leave is considered part of the faculty member's service to the College; therefore the College continues all benefits, such as TIAA retirement premiums and group insurance contributions, during the sabbatical leave. Since the sabbatical leave is intended to provide a faculty member with an uninterrupted opportunity for research and intellectual refreshment, no faculty member may accept a teaching appointment, a visiting professorship, or any other employment during such a leave. This restriction does not apply to an unpaid research post at another institution.

Sabbatical leaves are granted on the assumption that colleagues and students will benefit from the enlarged perspectives of the faculty member. Accordingly, acceptance of a sabbatical leave carries with it a commitment to return to the faculty for no less than one year. An individual approaching retirement from the faculty will be eligible for a leave of one or two terms if at least one year of service remains before retirement. A leave of three terms may be granted if at least two years of service remain before retirement. Sabbatical leaves are not granted to persons who have elected FRO or to persons in a period of terminal appointment.

Application for sabbatical leave should be initiated in the fall of the year prior to that in which the leave is to take place. The applicant should submit a Leave Request Form and specific study proposal to the department Chair. This form and proposal,

accompanied by departmental recommendation, will then be forwarded to the Arts & Sciences Fiscal Office and Associate Dean of the appropriate division for action.

Often a faculty member will elect to combine a Junior Faculty Fellowship or Senior Faculty Grant with a sabbatical to provide an extended period of unencumbered research. In addition, since faculty members normally teach three out of four terms, it is often possible for the department to accommodate a schedule that will allow a free term to be contiguous with a sabbatical.

PRESTIGIOUS AWARD POLICY (PRST)

Faculty who are awarded fellowships of \$30,000 or more from prestigious granting institutions, e.g. the Guggenheim Foundation, NEH, Fulbright Foundation, etc., and where it is stipulated by those institutions that the faculty member be released from teaching for one year, may apply to the Associate Dean for support under the Prestigious Awards Program. If approved, Dartmouth will make up the difference between the award amount and the faculty member's base salary while continuing to provide all benefits. At the end of that year, the faculty member will owe Dartmouth one course normally to be taught as an overload in the year following the award. Because funding for this program is limited, faculty who receive release time under this program will be ineligible for a four-year period.

Prestigious Awards are granted on the assumption that colleagues and students will benefit from the enlarged perspectives of the faculty member. Accordingly, acceptance of support under the Prestigious Award policy carries with it a commitment to return to the faculty for no less than one year.

RESEARCH LEAVE (RESL)

Currently teaching loads are established to permit a significant portion of the individual faculty member's time to be devoted to research. While sponsored projects are encouraged where these will further a faculty member's research and the College's purposes, the College ordinarily does not expect nor seek salary support from research grants for a faculty member's academic year effort on a sponsored research project when normal departmental or program assignments can be carried on concurrently. In certain circumstances a faculty member may seek released time in the form of a reduced departmental /program workload to permit additional time on a sponsored research project. In these cases, as indicated above, arrangements must be worked out with the department and/or program involved to schedule the release time necessary, and funds should be requested in the proposal to support such release time.

Some grants require that the College "cost share" a portion of the work to be performed under the grant. On occasion this can be done by allocating to the project a portion of the salary expense paid by the College appropriate to the academic year effort expended by the faculty member(s) involved. This arrangement is consistent with the current College practice of underwriting fully all academic year effort, both teaching and research, except where a reduced teaching or other assignment is required.

On occasion, however, a faculty member may wish to request release time in the form of a research leave (RESL) to pursue sponsored research during a term that would otherwise have been part of the faculty member's three term academic year obligation to the College. In such cases the faculty member must have sponsored funding for each complete term (one-third of the nine-month salary) and apply for a RESL on the Leave Request Form. When on a RESL faculty continue to be paid through the Dartmouth College payroll system and receive full benefits. Faculty members on RESL will work with the Arts & Sciences Fiscal Office to ensure pay is drawn from the appropriate sources. Faculty do not accrue sabbatical for terms on RESL.

COURSE TRADING AND REDUCTIONS

The academic calendar also provides opportunities for course trading from one year to the next. In such cases, Dartmouth still would require the faculty member to be in residence for three terms in each of two academic years, but the number of courses taught would be greater in one year with a corresponding reduction in the number of courses taught during the following year (or vice versa). Such an arrangement requires approval in advance by the appropriate Associate Dean of the Faculty. The maximum number of course reductions from all sources (e.g., overload in one year; serving as Chair of an academic department or program; select endowed professorships, course trades) that can be carried forward from one year to the next cannot exceed the equivalent of one year's teaching load. This limit supersedes all other arrangements, terms, and conditions concerning course reductions and course trading.

RELEASE TIME FOR CURRICULUM DEVELOPMENT

Faculty engaged in "sponsored" activities related to curriculum development may, subject to the College's normal limits and procedures, request appropriate compensation from the granting source during their "free" term. During the academic year, the normal policy requires release time be taken in increments of a term. Release for a term requires one-third compensation and provides release from a single course and all other departmental and College assignments for that period. In special cases where the Chair and the Divisional Associate Dean agree that the curriculum development work cannot be accomplished during the "free" term and that the funding source limits the amount of academic year compensation that may be requested to less than one-third, faculty, with the support of their Chair, may petition the Associate Dean for release time from one course at a lower rate (normally one-sixth compensation). If the faculty member has no other regularly scheduled teaching assignments, the term in which the support is provided will be considered a "residence" (R) term, and he or she will be expected to be on campus and fully available for student advising and all non-teaching assignments.

MATERNITY LEAVE

TENURED AND TENURE - TRACK FACULTY

A pregnant tenure-track faculty member is entitled to maternity leave at full compensation for one of the three residence terms. This leave entails a one-course reduction of the faculty member's teaching load. Maternity leave may be combined with parental leave (see below).

Maternity leave is granted to tenure-track faculty without loss of seniority or benefits. Such leave, like other leaves, does not count toward sabbatical accrual. Requests for maternity leave should be sent to the department and/or program Chair(s) and the appropriate Associate Dean(s) by completing the standard Leave Request Form.

Maternity leave for tenure-track faculty will count as part of the twelve-week Family and Medical Leave allotment. Only one maternity leave per pregnancy is allowed and the leave must be taken in the quarter during or immediately after the birth of the child. For more information about Family and Medical Leave, please contact the Human Resources Benefits Office.

LECTURERS AND SENIOR LECTURERS

Pregnant faculty members in the rank of Lecturer or Senior Lecturer who have been continuously eligible for benefits for at least the preceding 24 months may request a maternity leave. This leave entails a one-course reduction of the faculty member's teaching load without loss of compensation. Requests for maternity leave should be sent to the department and/or program Chair and the appropriate Associate Dean(s).

Maternity leave for Lecturers and Senior Lecturers will count as part of the twelve week Family and Medical Leave allotment. For more information about Family and Medical Leave, please contact the Human Resources Benefits Office.

PARENTAL LEAVE

A tenure-track faculty member who becomes the primary care-provider for one or more children under six years of age is entitled to parental leave at full compensation for one of the three residence terms. This leave entails a one-course reduction in teaching load within a one-year period of the arrival.

Parental leaves are intended to provide members of the faculty relief from their academic duties in order to assume substantial and sustained responsibility for the care of their young children. Requests for parental leave should be sent to the department and/or program Chair and the appropriate Associate Dean(s) by completing the standard Leave Request Form. In no case will parental leave be awarded more than once in a calendar year even if more than one child is involved. Such leave, like other leaves, does not count toward sabbatical accrual.

MEDICAL LEAVE

Faculty members who are enrolled in the Dartflex benefit program and are disabled as a result of injury or illness may apply for long-term disability payments after six months. Before that time, the Dean of Faculty Office will work with disabled faculty to provide paid leave and to cover their commitments to the College. Faculty who require such support should apply to their Associate Dean. Normally, a statement signed by a medical doctor is required.

FAMILY AND MEDICAL LEAVE ACT (FMLA)

The Family and Medical Leave Act of 1993 provides eligible faculty and Research Associates a total of twelve work weeks of paid and/or unpaid leave during any twelve month period for specific reasons. For more information and instructions on how to apply for FMLA, please contact the Human Resources Benefits Office.

LEAVES OF ABSENCE WITHOUT COMPENSATION (LOC)

Leaves of absence on own charges (LOC) from the faculty are granted to enable faculty members to pursue professional activities outside of Dartmouth under circumstances that are judged to be reasonable for the institution as well as the individual making the request. Such leaves have been granted for periods of up to one year. In exceptional cases, most often related to government service, leaves for a two-year period have been approved.

Frequently such leaves are taken to enable faculty to accept fellowship or research awards administered by an outside agency, to accept a visiting appointment to another academic institution, or to engage in public service. However, leaves of absence are normally not granted to permit a person to undertake a probationary teaching appointment at another college or university.

Written requests for leave of absence should be made on a Leave Request Form and presented to the department or program for endorsement and forwarded to the Dean of Faculty Office. Approval by the Dean of Faculty is conditional on providing the department sufficient lead time to accommodate the absence by a suitable replacement and to inform students well in advance that a faculty member will not be in residence in a particular term. In addition, the granting of such leaves is made with the understanding that the individual will return to the faculty for no less than one year.

Faculty members on LOC may wish to continue their medical, dental, and/or life insurance benefits at their own expense and should contact the Benefits Office directly (603) 646-3588 prior to beginning the LOC. College contributions to the Defined Contribution Retirement Plan cease during the LOC.

OFF-CAMPUS PROGRAMS

In academic units offering off-campus programs, directing these programs comprises part of the normal faculty workload. Department Chairs bear a responsibility to distribute this duty fairly among all eligible faculty members. Only under exceptional circumstances should adjunct or visiting faculty direct such programs.

While off-campus programs vary in format, faculty directors are usually expected to teach one course, to oversee student affairs, to supervise the curriculum, to work with local faculty, and, when appropriate, an Apprentice Teacher or Director's Assistant in carrying out the various teaching assignments, and to see that all grades are promptly recorded in the Registrar's Office at the end of the term. At that time, the director also presents the Associate Dean of the Faculty in charge of Off-Campus Programs a statement of expenses so that these costs can be allocated to the proper College accounts.

In overseeing student affairs, the director must occasionally deal with emergencies or disciplinary problems. The "Off-Campus Program Directors' Disciplinary and Emergency Handbook" outlines available procedures.

The College has evolved policies that attempt to spare directors of off-campus programs additional financial hardship. The wide variety of programs requires that support beyond salary takes different forms, but it usually involves some pre-set combination of per diem and housing. It includes reimbursement for the least expensive* form of round-trip travel between Hanover and the site of the program.

The College also acknowledges the disruption that the director's family might experience, especially when programs take place frequently. It therefore agrees to reimburse dependents'** transportation to and from the program site when the faculty member directs two or more off-campus programs within a four-year period (or four or more programs within an eight-year period) and directs the program for a complete term. When the faculty member directs fewer than two complete programs within a four-year period (or fewer than four within an eight year period), the College will reimburse dependents' transportation for dependents who remain at the program site for longer than two weeks.

In keeping with the purpose of this policy, programs directed by spouses or benefits-eligible partners will be counted together; i.e., if the combined total of the programs that spouse or partners direct reaches the above limit, they are entitled to reimbursement of their dependents' travel.

(N.B. The Internal Revenue Service considers dependent travel payments to constitute income, and we are required to account for it as such. However, in order to ensure that the faculty members are not subject to an additional tax burden associated with dependent travel payments, the College will reimburse the faculty member for the dependent travel at a gross pay rate of 142.8% of the actual cost of the airfare. The net payment (gross amount less deductions for taxes and benefits) will cover the cost of the dependent travel payment.

Tickets for dependent travel should be paid for using personal funds of the faculty director. After the tickets have been purchased, the faculty member shall submit the ticket receipts to the Off-Campus Programs Office of the Guarini Institute for International Education and then a payroll authorization (PA) will be prepared at 142.8% of the ticket price to reimburse the faculty member for the cost of the ticket. In the event that advance purchase of the ticket presents a financial hardship to the faculty member, the faculty member may receive a travel advance to cover the cost of the initial ticket purchase. The faculty member will be responsible for settling the travel advance once the PA with the travel funds has been processed and the associated salary payment has been made to the faculty member.

This policy intends to ease household disruptions occasioned by directing assignments, not simply to provide vacation opportunities. Dependents who join a faculty member only outside of the period of his or her duties as director will not receive compensation for travel. It is, however, clearly in keeping with the spirit of the policy if dependents join a faculty member between successive programs that he or she directs.

** Budget economy fare at off-season rates (where possible). Anyone wishing to depart earlier than necessary, during high season, will be expected to make up the difference in rates.*

*** A "dependent" for these purposes is defined as a spouse or benefits-eligible domestic partner, or a dependent child 18 years of age or younger.*

FACULTY GRIEVANCE PROCEDURE

The Dean's Office seeks, whenever possible, to resolve complaints regarding faculty members in an informal fashion. Faculty members explicitly retain all of the protections of academic freedom. These as well as departmental procedures control matters such as organization of courses, course content, and grading practices. Department and Program Chairs or the Dean's Office may act to mediate disputes in this regard, but subject to the faculty member's agreement.

The Dean's Office attempts to handle complaints with sensitivity, discretion, and fairness, with due regard for the interests of both complainants and those against whom the complaints are brought. To the extent possible, the confidentiality of all parties will be protected. The full formal procedures of the Agreement Concerning Academic Freedom, Tenure, and Responsibility remain available in instances where the matter is not resolved informally. Any faculty member who is dissatisfied with the handling of complaints in the Dean's Office may and should be encouraged to initiate procedures under this process.

The Dean of Faculty Office will respond to complaints regarding faculty members in the following manner: the complainant should meet with the Assistant Dean of the Faculty. The Assistant Dean will encourage the individual to write a statement that describes his or her complaint and the facts on which it is based, identifying sources of support for it, including relevant documents and other individuals having knowledge of the facts.

The decision whether to act upon complaints remains at the discretion of the Dean of the Faculty or his or her designee. If the Dean determines to take no action, the complainant will be so informed. If the Dean decides to proceed with the complaint, the faculty member will be informed of the complaint against him or her as soon as is reasonably possible, normally no longer than 30 days following receipt of a written complaint. The faculty member will be informed at that time of these informal procedures and of all of the faculty member's rights under the Agreement Concerning Academic Freedom, Tenure, and Responsibility. The faculty member will be invited to respond to the complaint in writing.

The purpose of these informal procedures is to try to resolve misunderstandings or act upon grievances informally and expeditiously, and not to establish adversarial proceedings. Normally the faculty member will be invited to meet with the appropriate Associate Dean and the Assistant Dean to discuss the complaint. The faculty member may choose to consult with a senior faculty member about these matters.

The Associate Deans and the Assistant Dean may undertake inquiries or other steps as the Dean determines to be appropriate in seeking to investigate and resolve a complaint. The Deans may also discuss the case with an Equal Opportunity/Affirmative Action Officer, with the College Counsel, or with other appropriate College officials. If there are fundamental factual disagreements regarding a complaint, the Dean of the Faculty may, with the consent of the faculty member and the complainant, appoint a fact-finder to try to resolve these differences only.

After this initial inquiry and review, the Dean or his or her designee will propose a resolution to the complaint. Any disciplinary action taken against the faculty member at this stage must have the agreement of the faculty member. Any person found to have acted dishonestly, maliciously, or in bad faith in bringing a complaint may be subject to disciplinary or other action. Any retaliation against a complainant may result in disciplinary action.

If the Dean and the faculty member against whom the complaint has been lodged fail to resolve the issue satisfactorily, the Dean shall transmit the allegations of the complaint to the Committee Advisory to the President, in accordance with paragraph 4 (a) of the Agreement Concerning Academic Freedom, Tenure, and Responsibility as set forth in the OFDC. Again, it should be understood that a faculty member who is not satisfied with the proposed resolution of the Dean, has a right to further hearing procedures under paragraph 4 (a).

Records of complaints will be kept in the Dean of Faculty Office for a period of five years. The five years will begin from the date of the resolution of the last complaint placed in the file. The records will be kept confidential, to the extent possible, and will be totally separate from the faculty member's personnel file. A faculty member may inspect the file and may include in the file a letter, statement, or other document. The Dean's Office will not retain anonymous complaints in these records.

TENURED APPOINTMENTS AT ANOTHER INSTITUTION

Just as it is expected that an individual holding a tenured position at another institution will resign that position when accepting one at Dartmouth College, so it is an explicit principle of the College that an individual will resign a Dartmouth tenured position if one is accepted elsewhere.

CONSULTING AND OUTSIDE EMPLOYMENT

External consulting arrangements by faculty members that will enhance the individual's professional competence and/or provide a community service are encouraged, provided such arrangements do not interfere with the primary responsibilities of the individual to the College. The exercise of good judgment of all concerned is essential in determining what the proper balance of outside commitments against the individual's obligations to the College may be in each case. Faculty members are encouraged to discuss these matters with their respective Chairs and/or Dean in advance of making contractual arrangements or continuing commitments. In general, the equivalent of four to five days per month should be considered a maximum for this type of consulting activity. In no case should consulting or other outside activities, including Alumni College, interfere with the normal teaching schedule and other College responsibilities and obligations.

Faculty members are requested to keep their Chairs and appropriate Associate Dean informed of all formal or continuing consulting arrangements.

Appointments to another institution in an adjunct, lecturer, or part-time capacity while the individual carries a full-time faculty appointment at Dartmouth should not be undertaken without prior discussion and approval of the Dean of the Faculty.

EMERITUS/EMERITA APPOINTMENTS

At the end of an academic career, upon the retirement of a voting member of the faculty, the Board of Trustees, acting on the recommendation of the Dean of the Faculty of Arts and Sciences (or as appropriate, the dean of the professional school's faculty), may grant emeritus/a status to individuals holding the rank of Assistant, Associate, or Full Professor. These individuals are faculty members who have rendered distinguished service to Dartmouth, normally for a period of at least ten years. This designation is not automatic. The process commences with the departmental and/or program Chair recommending emeritus/a status to the Associate Dean(s) of the Faculty.

The privileges and benefits of emeritus/a status include discounted tickets to athletic and cultural events; the ability to purchase computer equipment at discount through The Computer Store; the ability to purchase a parking permit; library privileges; access to computing facilities for professional activity; access to athletic facilities on the same basis as active faculty members; and a subscription to some of the College's publications, such as *Dartmouth Life*. The College hopes to retain association with its former colleagues, and on an occasional basis, determined by the needs of the continuing full-time faculty, departments and programs may request office space for professors holding emeritus/a status, to be approved by the associate dean on an annual basis. Professors emeriti/ae may obtain identification cards through the Human Resources Office.

VISITING APPOINTMENTS

Term appointments to the faculty as visitors may be made to persons who have no continuing relation to the faculty but who spend one or more terms teaching at the College. Frequently, but not exclusively, such visitors carry regular appointments at other institutions. Such appointments to the Dartmouth Faculty normally do not extend beyond one year and carry the title Visiting Professor, Visiting Associate Professor, Visiting Assistant Professor, or Visiting Instructor.

A NOTE ON THE APPOINTMENT OF FOREIGN NATIONALS

The regulations of U.S. Citizenship and Immigration Services (USCIS) that govern the appointment of foreign nationals to academic positions are complicated and too lengthy to include here. For more information on the USCIS go to <http://www.uscis.gov/portal/site/uscis>. However, it is important to know that some foreign nationals are not employable and some are employable for only limited periods of time. Therefore, department or program Chairs must provide their respective Associate Deans with complete background information on candidates at the time recommendation for appointment is made. The Associate Dean will then consult with the International Office <http://www.dartmouth.edu/~intl/> to determine whether the candidate is eligible for employment in accordance with applicable Dartmouth College policies.

ADJUNCT APPOINTMENTS

Adjunct appointments may be made at all professional ranks to individuals with appropriate academic qualifications. Administrative Officers who teach part-time or faculty members of the professional schools, or in exceptional circumstances, in other Arts and Sciences departments or programs involved in appropriate undergraduate or graduate instruction within the appointing department or program may hold such appointments. Such appointments normally are for less than half time and can be made for terms of one to three years with the prospect of renewal, but do not involve the institution or the individual in either the expectation or promise of tenure within the appointing department or program.

LECTURER

Appointments in the rank of Lecturer are offered to persons for the specific purpose of teaching one or more courses without any other implicit obligations to the College. Such appointments may be made for up to three years. These appointments may be part-time with the level of responsibility to be determined annually. The normal assignment for a full-time lecturer is six courses per year.

SENIOR LECTURER

Individuals appointed to this rank normally will hold a terminal degree or other appropriate credentials in their teaching field, have a record of teaching effectiveness, and be involved in continuing professional activity. Such appointments may be for up to five years. These appointments may be part-time with the level of responsibility to be determined annually.

SPECIAL TWELVE-MONTH CONTRACT FOR A&S LECTURERS

Within the Arts and Sciences at Dartmouth College, anyone teaching at least half-time and having course assignments in at least three academic terms is eligible for pro-rated fringe benefits. In addition, limited twelve-month contracts will be available to Lecturers and Senior Lecturers within Arts and Sciences who satisfy certain criteria established by the Dean of the Faculty, as described below.

CONTRACT ELIGIBILITY

Twelve-month contracts will be available to Lecturers and Senior Lecturers whose academic year teaching load is more than half-time (50%) and who are available to teach in three of the four academic terms in a given academic year.

To be eligible for a twelve-month contract as described above, the Lecturer must also have been employed by Arts & Sciences in the previous two academic years and taught a total number of courses equal to at least a half-time (50%) academic year teaching load in each year.

CONTRACT PROVISIONS

Lecturers employed on twelve-month contracts will receive twelve equal monthly paychecks (August 1 through July 1) regardless of the terms in which they teach.

Lecturers employed on twelve-month contracts will be eligible for pro-rated fringe benefits and pension benefits in accordance with applicable Dartmouth College policies.

NAMED CHAIRS

There are a number of endowed professorships carrying the name of the donor to which individual members of the faculty are appointed. Appointments to endowed Chairs are honorific, reflecting the special distinction that the holder of the Chair brings to the College and to the profession. Appointments are recommended, following appropriate consultation by the Dean of the Faculty and the CAP. The Board of Trustees takes final action on the appointments to the named Chairs. Most endowed chair appointments are for a period of five or ten years.

INDEMNIFICATION

The following statement was approved by the Trustees for guidance and information of College employees.

It is possible that an employee of the College may be a defendant to a claim or legal action as a result of employment by the College. In such event the employee shall be entitled to be reimbursed by the College for, and be indemnified against, all costs and expenses reasonably incurred by the individual in connection with the defense or reasonable settlement of such claim or action provided that the following conditions be satisfied:

- The conduct that is the subject of the claim or action shall have occurred within the scope of the individual's employment.

- The employee shall have been acting in good faith, without criminal or other misconduct, and in the reasonable belief that such action was in the best interests of the College.
- The employee shall give the College's legal officer prompt written notice of such claim or action.
- The employee shall make no statement, oral or written, regarding the claim, action, or subject matter thereof without the prior written permission of the College.
- The employee shall give the College the option to select legal counsel for defense of the claim or action and to otherwise control the proceedings.
- Any settlement or compromise of the claim or action must have the prior written approval of the College.

Such reimbursement and indemnification is not available if the conduct giving rise to the claim or action occurred when the employee was providing services for which someone other than the College was compensating the individual in whole or in part.

Reimbursement and indemnification shall not otherwise be available unless specifically so ordered by the Board of Trustees of the College in its sole discretion.

Trustee Action
June 8, 1979

EQUAL OPPORTUNITY / NON-DISCRIMINATION STATEMENT

It is the policy of Dartmouth that all appointments, promotions, terminations, and conditions of employment will be made on the basis of merit and commensurate with standards of excellence and without discrimination because of race, color, creed, religion, sex, age, sexual orientation, national origin, disability, or status as a disabled veteran. These policies apply to all departments, all auxiliary activities operated by Dartmouth and all parts of the institution including the Faculty of Arts and Sciences and the three professional schools: the Amos Tuck School of Business Administration, the Thayer School of Engineering, and the Dartmouth Medical School.

SEXUAL HARASSMENT

Sexual harassment is a form of sex discrimination, and therefore any sexual harassment of employees and students at the institution will constitute a violation of Dartmouth's nondiscrimination policy.

Sexual harassment is understood to mean:

1. Unwelcome sexual advances or requests for sexual favors, when: submission to such conduct is made, either explicitly or implicitly, a term or condition of an individual's employment or status as a student. Submission to or rejection of such conduct by an individual is used as the basis for employment or academic decisions affecting him or her, or for the awarding or withholding of favorable employment or academic opportunities, evaluations, or assistance or,
2. Other verbal or physical conduct related to sex when such conduct has the purpose or effect of substantially interfering with an individual's performance at work or in study by creating an intimidating, hostile, or offensive environment in which to work or learn.

This policy and the mechanism for redress will be called to the attention of all members of the Dartmouth community annually.

If a faculty member believes that he or she has been subjected to this form of discrimination, he or she is urged to discuss the matter with the Assistant Dean of the Faculty or the Director of the Office of Institutional Diversity and Equity.

PHYSICAL AND LEARNING DISABILITIES

It is the policy of Dartmouth that all employment decisions are to be based on job qualifications and performance without discrimination because of disability. Further, the institution will make every effort to provide reasonable accommodation to otherwise qualified employees.

In addition, Section 504 of the Rehabilitation Act of 1973 mandates that "no qualified handicapped person shall, on the basis of handicap, be excluded from participation in, be denied the benefits of, or otherwise be subjected to discrimination under any program or activity which receives or benefits from federal financial assistance." According to federal regulations, students, faculty members or employees with documented learning disabilities have the same legal entitlements as those with physical disabilities and therefore both groups are entitled to academic adjustments and/or auxiliary aids.

If a faculty member believes that he or she has been discriminated against on the basis of disability, he or she is urged to contact the appropriate Associate Dean or the Director of the Office of Institutional Diversity and Equity at 6018 McNutt Hall, (603) 646-3197.

EMPLOYMENT OF PARTNERS AND FAMILY MEMBERS

ASSISTANCE IN SPOUSE/PARTNER HIRING

Dartmouth College recognizes that both partners of married couples, civil unions, and domestic partnerships may simultaneously seek employment at the College and in the Hanover area. While the presence of dual career couples is not unique to Dartmouth, the College's small size and rural location often make it difficult to meet the needs of these individuals. To respond to these needs, Dartmouth is committed to providing assistance for spouses, members of civil unions, or benefits-eligible domestic partners desiring employment.

The Offices of the Dean of the Faculty of Arts and Sciences, Deans of the Professional Schools, Human Resources, and Institutional Diversity and Equity extend assistance to faculty and staff spouses or partners. The Office of Human Resources provides the direct support regarding staff employment, while the Office of the Dean of the Faculty provides assistance for these efforts for Arts & Sciences faculty. Appropriate individuals from these offices work to identify employment issues as early as possible in the process of attracting potential employees to the College. Efforts to facilitate spouse or partner employment are focused on the spouses or partners of faculty or administrators who are recent hires of the College or who are considering employment at Dartmouth.

Although the College cannot guarantee employment to everyone, Dartmouth makes a concerted effort to assist in finding employment at the College or in the Hanover area. In dealing with employment issues, the Faculty of Arts and Sciences remains aware of and sensitive to affirmative action goals and the need for equitable treatment for all applicants and employees in making hiring decisions.

EMPLOYMENT RELATIONSHIPS INVOLVING RELATIVES/NEPOTISM

A person who is a spouse or partner of a Dartmouth employee or candidate for employment and who is qualified for a faculty, administrative and professional, or service position at the College shall be considered on an equal basis with other applicants.

To protect against perceived or actual conflict of interest, faculty members should not hire or directly supervise spouses, domestic partners or other family members unless the arrangement has been approved in advance by the Associate Dean and the Associate Dean has put in place procedures to avoid or reasonably manage conflicts of interest.

In cases where an employee and a spouse, partner or other family member both hold faculty positions, matters are likely to arise that involve both individuals either as voting members of the Faculty or of a department/program, Faculty officers (e.g., deans or department chairs), candidates for promotion, or otherwise. In such instances, both faculty members are expected to act independently and objectively in all matters concerning their employment. To avoid conflicts of interest, the following policy shall apply:

- ⊕ Faculty members may neither initiate nor participate in institutional decisions involving a direct benefit (promotion, salary, leave, etc.) to spouses, partners or other family members.
- ⊕ In the case of spouses, partners or other family members holding appointments in the same department or program, the spouse/partner/family member may not participate in the deliberation or vote on cases of appointments, reappointments, promotion, and tenure for a member of the cohort group of his or her spouse/partner/family member. In determining a cohort group for purposes of reappointment, promotion, and tenure, rank year will take precedence over the year of initial appointment.
- ⊕ In other cases, spouses, partners or other family members may at their option -- but are not required to -- recuse themselves from participation in the matter under consideration.

(For purposes of this policy, an individual's family members, in addition to the individual's spouse or domestic partner, are: the individual's siblings or those of the individual's spouse or domestic partner (whether by whole or half-blood) and their spouses or domestic partners and their children; the individual's and the individual's spouse's or domestic partner's ancestors, children, and grandchildren, and the spouses of those children and grandchildren.)

PROCEDURES FOR SEEKING PARTNER EMPLOYMENT ASSISTANCE

The Offices of Human Resources, Dean of the Faculty of Arts and Sciences, and Deans of the Professional Schools extend assistance to faculty and staff spouse or partners. The Office of Human Resources provides more of the direct support regarding staff employment, while the Office of the Dean of the Faculty provides central coordination for these efforts for Arts & Sciences faculty. Appropriate individuals from these offices work to identify employment issues as early as possible in the process of attracting potential employees to the College. Efforts to facilitate spouse or partner employment are focused on the spouses and partners of faculty or administrators who are recent hires of the College or who are considering employment at Dartmouth.

ACADEMIC ASSISTANTS (UNDERGRADUATE)

Undergraduate students are sometimes employed as instructional aids by various academic departments. Several titles have been used to designate these assistants, such as apprentice teacher, academic assistant, and the like. The following guidelines cover such arrangements:

- The use of qualified undergraduates in the instruction of other undergraduates is to be encouraged on a selective basis when a department or program judges such instruction to have educational benefits for the instructor and the instructed.
- All instructional activities of undergraduates are to be carefully supervised by the appropriate faculty member or members. In all cases, the faculty member bears the responsibility for the instruction given by the undergraduates.

- While undergraduates may participate in limited ways in evaluating student performance in courses (e.g., grading objective exams, reading laboratory reports, notebooks, etc.), the determination of a student's mid-term or final grade in a course is the direct responsibility of the faculty and cannot be delegated in any manner.
- In general, undergraduates who are participating in some form of instructional activity will not at the same time receive course credit. Exceptions to this understanding should be few and should be authorized only by department or program Chairs.
- The above guidelines apply equally to off-campus instructional activities for which Dartmouth students earn course credit.

Executive Committee of the Faculty of
Arts and Sciences action
May 3, 1971

USE OF UNDERGRADUATES AS GRADERS

For many students, teaching can be an important part of the learning process. Qualified undergraduates may become involved in tutoring, laboratory instruction, language drilling, assisting in the Student Center for Research, Writing, and Internet Technology (RWIT), etc. While it may be appropriate for undergraduates to have a role in grading objective homework, laboratory reports, and quizzes, it is not appropriate for undergraduates to evaluate essays, papers, or other projects requiring qualitative discretionary grading. In all cases, the instructor must take full and sole responsibility for the assignment of final grades.

SPONSORED RESEARCH

Sponsored research activities are central to the purposes of the Faculty of Arts and Sciences and of Dartmouth College as a whole. Dartmouth's Office of Sponsored Projects (OSP) provides guidance and management during all phases of sponsored research activity. The OSP has a comprehensive website located at: <http://www.dartmouth.edu/~osp/>. Faculty should pay particular attention to sections on Sponsored Research Administration (<http://www.dartmouth.edu/~osp/sponsored.html>), Dartmouth Policies (<http://www.dartmouth.edu/~osp/policies.html>) and the Sponsored Research Manual (<http://www.dartmouth.edu/~osp/manual.html>). Information on procedures for submission of proposals, criteria for accepting sponsored research grants and gifts, post-award activities, policies and procedures for safeguarding integrity in research, training and other related activities, scientific misconduct policy, conflict of interest policy, policies regarding research involving human subjects or animals, data retention policies, information on the title to capital equipment acquired under sponsored projects, and patent policy can all be found through the OSP. Dartmouth's copyright policy can be found at: <http://www.dartmouth.edu/copyright/>.

PART IV: FACILITIES, SERVICES AND RESOURCES

ADMISSION OF FACULTY AND FACULTY SPOUSES TO DARTMOUTH COURSES FOR CREDIT

Faculty and their partners may enroll as special non-matriculating students in courses offered by the Faculty of Arts and Sciences (with the exception of courses in Studio Art and Music) on the following basis:

- ✦ **Graduate Applicants**
(Arts & Sciences) Individuals holding the baccalaureate should apply to the Office of the Dean of Graduate Studies, 305 Wentworth Hall.

Undergraduate Applicants

Pre-baccalaureate individuals should apply to the Office of the Dean of the College, 111 Parkhurst Hall.

Instructors in the courses will have the responsibility of evaluating whether an individual is adequately prepared for a particular course and of ensuring that the special student will not displace a matriculate.

Tuition grants-in-aid limited to one course per term are available to cover in full the tuition for credit courses undertaken by tenure-track faculty. Other faculty who are eligible for Dartmouth benefits also are eligible for grants-in-aid. Part-time faculty are eligible for pro-rated grants-in-aid. Faculty hired on or after July 1, 1992 have a one-year waiting period from the date of hire before becoming eligible for a tuition grant-in-aid.

Tuition grants-in-aid, limited to one course per term, are available for faculty partners to the extent of one-half of the tuition fee. The same one-year waiting period after the faculty member's hire date applies to partner tuition grants-in-aid.

Special community students may use the College's library, computing facilities, and dining facilities.

These policy statements apply only to courses offered by the Faculty of Arts and Sciences. Inquiries regarding the possibility of "Graduate Special Student" status in the associated schools of Medicine, Engineering, or Business Administration should be directed to the admissions offices of those schools.

AUDITING

Members of the faculty have the privilege of permitting individuals to audit their courses without credit. An auditor may not be evaluated in any way, may not take examinations or submit papers for critical comment, and may not receive a grade.

FACULTY SUPPORT

FACULTY RESEARCH AND PROFESSIONAL DEVELOPMENT FUND (FRPDF)

To promote scholarly activity and to encourage faculty to take an active part in their professional societies, the College underwrites a Faculty Research and Professional Development Fund for faculty members in the rank of Professor, Associate Professor, and Assistant Professor (except those holding current Burke Research Initiation awards or active startup accounts).

Details on the program can be found on the Dean of Faculty web site at:

www.dartmouth.edu/~dof/facresearch/internal/frpdf.html.

The Faculty Research and Professional Development Fund is administered by the Fiscal Office for the Faculty of Arts and Sciences, Hinman Box 6045, 308 Wentworth Hall.

WALTER AND CONSTANCE BURKE RESEARCH INITIATION AWARDS

Since 1986 an outside foundation has supported research initiation awards for newly hired Assistant Professors at Dartmouth College. Named in honor of a former College Trustee Walter Burke and his wife, Constance Burke, these funds are meant to

provide start-up support in all disciplines during the first six years of an appointment. Details on the program can be found on the Dean of Faculty web site at: www.dartmouth.edu/~dof/facresearch/internal/burke.html.

Burke awards are administered by the Fiscal Office for the Faculty of Arts and Sciences, Hinman Box 6045, 308 Wentworth Hall.

RESEARCH AND PROFESSIONAL DEVELOPMENT SUPPORT FOR INSTRUCTORS

Faculty members in the rank of Instructor do not qualify for Burke Research Initiation Awards or FRPDF. They do, however, have access up to \$800 to cover research and professional activities. Please see the guidelines on spending under FRPDF on the Dean of Faculty web site at <http://www.dartmouth.edu/~dof/facresearch/internal/frpdf.html>.

These funds are administered by the Fiscal Office for the Faculty of Arts and Sciences, Hinman Box 6045, 308 Wentworth Hall.

UNIVERSITY PRESS OF NEW ENGLAND

University Press of New England (UPNE) is the not-for-profit book publisher of Dartmouth College, Brandeis University, Middlebury College, University of New Hampshire, and Tufts University. Founded in 1970, UPNE is a publishing consortium, sponsored by these institutions and housed at Dartmouth College, the host institution. At Dartmouth, the Press reports to the Office of the Provost. Additional information about UPNE can be found at the following web site: <http://www.dartmouth.edu/~upne/aboutupne.html>.

The Press welcomes inquiries from prospective authors. Manuscripts or project proposals may be sent to Editor, UPNE, One Court Street, Lebanon, NH 03766; Hinman Box 6151; 448-1533.

COLLEGE RENTAL HOUSING

The College operates approximately 280 units of housing available to faculty and employees, composed mostly of apartments and duplexes, along with some houses. Almost all of these accommodations are located within the Town of Hanover. The purpose of this housing is to provide transitional accommodations for new faculty and employees coming to Hanover.

Administrators, staff, and service employees may reside in College housing for a maximum of three years, without a surcharge, while faculty members on a tenure-accruing track may stay until a tenure decision is made. For those faculty who continue to occupy College housing for more than one year as a tenured member of the faculty, an annually increasing surcharge applies.

Rental housing is unsubsidized, and rentals are set at a level to recover actual costs, including loan repayment, insurance, taxes, maintenance, etc. and a fair return of the current appraised value of the property. Thus rental rates tend to approximate those on the private market for comparable units. The majority of the rental units are unfurnished except for stove and refrigerator. There are some furnished efficiency, one-bedroom, and two-bedroom apartments on West Wheelock Street. There are also five completely furnished apartments for visiting faculty whose appointments are for one or two terms.

REAL ESTATE OFFICE

The Dartmouth Real Estate Office is responsible for the assignment, maintenance, and occupancy agreements for College housing. Information regarding Dartmouth's rental housing inventory, along with an application, are available at the Real Estate web site at: <http://www.dartmouthre.com/>. To further assist faculty and others in securing rental housing, the office compiles a listing of available rentals owned by landlords other than Dartmouth. This list also includes the subletting of homes of faculty and other employees who may be on leave. This free list is available via the above website.

For faculty relocating here from out of the area, the Dartmouth Real Estate Office can assist people in finding rental and for-sale housing in the private market; they sometimes also have Dartmouth-owned homes for sale. The office is also available to answer any questions that new faculty members may have about their new community (or at least point them in the right direction where they can get that answer).

There is often a shortage of private rentals in the immediate vicinity of Hanover, and early notice of housing needs to the Real Estate Office is urged for all those with new appointments to Dartmouth.

PARKING FACILITIES

All faculty and employees wishing to use Dartmouth parking facilities must register their vehicles with the Parking Office. There is a parking fee that may be payroll deducted for regular/full-time employees. There is a \$50.00 fine for any employee failing to register who is found parking in campus lots. Employees living in College rental housing must also register their vehicles. For special programs, incentives, and information on Advance Transit, see the Parking Operations website at: <http://www.dartmouth.edu/~parking/info/index.html>.

THE LIBRARIES OF DARTMOUTH COLLEGE

The Library's mission is to advance scholarship and research, support excellence and innovation in teaching, foster learning and professional growth, and promote the health of the public through the comprehensive management of scholarly content. To achieve this mission, the Dartmouth College Library provides access to collections and services that support the research and information needs of the entire college community. For more information visit <http://library.dartmouth.edu/>.

COMPUTING SERVICES

The operating philosophy of Computing Services is to integrate computing into the life of the institution, with open access and a generous allocation of computer resources to every student and to all members of the faculty, staff, and administration.

Because computing is well integrated into academic activities and campus life, undergraduate students are required to own a personal computer for use at Dartmouth. Computing Services actively supports the Windows and Apple Macintosh operating systems. A complete list of supported hardware and software is available on the Computing Services web site: <http://www.dartmouth.edu/comp/>. A comprehensive directory of technology support services is available to faculty on the Web at: <http://www.dartmouth.edu/comp/resources-fac.html>.

MONTGOMERY ENDOWMENT

The College has been fortunate to receive a sizeable endowment through the generosity of Kenneth and Harle Montgomery "to provide for the advancement of the academic realm of the College." The principal program of the Endowment involves bringing to campus outstanding figures, not only from the academic world but from non-academic spheres as well, persons "capable of achieving...an important and broad scale impact educationally."

A Montgomery Fellow's responsibilities and activities may involve formal teaching, presenting lectures, variously meeting with students and faculty, or combinations of such engagements. Thus, such visits can provide opportunities to enhance research and informational activities of faculty or programs in fields shared by the Fellow. The Program is administered through the Provost's Office. A special committee composed of three faculty members, the Provost, the Dean of the Faculty, and others, evaluates nominations for Montgomery Fellows. Further information on this resource can be obtained through the Provost's Office and by pointing your browser to <http://www.dartmouth.edu/~montfell/>.

NELSON A. ROCKEFELLER CENTER

Since its founding in 1983, the Nelson A. Rockefeller Center has been a catalyst for teaching, research and deliberation about public policy and civic leadership. Dedicated to providing an interdisciplinary perspective on policy-related topics, the Center fosters a commitment to the ideals of public service and informed public debate exemplified by Nelson A. Rockefeller '30, former governor of New York State and Vice President of the United States.

The Center endeavors to develop undergraduates' potential for leadership, support high quality research on policy-related topics, encourage experimental learning in the policy realm, foster campus dialogue about policy issues, stimulate cross-disciplinary approaches to policy problems and promote understanding of policy issues in the community beyond Dartmouth. Additional information about the Rockefeller Center can be found at the following web site: <http://www.dartmouth.edu/~rocky/>.

FANNIE AND ALAN LESLIE CENTER FOR THE HUMANITIES

Founded in July 1999, the Center is an academic and administrative unit of Dartmouth College. It is also a member of the global Consortium of Humanities Centers and Institutes (CHCI). Additional information about the Fannie and Alan Leslie Center for the Humanities can be found at the following web site: <http://www.dartmouth.edu/~lhc/>.

HOPKINS CENTER

Dartmouth's Hopkins Center for the Creative and Performing Arts offers opportunities for faculty as well as students to participate as creator or performer. Specifically, the Hopkins Center offers community dance classes, film society series, music ensembles, theater and studio art experiences. These are listed in detail on the Hopkins Center web site at: <http://www.dartmouth.edu/~hop/> and in the Dartmouth General Information.

THE HOOD MUSEUM OF ART

The Hood Museum of Art affords the College community the opportunity to study and enjoy a wide range of works of art and cultural artifacts. A handsome facility, completed in 1985 to design by Charles Moore and Chad Floyd of Centerbrook Associates, houses ten galleries that provide generous space for viewing Dartmouth's permanent collection, as well as special loan exhibitions and teaching spaces. The collection contains approximately 60,000 objects, information on which is available through an on-line computer catalogue and documentary files in the Registrar's office. General information about the museum can be found at the following web site: <http://hoodmuseum.dartmouth.edu/>. Specific information on resources for faculty is at: <http://hoodmuseum.dartmouth.edu/education/dartmouth/faculty/>.

OFFICE OF CONFERENCES AND SPECIAL EVENTS

The Office of Conferences and Special Events was established to minimize conflicts that might otherwise arise in scheduling conferences and events at Dartmouth. It is important to notify Conferences and Special Events of any activity in the early planning stages to avoid conflicts and assure that the necessary space is available. This office also arranges set-up requirements, furniture, heating, etc. When planning an activity, Safety and Security should be consulted as needed. Security personnel can be assigned where there might be a problem with respect to traffic or non-Dartmouth intrusions into private functions. The office is located in Blunt Alumni Center, extension 6-2923, and additional information can be found at the following web site: <http://www.dartmouth.edu/~cse/>.

Dartmouth's web calendar (<http://www.dartmouth.edu/cgi-bin/cgiwrap/calendar/cal>) can be useful in planning events in many ways. You can also access this calendar from Dartmouth's home page. When you are planning an event, check to see what else might be going on during the month proposed for your event. After reserving space, include your event on Dartmouth's web calendar for others to view. Conferences and Special Events also maintains a five-year event calendar, which can be helpful in avoiding conflicts when selecting the date for a future event.

The Registrar's Office controls Dartmouth College classrooms, which are primarily used for academic purposes, during the academic term.

In addition to being used for regularly scheduled academic activities, classrooms, as well as other facilities, are available (through the Office of Conferences and Special Events) for use by conferences, continuing education, recognized student groups, departments and organizations of the College, during term breaks, after regular class hours, and when not used for classes during academic hours.

THE DARTMOUTH CLUB OF NEW YORK (YALE CLUB)

Faculty are eligible to apply for faculty membership, which provides full membership privileges in the Yale Club of New York (50 Vanderbilt Avenue, near Grand Central Station), through an arrangement negotiated by the Dartmouth Club of New York. Rooms, office space, and meeting rooms may be reserved by members by calling the Yale Club directly (212) 716-2150. Services used are billed to individual accounts. Non-member faculty can arrange for overnight, temporary lodging through the Office of Alumni Relations, extension 2259, which also can provide further details on the use of this facility.

ALUMNI CLUB SPEAKING

The alumni have a genuine interest in hearing faculty members discuss academic developments, teaching experience, and special interests. The Office of Alumni Relations attempts to provide each alumni club with at least one speaker each year. Participation by members of the faculty is entirely voluntary, but such services are always much appreciated, and expenses for such trips, including living expenses, will be reimbursed by the Office of Alumni Relations. Accordingly, faculty are invited to notify the Office of Alumni Relations (Hinman Box 6068) of their travel plans and willingness to meet with alumni as their schedules for professional meetings or other trips become known. Additional information about Alumni Relations can be found at the following web site: <http://alumni.dartmouth.edu/>.

PART V: DEPARTMENTAL AND PROGRAM ADMINISTRATION

DEPARTMENTAL AND PROGRAM BUDGETS

Budgets covering instructional activities are established annually for each department and program of instruction in the following way:

- ⊕ During the fall term faculty staffing requirements for each academic unit are reviewed jointly by the respective Chair and the Dean of the Faculty or a designated representative. Teaching assignments and departmental course allocations are finalized for the following academic year.
- ⊕ During the winter term the appropriate Fiscal Officer works with the departments and programs to prepare budgets for supplies, secretarial assistance, equipment, telephones, and objects of expense required to support instructional activities other than faculty compensation.

- ✦ Departmental and program budgets, including the amounts required for faculty compensation, are aggregated with other requests and are presented as the Arts and Sciences budget to College review authorities and finally to the Board of Trustees, who take final action on the overall College budget in April.

DEPARTMENTAL AND PROGRAM BUDGET ADMINISTRATION

Although allocation of funds for faculty salaries is made to individual departmental and program accounts, the Dean of the Faculty Office centrally holds the faculty compensation budget. Thus, funds provided for faculty compensation are not available for use under other objects of expense.

The department/program is responsible, through its Chair, for administering its affairs so that expenditures under the other objects of expense are maintained within the total amount prescribed for these on the departmental/program budget accounts. During the year, supplementary funds can be made available for unforeseen requirements or to cover emergency situations. Requests should be made to the DOF.

Departmental and program accounts are established under the supervision of the Chair unless otherwise stipulated, and the Chair is authorized to incur financial obligations on behalf of the department or program under all object classifications other than faculty salaries. Monthly statements of account are rendered to the departmental/program Chair by the Controller and serve as the instrument through which continuing review of expenses may be maintained. Department/program personnel and members of the Fiscal Office also carry out electronic monitoring of financial activity.

ADMINISTRATIVE SERVICES

Administrative staff for academic units are authorized and funded for the following general purposes:

- ✦ Assistance to the Chair in carrying out administrative responsibilities for recruitment, personnel actions, scheduling of courses, and other departmental or program business.
- ✦ Handling and preparation of correspondence relating to departmental/program business, such as letters of recommendation, interdepartmental communications, committee affairs, and other matters conducted by other members of the department or program.
- ✦ Preparation of syllabi, maintenance of records on majors, and other related curricular activity as required.
- ✦ Administration of the office, procurement of supplies, preparation of budgets, budget control, and other duties as may be delegated by the Chair.
- ✦ Secretarial assistance in preparing articles for College purposes, for learned journals and papers for professional meetings, proposals for submission to governmental agencies or foundations for research support.

The last takes priority only after administrative and curricular tasks are fully covered.

STAFF POLICIES AND PROCEDURES

Departmental and Program Chairs will be concerned with the administration of staff in a number of ways. The Office of Human Resources is responsible for the development and administration of staff policies and procedures affecting non-faculty members. These are published in the Exempt Staff Handbook, Non-Exempt Staff Handbook, and Agreement between Dartmouth College and Dartmouth College Employees' Union. These publications are updated periodically, and copies are available at the Office of Human Resources, (603) 646-3411. The Human Resources Office web site can be found at: <http://www.dartmouth.edu/~hrs/>.

RECRUITMENT

Before any staff recruitment action is undertaken, whether for a new position or an existing one, the recruitment must be authorized by the Dean of the Faculty Office. After the recruitment request is authorized, including a request for classification and establishment of the position if necessary, it is then administered through the Dartmouth Online Review and Recruit (DORR) system. All vacancies for staff positions will be announced through the weekly job flyer, the Dartmouth College website at: <http://jobs.dartmouth.edu/> and the telephone jobline at (603) 646-3328.

PERFORMANCE EVALUATION

Performance reviews are conducted annually, with discussion and exchanges between the supervisor and employee. Based on this review, a written evaluation is submitted to the Dean of Faculty Office for review, and then to the Office of Human Resources under the signature of both the supervisor and employee.

SALARY INCREASES

An increment budget is assigned to each department for this purpose, which can be augmented from a contingency pool held by the Dean of the Faculty in the case of outstanding performance. Salaries are adjusted annually effective July 1, and information is distributed to departmental and program Chairs for their recommendations.

PAYROLL

Federal regulations require that all non-exempt employees keep a record of hours worked to be submitted to the payroll section bi-weekly under the signature of the supervisor and employee. Payroll forms must be prepared by the supervisor when an employee is hired, terminated, or has a change in status.

DEPARTMENTAL/PROGRAM SPACE AND PHYSICAL PLANT FACILITIES

Generally each academic unit has a well-defined allocation of building, office, and other facilities, excluding classrooms under control of the Registrar, within which offices and other space can be assigned in order to meet instructional and College commitments. Likewise, the Dean of Faculty reserves the right to reallocate space within or between departments and programs to best meet the teaching and research needs of the Arts & Sciences.

FACULTY OFFICES

It is understood that all Arts and Sciences space is under the purview of the Dean of the Faculty and the Provost. Following are the guidelines in order of priority for assigning office space:

1. Office space in a department or program must above all be reserved for current tenure track faculty.
2. Second in order of priority are all other teaching faculty for the terms that they are teaching, both non-tenure track faculty and visiting scholars who carry academic appointments in Arts and Sciences.
3. Research track faculty will be assigned space consistent with commitments made to an external funding agency in any funded proposal for the duration of the funding period.

4. If there is additional space, emeriti as well as non-tenure track faculty not teaching that term may occupy that space. This may require the sharing of offices. Allocation will be determined by the Chair in consultation with the Dean of the Faculty office and the office of the Provost.
5. Space available for emeriti and non-tenure track faculty will be reviewed annually at the department or program level and by the Associate Dean. Some office space reallocation may be required.

Faculty offices are provided with ordinary office supplies, telephone service, and office furniture. Bookcases, filing cabinets, and additional items of office equipment must be budgeted either through the departmental or program account or through the improvements and alterations budget (see below).

CLASSROOM SPACE

Class schedules, including meeting times, are established by departments and programs approximately two years in advance, and are published by the Registrar's Office in the Prospectus and ORC. Except for a few seminar rooms, which are assigned specifically to departments, assignment of classrooms for curricular purposes is made by the Registrar who designates the room for each course of instruction. Every effort is made to accommodate the instructor's choice of hours and classroom, but it is not possible to satisfy all choices. The most popular teaching hours are between 9:00 and 12:30 in the day. Requests for these time slots always exceed the number and amount of classroom space available during those hours, and it is often necessary to schedule classes at a time and place other than the instructor's first choice.

Classrooms may also be made available to faculty and members of the Dartmouth community for other purposes outside of regular classroom hours. There is no charge for the use of such rooms when used for College business, except for special seating setups or other arrangements that may be necessary. Requests for extra-curricular use of classrooms may be made through the Events Coordinator, FO&M, extension 6-2923.

TRAVEL ON COLLEGE BUSINESS

Faculty members traveling on College business should work with the College Travel Office for all travel arrangements, except when travel and/or lodging arrangements have been obtained at group rates by the sponsor of a conference or other such event. College business is defined to include scholarly activities undertaken at professional meetings, while on Faculty Fellowships, and in connection with sponsored research projects. Departmental and program instructional activities, such as recruitment, field trips, and off-campus programs, likewise are construed to be College business.

The College Travel Office can assist with all aspects of travel including arrangements for ground transportation, airline reservations, hotel reservations, and vehicle rental. The Travel Office provides 24-hour service and an 800-telephone number. The cost of air and rail tickets for business travel booked through the Travel Office will be billed directly to the College and posted to the departmental or program account specified by the traveler. The College will accept no billings for travel from any agency other than the College Travel Office. It is the responsibility of the traveler to use their JP Morgan Corporate Card or a personal credit card when making travel arrangements outside the College Travel Office. The College Travel Office web site can be found at: <http://www.dartmouth.edu/~cto/>. Important information on Dartmouth College travel policies can be found through this site. International travelers have access to the services of International SOS, internationalsos.com.

TRAVEL ADVANCES

Within three days of the departure date, faculty members may obtain cash advances from the Cashier's. They are intended to cover out-of-pocket expenses not chargeable to a credit card and are limited to a maximum of \$500, unless the length and nature of the trip warrant a higher amount. In that case, approval by an Associate Dean or a Fiscal Officer must be obtained.

Advances must be settled upon return from a trip on a Business Expense Reimbursement Form properly authorized by the appropriate Chair or, in the case of funds held by the Dean of the Faculty, by the appropriate Dean or Fiscal Officer. Amounts not accounted for should be reimbursed by a check accompanying the Business Expense Reimbursement Form. Detailed cash advance policies and procedures can be found on the College Travel Office website: <http://www.dartmouth.edu/~cto/policy/>.

DARTMOUTH CORPORATE CARD

The College has entered into an agreement with a vendor to provide credit cards to faculty and administrators who incur reimbursable travel and entertainment expenses while on College business. Travelers who have been issued a Dartmouth corporate card should use it for hotel, restaurant, rental car, or other entertainment expenses whenever possible. JP Morgan billings for expenses charged to corporate cards are paid by the individual cardholder who is then entitled to reimbursement from the College in accordance with Expense Reimbursement procedures outlined in the Dartmouth College Travel Policies Handbook.

For more information on the JP Morgan Corporate Card Program, and to download an application, please visit: <http://www.dartmouth.edu/~cto/corpcard/>.

REIMBURSEMENT OF TRAVEL EXPENSES

Reasonable and actual costs of travel incurred while on College business are reimbursed to faculty and employees consistent with policies and limits described in the College Travel Policy: <http://www.dartmouth.edu/~cto/policy/>. Accounting of expense should be made on the Business Expense Reimbursement Form, available through the Controller's Office, which must be signed by the traveler and countersigned by the department head, project director, or other administrative officer having fiscal responsibility for the account being charged. Please visit the Arts & Science Finance Center (ASFC) website for detailed information: <http://www.dartmouth.edu/~fincenter/arts-sciences/ber.html>

REIMBURSEMENT FOR ENTERTAINMENT

Entertainment costs resulting from recruitment activities, visiting speakers, and other College business as authorized by the department or program Chair or appropriate Associate Dean of the Faculty are reimbursed via a Business Expense Reimbursement Form prepared to show cost, date of entertainment, participants, place of entertainment, and College purpose served. Itemized meal receipts are required for entertainment and/or Non-Travel Local business meals.

Special restrictions may be in effect for travel and entertainment under federally-supported grants and other sponsored projects. Information on such restrictions can be obtained from the Director, Office of Sponsored Projects.

Direct payment to restaurants can be for banquets or catering services only. The College will not accept direct billings from local restaurants for business meals; these should be paid with a corporate card and subsequently reimbursed to the employee on a Business Expense Reimbursement Form.

INTERCAMPUS MAIL & U.S. MAIL

The College operates an internal mail distribution service to deliver both student and departmental mail on campus. The student outlet is located in Hopkins Center. For all other users, the Intercampus Mail is delivered directly to the building in which the faculty member or other employee works. Receptacles for this purpose are installed in each academic building, and the building or department/program is assigned a box number, which is also listed under each individual in the Dartmouth

College Directory. More information can be found at the Hinman Mail Services website: <http://www.dartmouth.edu/~fom/services/mail/>.

PROCUREMENT SERVICES

The Procurement Services Department is responsible for the procurement of goods and services required for departmental use and purchased with College funds (including Grants and Contracts). Details on services available through the Procurement Services Department can be found at their web site: <http://www.dartmouth.edu/~purchase/>. Contact them at 6-2811.

RECORDS MANAGEMENT

The College provides a facility on Route 120 for the management and storage of College records. The Records Manager (6-1875) will assist departments in establishing and maintaining a program for the storage, retention, security, and timely destruction of material. Records sent to the Center are considered confidential and remain the property of the department until either permanent transfer to the archives or the material is destroyed. The Records Management web site is: <http://www.dartmouth.edu/~library/recmgmt/>.

LEGAL SERVICES

Problems that may be encountered by departments or individual faculty in the course of College activities requiring legal assistance should be referred to the Office of the General Counsel, 646-2444, Hinman Box 6002. The College's legal staff will determine whether the matter should be handled with in-house resources or by an outside law firm. The choice of outside counsel to assist on a particular legal problem will be based on the type of legal services needed and often also on the locale of the event or property that is the subject of the dispute or transaction. No College officer should hire or consult an attorney on any matter of College business without first clearing such action with the College Counsel or Assistant Counsel. Office of the General Counsel information can be found at: <http://www.dartmouth.edu/~legal/index.html>.

SOURCES OF INFORMATION ABOUT DARTMOUTH

The following are other sources of information that are of use to faculty:

OFFICERS, REGULATIONS AND COURSES (ORC)

The **ORC** is published each September, sets forth a full description of curriculum at Dartmouth, requirements for the degree of Bachelor of Arts, and other regulations relating to the courses of instruction. The officers of Dartmouth College are listed by name. An online listing of courses can be found at <http://www.dartmouth.edu/~reg/courses/index.html>.

DARTMOUTH COLLEGE DIRECTORY

The Dartmouth College Directory is available on the Dartmouth website (<http://www.dartmouth.edu/~fom/services/mail/>) and lists the name, title, and phone number of all employees with assigned phone numbers, committee memberships, departmental listings, and much other information. For a listing of the Administrators of the Arts and Sciences point your browser to <http://www.dartmouth.edu/~dof/who/index.html>.

STUDENT HANDBOOK

The ***Student Handbook*** is updated each fall. In addition to the general description of resources available at the College and the structure of College governance, the Handbook includes a compendium of College rules and regulations, a description of the undergraduate judiciary system, and the rules governing student conduct. To access the on-line version of the handbook go to <http://www.dartmouth.edu/~deancoll/student-handbook/index.html>.

SOURCES

Sources describes how sources are used and forms of acknowledgement. To view the electronic version of this resource go to <http://www.dartmouth.edu/~writing/sources/>.

DARTMOUTH COLLEGE AFFIRMATIVE ACTION PLAN

The Dartmouth College Affirmative Action Plan is available in the Office of Institutional Diversity and Equity. Further information on Dartmouth's diversity initiatives and can be found by pointing your browser to <http://www.dartmouth.edu/~eoaa/index.html>.