



**School of Arts  
and Sciences**

Handbook  
of the  
Faculty of Arts and Sciences

September 2025

## FOREWORD

Dear colleagues,

Dartmouth aspires to faculty excellence in scholarship, creative work, and pedagogy. Our vision is to foster an inclusive academic environment that champions intellectual inquiry, discovery, diverse perspectives, and learning.

The Handbook of the Faculty of Arts and Sciences delineates the policies and procedures that govern our academic community. It also includes helpful information about our organizational structure and faculty and student resources on campus. The Handbook serves as the document of record when referencing the operating principles of the Faculty of Arts and Sciences. Because of the range of topics covered, sources vary. For example, some matters result from formal actions by the Faculty of Arts and Sciences or one of our committees, while others represent actions taken by the Board of Trustees. There are two other sources of faculty policies: The Organization of the Faculty of Arts and Sciences of Dartmouth College (OFASDC) and The Organization of the General Faculty of Dartmouth College (OGFDC). The current editions are available on the [Dartmouth College Policy Portal](#).

This edition of the Handbook is the first published within the School of Arts and Sciences, launched July 1, 2025. The school brings new opportunities for integrated collaborations among faculty, staff, and students. Even as many details of the School's organization are still being developed, this edition of the Handbook endeavors to represent some of the changes that have already been implemented. Throughout these pages, hyperlinks are underlined in black and headers are formatted to show in a navigation window.

This edition replaces all previous editions. Please consult this handbook directly from the [Faculty of Arts and Sciences website](#) to ensure you have the latest version. Updates are typically published twice a year, but substantive policy changes can take place at any time and some may take effect immediately. As always, we welcome your feedback regarding any elements that require correction or clarification.

I wish you an inspiring journey of teaching, research, and service.

Sincerely,



John M. Carey  
Interim Dean of the Faculty  
School of Arts and Sciences

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### HISTORY

Dartmouth College was founded in 1769. The Charter states that Eleazar Wheelock, a Congregational minister from Connecticut, established the College “for the education and instruction of youth of the Indian tribes in this land... English Youth, and any others.” Much of the original endowment was raised by Samson Occom, of the Mohegan people and a Presbyterian minister. New Hampshire Governor John Wentworth designated lands of the Abenaki people for the school, the basis for today’s 269-acre campus. The first buildings were constructed by enslaved persons of African descent. The College is named after William Legge, the Earl of Dartmouth, one of the founding benefactors and a Trustee of the original endowment. The early years of the College are detailed in Colin Calloway’s book The Indian History of an American Institution: Native Americans and Dartmouth (2010).

Dartmouth was the subject of a landmark U.S. Supreme Court case in 1819 (*Dartmouth College v. Woodward*) in which the College prevailed against the State of New Hampshire, which sought to amend Dartmouth's charter. The case is a formative document in United States constitutional history, paving the way for American private institutions to conduct their affairs in accordance with their charters without interference from the state. Politician, statesman, and Dartmouth alumnus Daniel Webster, Class of 1801, passionately argued for the original charter to be preserved. "It is ... a small college," he said, "and yet there are those who love it." Later, Webster also signed the Fugitive Slave Act of 1850, a reminder of the College’s original debts to the labor of enslaved persons.

From the earliest years, the College has included professional schools and graduate degrees. In 1797, Dr. Nathan Smith, a leading surgeon and physician, established the Dartmouth Medical School, now the Geisel School of Medicine. In 1851 the Chandler School of Science was founded as the result of a generous gift by a Boston merchant of that name, now organized as the Sciences Division within the Faculty of Arts and Sciences. In 1866, the State of New Hampshire established the New Hampshire College of Agriculture and Mechanical Arts, in cooperation with Dartmouth, under the 1862 Morrill Land Grant Act, which appropriated lands from Indigenous Peoples for the benefit of universities throughout the United States. In 1892, the agricultural school relocated to Durham, New Hampshire, where it later expanded to become the University of New Hampshire. In 1867, the Thayer School of Engineering was founded through the generosity of Sylvanus Thayer, Class of 1807. 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. Dartmouth first conferred a PhD degree in the Classics Department in 1885, although a doctoral program in the modern sense did not get underway until 1960, when the College authorized the development of a PhD 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 has been undertaken by all departments in the Sciences Division within the Faculty of Arts and Sciences. In addition, Masters Programs are offered in Digital Musics, Comparative Literature, among others.

During its first 200 years, the College did little to actualize its founding commitment to Native American students. In 1970, President John Kemeny reaffirmed Dartmouth’s founding mission; two years later the College established one of the first Native American Studies programs in the United States. Today, around 200 Indigenous students—representing more than 70 tribal nations and communities—attend Dartmouth. In 2022, the College repatriated the papers of Samson Occom to the care of the Mohegan Tribe.

In 1972, Dartmouth began enrolling women, a decision that sparked controversy and resistance over many years. To accommodate the larger student body, the College changed its curriculum to a four quarter, year-round educational calendar. Undergraduates are expected to enroll for one summer term, usually following their sophomore year.

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## MISSION STATEMENT

Dartmouth College educates the most promising students and prepares them for a lifetime of learning and of responsible leadership, through a faculty dedicated to teaching and the creation of knowledge.

Our Core Values:

- Dartmouth expects academic excellence and encourages independence of thought within a culture of collaboration.
- Dartmouth faculty are passionate about teaching our students and are at the forefront of their scholarly or creative work.
- Dartmouth embraces diversity with the knowledge that it significantly enhances the quality of a Dartmouth education.
- Dartmouth recruits and admits outstanding students from all backgrounds, regardless of their financial means.
- Dartmouth fosters lasting bonds among faculty, staff, and students, which encourage a culture of integrity, self-reliance, and collegiality and instill a sense of responsibility for each other and for the broader world.
- Dartmouth supports the vigorous and open debate of ideas within a community marked by mutual respect.

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## FREEDOM OF EXPRESSION AND DISSENT

Core institutional values are reflected in several policies related to freedom of expression and dissent that have been adopted by both faculty vote and administrative actions.

### CURRENT POLICIES

- Agreement Concerning Academic Freedom, Tenure, and Responsibility of Faculty Members: Organization of the General Faculty of Dartmouth College (OGFDC), Section D.8
- Institutional Restraint: Statements from Dartmouth and its Academic Units
- Freedom of Expression and Dissent (students)

### HISTORY

On June 6, 1968, the Faculty of Arts and Sciences adopted the following policy statement on freedom of expression and dissent:

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.



The Faculty of Arts and Sciences adopted the Agreement Concerning Academic Freedom, Tenure, and Responsibility of Faculty Members on October 19, 1970. The Agreement was voted by the Board of Trustees on January 15, 1971. In 1973, the Faculty of Arts and Sciences reaffirmed its agreement with the Trustees on the broad issues of Academic Freedom, Tenure, and Responsibility.

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## 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 Charter, however, can only be amended by joint action of the Board of Trustees and the New Hampshire State Legislature.

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. The Board has a number of Standing Committees that advise the Board as a whole.

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## 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. A number of administrative offices report to the President, along with several councils and committees.

- Organization of the General Faculty of Dartmouth Faculty
- Senior Leadership Team
- Councils and Committees
- Finance and Administration
- Advancement Division

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## THE PROVOST

The Provost is Dartmouth's chief academic officer and chief budget officer, directly responsible for overseeing the overall academic integrity of the entire institution and for those operations transcending the work of a single faculty. Dartmouth's professional schools, major academic support units, and several other offices, academic centers and institutes report to the Provost. The Provost serves as the chair of the Budget Committee, and has major

responsibility for setting budget priorities and developing a strategic financial plan. The Provost also coordinates support of the research infrastructure and is responsible for coordinating government relations activities.

Working with the academic deans, the Provost also is responsible for supporting and advancing the programs, the teaching, and the scholarship of the School of Arts and Sciences, the Geisel School of Medicine, the School of Graduate and Advanced Studies, Thayer School of Engineering, and the Tuck School of Business. The appropriate Deans have full operating responsibility in each case.

- [Provost Area Leadership](#)
- [Office of the Provost Administration](#)
- [Policy Portal](#)

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## INSTITUTIONAL DIVERSITY AND EQUITY

The [Office of Institutional Diversity and Equity](#) (IDE) is led by the Senior Vice President and Senior Diversity Officer. Through strategic planning, policy oversight and campus partnerships, IDE strives to ensure that Dartmouth College is a diverse, welcoming and inclusive community where staff, faculty, and students can thrive while in pursuit of their educational and professional endeavors.

IDE hosts a variety of inclusion initiatives, such as [Employee Resource Networks](#) (ERNs) and consultations.

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## GUARINI SCHOOL OF GRADUATE AND ADVANCED STUDIES

The Dean of the [Frank J. Guarini School of Graduate and Advanced Studies](#) has administrative responsibility for post-baccalaureate programs at Dartmouth. The Guarini School offers masters and doctoral degrees across a [broad range of programs](#), including several interdisciplinary programs and doctoral programs connected to the professional schools at Dartmouth. [Postdoctoral scholars](#) with appointments across Dartmouth College, the professional schools, and Dartmouth-Hitchcock are also affiliated with the Guarini School.

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## LIBRARIES

The [Dean of Libraries](#) is responsible for the ongoing development of the libraries' services, staff, collections and facilities. Library staff are partners in research and co-educators in teaching and learning. [Subject Librarians](#) provide specialized consultations for research and teaching in all disciplines. The main library is Baker-Berry at the center of campus.

[Specialized facilities](#) include the Evans Map Room, Sherman Art Library, Jones Media Center, Rauner Special Collections, Biomedical Libraries, and Feldberg Business and Engineering Library.

[Specialized services](#) include interlibrary loan, research data, and [scholarly communication](#).

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## SERVICES AND RESOURCES

Dartmouth has many specialized offices and organizations that enable everything from business operations to arts performances. The following is a selection of those that faculty might engage most regularly.

### CAMPUS ENGAGEMENT

- [Office of Communications](#)
  - Offers media training and public engagement guidance
- [Events Calendar](#)
- [Conferences and Events](#)
- [Hood Museum of Art](#)
  - With specialized [teaching facilities and curricular support](#)
- [Hopkins Center for the Arts](#)
- [Montgomery Fellows Program](#)
- [William Jewett Tucker Center](#)
- [Dartmouth Outdoors](#)

### FACILITIES

- [Facilities Operations and Management \(FO&M\)](#)
- [Campus Services](#)
- [Real Estate Office](#)
- [Transportation Services](#)
- [Information, Technology, and Consulting \(ITC\)](#)

### HEALTH AND SAFETY

- [Wellness at Dartmouth](#)
- [Office Ergonomics](#)
- [Equal Opportunity, Accessibility, and Title IX](#)
- [Environmental Health and Safety \(EHS\)](#)
- [Dartmouth Integrity Helpline](#)
- [Integrity and Compliance](#)
- [Safety and Security](#)

### MAIL SERVICES

[Hinman Mail Services](#) is the College's internal mail distribution service for delivering both student and departmental mail on campus. 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. Hinman Mail also provides various external mailing and shipping services.

## CAMPUS DIRECTORIES

The [Dartmouth College Directory](#) lists the name, title, and phone number of all employees with assigned phone numbers, committee memberships, departmental listings, and much other information.

The [Arts and Sciences Faculty Directory](#) lists the profiles and contact information for Arts and Sciences faculty, by name and by department/program.

The Arts and Sciences website lists the [departments and programs](#), along with [staff information for the Office of the Dean of the Faculty](#).

## ALUMNI RELATIONS

The [Dartmouth Alumni Relations](#) supports ongoing engagement with college. The alumni have a genuine interest in hearing faculty members discuss academic developments, teaching experience, and special interests. 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 Alumni Relations. Accordingly, faculty are invited to notify the Alumni office of their travel plans and willingness to meet with alumni as their schedules for professional meetings or other trips become known.

### 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 [Alumni Relations](#), 646- 2259, which also can provide further details on the use of this facility.

## 2. FACULTY OF ARTS AND SCIENCES

The Division of the Faculty of Arts and Sciences is part of the School of Arts and Sciences, launched on July 1, 2025. Serving as the academic foundation of the school, this division includes all faculty in the Arts and Sciences and the staff who support the academic mission. This division creates and governs the curriculum, is responsible for faculty recruitment, retention, mentoring and professional development. The Dean of the Faculty champions academic excellence, supports faculty governance, and cultivates interdisciplinary collaboration across departments.

The School of Arts and Sciences as a whole brings together core undergraduate educational functions within a unified structure led by the Dean of the School of Arts and Sciences. The school's senior leadership team includes undergraduate admissions, development, communications, and finance. In addition to the Division of Faculty, the school comprises two other major divisions.

The Division of Undergraduate Education coordinates curricular and co-curricular functions that shape the undergraduate academic experience. Led by the Dean of Undergraduate Education, the division draws on faculty and staff from both academic and student affairs to support a holistic undergraduate educational experience, with a focus on integrative learning and student success. Section 3 below, "Teaching and Student Life," provides information about some of the offices and functions that make up the division.

The Division of Undergraduate Student Affairs focuses on student well-being, community engagement, and holistic development, with a goal of promoting students' intellectual, physical, and emotional well-being. Led by the Dean of Undergraduate Student Affairs, this division is designed to elevate the undergraduate student experience beyond the classroom. Section 3 below, "Teaching and Student Life," provides information about some of the offices and functions that make up the division.

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### ADMINISTRATION

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

The Faculty of Arts and Sciences comprises 41 academic departments and programs as well as several centers and institutes. The Dean of the Faculty is assisted by four Associate Deans of the Faculty who also serve as chief officers of the four academic areas: Arts and Humanities, Sciences, Social Sciences, and Interdisciplinary Studies. The Senior Advisor for Faculty Development, Diversity and Inclusion coordinates efforts related to professional development and diversifying the faculty.

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 Advancement Division: all Arts and Sciences development solicitations must be cleared by and coordinated through the Office of the Chief of Staff for Administration and Advancement.
- Facilities planning for the Faculty of Arts and Sciences;
- Arrangement of faculty meetings, publication of the Organization of the Faculty of Arts and Sciences of Dartmouth College (OFASDC), and administrative support of the various committees of the Faculty;

- All equal opportunity and non-discrimination policies, in consultation with the Office of Institutional Diversity and Equity.

These functions are carried out by the Dean, the Associate Deans, the Senior Advisor, and professional staff including:

- Chief of Staff for Administration and Advancement
- Director of Academic Operations
- Director of Budget and Research Administration
- Assistant Dean for Faculty Affairs
- Divisional Coordinators for each of the four academic divisions

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## GOVERNANCE

The policies that govern faculty rights and responsibilities are set out in the [Organization of the Faculty of Arts and Sciences of Dartmouth College](#) (OFASDC). Faculty governance is organized through a number of [standing committees](#) charged with addressing a wide range of academic and educational policies.

The Dean of the Faculty is an ex officio member of a number of committees: 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 Hopkins Center Board of Advisors, the Hood Museum Board of Advisors, and the Trustee Committees on Budgets, Educational Affairs, and Student Affairs.

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## DEPARTMENTS AND PROGRAMS

The definitions of departments and programs in Arts and Sciences, and their organization into divisions, are set forth on the [Organization of the Faculty of Arts and Sciences of Dartmouth College](#) (OFASDC, Sections III and IV). The OFASDC also describes the role and responsibilities of Chairs. Here, the Faculty Handbook delineates additional policies not covered in the OFASDC.

Chairs of departments and programs are responsible for the smooth and efficient functioning of the academic unit where they are appointed. In addition to handling concerns related to faculty, students, and the curriculum, the chair's role includes operational and financial accountabilities such as: overseeing the budgeting and expenditure of available resources; recruiting, supervising and evaluating staff; and other administrative responsibilities.

Chairs' responsibilities for recruitment, appointment, reappointment, and promotion of tenure-line, research, and teaching faculty are detailed below in Sections 4, 5, 6, and 7.

## ADMINISTRATIVE FUNCTIONS

### Budgets

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

- During the fall term faculty course staffing requirements for each academic unit are reviewed jointly by the respective Chair and Associate Dean. Teaching assignments and departmental course allocations are finalized for the following academic year.

- During the fall term the appropriate Fiscal Officer works with the departments and programs to prepare budgets for supplies, administrative 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 March.

The Dean of the Faculty Office centrally holds the faculty compensation budget. Funds allocated 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 are maintained within the total amount prescribed on the departmental/program budget accounts. Departments or programs that experience unforeseen circumstances may submit requests for additional funding. Requests should be made to the DOF and are subject to a review of funding already available to the unit.

Departmental and program accounts are considered to be under the supervision of the Chair and administrator, unless otherwise stipulated, and the Chair and administrator are authorized to incur financial obligations on behalf of the department or program for items within their departmental budget. Faculty salaries are managed centrally and are not included in the above. Departments and programs are also not allowed to add staff positions without approval from the Dean of the Faculty Office. Quarterly statements are provided to the departmental/program administrator by the Dean of the Faculty Fiscal Office 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 more frequent electronic monitoring of financial activity.

All purchases must comply with Dartmouth procurement policies.

### Records Management

The Records Manager assists departments and individual faculty in establishing and maintaining a program for the storage, retention, security, and timely destruction of material. Records sent to the Records Center are considered confidential and remain the property of the department until either permanent transfer to the archives or the material is destroyed.

## ADMINISTRATIVE STAFF

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 interdepartmental communications, website maintenance, committee affairs, and other matters conducted by members of the department or program.
- Maintenance of records on majors and other related curricular activity as required.
- Administration of the office, procurement of supplies, preparation of budgets, budget reporting, and other duties as may be delegated by the Chair.

## Staff Policies and Procedures

Department and Program Chairs are 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. Administrative staff also report to a designated supervisor in the Dean of the Faculty Office.

### 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.

### 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, advertising and hiring are administered through the Dartmouth Online Review and Recruit (DORR) system. All vacancies are posted at: <http://jobs.dartmouth.edu/>.

### Performance Evaluation

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

### Salary Increases

The Dean of the Faculty is allocated an increment budget for annual salary increases. Allocations are approved by the Dean of the Faculty. Salaries are adjusted annually effective July 1.

## OFFICES, LABS, AND FACILITIES

All Arts and Sciences space is under the purview of the Dean of the Faculty and the Provost.

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 the Faculty reserves the right to reallocate space within or between departments and programs to best meet the teaching and research needs of the Arts and Sciences.

### Faculty Offices

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-line 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, faculty with emerit status as well as non-tenure-line faculty not teaching that term may be assigned office 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 faculty with emerit status 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. All purchases must comply with Dartmouth procurement policies.

### Classroom Space

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 Dartmouth business, except for special seating setups or other arrangements that may be necessary. Requests for extra-curricular use of classrooms can be made through Conferences and Events.

## INTERDISCIPLINARY DEPARTMENTS AND PROGRAMS

### Membership

Membership in Interdisciplinary Programs and Departments for tenure-line faculty may take any of the forms outlined below.

Full appointments (1.0 FTE) are established at the time a faculty member is hired or, in rare cases, by conversion of an existing contract.

Joint appointments are established at the time a faculty member is hired or, in rare cases, by conversion of an existing contract according to the procedures outlined in the section "New Joint Appointments for Current Faculty." Joint appointments may be either permanent or for a defined length of time. Such appointments entail membership in and responsibility to both units. Faculty members holding less than half-time joint appointments (such as .25) may not vote in reappointment, tenure, or promotion cases unless appointed by the CAP to an ad hoc review committee for a specific case.

Associated Faculty appointments may be either permanent or for a defined length of time upon the recommendation of the voting members of the Program or Department and approval by the Associate Dean. Associated faculty appointments come with the expectation of service to the unit and participation in governance, which includes voting rights when serving on Personnel and Steering Committees. These appointments are normally based on a combination of the following criteria:

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

Associated Faculty appointments do not automatically include teaching assignments, but rights and obligations should be outlined by the host Program or Department in its letter to the Associate Dean and by the Associate Dean in the appointment letter to the Associated faculty member. Faculty members holding associated faculty 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 associated faculty appointments may self-designate as “Associated with XYZ Program or Department” during the duration of the appointment.

Affiliated Faculty status is determined upon the request of an individual faculty member and the approval of the host department or program. No action is required by the Associate Dean. Such affiliations can be short or long term. There is an expectation but no promise of participation in teaching or advising. Affiliated faculty do not typically have voting rights in the unit or participate in 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 voting members of the Program or Department will assess unit membership on an annual basis.

### Chairs

Chairs are normally appointed from among the voting membership of the department or program, according to the procedures provided in the OFASDC.

The Chair represents the department or program in its formal external relations, reporting to the Associate Dean and serving on the Council on Interdisciplinary Studies and on 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 activities and needs, as well as any other items requested by the Steering Committee.

### Personnel Committees

Tenure-line faculty holding full appointments or joint appointments in the department or program are automatically members of the Personnel Committee. Personnel Committees have broad responsibility for staffing decisions in the program or department. 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. As a result, depending on the composition of the Personnel Committee by rank and tenure status, ad hoc committees may need to be appointed for votes related to reappointment, tenure, and promotion in accordance with the guidelines outlined in the sections on reappointment, tenure, and promotion.

### Steering Committees

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

The Chair of the department or program chairs the Steering Committee.

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## CENTERS AND INSTITUTES

The following centers and institutes report to the Dean of the Faculty through the Associate Deans. Other centers and institutes are under the purview of the Office of the Provost or the Deans of the professional schools.

Faculty directors of centers and institutes serve for fixed terms and may be reappointed. Centers and institutes are reviewed during the last year of a director's term according to procedures established in advance by the Dean of the Faculty.

### FANNIE AND ALAN LESLIE CENTER FOR THE HUMANITIES

The Fannie and Alan Leslie Center for the Humanities advances the study of meaning, purpose, and creativity in the human experience. The Center supports humanities research and projects that engage students, faculty, staff, and visitors at Dartmouth and beyond.

The Center was founded in 1999 and named for Alan and Fannie Leslie. Alan Leslie, M.D., was a 1930 graduate of Dartmouth. Fannie Leslie, who held a bachelor's degree from Rice and a master's from Tulane, also had Dartmouth roots; her grandfather, William Fellows Swain, was an 1850 graduate of the College.

### NELSON A. ROCKEFELLER CENTER FOR PUBLIC POLICY AND THE SOCIAL SCIENCES

The Nelson A. Rockefeller Center, founded in 1983, is 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.

### NEUKOM INSTITUTE FOR COMPUTATIONAL SCIENCE

The Neukom Institute for Computational Science supports computational investigation across campus and seeks to catalyze creative thought throughout the Arts and Sciences, Engineering, Medicine, and Business for undergraduates, graduate students, postdoctoral fellows, and faculty.

The Institute began in 2007, when William H. Neukom, a member of the Dartmouth Class of 1964 and then the chair of the Board of Trustees, pledged an initial gift. Since that time, the Neukom Institute has steadily expanded its programming. It now includes the Wright Center for the Study of Computation and Just Communities, established by a further gift from the Neukom family in honor of Jim Wright, Dartmouth's 16<sup>th</sup> President, and Susan Wright.

### POLITICAL ECONOMY PROJECT

The Political Economy Project (PEP) combines interdisciplinary perspectives—past and present—on the relationship between economics, politics, and ethics. It addresses some of the knottiest dilemmas facing all human societies: between freedom and fairness, equality and prosperity, markets and governments.

## **DARTMOUTH BRAIN IMAGING CENTER**

The Dartmouth Brain Imaging Center (DBIC) is a research resource that is provided by Dartmouth College to all brain researchers in the Dartmouth community. Current users include investigators from four departments in the School of Arts and Sciences, investigators from the Geisel School of Medicine, and collaborators from the White River Junction VA Hospital.

## **CENTER FOR COGNITIVE NEUROSCIENCE**

The Center for Cognitive Neuroscience pursues a vision—cracking the neural code—through building an interdisciplinary community of scientists and scholars at Dartmouth who are engaged in cognitive neuroscience education and research.

### 3. TEACHING AND STUDENT LIFE

Teaching is fundamental to the teacher-scholar model that defines liberal arts education in the School of Arts and Sciences. Many different educators contribute to excellence in teaching on campus: faculty, teaching assistants, librarians, professional staff, peer mentors, and others. This section of the Faculty Handbook concerns the Dartmouth policies that must be accurately implemented by all instructors in any role. In addition, this section includes helpful recommendations, a compilation of resources that support teaching, and a summary of resources for students.

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#### CONFIDENTIALITY OF STUDENT 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. All faculty must complete a [FERPA tutorial](#) before accessing student records.

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.

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.

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#### ACADEMIC HONOR PRINCIPLE

The Academic Honor Principle was first established by the Faculty of Arts and Sciences in 1962, with revisions periodically approved by faculty vote and/or administrative decision. The current Honor Principle, and its attendant policies and procedures for both undergraduate and graduate students, can be found on the Provost’s Policy Portal as listed below.

Instructors may contact the office of [Community Standards and Accountability](#) with questions or concerns related to student conduct policy. The office also maintains the [Student Handbook](#), which delineates the full scope of policies and procedures affecting undergraduate students.

- [Academic Honor Principle](#)
- [Academic Honor Policy for the Undergraduate Students in Arts and Sciences](#)
- [Reporting an Academic Honor Policy Violation](#)
- [Undergraduate Disciplinary Procedures](#)
- [Honor Principle and Code of Conduct Violation Procedures, Guarini School of Graduate and Advanced Studies](#)

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#### TEACHING GUIDELINES

According to Dartmouth’s mission statement, academic excellence 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 instructors reflect generally accepted teaching

practices in the School of Arts and Sciences, with the goal of fostering this trust between student and professor. All classroom instructors, especially those new to Dartmouth, should consult with colleagues and Chairs for guidance about implementing these guidelines.

The Organization, Regulations, and Courses (ORC), published by the Office of the Registrar, sets forth the formal rules that govern the teaching of undergraduate courses in the School of Arts and Sciences. It includes a full description of the curriculum and requirements for the degree of Bachelor of Arts.

Policies for graduate courses and programs can be found at the Guarini School of Graduate and Advanced Studies.

The Timetable of Class Meetings lists the specific courses offered each term.

Additional teaching resources:

- Office of the Registrar, Faculty Resources
- Undergraduate Deans Office, Faculty Resources
- Guarini School of Graduate and Advanced Studies, Faculty Resources
- Dartmouth Center for the Advancement of Learning (DCAL)
  - Syllabus Guide
  - Resources for New Faculty
  - Courses, Enrollment, Classrooms, and Textbooks

## 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. Instructors should make every attempt to have all decisions concerning the syllabus made by the beginning of the term so that students may plan accordingly.

Adjustments to the syllabus are unavoidable and often desirable to accommodate varying pace and interest in a class. Instructors 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).

### Recommended Content

- A. Learning goals or objectives for the course
- B. Course requirements
  - i. Required materials and where these may be found (on reserve, online, purchase) (details below)
  - ii. A schedule of topics, readings, and assignments for the course, including missed days and scheduled X-hours (students 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.
  - 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. Absences/attendance policy (details below)
- v. Course activities outside normal class hours, such as field trips, films, exams (details below)
- vi. Grading policies, due dates of assignments, exam dates, etc. (details below)

C. Course Procedures

- i. Office hours and contact information. Faculty are expected to schedule weekly office hours outside of regularly scheduled classes to provide opportunities for students to consult with the instructor about the course.
- ii. Homework policy and revisions policy
- iii. Policy for late work and make-up exams

### Religious Observances

Students may wish to participate in religious observances during the academic term. Instructors are requested to include the following language on syllabi and course Canvas sites:

Dartmouth has a deep commitment to support students' religious observances and diverse faith practices. 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 as soon as possible—before the end of the second week of the term at the latest—to discuss appropriate course adjustments.

To assist with calendar planning and awareness of our diverse religious and spiritual community, the Tucker Center maintains a [holy day calendar](#). The list represents major holy days which may impact campus events in general, as well as student course attendance, exams, Commencement, and participation in activities in the coming year. Instructors with questions about these dates or other concerns should contact the director of the Tucker Center.

Instructors should also be aware that, in Fall term, students may participate in observances for Indigenous Peoples' Day, which should receive similarly appropriate adjustments.

### Required Content

**Textbook Requirements.** The Higher Education Opportunity Act requires instructors to provide textbook information at the time a student registers for a course, in particular the ISBN number and the retail price.

- [Textbooks and Course Materials](#), DCAL
- [Textbook Tool Guide](#), Office of the Registrar

**Student Accessibility Services.** For detailed information regarding expectations of the faculty to ensure accessibility for students with disabilities, please see [Student Accessibility Services' faculty pages](#). In addition, it is **required** that the paragraph below be included on your syllabi, and we recommend and ask that it be posted to your course Canvas sites:

"Students requesting disability-related accommodations and services for this course are required to register with Student Accessibility Services (SAS; [Apply for Services website](#); [student.accessibility.services@dartmouth.edu](mailto:student.accessibility.services@dartmouth.edu); 1-603-646-9900) and to request that an accommodation email be sent to me in advance of the need for an accommodation. Then, students should schedule a follow-up meeting with me to determine relevant details such as what role SAS or its [Testing Center](#) may play in accommodation implementation. This process works best for everyone when completed as early in the quarter

as possible. If students have questions about whether they are eligible for accommodations or have concerns about the implementation of their accommodations, they should contact the SAS office. All inquiries and discussions will remain confidential.”

**Dartmouth’s Academic Honor Principle.** The syllabus should include links to the relevant principles and procedures for undergraduate and/or graduate students:

- [Academic Honor Principle](#)
- [Academic Honor Policy for the Undergraduate Students in Arts and Sciences](#)
- [Honor Principle and Code of Conduct Violation Procedures, Guarini School of Graduate and Advanced Studies](#)

In addition, it is important that you discuss with your students your specific expectations regarding academic integrity and the Honor Principle in your courses. You might also include [this resource on proper citation of sources](#). Additionally, please consider clarifying under what circumstances it is acceptable to you for students to work together or use outside sources on assignments. If you have questions about the Honor Principle, please contact your department/program chair or your associate dean.

## ABSENCES

Dartmouth students generally pursue a rich and diverse range of activities outside of class. Instructors 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. This point is emphasized in the ORC, [Working Rules and Regulations](#):

Regular class attendance is expected of all students. Though academic schedules may sometimes conflict with College-sponsored or College-recognized extra-curricular 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 [their] instructor at the beginning of the appropriate term. Instructors may be accommodating if approached well in advance of the critical date.

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

## GRADING AND EVALUATION

Instructors 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. An important purpose of evaluation is to give students timely feedback in order to facilitate subsequent learning and improvement in their work. Therefore, instructors should ensure that students receive feedback on assignments and exams in a timely fashion. Instructors are encouraged to provide sufficient feedback to students before the withdrawal deadline to aid those students who are contemplating leaving the course.

Grading policies and standards should be clearly discussed on the syllabus so that students know the basis for the assessments that they will receive. The syllabus should clearly indicate the proportional weight that the various



assignments and exams carry. Work completed at the end of the term (e.g., final papers and/or final exams) must be made available to students for review.

Grading standards shall be consistent with the ORC, [Scholarship Ratings](#)

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

Instructors have the discretion to provide a narrative citation for undergraduates who have made particularly favorable impressions because of their unusual talents, dependability, initiative, resourcefulness, or other meritorious characteristics that are not indicated adequately by academic grades. Citations appear on the transcript as part of the student's official record.

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](#)).

If a student requests an Incomplete from an instructor, the instructor should advise the student [to contact their undergraduate dean](#). Instructors can also look up the student's dean through the [Banner system](#). An agreement for an incomplete must be approved by an undergraduate dean.

All students retain their privacy rights under the Family Educational Rights and Privacy Act (FERPA) in every course. Instructors should review [FERPA policies](#) and the Registrar's [FERPA tutorial](#). Among other requirements, graded coursework must not be returned in a manner that can potentially allow students to see each other's grades.

### Undergraduate Assistants

Undergraduate students are sometimes employed as instructional aids in courses. 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

## 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 drills, assisting in Writing Center, 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.

## AUDITING

Instructors may permit 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.

- Auditing a Course, ORC

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## SCHEDULES

### CALENDARS

The Registrar publishes calendars for each term and each academic year.

Policies governing the annual calendar were approved by vote of the Faculty of Arts and Sciences in May 2011:

1. 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).
2. 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.
3. Summer term registration shall normally take place on the second Wednesday after Commencement Sunday.
4. Fall term registration shall normally take place on the third Sunday in September (fourteen weeks after Commencement).
5. Fall term registration shall normally take place on the second Sunday in September.
6. Commencement normally shall fall on a Sunday not earlier than June 9 (8) and not later than June 15 (14).
7. 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.
8. 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.
9. 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 the 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.

## CLASSROOMS

Except for a few seminar rooms, which are assigned specifically to departments/programs, 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.

## CLASS MEETINGS

The Registrar publishes the weekly course-hour schedule and the termly Timetable of Class Meetings.

Instructors are responsible to teach their courses in person throughout 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. Every course hour has an accompanying extra hour, "X-hour," during which no other class meetings are scheduled. X-hours are used for a variety of purposes, depending on the course.

Class cancellations arise, and are often anticipated, due to other professional, administrative, and/or personal commitments. All scheduled and unscheduled instructor 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). Instructors who are unable to meet a class because of illness or other emergency should promptly notify their students and department/program Chair.

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

## ACTIVITIES OUTSIDE OF CLASS SCHEDULE

In addition to the internal structure of their courses, instructors should also consider how their courses relate to students' other academic obligations. Activities scheduled outside of the regular class times should be carefully constructed to have as minimal an impact as possible on students' other academic commitments.

- If a course includes any such activities (e.g., exams, field trips, film screenings, make-up classes and labs), they must be listed on the syllabus before the end of the first week of class.
- Instructors must make reasonable adjustments for students who have conflicts with other academic requirements. For example, classes requiring exams, field trips, and/or screenings outside of class time must provide alternate times and/or means of satisfying the requirement.
  - There may be cases where adjustments or alternate arrangements are impossible (e.g., attendance of a play with only one performance that is essential to the course material). The course syllabus must clearly explain the requirement on the first day of class, its role in the course, and the impact on the student's grade if they do not participate. In some cases, instructors may have to advise students to select an alternate course.
- Instructors must make appropriate arrangements to provide accommodations stipulated by Student Accessibility Services. The SAS Testing Center is only available to assist with exam-related accommodations during its regularly scheduled hours and with sufficient advance notice. For evening exam times, it may not be possible to use the SAS Testing Center: faculty should plan to make their own arrangements to ensure appropriate testing locations and times that comply with the accommodation terms.
- Instructors should carefully consider the economic cost of outside activities and make adjustments in the case of economic hardship.

## FINAL EXAMS

Exam scheduling must conform to the ORC, [Working Rules and Regulations](#). The Registrar publishes an annual calendar of exam schedules for every term at the beginning of each academic year. Exam schedules are linked to the course hour in the weekly schedule.

Departments/programs must indicate to the Registrar before the beginning of each term which courses expect to schedule in-person final exams in a classroom. If an instructor's plans change during the first week of the term, the initial plan can be updated with the Registrar.

All regularly scheduled final examinations occur during the announced examination period; no undergraduate may be either allowed or required to take any final examination prior to the start of the examination period. Take home examinations, papers, or assignments due after the last day of class cannot be due earlier than the end of the second day of the examination period or the time of the regularly scheduled exam (ORC, [Working Rules and Regulations](#)).

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

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## DEAN OF UNDERGRADUATE EDUCATION

The Dean of Undergraduate Education in the School of Arts and Sciences coordinates the integration of academic advising and co-curricular student support systems. Instructors will interact with many of these offices and functions in the course of their teaching. In order to effectively advise and mentor students, instructors should be well informed about the opportunities and supports that students can access.

## REGISTRAR

The [Registrar's Office](#) is responsible for the planning, organization, and record keeping of instructional activities of undergraduate students in Arts and Sciences. 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.

## STUDENT ADVISING

### Pre-Major Advising

All faculty contribute to advising first- and second-year students as part of pre-major advising. The Assistant Dean for Undergraduate Advising supports faculty in their roles as academic advisors and intellectual mentors as students negotiate the myriad of academic opportunities in and out of the classroom. Faculty advisors are an important component of every student's advising network. Students also have access to many other types of advisors and advising resources on campus.

### Undergraduate Deans

The Undergraduate Deans serve as:

- Resources for academic, personal, and social advising
- Resources for improving academic performance
- Conduits of information about Dartmouth and its procedures
- Sources of support for students who have various kinds of concerns
- Sources of encouragement and information for students pursuing various kinds of opportunities
- Referrals to other Dartmouth offices
- Administrators of academic and conduct regulations

The office sponsors “Take a Faculty Member to Lunch,” a program that encourages students to get to know their instructors outside of class. Students may contact instructors with invitations to breakfast or lunch.

Instructors with concerns about an undergraduate student should contact an undergraduate dean. Instructors can also use the Dartmouth Student Academic Support Application (DSASA) to report observations or concerns about individual student academic performance or other issues.

### Academic Skills Center

The Academic Skills Center offers a variety of services to help students become more effective and efficient learners, including academic coaching, peer tutoring, study groups, and House Community Resident Experts.

### First Generation Office

The First Generation Office empowers Dartmouth's first-generation undergraduates to thrive in academics, foster a strong sense of belonging, and launch their professional journeys. The office offers both pre-enrollment programs and ongoing advising.

### Student Accessibility Services

Student Accessibility Services (SAS) works with students, faculty, staff, and the campus administration to ensure that the programs, services, and activities of Dartmouth College are accessible to, and usable by, students with disabilities. SAS provides direct services to undergraduate students. SAS arranges, coordinates, or facilitates appropriate academic accommodations, program modifications, and auxiliary services to support students' curricular and co-curricular pursuits.

The Syllabus section above provides the language related to accessibility that must be included on every syllabus.

Students requiring disability-related academic adjustments and services must consult SAS. If a student is registered for accommodations with SAS, faculty will be notified directly by SAS of accommodation requirements for students enrolled in their courses. SAS provides a variety of [instructional supports and accessibility advice for teaching](#).

### [Dartmouth Center for Career Design](#)

The [Dartmouth Center for Career Design](#) is a hub for students exploring careers, making connections, and figuring out their next steps. The DCCD uses life design and a human-centered approach to help students make sense of their options and take action when they're ready. For students and recent alumni, they offer one-on-one career coaching, events, alumni connections, career fairs, employment opportunities, resources, and tools to support every student throughout each phase of their unique career journey.

Faculty and staff can [partner with the office](#) to create customized workshops, interactive panels/events, and new resources

## **RESEARCH AND FELLOWSHIPS**

The office of [Scholar Programs, Undergraduate Research, and Fellowships at Dartmouth](#) (SURFD) includes three major areas:

### [Scholar Programs](#)

- Multi-year programs that support and foster the academic and personal growth of Dartmouth undergraduate students. Scholars are provided experiential learning funds to support research projects, academic exploration, and leadership and career opportunities.
- The [E.E. Just Program](#) also offers a cohort-based program in STEM fields.

### [Undergraduate Research](#)

- Programs that provide opportunities for students to engage in faculty-mentored research. These close collaborations provide a forum for faculty to teach and mentor undergraduates on a one-on-one basis outside the classroom. Students acquire first-hand experience in an academic field of research while developing skills such as critical thinking, information processing, and effective communication.

### [Fellowships](#)

- Promotes external and internal fellowship opportunities and supports Dartmouth students and alumni through the application process.

## **OFF-CAMPUS PROGRAMS**

The [Frank J. Guarini Institute for International Education](#) provides leadership and direction for Dartmouth's rich portfolio of credit-bearing off-campus programs, both domestic and international. Through a model of shared ownership with faculty, the Guarini Institute advances Dartmouth's internationalization goals by fostering integration of our off-campus programs with Arts and Sciences academic units and with the broader liberal arts curriculum. Off-campus programs are jointly overseen by the Dean of Undergraduate Education, the Dean of the Faculty, and the Director of the Guarini Institute (a staff position).

In academic units offering off-campus programs, directing these programs comprises part of the normal workload for tenure-line faculty. Department Chairs bear a responsibility to distribute this duty fairly among all eligible faculty

members. Only under exceptional circumstances should Lecturers, Senior Lecturers, or visiting faculty direct such programs.

### Faculty Director Responsibilities

While off-campus programs vary in format, faculty directors are usually expected to:

- Promote the program to students
- Review applications to the program, select which students to accept, and to create a waitlist as needed. Enrollment decisions are communicated to students by the Guarini Institute.
- Teach one course, with the Directorship duties credited as a second course.
- Supervise the curriculum, including work with local faculty, onsite partners, and, when appropriate, a Director's Assistant.
- Ensure that all grades are promptly recorded in the Registrar's Office at the end of the term.
- Work with the Guarini Institute and onsite program partners to schedule one or more pre-departure orientation meetings with student participants.
- Faculty Directors serve as the primary Dartmouth official responsible for the supervision and welfare of the students participating in a program although directors will be supported in this role by Guarini Institute and onsite program staff. As such, faculty directors are expected to remain with the program for its duration.
- Work with the Guarini Institute and program partners to confirm in-country program logistics including student housing and excursions.
- Provide timely expense reporting to the staff of the Arts & Sciences Finance Center and the Guarini Institute so that these costs can be allocated to the proper College accounts.
- At the end of the program, submit a report summarizing important information about the program. The Guarini Institute will provide faculty directors with guidelines for completing the report.

### Faculty Director Preparation

Throughout the year, the Guarini Institute and its campus partners hold information sessions and workshops designed to provide faculty directors with additional and updated information in support of their role. Sessions offered regularly include, "Health, Safety & Liability on OCP's: What Faculty Directors Need to Know" and "Emotional First Aid." As this role is both challenging and complex, it is expected that faculty directors will attend these sessions when offered.

### Financial Support for Directors

Dartmouth has developed various policies that attempt to spare directors of off-campus programs from 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. Faculty Directors are reimbursed for economy class round-trip travel between Hanover and the site of the program. In some cases, premium economy fares may be authorized when flights exceed five consecutive hours in duration or other circumstances have been approved in advance by the Guarini Institute. Faculty Directors are expected to pay for any increase in rates resulting from early departures to or later returns from the program site. Flights should be reviewed by the Guarini Institute staff prior to purchase.

### Family Flights

Dartmouth acknowledges disruptions 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, with some restrictions (a taxable benefit). For these purposes, a "dependent" is defined as a spouse or benefits-eligible

domestic partner, or a dependent child 18 years of age or younger. When the faculty member directs a term-length program for a complete term and directs two or more off-campus programs within a four-year period (or four or more programs within an eight-year period), there are no restrictions on the length of stay for the dependents. When the faculty member directs fewer than two programs within a four-year period (or fewer than four within an eight-year period), the College will reimburse dependents' transportation for dependents that 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 limit, listed above, they are entitled to reimbursement of their dependents' travel regardless of the length of stay.

### Dependent Schooling / Daycare

Faculty directors anticipating the need to incur dependent schooling or daycare expenses more than what they would pay while at home in Hanover should contact the Guarini Institute to discuss their needs for additional financial support in this area. Any requests for such support should be made to the Guarini Institute at least 90 days in advance of the program and will be considered on a case-by-case basis in consultation with the Dean of the Faculty office.

### Housing / Accommodations

Housing and accommodation during the program will be covered by the Guarini Institute. You will be responsible for finding accommodation within budget parameters established by the Guarini Institute, and in many cases our program support partner may be able to facilitate this or recommend some options.

### Per Diem

You will receive a daily per diem, in a lump sum, at the beginning of the program. These rates are based on the US Government Per Diem rates. Dartmouth generally provides 50% of the Government rate, which reflects the nature and length of programming, and the fact that faculty have use of a kitchen and may purchase groceries. Note that the Per Diem rates may change based on the strength of the dollar worldwide, or other considerations, and may end up being lower than prior years.

### Local Transportation

Faculty directors receive a daily allowance to cover local transportation costs during the program. This is paid as a lump sum along with per diem.

### Worldwide Assistance

Dartmouth has contracted with a company called International SOS to provide worldwide travel security and medical assistance services for all faculty, staff and students. Additionally, as part of Dartmouth's international travel assistance program with International SOS, Dartmouth personnel traveling on a Dartmouth-sponsored program and their accompanying spouse and dependent children have access to additional medical expense coverage under a medical insurance plan with Everest Insurance. A document explaining the International SOS and Everest Insurance services is provided to faculty directors by the Guarini Institute.



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## DEAN OF UNDERGRADUATE STUDENT AFFAIRS

The Dean of Undergraduate Student Affairs in the School of Arts and Sciences is responsible for promoting the integration of academic life into the full range of student experiences. The division offers a variety of venues for all members of the Dartmouth community, including faculty, to connect with students through programming and events.

## STUDENT LIFE

The Office of Student Life supports a broad range of student organizations and activities.

- New Student Programs
- Center for Social Impact, including program initiatives with faculty
- Collis Center and Student Involvement
- Forensic Union
- Community Standards and Accountability

## RESIDENTIAL LIFE

The Office of Residential Life oversees Undergraduate Housing as well as community initiatives:

- House Communities: all students and faculty are assigned to one of the six houses
- Living Learning Communities
- Faculty engagement initiative.

## STUDENT AFFAIRS

This area includes Greek Life and Student Societies.

The office of Family Support may also be helpful to instructors if they are ever contacted by a student's family member.

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## CAMPUS-WIDE OFFICES

The following offices outside of the School of Arts and Sciences provide students, faculty, and staff with an array of opportunities for engagement and support. As members of the Dartmouth community, and in order to effectively advise and mentor students, faculty and staff should be well informed about these resources.

## CAMPUS AND COMMUNITY LIFE

The Division of Campus and Community Life fosters numerous cross-campus connections through several initiatives and offices.

### Office of Pluralism and Leadership

The Office of Pluralism and Leadership (OPAL) fosters a campus where all students can thrive, value difference, and contribute to a socially just world. OPAL provides student and organization advising, community building programs, leadership development programs, and institutional advocacy.

### Native American Program

Founded in 1970 in recommitment to Dartmouth's original charter, the Native American Program champions and supports Native American, Alaska Native, Native Hawaiian, First Nations, and other Indigenous cultures and communities through student advising, community programming, leadership development, and educational initiatives.

### William Jewett Tucker Center

The William Jewett Tucker Center cultivates spiritual and ethical lives, builds relationships and understanding across identities, and engages in dialogue on meaningful issues.

To assist with calendar planning and awareness of our diverse religious and spiritual community, the Tucker Center maintains a list of holy days. The list represents major holy days which may impact campus events in general, as well as student course attendance, exams, Commencement, and participation in Dartmouth activities.

### Outdoor Programs

The Outdoor Programs Office envisions bringing the outside into everything Dartmouth does, from academics to wellness to the first-year experience. It sponsors the Outing Club and oversees multiple facilities that accessible to students, faculty, and staff.

### Dartmouth Dialogues

Dartmouth Dialogues is facilitates conversations and skills that bridge political and personal divides. Programs within Dartmouth Dialogues are typically events that expose members of the community to thoughtful, intelligent, and interesting perspectives that might be different from their own.

### Dialogues Project

The Dialogue Project, founded within Arts and Sciences, aims to teach the skills of dialogue and provide opportunities to practice those skills in classrooms and co-curricular activities.

### Office of Civic Engagement and Expression

The Office of Civic Engagement and Expression facilitates education and develops programming related to Freedom of Expression and Dissent and Civic Engagement to ensure that all students can develop skills critical to building excellence, inspiring curiosity, and fostering understanding and/or new ways of thinking.

### Office of State Government Relations and Community Engagement

The Office of State Government Relations and Community Engagement supports Dartmouth's mission as an educational institution to serve its students as well as the Upper Valley community through its role as an employer, collaborator, and innovator.

## INTERNATIONAL STUDENT EXPERIENCE OFFICE

The International Student Experience Office, part of Institutional Diversity and Equity, supports international students in their transition to campus and throughout their academic experience.

## HEALTH AND WELLNESS

Multiple offices and initiatives support health and wellness at Dartmouth. Wellness campus-wide is for all students and employees, as are many services provided by the offices listed here.

### Student Health Service

The Dartmouth Student Health Service, commonly referred to by its location in “Dick’s House” at 5 Rope Ferry Road, provides on-campus primary care, counseling and psychiatric services, an in-patient department for students during the term, a wide variety of other student health and wellness services, and a pharmacy that serves students, faculty and staff.

### Student Wellness Center

The Student Wellness Center offers many programs that support the wellbeing and safety of students.

### Mental Health and Wellbeing

Initiatives related to Mental Health and Wellbeing seek to support students with specific and immediate actions as well as long-term initiatives to assess and enhance the campus environment, physical infrastructure, and student support systems.

Faculty and staff can get involved by participating in trainings and events offered through this office.

## ATHLETICS AND RECREATION

Athletics and Recreation includes varsity sports as well as club sports, physical education classes, and multiple facilities open to all Dartmouth students and employees.

## 4. TENURE-LINE FACULTY POLICIES

The tenure-line faculty includes both tenure-track and tenured faculty at the ranks of Instructor (Contingent) (defined in Section 6), Assistant Professor, Associate Professor, and Professor.

### TEACHING AND RESEARCH

#### ACADEMIC CALENDAR AND RESIDENCY

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 tenure-line faculty are obligated to teach or to take on other assignments for three of the four terms—three “on terms” and one “free term.” 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 provides a significant degree of flexibility for faculty to vary their teaching schedules, to combine free terms with sabbaticals, and to schedule their research opportunities in a way compatible with their teaching and other College obligations. All teaching schedules are approved by the appropriate Associate Dean.

#### Definitions and Policies:

- Teaching Term: An on-term in residence on campus when faculty have a teaching assignment.
  - Faculty teach either one or two courses during a teaching term.
  - Teaching on a formal off-campus program is considered a two-course teaching term “in residence.”
  - Faculty may not teach three courses in one term except in extraordinary situations and with approval.
- Residence Term (R-Term): An on-term in residence on campus when faculty do not have a teaching assignment.
  - During R-terms, faculty are expected to be on campus regularly and to continue to fulfill all college and departmental/program responsibilities such as committee and governance participation, thesis advising, supervision of student research, and the teaching of independent study courses.
  - Summer term cannot be used as an R-Term except in extraordinary situations and with approval.
  - When legitimate scholarly pursuits arise that would be aided through extended absence during an R-term, faculty must seek approval from the chair and relevant Associate Dean(s) by the end of the previous term.
    - If approval is given for an absence of greater than two but less than four weeks, the R-term will typically not accrue a sabbatical credit.
    - If approval is given for an absence of greater than four weeks during an R-term, typically no sabbatical credits will accrue for the entire academic year.
- Free term: An “off term” in which faculty do not have teaching, service, or residency expectations.
- Course reductions: Faculty may have their teaching obligations temporarily reduced for a variety of reasons, such as serving as Chair of an academic department or program, select endowed professorships, or overloads from a prior year.
  - The maximum number of course reductions from all sources that can be carried forward from one year to the next cannot exceed the equivalent of one year's teaching assignment (typically three or four). This limit supersedes all other arrangements, terms, and conditions concerning course reductions.
  - All teaching schedule change requests that include course reductions must be formally requested through the Schedule Adjustment Request Portal.

## COURSE TRADES

The academic calendar provides opportunities for course trading from one year to the next. In such cases, faculty members are still required 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). Course trading does not increase the number of free terms per year. Such an arrangement requires approval in advance by the appropriate Associate Dean.

For example, a faculty member who typically teaches four courses per year (eight over two years) could teach five courses in one year and three courses the following year, or defer one course in combination with a sabbatical term.

Course trades must be formally requested through the [Schedule Adjustment Request Portal](#).

The following samples are based on a typical annual four-course assignment.

YEAR 1					YEAR 2				
	Summer	Fall	Winter	Spring		Summer	Fall	Winter	Spring
CASE 1	T 2	T 2	T 1	F		F	R	T 1	T 2
CASE 2	F	T 2	R	S		F	T1	T2	T 2

T 2= Teaching two courses

T 1 = Teaching one course

R = In Residence

F = Free Term

S = Sabbatical

## TERM TRADES

Term trading can enable a faculty member to be free from all College commitments for one of the three terms comprising the normal academic year assignment. In other words, two free terms can take place in one year. Term-trading arrangements may 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. Such schedules require formal approval in advance by the appropriate Associate Dean.

The conditions of a formal term trade are as follows:

- Over the two-year period, six terms out of eight must be in residence with 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 non-teaching residence term.
- Faculty are not allowed to have more than one non-teaching R-term in each academic year.
- Term trades must be formally requested through the [Schedule Adjustment Request Portal](#).

The following samples are based on a typical annual four-course assignment.

	YEAR 1					YEAR 2			
	Summer	Fall	Winter	Spring		Summer	Fall	Winter	Spring
CASE 1	T2	T2	R	T2		F	S	F	T1
CASE 2	F	F	T2	T2		T2	R	T1	T1
CASE 3	T1	T2	T2	R		F	F	T2	T1

T 2 = Teaching two courses

T 1 = Teaching one course

R = In Residence

F = Free Term

S = Sabbatical

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

## COURSE REDUCTIONS

Faculty may have opportunities for course reductions from internal or external sources. If the course reduction is part of a funding proposal, then the proposed teaching schedule must be reviewed by the Chair and Associate Dean prior to submitting the proposal to any funding source. Once the reduction has been approved, the schedule change itself must be approved by the Chair and Associate Dean. Approved course reductions may not be applied to courses in which students are already enrolled. Faculty must provide a proposed teaching schedule in time to enable a proper assessment of the impact on the curriculum and overall teaching plans in the department/program. Depending on the needs of the department/program, the proposed teaching schedule may need to be adjusted before being approved.

Teaching schedule change requests that include course reductions must be formally requested through the [Schedule Adjustment Request Portal](#).

## SPONSORED 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 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 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 the faculty member will be expected to be on campus and fully available for student advising and all non-teaching assignments.
- Specific teaching schedules must be approved by the Chair and Associate Dean, and may be modified according to the overall needs of the department/program. Teaching schedule change requests that include course reductions must be formally requested through the [Schedule Adjustment Request Portal](#).

## BURKE RESEARCH AWARDS

Since 1986, the Sherman Fairchild Foundation and the Burke Family have supported research initiation awards for newly hired Assistant Professors; in 2023, this program expanded to include recently tenured and promoted Associate Professors. Named in honor of a former College Trustee Walter Burke and his wife, Constance Burke, these funds provide research and professional development support in all disciplines.

- **Burke Research Initiation Awards.** This award provides start-up support during the first six years of an appointment as Assistant Professor. At the beginning of their appointment, new faculty [apply for the Burke Award](#), which is administered through the Arts and Sciences Finance Center (ASFC).
  -
- **Burke Sustaining Excellence Awards.** This award provides ongoing research and professional development for recently tenured and promoted Associate Professors during the first eight years of their appointment in rank.
  - Faculty become eligible for a Burke Sustaining Excellence Award after they have exhausted both their Burke Research Initiation awards and College-funded startup accounts.

## 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 \(FRPDF\)](#) for tenure-line faculty members in the rank of Assistant, Associate Professor, and Professor.

Faculty become eligible for FRPDF after they have exhausted funds from Burke Research Initiation Awards, College-funded startup accounts, and Burke Sustaining Excellence Awards.

## INDIVIDUAL RESEARCH RESERVE (IRR)

The Individual Research Reserve (IRR) account is Dartmouth funding that supports a faculty member's research costs. IRR accounts can be charged for allowable direct expenses but not for the salary of the account holder. For faculty with sponsored awards, funds are deposited annually into an IRR account from DOF subvention

before the end of December based on a running average of indirect costs generated on sponsored projects over the preceding two fiscal years. Funds may also be provided by Dartmouth for specific research activities. For example, certain professional development opportunities may offer compensation in the form of research funds, which would be deposited in an IRR account. The balance of an IRR account carries forward at the end of the fiscal year. When a faculty member departs from Dartmouth, the balance is returned to the College.

## NAMED CHAIRS

Named Chairs are endowed professorships that carry the name of a donor or other honoree. Appointments to Chairs are honorific, reflecting the special distinction that the holder of the Chair brings to the College and to the profession. Appointments are made by the Board of Trustees upon the recommendation of the Dean of the Faculty and the Committee Advisory to the President (CAP).

Most endowed chair appointments are for a period of five or ten years.

When an endowed chair appointment provides a fund for research and professional development directly from an endowment that supports the chair and the amount provided is equal to or greater than FRPDF or a Burke Sustaining Excellence Award, the endowed chair funding replaces those funds for the duration of the chair appointment.

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## PROFESSIONAL LEAVES

In support of our teacher-scholar model, the Dean of the Faculty office provides a variety of leave opportunities. 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. All supported leaves are considered part of the faculty member's service to the College, and are granted on the assumption that colleagues and students will benefit from the enlarged perspectives of the faculty member. Accordingly, as a matter of principle, supported leaves are awarded with full salary and continuation of benefits.

Faculty granted a professional leave must return to their regular appointment for no less than one year following the leave.

Since professional leaves are intended to provide a faculty member with an uninterrupted opportunity for research and intellectual refreshment, faculty on a supported leave may not 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.

Faculty who are preparing proposals, internal or external, that include opportunities for course reductions, requirements for physical space, or commitments of any other College resources must discuss their proposals with their Chair and Associate Dean prior to submission. Some proposals may not be viable, depending on their broader impacts on College resources. Faculty planning a professional leave or course reduction supported by any source (Dartmouth, a grant, a gift, or any external organization) must provide a proposed teaching schedule for review by their Chair and Associate Dean prior to submitting their proposal to any potential funding source.

Following consultation, all leave requests are initiated through the [Schedule Adjustment Request Portal](#). Most requests require a specific proposal and teaching schedule agreement, which is reviewed and must be approved by the department/program Chair, the Associate Dean, and the Arts and Sciences Fiscal Office. Approval and specific teaching schedule changes are contingent on department/program teaching needs or other factors.



## LEAVE TERM DEFINITIONS

The quarter system provides faculty with a variety of flexible timelines for their leave requests. The relationship between leave terms and teaching depends on the faculty member's regular full-time teaching responsibility. The definitions outlined here apply to all the various types of leaves—both professional (detailed below in this section) and personal (detailed in Section 10). All types of professional and personal leaves may occur in combinations to yield 2-term or 3-term leaves in a single academic year. When requesting leave terms, faculty may also request to make course trades and/or term trades (described above).

- Four courses per academic year:
  - 1-term leave: 3 courses to be taught
  - 2-term leave: 1 course to be taught
  - 3-term leave: 0 courses to be taught
- Three courses per academic year:
  - 1-term leave: 2 courses to be taught
  - 2-term leave: 1 course to be taught
  - 3-term leave: 0 courses to be taught

## SABBATICALS (SAB)

All tenure-line 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. During a sabbatical leave (SAB), faculty are free of all teaching and residence responsibility, and have no service obligations.

Applications for sabbatical leave should be initiated in the fall of the year prior to the year when the leave would take place. Approval of sabbatical leave is not automatic. In reviewing requests, chairs should consider the overall needs of the department or program. They should consult with colleagues and/or the Associate Dean as needed. The Chair and/or the Associate Dean may require adjustments to the proposed leave plan. The proposed teaching and leave schedule must be entered through the Schedule Adjustment Request Portal.

Faculty accrue one sabbatical credit for each term of teaching or in residence (R-term). Sabbatical credits and leave are structured as follows:

- 1-term leave for 9 terms of credit (typically after three years, with three credits accrued each year)
- 2-term leave for 18 terms of credit (typically after six years, with three credits accrued each year)
- 3-term leave for 27 terms of credit (typically after nine years, with three credits accrued each year)

## Accrual and Leave Benefits

- Faculty can request to combine SAB leave with other types of professional leave (JFF, SFG, PRST, etc.) and with course or term-trading to provide an extended period of research or creative activity.
- Chairs of departments/programs who serve four consecutive quarters (one complete year) receive one additional sabbatical credit for each complete year of service at the end of their chair appointment.
- If a faculty member has regular teaching terms or R-terms during an academic year when they have a 1-term or 2-term sabbatical, each of those teaching or R-term is awarded one credit toward future sabbatical.
- 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 faculty who have obtained outside funding to cover salary for part of the leave period.

- Part-time faculty members accrue sabbatical credits on the same schedule as full-time faculty, with course reduction proportional to the appointment structure.
- An individual approaching retirement is 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.

### Accrual and Leave Limitations

- No more than three credits may be accrued in a single academic year (except in the specific instance of a term trade). This is the case even if the faculty member teaches in all four academic terms or is teaching/in residence during all four academic terms.
- A sabbatical credit may only be granted during the summer term if the faculty member teaches a formal course since the summer term cannot count as an R-term.
- Faculty who “owe” courses due to cancellations, course trades, term trades, or any other reason, may not apply for sabbatical until they have taught those courses. Faculty may, however, use sabbatical credits to offset the owed course(s).
- Faculty who have made a course or term trade agreement may not apply for sabbatical until the agreement is completed.
- Sabbatical credits do not accrue beyond one year's compensation (i.e., 27 credits), unless an exception is stipulated in an appointment letter for a senior-level administrative position (e.g. Associate Dean, Dean, Provost). Other exceptions may be approved under other special circumstances.
- Sabbatical credits do not accrue during any type of leave (e.g., Junior Faculty Fellowship, Senior Faculty Grant, Prestigious Award, medical leave, etc.).
- Sabbatical credits do not accrue during a free term in which the faculty member may be engaged in research (federally funded or otherwise), or in other types of institutional service (e.g., House Professor, Director).
- Sabbatical credits do not accrue when a faculty member has an approved arrangement to be out of residence during an R-term (see [Residency policies above](#)).
- Faculty who accept extra teaching for additional compensation do not accrue additional sabbatical credits.
- Sabbatical leaves are not granted to persons who have elected FRO.
- Sabbatical leaves are not granted to persons in a period of terminal appointment.

## JUNIOR FACULTY FELLOWSHIP (JFF)

All Assistant Professors who are reappointed to a second three-year term are awarded a [Junior Faculty Fellowship \(JFF\)](#). JFFs provide a 1-term leave, permitting Assistant Professors to pursue study and research of significance to their own professional development. These fellowships must be taken in the first or second year following the reappointment decision.

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 following the year of the leave.

A 1-term JFF can be combined with a 1-term Sabbatical to create a 2-term leave, with the approval of the Chair and Associate Dean. The proposed teaching and leave schedule must be entered in the [Schedule Adjustment Request Portal](#).

## SENIOR FACULTY GRANT (SFG)

Senior Faculty Grants (SFG) are made each year to a limited number of Full Professors and Associate Professors on a competitive basis. The purpose of this program is to provide a one-term leave for tenured members of the faculty who seek support for research or creative projects of unusual promise.

Beginning in 1977, the Trustees initiated a program of grants for scholarly activity 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. Often, only one in six applications can be approved. Usually a total of six grants are awarded annually.

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.

A 1-term SFG can be combined with a 1-term Sabbatical to create a 2-term leave, or with a 2-term Sabbatical to create a 3-term leave, with the approval of the Chair and Associate Dean. The proposed teaching and leave schedule must be entered in the Schedule Adjustment Request Portal.

## PRESTIGIOUS AWARD PROGRAM (PRST)

Faculty are encouraged to apply for external research fellowships and awards. Depending on the terms of the program, the Dean of the Faculty provides supplementary funds to enable faculty to be released from teaching and other duties in order to pursue full-time research. Faculty who are awarded fellowships from external granting institutions may apply to the Associate Dean for support under the Prestigious Awards Program (PRST). If approved, Dartmouth will make up the difference between the award amount and the faculty member's compensation (base salary and benefits). Financial support for awards is provided on the assumption that colleagues and students will benefit from the enlarged perspectives of the faculty member. Accordingly, acceptance of support under the Prestigious Awards Program carries with it a commitment to return to the faculty for no less than one year.

The proposed teaching and leave schedule must be entered in the Schedule Adjustment Request Portal along with a copy of the award letter.

Awards for \$50,000 or more from one of the following programs confers 2 terms of PRST leave: Guggenheim Foundation, Andrew Carnegie Fellows Program, National Endowment for the Humanities (NEH), National Endowment for the Arts (NEA), American Council of Learned Societies (ACLS), Fulbright Program.

Awards from other institutions that meet the following criteria may qualify for 1, 2, or 3 terms of PRST leave:

1. The fellowship must require that Dartmouth release the faculty member from all teaching (including at a host institution) during the period of the fellowship.
2. The award amount must be sufficient to cover a portion of the faculty member's compensation, with the number of leave terms determined on the following ratios:

Award amount as proportion of faculty member's annual compensation (base salary and benefits)	Terms of PRST leave
$\geq 1/6$	1
$\geq 1/3$	2
$\geq 1/2$	3

### Additional Benefits:

- Course reductions for leave associated with PRST follow the same rubric as for SAB.
- When a 2-term PRST is granted for an award that requires residency, or release from duties, for at least 9 months, a 1-term residency waiver will also be granted.
- PRST may be combined with SAB leave terms and with course or term-trading to create uninterrupted time for significant research opportunities.
- A faculty member with fewer than 9 sabbatical credits accrued may, with the approval of the Associate Dean, trade ahead for one SAB leave term to pair with one term of PRST if the additional sabbatical credits required for the SAB leave are accrued by the end of the academic year following the PRST term.

### Limitations

- A maximum of 3 terms of PRST can be awarded over a two-year period.
- Due to limited funding, faculty who receive PRST leave must wait four years before they are eligible to apply again for a PRST leave.
- PRST does not apply to budget-based awards. Those awards usually follow the policies described under RESL or LOC leaves, depending on the nature of the award.

## RESEARCH LEAVE (RESL)

Research Leave (RESL) typically applies to sponsored projects, where a faculty member requests to use grant funds to reduce their teaching assignment in order 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. Other policies related to compensation and sponsored research are under Compensation and Benefits (Section 10).

Faculty involved in any proposal, internal or external, that includes opportunities for course reductions or leave terms under RESL must consult with their Chair and Associate Dean prior to submitting the proposal. It is essential to include accurate and sufficient funding levels in proposals, since an underfunded proposal may preclude the approval of leaves and/or course reductions even if the proposal is successful. Consultation should also include the specific proposed teaching schedule that would be implemented if the proposal is successful.

The proposed teaching and leave schedule must be entered in the [Schedule Adjustment Request Portal](#).

### RESL as Leave Term

- The faculty member covers 1/3<sup>rd</sup> (3/9ths) of their annual compensation (salary plus benefits) for each term of leave.
- Course reductions are granted according to the Sabbatical policy.
- There are no expectations of participation in department/program or College responsibilities.
- Sabbatical credit does not accrue.
- Faculty are not eligible to contribute to a Salary Research Reserve account (SRR).
- Faculty continue to be paid through the Dartmouth College payroll system and receive full benefits.

### RESL as Course Reduction

- This arrangement reduces teaching but not other department/program or College responsibilities.
- In order to fund a course reduction, a faculty member must first draw a full 3/9 salary from external sources during their free term.

- Once this condition has been met, the faculty member can pay for a one-course reduction with 1/6 of their 9-month compensation (1.5/9ths).
- Sabbatical credit does accrue.
- Only one RESL course reduction will be granted per academic year.
- An RESL course reduction does not combine with other arrangements to reduce teaching obligations.
- This arrangement is not eligible for SRR.

## LEAVE ON OWN CHARGES (LOC)

Leaves of absence on own charges (LOC) are leaves without compensation. They 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 for the faculty member. LOC is typically granted for periods of up to one year. In exceptional cases, most often related to government service, leaves for a two-year period may be approved. Each term of LOC entails a reduction of the faculty member's annual compensation (salary plus benefits) by 1/3<sup>rd</sup>, with teaching and service obligations adjusted according to the leave term definitions above depending on the number of terms of leave. Half-terms at 1/6 compensation reduction are also possible. All LOC leaves must be approved by the relevant Associate Dean.

LOC is often 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, LOC is normally not granted to permit a person to undertake a probationary teaching appointment at another college or university. Any LOC approved for a tenure-track faculty member does not imply an extension of the reappointment or tenure clock. Such extensions require separate approval by the Committee Advisory to the President.

Written requests for LOC should be made through Schedule Adjustment Request Portal. Requests are reviewed by the department or program for endorsement and forwarded to the Associate Dean. Approval by the Dean of the 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. A faculty member on LOC may only access funding from Dartmouth research accounts for activities related to their position at Dartmouth. Plans for accessing funding should be indicated on the leave request form.

Faculty members on LOC may 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.

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## 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. Any adjustments to standard policies are noted at the relevant places throughout this Handbook.

All less than full-time tenure-line 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, requires both departmental or program approval and action by the CAP before the President transmits a recommendation which ultimately must be approved by the Trustees.

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## **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 expected that an individual will resign a Dartmouth tenured position when accepting one elsewhere. A letter of resignation from the Dartmouth appointment, with an effective last date of employment (normally June 30), must be submitted to the Dean of the Faculty within thirty days of accepting a tenured appointment at another institution.

## 5. TENURE-LINE REAPPOINTMENT, TENURE, AND PROMOTION

Different levels of the institution have different perspectives on its needs. Therefore, assessment for reappointment, tenure, and promotion of tenure-track faculty occurs at multiple levels of the institution. Assessing the competence and performance of faculty members is the responsibility of the department and program faculty, the Associate Deans, the Dean of the Faculty of Arts and Sciences, the Committee Advisory to the President (CAP), and the President of Dartmouth College. Tenure appointments will be made only when there is clear evidence of outstanding accomplishment and demonstrated potential for distinction in scholarship and teaching, with scholarship including artistic and/or creative production.

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 and/or promotion to the CAP, considers the needs of the department or program, in addition to the Candidate's qualities as a scholar, a teacher, and a contributor to intellectual communities at the College and beyond.

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### CONFIDENTIALITY

The integrity and the fairness of the assessment process depends on confidentiality. Every participant in the assessment of a candidate for appointment, reappointment, tenure and/or promotion agrees to practice and uphold this core principle. Participants must never disclose or discuss the contents of any confidential written evaluation of a candidate with the Candidate or with anyone else not authorized to access that evaluation. Similarly, participants in committee deliberations about a candidate may not disclose or discuss the contents of those deliberations with the Candidate or with anyone else not authorized to receive a report of those deliberations. The practice of confidentiality is crucial to maintain professionalism, collegiality, and intellectual community at Dartmouth, as well as the College's reputation in the wider world.

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### COMMITTEES FOR REAPPOINTMENT, TENURE, AND PROMOTION REVIEWS

Committees for review of reappointment, tenure, and promotion normally consist of the tenured members of the Candidate's department or program, chaired by the department or program Chair. In the case of promotion to Full Professor, only tenured Full Professors participate in the review.

A committee must consist of at least four voting members. Per the OFASDC (Section IV.E), the voting members consist of the tenured faculty of appropriate rank who have at least a 50% appointment in the department or program.

All eligible faculty in the department/program are expected to participate in review committees according to their rank, with the following exceptions:

- Faculty who may not serve:
  - Leave on Own Charges (LOC)
  - Conflict of interest due to family relationship (as defined in Section 9: Research and Employment Policies)
- Faculty who should not be asked to serve but may choose to do so:
  - Personal leaves: medical, pregnancy, parental, family, military, or disability
- Faculty who are not expected to serve but may choose to do so:
  - Professional leaves: sabbatical, research (RESL), prestigious award, senior faculty grant
  - Flexible Retirement Option (FRO)
  - Off-campus program teaching assignment
  - Free term

Only members of the review committee may view the candidate's dossier or be informed of any aspects of the proceedings. Those tenured professors who are not part of the committee (for whatever reason) may not have access to the candidate's dossier, may not be informed of the deliberations, may not contribute to the committee's letter, nor may they vote on the case. They also may not convey their opinions to the Chair, Associate Dean, or CAP. The Chair may, however, inform them of the overall result of the committee's vote.

Committees are expected to meet in person and to vote during the meeting. Individuals may be approved by the Associate Dean to participate via video conference under certain circumstances.

The committee Chair is allowed to cast a vote. If they prefer, the Chair may choose to abstain, unless their vote is needed to break a tie.

When more than one candidate from a department or program is being considered for the same rank in the same 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.

## **AD HOC COMMITTEES**

If a department or program does not have at least four tenured faculty eligible to serve on the review committee, an ad hoc committee will be appointed. By May 1 of the review year, the Associate Dean should confer with the Candidate and the department or program Chair regarding the composition of the ad hoc committee. The Associate Dean will assemble a list of potential committee members, submit it to the CAP for approval, and appoint the committee.

The ad hoc committee will include the eligible tenured faculty from the department or program and a minimum of two additional tenured faculty from one or more other departments or programs to bring the total committee membership to at least four. In exceptional cases, the Dean of the Faculty may recommend that the CAP augment the committee with at least two additional tenured faculty members, even if there are already four or more in the department or program.

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## **EXTENSION OF TIMELINE FOR REAPPOINTMENT OR TENURE REVIEW**

Extensions of the timeline for reappointment or tenure review are granted for several reasons. The process for extension depends on the reason for the postponement. If an extension is granted before reappointment, it can be used to defer either the reappointment review or the tenure review (with the reappointment review taking place as originally scheduled). Faculty preparing for a personal leave request should first consult with the Assistant Dean for Faculty Affairs (more details in Section 10).

## **PREGNANCY/PARENTAL LEAVE**

Tenure-track faculty members with an approved pregnancy and/or parental leave will automatically be granted an extension of the reappointment or tenure review timeline.

- For each child associated with an approved pregnancy and/or parental leave, a faculty member will be granted a one-year extension of the reappointment or tenure review timeline.
- Since extensions related to pregnancy and/or parental leave are automatic, faculty members who opt to forego extension of the reappointment or tenure review timeline must notify the Associate Dean in writing.



## MEDICAL LEAVE

Tenure-track faculty members with an approved medical leave will automatically be granted an extension of the reappointment/tenure review timeline.

- For each academic year in which one or two terms of medical leave are approved, a faculty member will be granted an extension of the reappointment/tenure review timeline by one year.
- If a faculty member has approved medical and pregnancy/parental leaves in the same academic year, and the combined total of personal leaves is more than two terms, the reappointment/tenure review timeline will be automatically extended by two years.
- Since extensions related to medical leave are automatic, faculty members who opt to forego extension of the reappointment/tenure review timeline must notify the Associate Dean in writing.

## PERSONAL EXIGENCY

Individuals with extenuating circumstances due to personal exigencies, such as health matters not related to medical leaves or personal or family matters that impose special and arduous burdens or impediments, may request a postponement of the reappointment/tenure review with a concomitant extension of the existing contract. Faculty who are considering a personal exigency request should consult first with the Assistant Dean for Faculty Affairs.

The process for requesting a timeline extension due to personal exigencies is the following:

1. The faculty member makes a written request directly to their Associate Dean. The request should include an explanation of how the matter specifically impacted their scholarly productivity. The faculty member should follow guidance from the Assistant Dean for Faculty Affairs as to how much personal information is necessary in the written request. The request itself is intended to remain confidential from colleagues in the faculty member's department/program.
2. The Assistant Dean for Faculty Affairs will certify to the Associate Dean, as appropriate, that documentation or other detailed information has been reviewed. Such details are intended to remain confidential from the Associate Dean to the extent that is reasonable.
3. The Associate Dean brings the request for review to the other Associate Deans and the Dean of the Faculty for discussion and vote.
4. The Associate Dean makes a written recommendation to the CAP, summarizing the circumstances in general terms without providing personal details or the faculty member's written request. The CAP reviews the Associate Dean's letter and either approves or denies the timeline extension.
5. The Associate Dean informs the faculty member of the CAP's decision. If the CAP approves, the Associate Dean also informs the department/program chair (without disclosing the details of the matter, which remain confidential). If the CAP does not approve the request, the department/program is not notified.

## PROFESSIONAL EXIGENCY

Individuals with extenuating circumstances due to professional exigencies, such as equipment delays, may request a postponement of the reappointment/tenure review with a concomitant extension of the existing contract.

The process for requesting a timeline extension due to professional exigencies is the following:

1. The faculty member makes a written request addressed to the department/program chair, explaining the circumstances and the impact on their scholarly productivity.
2. The chair convenes a meeting of the tenured members of the department/program to discuss the request. Following discussion, an anonymous vote takes place.

3. The chair makes a written report summarizing the tenured faculty's discussion and vote, providing the Associate Dean with this letter along with the faculty member's request.
4. The Associate Dean brings the request for review to the other Associate Deans and the Dean of the Faculty for discussion and vote.
5. The Associate Dean makes a written recommendation to the CAP, summarizing the circumstances, the department/program's recommendation and vote, and the discussion and vote of the Associate Deans and Dean of the Faculty. The CAP reviews the Associate Dean's letter and either approves or denies the timeline extension.
6. The Associate Dean informs the faculty member and the chair of the CAP's decision.

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## **ANNUAL REVIEW OF TENURE-TRACK FACULTY**

Assistant Professors and untenured Associate Professors receive regular evaluations of their performance from tenured faculty and the Associate Dean.

Evidence of teaching effectiveness should be regularly documented in preparation for well-informed reappointment and tenure reviews. To produce the most complete assessment possible, multiple methods should be used, such as class visitations by tenured faculty, team teaching with tenured colleagues, student course evaluations, and interviews of selected students.

Each year on April 1, tenure-track faculty submit the Faculty Record Supplement (FRS) along with an updated CV. Together, the FRS and CV convey a snapshot of scholarship, teaching, and service activities.

After April 1, the tenure committee (or the mentoring committee if there are fewer than four tenured faculty) meet to assess the progress of tenure-track faculty. Committees prepare a written evaluation of the progress in scholarship, quality of teaching, and contributions to the overall activities of the department or program, the College, and the profession. The review letter should identify points of strength that should be maintained and also specific areas where improvement is needed to meet the department or program's expectations for excellence in scholarship and teaching that will be required for reappointment, promotion and tenure. Such expectations should be discussed on a regular basis by the tenure committee.

After drafting the review letter in consultation with the tenured faculty, the Chair then meets with each Assistant Professor to discuss the evaluation. The final version of the review letter should reflect this conversation as well as the committee's recommendations. The final version should be reviewed by all the tenured faculty.

The review letter should be provided directly to the tenure-track faculty member and also submitted to the Associate Dean through the FRS portal. The information in the evaluation is advisory.

Tenure-track faculty also meet annually with the appropriate Associate Dean to review the evaluation. The faculty member may invite a mentor to attend the meeting as well. Tenure-track professors may choose to respond in writing to the tenure committee and to the Associate Dean as a matter of record to accompany the annual review letter.

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## **REAPPOINTMENT OF ASSISTANT PROFESSORS**

Typically, reappointment reviews take place in the third year for Assistant Professors. If a Candidate has had their timeline extended for any reason, the review nonetheless assesses their record according to the standard expectations for a third-year reappointment.

The Associate Dean is the primary conduit of information about the process to the Candidate and bears primary responsibility for ensuring that the reappointment review process conforms to College policies. The Chair of the

reappointment committee also remains in close communication with the Candidate throughout the reappointment procedure.

If, at any time, the Associate Dean or Dean determines that the reappointment review process has been compromised, the CAP will delay deliberation until the issues have been resolved; the Associate Dean will inform the Chair when appropriate.

## REAPPOINTMENT REVIEW PROCEDURES AND DEADLINES

### April 1 before the reappointment year

The Candidate submits their FRS and updated CV, as usual for the annual review process. During the subsequent meetings, the Chair and Associate Dean review the reappointment process, including who will serve on the reappointment committee.

### May 1 before the reappointment year

If an ad hoc committee needs to be appointed, the Associate Dean and Dean recommend one to the CAP according to the process described above under Committees for Reappointment, Tenure, and Promotion Reviews.

### October 1 of the reappointment year

The Chair submits to the Associate Dean the names of the eligible tenured faculty who have confirmed their availability and intention to participate on the reappointment committee. Any subsequent changes to the committee require approval by the Associate Dean.

### November 1 of the reappointment year

The Candidate submits the following dossier electronically through Interfolio:

1. Updated C.V.
2. Two-page, single-spaced, statement about their scholarship or creative practice, teaching, and service. This statement should contextualize the work and explain the connections between individual works. It should be accessible to the non-specialist members of the CAP.
3. Two-page, single-spaced statement that provides a forward-looking plan of work projected for the next several years, in preparation for the tenure review. This statement should be accessible to the non-specialist members of the CAP.
4. Copies of completed work, such as published or forthcoming articles, conference papers, artist's portfolio, etc. Candidates may include work in progress that is ready for circulation, but this is not required.
5. List of courses taught since the beginning of appointment as Assistant Professor.
6. Most recent syllabus for each distinct course taught. Candidates may also include course materials, such as assignment descriptions, that illustrate particular teaching accomplishments.

Following the November 1 deadline, the Candidate should make the Chair and Associate Dean aware of any significant updates to the dossier, such as publications, contracts, grants, or awards.

Any modification of the November 1 deadline for submitting the dossier must be authorized by the Associate Dean.

### December 1 of the reappointment year

The committee submits a reappointment recommendation letter to the Associate Dean. Any modification of the December 1 deadline must be authorized by the Associate Dean.

The tenured members of a department or program meet to discuss the Candidate's dossier and to vote on whether to recommend reappointment. A department or program recommendation for reappointment must provide evidence of performance that demonstrates excellence in scholarship and teaching and that shows promise of future distinction. In addition, the letter must include an estimate of the Candidate's long-term prospect for promotion and tenure. The methods used for evaluation should be stated in the letter.

The committee must use a secret ballot. The committee chair's letter to the Associate Dean indicates who was present, who was not present, with a brief explanation of their absence, and how many members voted for and against recommending reappointment, and how many abstained. For the purposes of determining if the majority of the votes are favorable, abstentions are included in the total. The committee must recommend either reappointment or a one- year terminal appointment at the rank of Assistant Professor. A tie vote is effectively a vote against recommending reappointment.

After the committee has met to deliberate on reappointment and voted, the Chair writes a letter to the Associate Dean, drafted in consultation and shared with all members of the committee, that 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 explains the reasoning of the majority, should reflect the full discussion, including dissenting points of view.

If individuals feel that the committee's letter does not adequately represent their particular perspectives, they may 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 reappointment committee. They will then be submitted to the Associate Dean along with the committee's letter. If the Associate Dean determines that a dissenting letter is inconsistent with the procedures set out in these guidelines, the Associate Dean may choose to exclude it from the dossier. Further, if the Associate Dean determines that the committee's letter is inconsistent with the procedures set out in these guidelines, the Associate Dean may ask the Chair to revise the letter in consultation with the committee.

After the committee concludes its deliberations, but before the Chair submits the committee's letter to the Associate Dean, the Chair will inform the Candidate of the recommendation (positive or negative). The letter itself will be provided to the Candidate after the CAP review.

#### Winter Term of the reappointment year

The Associate Dean transmits the Candidate's dossier to the Dean of the Faculty, who, in turn, places the case on the CAP's agenda. The dossier includes:

1. Candidate's C.V
2. Candidate's two statements
3. List of courses taught since the beginning of appointment as Assistant Professor
4. Committee's letter
5. Associate Dean's recommendation, based on an independent assessment of the evidence. In no instance shall the Associate Dean share their personal recommendation with the Candidate, or with the department or program.

The CAP may require changes in the wording of the committee letter to be shared with the Candidate. The Associate Dean will transmit any recommended changes to the Chair and require that they be incorporated in the letter before the letter is shared with the Candidate by the Dean.

Following the CAP action and approval of the final version of the committee letter by the Associate Dean, the Candidate will be provided with a copy of the committee letter (including any revisions suggested by the CAP) and a

statement of the CAP action on the reappointment. The Candidate will then meet separately with the Chair(s) and with the Associate Dean. The purpose of these discussions is to provide constructive recommendations to the Candidate to guide their efforts toward promotion and tenure.

The reappointment committee letter will be included in the dossier submitted to the CAP if and when the Candidate is considered for tenure and promotion to Associate Professor.

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 at the rank of Assistant Professor with a regular teaching assignment.

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## TENURE AND PROMOTION TO 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 and must be handled with the strictest confidentiality.

Tenured members of the department or program normally consider promotion of an Assistant Professor to Associate Professor in the sixth year in rank for those holding a full-time appointment, or the ninth year for an individual with less than a full-time appointment. If a Candidate has had their timeline extended for any reason, the review nonetheless assesses their record according to the standard expectations for a review in the sixth year.

Specific evidence of outstanding performance in scholarship and teaching is essential. Other contributions to the College and the profession also will be considered. Although the Trustee Executive Committee approves most personnel actions, a summary of the achievements of the Candidate and of the evaluation reached by the CAP are presented to the full Board of Trustees. 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 Associate Dean, the CAP, the President, and the Board of Trustees must exercise judgment in tenure decisions to provide Dartmouth with the most distinguished faculty possible.

## EXPECTATIONS OF PERFORMANCE

In addition to considering the needs of the institution, the decision to make a tenure appointment involves experienced judgment about 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 a scholar and a teacher, with a clear likelihood of maintaining professional distinction and of providing intellectual leadership in the faculty in the years ahead. The qualitative assessment of books and articles, as well as artistic and other professional accomplishments or contributions to the larger scholarly and artistic communities, will be more consequential than the quantity of work. Nonetheless, the quantity of scholarly work must indicate significant progress and a sustained professional trajectory.

With respect to scholarship and creative production, broadly defined, the judgment of professionals outside the College, as well as that of Dartmouth colleagues, will be given significant weight.

- Specific questions asked of external reviewers

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 to classroom instruction. Work with individual undergraduate and graduate students and postdoctoral fellows, as well as course and program development, will also be taken into account.

- Specific questions asked of students

In weighing the performance of a candidate beyond scholarship and teaching in what is traditionally termed service, emphasis will be placed on the nature and quality of the contributions. Service on committees and to department or program administration, initiatives with students or student groups beyond instructional obligations, and assistance to other colleagues in research and teaching should be considered. In addition, due weight should be given to a candidate's service to the wider profession.

#### Early Review

Tenure review before the regularly scheduled timeline requires either truly exceptional scholarly achievement or sufficient time in rank at another institution prior to appointment at Dartmouth. Requests for early review must be approved by the appropriate Associate Dean who will consult with the Chair and the tenured faculty in the department(s) or program(s). The results of early review are final, whether tenure is approved or not. If tenure is not approved, the Candidate will be offered a one-year, terminal appointment at the rank of Assistant Professor with a regular teaching assignment.

#### Declining Review

If an Assistant Professor chooses in their fifth or sixth year not to submit a dossier for tenure review, they may still complete their sixth year and remain eligible for a terminal one-year appointment for the seventh year at the rank of Assistant Professor with a regular teaching assignment.

#### Promotion without Tenure

In rare cases, the CAP may recommend promotion to Associate Professor without tenure. The appointment will be for three years, with a second tenure review expected to take place during the second year following the same process. Evaluations should be sought from scholars and students who were not involved in the earlier decision, whenever feasible. As in every tenure case, external reviewers will be enjoined to evaluate the body of scholarship presented in the Candidate's file.

### TENURE REVIEW PROCEDURES AND DEADLINES

#### April 1 before the tenure review year

The Candidate submits their FRS and updated CV, as usual for the annual review process. During the subsequent meetings, the Chair and Associate Dean discuss the tenure review procedures and the members of the tenure committee who will review the Candidate's dossier.

The Chair will remain in close communication with the Candidate throughout the tenure procedure. The Associate Dean bears primary responsibility for ensuring that the tenure review process conforms to College policies and is the primary conduit of information about the process to the Candidate.

#### May 1 before the tenure review year

If an ad hoc committee needs to be appointed, the Associate Dean and Dean recommend one to the CAP according to the process described above under Committees for Reappointment, Tenure, and Promotion Reviews.

### May 15 before the tenure review year

The Candidate submits to the Chair of the tenure committee, and to the Associate Dean, the following materials:

1. Current curriculum vitae, formatted according to the CV Guidelines for Reappointment, Tenure, and Promotion.
  - a. This CV will be included with the Associate Dean's requests to external reviewers. The Candidate will be able to include an updated CV in the official dossier that is due December 1.
2. External reviewer nominations. The list should include eight to ten individuals qualified to review the Candidate's scholarly work, some of whom will be selected for the final list.
  - a. Normally these reviewers must hold a tenured appointment, or its equivalent, at a peer institution or be a recognized leader in the Candidate's field. The list should include the prospective reviewers' email address, their field of specialization, and a brief description of why they are particularly qualified to evaluate the dossier. In general, candidates should avoid recommending reviewers with conflicts of interest (e.g. frequent co-author, PhD or postdoctoral adviser, former mentor). Candidates should identify any potential reviewers with such conflicts of interest.
  - b. The Candidate may specify one or two individuals whom they prefer not be considered with a brief explanation of why they should be excluded.
  - c. 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 is required of all participants.
3. Internal reviewer nominations (optional). The Candidate may submit the names of department or program Chairs at Dartmouth, Directors of Dartmouth centers or institutes, or leaders of Dartmouth organizations who could provide relevant information about significant teaching, mentoring, collaborative research, or service outside the Candidate's home department or program in the form of a letter.

### June 1 before the tenure review year

1. The Associate Dean initiates the internal conduct records review in accordance with Dartmouth policy.
2. The Chair, in consultation with the other members of the tenure committee, will generate a list of at least ten prospective reviewers, including their email address, their field of specialization, and a brief description of why they are particularly qualified to evaluate the dossier. Normally the reviewers must hold a tenured appointment, or its equivalent, at a peer institution or be a recognized leader in the Candidate's field. The list compiled by the committee may include the names of reviewers that also appear on the Candidate's list, but normally not more than three.
3. The Chair will forward the committee's list to the Associate Dean by June 1, and may choose to comment on the Candidate's selections.
4. In the same communication, the Chair conveys to the Associate Dean the names of the tenured faculty expected to constitute the tenure committee. The Chair should first consult the section above, Committees for Reappointment, Tenure, and Promotion Reviews. Then the Chair should confirm with each eligible tenured faculty member their anticipated availability and intention to participate on the committee. Once approved by the Associate Dean, any subsequent changes to the committee require approval by the Associate Dean (and also the CAP in the case of ad hoc committees).
5. 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 list. In some cases, the Associate Dean may consult further with the committee Chair to identify additional prospective reviewers. In some cases, where

the professional work consists of performances or exhibitions, alternative forms of external review may have to be arranged.

6. The Associate Dean will normally obtain letters from eight to ten reviewers.
7. 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 is required of all participants.

#### October 1 of the tenure review year

1. The Candidate may submit to the Associate Dean a list of up to 20 Dartmouth students especially qualified to comment on the Candidate's teaching and mentoring. The Candidate's list may include both undergraduate and graduate student names. The teaching and mentoring may refer to courses taken by the student, taught by the Candidate, or to scholarly work at any level (graduate or undergraduate) undertaken with the Candidate as advisor. In the tenure dossier, these letters are identified as "recommended by the Candidate."
2. The Associate Dean, on behalf of the Dean of the Faculty, will solicit letters from a sampling of the Candidate's former Dartmouth students. Any student who has been accused by the Candidate of Honor Code violations should be excluded from this solicitation. The Candidate will not be informed of the names of any students who are identified as part of the normal sampling process.
3. The Associate Dean will request letters from the Candidate's list of students, if they have not already been solicited by the Dean of the Faculty as part of the normal sampling process.
4. If the Candidate has submitted names for internal letters from outside their department/program, the Associate Dean will request those letters.

#### December 1 of the tenure review year

The Candidate will submit a dossier of materials through Interfolio, which will be made available to the tenure committee, external reviewers, and the CAP. Any modification of the December 1 date must be authorized by the Associate Dean. The dossier will consist of the following:

1. A statement of five single-spaced pages outlining the Candidate's achievements and goals related to scholarship, teaching, and other contributions to the College and to the profession. For more details, refer to the [Technical Guidelines for Tenure and Promotion Dossiers](#).
2. Curriculum vitae. For more details, refer to the [CV Guidelines for Reappointment, Tenure, and Promotion](#).
3. Published works, manuscripts, or other evidence of artistic or professional work (e.g., books, articles, or portfolios).
4. Published reviews of the Candidate's work, where available.

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

Following the December 1 deadline, the Candidate should make the Chair and Associate Dean aware of any significant updates to the dossier, such as publications, contracts, grants, or awards.

The Associate Dean will send the Candidate's dossier to the external reviewers, along with an explanation of the criteria for tenure and promotion.



### Winter/Spring Term of the tenure review year

1. The members of the tenure committee will examine the materials submitted by the Candidate, review the confidential letters solicited by the Dean of the Faculty from external reviewers, former students, and other appropriate sources, and consider other evidence of teaching (e.g., department or program teaching evaluations, class visitation reports, College course assessments). The committee should also consider the recommendation that the department or program submitted at the time of the Candidate's reappointment.
2. The tenure committee meets to deliberate. The 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. For the purposes of determining if the majority of the votes are favorable, abstentions are included in the total. The committee must use a secret ballot.
3. After the committee has met to deliberate on the tenure and promotion and provide a recommendation, 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 committee chair's letter to the Associate Dean indicates who was present, who was not present, with a brief explanation of their absence, and how many members voted for and against recommending tenure, and how many abstained.
4. The letter, even as it explains the reasoning of the majority, should reflect the full discussion, including dissenting points of view. If individuals feel that the committee's letter does not adequately represent their particular perspectives, they may 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. If the Associate Dean determines that a dissenting letter is inconsistent with the procedures set out in these guidelines, the Associate Dean may choose to exclude it from the dossier. Further, if the Associate Dean determines that the committee's letter is inconsistent with the procedures set out in these guidelines, the Associate Dean may ask the Chair to revise the letter in consultation with the committee.
5. After the committee concludes its deliberations, but before the Chair submits the committee's letter to the Associate Dean, the Chair will inform the Candidate of the recommendation (positive or negative). No other details should be mentioned: the vote tally is confidential as are all individual opinions and statements made at any time during the deliberations.
6. After the department or program has submitted its evaluation and recommendation to the Associate Dean, and before the Associate Dean submits their own evaluation and recommendation to the CAP, the Associate Dean must discuss the strengths and weaknesses of the case separately with the tenure committee Chair, the Candidate, and any other members of the tenure committee that the Associate Dean finds it appropriate to consult. At this time, the Candidate should provide any relevant updates and raise any procedural questions or concerns.
7. If, at any time, the Associate Dean or Dean determines that the tenure review process has been compromised, the CAP will delay deliberation until the issues have been resolved; the Associate Dean will inform the Chair when appropriate.
8. The Associate Dean will submit their own evaluation and recommendation when transmitting the dossier to the Dean of the Faculty. The Associate Dean's personal recommendation shall remain confidential and will not be shared with the Candidate, or with the department or program.
9. The dossier forwarded to the CAP will contain the following:
  - a. Statement submitted by the Candidate
  - b. Curriculum vitae of the Candidate

- c. Published works, manuscripts, or other evidence of artistic or professional works
  - d. Published reviews of the candidate's work (if applicable)
  - e. Revised CV (if one is submitted after December 1)
  - f. Evaluations solicited by the Associate Dean from external reviewers, accompanied by the reviewer's curriculum vitae
  - g. Internal letters solicited by the Associate Dean, if the Candidate requested any
  - h. Department or program roster with appointment terms for all faculty
  - i. Teaching and leave schedule of the Candidate, year by year and term by term since the time of initial appointment in rank
  - j. Letters solicited by the Associate Dean from current and former students
  - k. Letter submitted by the department or program at the time of reappointment
  - l. Letter submitted by the Associate Dean at the time of reappointment
  - m. Letters previously issued by the CAP, such as approvals of extensions for tenure review (if applicable)
  - n. Tenure committee's letter detailing the reasons for their recommendation
  - o. 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 (if applicable)
  - p. Letter describing the recommendation from the Associate Dean to the Dean of the Faculty
10. During CAP deliberations, the Associate Dean presents background and answers questions, but is not present during the CAP discussion and vote.
  11. The Dean of the Faculty does not vote except in the case of a tie vote among the CAP members.
  12. The Candidate will receive a communication from the Dean of the Faculty regarding the result.

Upon approval by the Board of Trustees, tenure and promotion typically take effect on July 1.

If tenure is not approved, the Candidate will be offered a one-year, terminal appointment at the rank of Assistant Professor with a regular teaching assignment. Typically, they would not be eligible for a non-tenure-track appointment in the same department/program in future years.

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## PROMOTION TO 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 other forms of academic leadership. Sustained levels of quality and productivity, as judged by external review, must characterize the scholarly profile since tenure.

Evidence for appointment includes evaluations from professionals outside the College, analogous to those obtained for promotion to Associate Professor. These evaluations should 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 commitment to service.

- Specific questions asked of external reviewers

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 be considered for promotion should speak first with the department or program Chair and with the Associate Dean. Although promotion normally is considered only 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. However, the decision about when to come up for promotion after five years in rank is ultimately up to the Candidate. Earlier action requires truly exceptional scholarly achievements and must be approved by the appropriate Associate Dean, who will consult with the tenured Professors in the department or program.

## PROMOTION REVIEW PROCEDURES AND DEADLINES

### April 1 before the promotion review year

Faculty members should notify their department or program Chair and Associate Dean of their intention to be considered for promotion, normally by April 1 of the preceding academic year. The Associate Dean will meet with the Candidate to review the procedures.

The Associate Dean bears primary responsibility for ensuring that the promotion review process conforms to College policies and is the primary conduit of information about the process to the Candidate.

### May 1 before the promotion review year

1. If an ad hoc committee needs to be appointed, the Associate Dean and Dean recommend one to the CAP according to the process described above under Committees for Reappointment, Tenure, and Promotion Reviews.
2. The Candidate submits to the Chair of the promotion committee, and the Associate Dean, the following materials:
  - a. Current curriculum vitae, formatted according to the CV Guidelines for Reappointment, Tenure, and Promotion.
    - i. This CV will be included with the Associate Dean's requests to external reviewers. The Candidate will be able to include an updated CV in the official dossier for the promotion review, due October 15.
  - b. External reviewer nominations. The list should include eight to ten possible external reviewers, some of whom will be selected for the final list.
    - i. These external reviewers must themselves hold a Professor appointment, or its equivalent, at a peer institution or be a recognized leader in the Candidate's field. The list should include the prospective reviewers' email address, field of specialization, and a brief description of why they are particularly qualified to evaluate the dossier. In general, candidates should avoid recommending reviewers with conflicts of interest (e.g. frequent co-author, PhD or postdoctoral adviser, or former mentor). Candidates should identify any recommenders with such conflicts of interest.
    - ii. The Candidate may specify one or two individuals whom they prefer not be considered, with a brief explanation of why they should be excluded.
    - iii. 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 is required of all participants.
  - b. Internal reviewer nominations (optional). The Candidate may submit the names of department or program Chairs at Dartmouth, Directors of Dartmouth centers or institutes, or leaders of Dartmouth organizations who could provide relevant information about significant teaching, mentoring, collaborative research, or service outside the Candidate's home department or program in the form of a letter.

### June 1 before the promotion review year

1. The Associate Dean initiates the internal conduct records review in accordance with Dartmouth policy.

2. The Chair, in consultation with the other members of the promotion committee, will generate a list of at least ten prospective reviewers, including their email address, their field of specialization, and a brief description of why they are particularly qualified to evaluate the dossier. Reviewers should hold the rank of tenured Professor, or its equivalent, at a peer institution or have equivalent professional qualifications in the Candidate's field. The list compiled by the committee may include the names of reviewers that also appear on the Candidate's list, but normally not more than three.
3. The Chair will forward the committee's list to the Associate Dean by June 1, and may choose to comment on the Candidate's selections.
4. In the same communication, the Chair conveys to the Associate Dean the names of the tenured full professors expected to constitute the promotion committee. The Chair should first consult the section above, Committees for Reappointment, Tenure, and Promotion Reviews. Then the Chair should confirm with each eligible tenured full professor their anticipated availability and intention to participate on the committee. Once approved by the Associate Dean, any subsequent changes to the committee require approval by the Associate Dean (and also the CAP in the case of ad hoc committees).
5. 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 list. In some cases (e.g., where the scholarly work consists of performances, exhibits) alternative forms of external review may have to be arranged.
6. The Associate Dean should normally obtain letters from eight to ten reviewers.
7. The names of the 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 is required of all participants.

#### October 1 of the promotion review year

If the Candidate has submitted names for internal letters from outside their department/program, the Associate Dean will request those letters.

#### October 15 of the promotion review year

The Candidate will submit a dossier of materials in electronic format, which will be made available to the promotion committee, outside reviewers, and the CAP. Any modification of this date must be authorized by the Associate Dean. The dossier will consist of the following:

1. A statement of five single-spaced pages outlining the Candidate's achievements and goals related to scholarship, teaching, and other contributions to the College and to the profession. Refer to the Technical Guidelines for Tenure and Promotion Dossiers for more details.
2. Curriculum vitae. Refer to the CV Guidelines for Reappointment, Tenure, and Promotion for more details.
3. Published works, manuscripts, or other evidence of artistic or professional work (e.g., books, articles, or portfolios), beyond what was considered for the initial tenure review (at Dartmouth or elsewhere).
4. Published reviews of the Candidate's work, where available.

If the Candidate is unsure what to include, they should consult with the Associate Dean. Although the intent is to distribute 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 dossier and ensure its accuracy, but reasonable associated costs (e.g., purchase of books or software, mailing of print materials) will be reimbursed by the Dean of the Faculty.

Following the October 15 deadline, the Candidate should make the Chair and Associate Dean aware of any significant updates to the dossier, such as publications, contracts, grants, or awards.

The Associate Dean will send the Candidate's dossier to the external reviewers, along with an explanation of the criteria for promotion.

#### Winter/Spring Term of the promotion review year

1. The members of the promotion committee will examine the materials submitted by the Candidate, review the confidential letters from professional reviewers and other appropriate sources solicited by the Dean of the Faculty, and consider evidence for the quality of teaching (e.g., teaching evaluations, class visitation reports, etc.).
2. The promotion committee meets to deliberate. The committee must recommend either promotion to Professor or no promotion. A tie vote is effectively a vote against recommending promotion. The committee must use a secret ballot.
3. After the committee has met to deliberate on the promotion and provide a recommendation, 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 committee chair's letter to the Associate Dean indicates who was present, who was not present, with a brief explanation of their absence, and how many members voted for and against recommending promotion, and how many abstained. For the purposes of determining if the majority of the votes are favorable, abstentions are included in the total.
4. The letter, even as it explains the reasoning of the majority, should reflect all discussion including dissenting points of view. If individuals feel the committee'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. If the Associate Dean determines that a dissenting letter is inconsistent with the procedures set out in these guidelines, the Associate Dean may choose to exclude it from the dossier. Further, if the Associate Dean determines that the committee's letter is inconsistent with the procedures set out in these guidelines, the Associate Dean may ask the Chair to revise the letter in consultation with the committee.
5. After the committee concludes its deliberations, but before it submits the committee's letter to the Associate Dean, the Chair will inform the Candidate of the recommendation (positive or negative). No other details should be mentioned: the vote tally is confidential, as are all individual opinions and statements made at any time during the deliberations.
6. After the department or program has submitted its evaluation and recommendation to the Associate Dean, and before the Associate Dean submits their own evaluation and recommendation to the CAP, the Associate Dean must discuss the strengths and weaknesses of the case separately with the promotion committee Chair, the Candidate, and any other members of the promotion committee that the Associate Dean finds it appropriate to consult. At this time, the Candidate should provide any relevant updates and raise any procedural questions or concerns.
7. If, at any time, the Associate Dean or Dean determines that the promotion review process has been compromised, the CAP will delay deliberation until the issues have been resolved; the Associate Dean will inform the Chair when appropriate.
8. The Associate Dean will submit their own evaluation and recommendation when transmitting the dossier to the Dean of the Faculty. The Associate Dean's personal recommendation shall remain confidential and will not be shared with the Candidate, or with the department or program.
9. The dossier forwarded to the CAP will contain the following:
  - a. Statement submitted by the Candidate
  - b. Curriculum vitae of the Candidate
  - c. Published works, manuscripts, or other evidence of artistic or professional works

- d. Published reviews of the candidates work (if applicable)
  - e. Revised CV (if one is submitted after October 15)
  - f. Evaluations solicited by the Associate Dean from external reviewers, accompanied by the reviewer's curriculum vitae
  - g. Internal letters solicited by the Associate Dean, if the Candidate requested any
  - h. Department or program roster with appointment terms for all faculty
  - i. Teaching and leave schedule of the Candidate, year by year and term by term since the time of tenure
  - j. Letter submitted by the department or program at the time of tenure
  - k. Letter submitted by the Associate Dean at the time of tenure
  - l. Promotion committee's letter detailing the reasons for their recommendation
  - m. 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 (if applicable)
  - n. Letter describing the recommendation from the Associate Dean to the Dean of the Faculty
10. During CAP deliberations, the Associate Dean presents background and answers questions, but is not present during the CAP discussion and vote.
  11. The Dean of the Faculty does not vote except in the case of a tie vote among the CAP members.
  12. The Candidate will receive a communication from the Dean of the Faculty regarding the result.

Upon approval by the Board of Trustees, promotion typically takes effect on July 1.

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## JOINT APPOINTMENTS

Joint appointments provide opportunities to strengthen interdisciplinary offerings and to recruit faculty in emerging fields that cross the borders of traditional disciplines. Jointly appointed candidates with .5 FTE in two different departments or programs must earn tenure separately in each department/program. Candidates should present evidence of outstanding performance in scholarship, teaching, and service sufficient to merit a fifty percent appointment in each department/program. The candidate will submit a single dossier demonstrating significant scholarly impact in each area with the expectation that the new knowledge and innovation the candidate produces in each field is enabled or enhanced by the candidate's expertise in the other. Likewise, the candidate's overall teaching record in each department/program is expected to benefit from the candidate's scholarly and pedagogical knowledge and skills in both areas.

Procedures for reappointment, tenure, and promotion for joint appointments are the same as described above, with the following additions and modifications.

For a joint-appointed faculty member whose appointments are in more than one division, one Associate Dean will be designated by the Dean of the Faculty to oversee the review processes. However, in this case, both Associate Deans should be fully aware of the entire case and should remain in consultation about all aspects as the case moves forward. Both Associate Deans contribute their assessment and recommendation to the letter that is forwarded to the CAP.

## ANNUAL REVIEW

Annual review is conducted by a mentoring committee of no fewer than four tenured faculty members drawn equally from both departments or programs. This committee will have a chair who is not the Chair of either home unit.

When the mentoring committee chair meets with the faculty member, the Chairs of both home units should also participate.

The mentoring committee chair submits the final letter to the Chairs of both of the Candidate's home units (who share it with the tenured faculty) and to the Associate Dean. For a joint-appointed faculty member whose appointments are in more than one division, the annual meetings with the Associate Dean should include both Associate Deans.

## **REAPPOINTMENT, TENURE, AND PROMOTION**

### **May 1 before the review year**

Each academic unit has its own reappointment, tenure or promotion committee. On any particular case, tenured faculty holding joint appointments in the same two academic units as the Candidate may only participate and vote in one. The Associate Dean, in consultation with the Chairs of the academic units, will decide the unit in which the tenured faculty member will participate and vote.

### **May 15 before the review year**

For tenure and/or promotion, the Candidate submits to the Chair of each committee and the designated Associate Dean an updated curriculum vitae and a single list of ten to twelve possible external reviewers.

### **June 1 before the review year**

For tenure and/or promotion, The Chairs of the two committees forward to the Associate Dean a combined list of at least twelve prospective reviewers. Normally, this list will comprise four reviewers from each of the two committees and four other reviewers upon which the two committees agree.

Since qualified potential external reviewers may have expertise in only one of the disciplines in which a jointly appointed candidate works, the Associate Dean will inform potential reviewers of the areas of the candidate's scholarship that the reviewer will be expected to evaluate.

### **December 1 (reappointment) or Winter/Spring (tenure and/or promotion) of the review year**

1. The review committees of both academic units separately examine the Candidate's dossier, deliberate, and vote. Normally, the two committees will meet and vote within a short time of each other.
2. Each committee submits its own letter to the Associate Dean.
3. For a joint-appointed faculty member whose appointments are in more than one division, the two Associate Deans will then confer on a recommendation to the CAP. If the two Associate Deans have different recommendations, the letter submitted by the designated Associate Dean should reflect the assessment and reasoning of both Associate Deans.

## **JOINT APPOINTMENT CHANGES FOR CURRENT FACULTY**

Any current member of the faculty may request a joint appointment by petitioning both the department or program in which the faculty member is currently appointed (the donor) and the department or program where the new partial appointment would reside (the acceptor). Similarly, faculty holding joint appointments may petition to change their appointment structure. The requestor's petition should include a rationale for the request, the share of the requestor's appointment to be allocated to the acceptor department or program, and the requestor's curriculum vitae.

Approval of a joint appointment change is based on the teaching interests and scholarly record of the faculty member and would also involve a specific course commitment by the faculty member to the acceptor department or program. Only in exceptional cases would such a change be approved for an individual who does not already have tenure. A joint appointment change normally will not entail any change in the course allotment or FTE to either department or program, nor will it result in any net increase in the number of tenure-line positions for the Arts and Sciences faculty as a whole. If any partial tenure-line position, FTE, or course count is reallocated between the two departments/programs, normally it will revert to the donor department or program either at a specified date or at the end of the faculty member's appointment.

A request for a joint appointment change requires submission of separate recommendations by the two departments/ programs concerned to the appropriate Associate Dean(s). The department or program recommendations should include the rationale for the proposed new appointment and state a common understanding of the following terms of the appointment:

- a. the share of the faculty member's appointment that will reside in the acceptor department or program;
- b. any change of allocation of a partial tenure-line position between the two departments/programs;
- c. any change of allocation of FTE or course count between the two departments/programs;
- d. the date(s) at which any partial tenure-line positions, FTE, or course count reallocated between the two departments/programs revert to the donor department or program;
- e. the length of the appointment, whether permanent or for a defined length of time.

New joint appointments constituting less than half-time appointments in the acceptor department or program will be made by the Dean of the Faculty, acting on a recommendation from the relevant Associate Deans. The same process applies to ending a joint appointment of less than half-time. In both the donor and acceptor departments or programs, the members of the faculty eligible to vote on appointments cast confidential anonymous advisory votes on the proposed change of appointment. This is the same group of faculty who would vote on a new hire. The Associate Dean(s) will discuss the donor and acceptor recommendations with the respective chairs and with the requestor before forwarding them, along with their own recommendation(s), to the Dean of the Faculty.

New joint appointments constituting half-time or greater appointments in the acceptor department or program will be made by the CAP. The same process applies to ending a joint appointment of half-time or greater. The voting process should follow the guidelines for Senior Recruitment, according to the rank and tenure status of the requestor. If there are not at least four voting members of appropriate rank and tenure status, an ad hoc committee will be appointed in accordance with the guidelines for reappointment, tenure, and promotion. The Associate Dean may request additional materials from the requestor in support of the recommendation to the Dean of the Faculty. The Associate Dean(s) will discuss the donor and acceptor recommendations with the respective chairs and with the requestor before forwarding them, along with their own recommendation(s), to the Dean of the Faculty. The Dean will present the request to the CAP.

A complete request to the Dean of the Faculty will include six documents:

1. The faculty member's petition
2. The faculty member's current CV
3. An approval memo from the Chair of the donor department/program
4. An approval memo from the Chair of the acceptor department/program
5. An approval memo from the Associate Dean of the donor department/program
6. An approval memo from the Associate Dean of the acceptor department/program

The appointment letter from the Dean of the Faculty should specify all the approved terms, such as the teaching commitment and duration. The letter 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).



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## **APPEAL OF REAPPOINTMENT/TENURE/PROMOTION DECISIONS**

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.

In accordance with the procedures outlined in the Organization of the General Faculty of Dartmouth College (OGFDC, section D.8) and the Organization of the Faculty of Arts and Sciences of Dartmouth College (OFASDC, section V.C), the Candidate or members of the reappointment, tenure, or promotion committee, individually or collectively, can request that a case be re-examined.

## 6. RECRUITMENT OF TENURE-LINE FACULTY

### SEARCH AUTHORIZATION

Recruitment for all tenure-line 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 authorization processes must be obtained before advertising for positions and throughout the selection process for each step as defined by the Dean of the Faculty Office with support from the Office of Institutional Diversity and Equity (IDE). When authorizing a search, the relevant Associate Dean will stipulate any conditions, including whether finalist candidates are expected to meet with the Associate Dean. Search requests and review processes are supported by the Senior Advisor for Faculty Development, Diversity, and Inclusion for Arts and Sciences.

Special arrangements, described below, are required when recruitment is for a joint appointment (between a department and a program, between two departments, or between two programs) or when the appointment may be of major consequence to another department or program.

Recruitment activity will be conducted with due regard to Dartmouth's Equal Opportunity Employment Policy. Recruitment activities may include the following:

1. Identification of candidates through notices in professional journals and direct outreach to graduate schools, professional organizations, professional minority group organizations, and the like.
2. Special efforts above and beyond normal recruitment to identify a broad range of candidates for existing or potential openings at the College, including direct outreach to a broad range of institutions and organizations.
3. 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.
4. Preliminary interviews at professional meetings or by video conference.
5. Invitation to finalists to interviews on campus or by video conference.

In rare circumstances, the Dean of the Faculty, in consultation with the Office of Institutional Diversity and Equity, may grant a waiver from the regular search processes to pursue an identified hire as a target of opportunity. Such waivers follow a rigorous review process in order to ensure compliance with EEO requirements. Once authorized, such searches follow all regular review processes.

### BUDGET

The Dean of the Faculty Office must approve all travel and associated expenses involved in recruitment in advance. Funds are centrally held by the Dean of the Faculty to augment department/program budgets for the following tenure-line recruitment activities:

1. Travel of departmental/program representatives off campus to professional meetings or elsewhere. The appropriate Associate 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 Associate Dean. Spouse, partner or family expenses are fully taxable to the candidate under IRS provisions.

3. The Dean of the Faculty Office determines annually the budget for entertainment and meals per visit. Departments/programs may not exceed this budget unless specifically authorized by the appropriate Associate Dean.

Procedures for payment of expenses require that the department, program, or individual submit receipts and Business Expense Reimbursement Forms to the Fiscal Office of the School 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 the Faculty Office by the vendor, the faculty member authorizing payment should ensure that the above information is included on the bill before signing it.

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## EQUAL OPPORTUNITY & NON-DISCRIMINATION

The Dean of the Faculty and Associate Deans have overall responsibility for ensuring equal opportunity and non-discrimination in searches to fill vacancies in the Faculty of Arts and Sciences. The Office of Institutional Diversity and Equity (IDE) is responsible for monitoring procedures and provides assistance in developing recruitment and advertising strategies. Search processes are also supported by the Senior Advisor for Faculty Development, Diversity, and Inclusion for Arts and Sciences.

With its strong commitment to equal opportunity and non-discrimination, Dartmouth believes that its educational mission is best served by a faculty that reflects diversity in all its forms. To achieve this objective, the institution will undertake special measures to ensure that each department and program will seek to attract a pool of candidates that reflects diversity in all its forms for all positions for which recruitment is authorized. These measures include the following steps:

1. Search committees should reflect diversity in all its forms.
2. Departments/programs and search committees are expected to expand recruitment contacts to include deans and faculty in a broad range of colleges and universities, professional organizations, well-known figures in the field, specialized caucuses, and the producers and distributors of appropriate directories.
3. Funds can be provided to cover additional recruiting when more intensive efforts are required to ensure a more broadly diverse pool of candidates.
4. To widen knowledge of existing graduate programs and to familiarize those in such programs with Dartmouth, departments and programs are encouraged to invite a broadly diverse range of speakers and scholars to the campus to participate in regular lectures, symposium, and the like.

The Office of Institutional Diversity and Equity (IDE) will be consulted during the search process at the following points:

- **Pre-Recruitment.** When a search is proposed, IDE reviews the job description, the recruitment plan, and the search committee composition. The purpose of IDE's review is to ensure that these materials are designed to attract a pool of candidates that is appropriately inclusive for the position. When a search is authorized, IDE provides training on appropriate procedures and practices related to application review and interviews.
- **Proposed Long List.** When a proposed long list has been selected from the applicant pool, IDE reviews it to determine whether its composition reflects potential bias in the recruiting process. IDE will work with the search committee to ensure that the search committee followed procedures and applied the agreed criteria to all applicants.

- **Proposed Short List.** When a proposed interview or short list has been selected from the long list, IDE reviews the justifications to determine that search criteria were appropriately applied to all applicants.
- **After Final Ranking.** When the proposed offer list has been selected from the short list, IDE reviews the justifications to determine that search criteria were appropriately applied to all applicants.

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## SENIOR RECRUITMENT

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

Senior recruitment follows the same procedures as all recruitment, with the following additions:

1. If the search committee does not have at least 4 tenured faculty at the same rank or above as the potential candidates, plans should be made from the beginning to involve additional faculty in the final deliberations so that the votes specified below in 4b) and 4c) will each have at least 4 participants.
2. 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.
3. When finalists are interviewed, they should meet with both the Associate Dean and the Dean of the Faculty and possibly with other senior officers, including the President, the Provost, and/or the Dean of the School of Arts and Sciences.
4. The process for voting on the recommendation to hire involves a series of distinct motions, with different sets of eligible voters:
  - a. For the appointment: all tenure-track and tenured faculty vote on the following: "To recommend to the Dean of the Faculty that [the candidate] be appointed to the faculty of Arts and Sciences in [the department/program]."
  - b. For appointment with tenure: tenured faculty vote on the following: "To recommend that the Dean of the Faculty initiate a review for a potential appointment of [the candidate] with tenure in [the department/program]." If the rank will be Associate Professor, this motion completes the recommendation.
  - c. For appointment at the rank of Professor: tenured full professors vote on the following: "To recommend that the Dean of the Faculty initiate a review for a potential appointment of [the candidate] at the rank of Professor in [the department/program]." This motion should be made when there is discussion as to the appropriate rank to recommend, or when the rank is clearly Professor.
5. If the recommendation to hire is accepted by the Associate Dean and Dean of the Faculty, the offer will be in the form of a Memorandum of Understanding (MOU), with a contractual offer pending the outcome of the tenure review.
6. The Associate Dean will initiate a tenure review consistent with the procedures for tenure and promotion outlined in this Handbook. This process can begin immediately upon the signing of the MOU.
  - a. For the teaching component of the dossier, letters from former students will not be solicited. Nonetheless, candidates are expected to submit relevant materials (e.g., course evaluations including narrative comments, course materials, etc.).
7. A tenure committee will be established in the department/program, in accordance with the procedures for tenure and promotion outlined in this Handbook.
  - a. For an appointment at the rank of Professor, all tenured faculty review the dossier and vote on tenure (including Associate Professors). Following this deliberation and vote, Full Professors only deliberate and vote on rank.

8. Throughout this process, the search chair, chair of the department or program, and the Associate Dean should communicate regularly with the candidate. As the tenure decision may take some months to arrive, it is important to provide a clear timeline and regular updates. In addition to the communications outlined in the procedures for tenure and promotion (by the tenure committee chair after the committee vote, by the Associate Dean after receiving the committee's recommendation), candidates will appreciate periodic reminders of continued enthusiasm for their arrival at Dartmouth. At the same time, faculty and chairs must remain mindful that while the tenure process is ongoing, they should not encourage candidates to take any actions related to moving or resigning their current position. The hire is not complete until the formal offer letter has been signed by the candidate, which usually happens only after the Board of Trustees grants tenure.

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## JOINT APPOINTMENT RECRUITMENT

Joint appointments provide opportunities to strengthen interdisciplinary offerings and to recruit faculty in emerging fields that cross the borders of traditional disciplines. Appointments can be made between a department and a program, between two departments, or between two programs.

The specific arrangements for joint appointments, including percentages of FTE to teach unit and teaching expectations, are determined by the Dean of the Faculty on a case by case basis.

Early in the process of initiating a joint appointment, the two academic units should consider the issues related to Joint Appointments in Section 5.

## SEARCH REQUEST

Requests to conduct searches that will lead to joint appointments follow the same processes as other searches, with additional steps to ensure communications across departments/programs and ultimately separate votes by the eligible faculty in each participating department/program (as stipulated in the OFASDC, sections IV.E and IV.F).

### ***Checklist of points for departments/programs to discuss and include in the request to search:***

1. Rationale for the appointment
2. Type of appointment: based in one academic unit, or shared equally?
3. Structure of the search committee: how is each unit represented?
4. Search committee and department/program faculty: who will review applications? How and when will the committee communicate with each unit? At what point(s) will department/program faculty participate in selecting candidates? How will conflicting assessments be managed?
5. 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
6. Review procedures for reappointments, tenure, and promotion
7. Expectations regarding service, keeping in mind that the individual may be faced with "double duty"

All of these points should be confirmed, or modified, by the Associate Dean(s) when authorizing the search. Since joint searches can be complex, usually a custom process checklist will be developed in advance with all the relevant Chairs and Associate Deans.

If the appointment will be in different divisions, then one of the Associate Deans will be designated by the Dean of the Faculty to meet with candidates. The other Associate Dean will be consulted throughout the process.

## APPOINTMENT LETTER

If the appointment will be in different divisions, then one of the Associate Deans will be designated by the Dean of the Faculty to write the appointment letter. The other Associate Dean will be consulted throughout the process.

The initial appointment letter should cover all the particulars of the joint arrangements, including:

- The percentage of the appointment to each unit.
- Distribution of teaching between units, including any agreements regarding the distribution of courses when the individual is on sabbatical or leave for part of the year.
  - Any change in the distribution of courses between the two departments or programs 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.
- Any special arrangements regarding service.
  - 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.
- Location of the individual’s office.

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## OFFERS

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 governing department or program decisions, as described in the Organization of the Faculty of Arts and Sciences of Dartmouth College (OFASDC), must be carefully followed. It is expected that very high standards will be applied in all decisions. The Associate Dean and the Dean of the Faculty can decide to modify the recommendation from the department/program or not to make an offer of appointment. In the absence of suitable candidates, the Associate Dean may authorize continued recruitment or close the search without hire.

Offers are negotiated by the Associate Dean and Dean of the Faculty. All terms, including all legal requirements for employment, are detailed in contract letters. When the formal offer of appointment has been signed, a copy with the salary omitted will be sent to the Chair(s) of the department(s) or program(s) concerned.

New appointments typically begin on July 1, with the nine-month academic year obligation of three terms occurring within the twelve-month period following this date.

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## INITIAL TENURE-TRACK APPOINTMENTS

### INSTRUCTOR (CONTINGENT)

Dartmouth’s policy is to make faculty appointments to individuals who have completed their graduate studies and have been granted the highest academic degree in their field. In special cases, if requirements have not been completed and the degree has not been conferred, the nominee will be initially appointed as an “Instructor (Contingent)” for a one-year period.

While holding the rank of Instructor (Contingent), the nominee has access to a small fund for research and professional activities as determined by the Associate Dean.

Promotion to Assistant Professor requires official certification that all requirements for the degree have been completed. Continued employment requires an official transcript showing conferral of the degree. The conditions for promotion depend on when the degree requirements are completed:

- If the degree is completed within the first three months of the appointment, promotion to the rank of Assistant Professor is automatic and retroactive to start of the appointment.
- If the degree is completed after three months but before nine months, promotion to the rank of Assistant Professor requires recommendation from the department/program and the Associate Dean to the Dean of the Faculty. The recommendations must include a statement verifying that the promise of future distinction in research and teaching made at the time of initial appointment still holds. The voting faculty should be those who would be eligible to serve on a hiring committee.

If the degree is not completed within nine months of the start of the appointment, the Instructor (Contingent) will be appointed for a one-year non-renewable term at the rank of Instructor (Contingent) with a regular teaching assignment.

## **ASSISTANT PROFESSOR**

Appointment as Assistant Professor is made for individuals who have completed a PhD, 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 with review for reappointment taking place in the third year. Reappointment is normally for another three-year term.

Review for promotion to Associate Professor with tenure thus normally takes place in the sixth year after initial appointment.

## **ASSOCIATE PROFESSOR WITHOUT TENURE**

In rare instances, an initial appointment will be made at the rank of Associate Professor without tenure. Such appointments are normally for a term of four years, with the expectation that a tenure review will take place during the third year.

The tenure review process follows the Tenure Review Procedures and Deadlines outlined in Section 5.

## 7. NON-TENURE-LINE APPOINTMENTS

### ADJUNCT FACULTY

Adjunct appointments may be made at all professorial ranks to individuals with appropriate academic qualifications who already hold a primary appointment at the College, whether on the faculty or in another role. Such appointments are made to enable teaching and other contributions to the curriculum, such as service on thesis committees, for individuals who do not hold appointments where they are teaching or otherwise involved in a curriculum. Adjunct appointments do not carry any broader expectations of service or governance participation. They do not involve the institution or the individual in either the expectation or promise of tenure within the appointing department or program.

Adjunct appointments are made by the Associate Dean upon the recommendation of the department or program. Appointments are normally less than half-time and for a period of one to three years, with possibility of renewal.

### TEACHING FACULTY

Teaching Faculty form an essential cohort within Dartmouth's teaching staff and intellectual community. Teaching faculty are expected to conform to the highest standards of Dartmouth's teaching mission and to adhere to all Dartmouth policies and standards of professional and personal conduct. While Teaching Faculty are not voting members of the Faculty of Arts and Sciences (OFASDC, Section I.A) and do not vote on appointments at the department/program level, the tenure-line faculty in a department/program may vote to include Teaching Faculty as voting members for other internal department/program business (OFASDC, Sections IV.B, IV.E, and Section IV.F).

Teaching faculty are appointed at the ranks of Lecturers and Seniors Lecturers.

### LECTURER

Appointments at the rank of Lecturer are made for the specific purpose of teaching one or more courses without any other implicit obligations to the College. These appointments may be part-time with the level of responsibility to be determined annually.

#### Teaching Assignments

- The normal teaching assignment for a full-time Lecturer is six courses per year.
- Each course taught is equivalent to 0.17 FTE (full-time equivalent).
- The length of a Lecturer appointment may be for one term or longer, up to a maximum of three years.

### SENIOR LECTURER

Lecturers who have successfully demonstrated teaching effectiveness (normally over a period of six years) will be eligible for promotion to the rank of Senior Lecturer. Initial appointments at the rank of Senior Lecturer are rare and are usually made only for positions with additional responsibilities beyond classroom instruction. Senior Lecturer appointments may be part-time with the level of responsibility to be determined annually.



## Promotion Guidelines

- Senior Lecturers normally hold a terminal degree or other appropriate credentials in their teaching field, have a record of teaching effectiveness, and are involved in continuing professional activity.
- Promotion review typically takes place in the sixth year of continuous service.
- By September 1 of the review year, a Lecturer seeking promotion should inform their Chair(s) of their intent.
- The Chair(s) should discuss the promotion review with the Candidate and then with the voting members of the department or program (the same group that votes on tenure-line hiring).
- The Chair(s) and the voting faculty should establish clear criteria for evaluating the record of teaching effectiveness and continued professional activity.
- By February 15 of the review year, the Lecturer submits to the Chair(s) a CV and a promotion statement, detailing their accomplishments in teaching, contributions to the curriculum, and ongoing professional activity.
- By April 1 of the review year, the voting faculty complete their review, conduct a formal vote on the promotion, and provide a written recommendation to the Associate Dean(s) along with the Candidate's CV and statement.
- The Associate Dean will inform the Candidate of the outcome of the review.
- Promotion is accompanied by a special merit raise.

## Teaching Assignments

- The normal teaching assignment for a full-time Senior Lecturer is five courses per year.
- Each course taught is equivalent to 0.20 FTE (full-time equivalent).
- The length of a Senior Lecturer appointment may be for one term or longer, up to a maximum of five years.

## EVALUATION OF TEACHING FACULTY

The work of Lecturers and Senior Lecturers is expected to undergo clear processes of evaluation.

### Annual Review and Reappointment

- March 1 each year: all Lecturers and Senior Lecturers, both part-time and full-time, submit the Teaching Faculty Record Supplement and their CV to their Chair(s). The supplement is used for consideration of both merit raises and contract renewals.
  - The supplement and CV are reviewed by the Chair(s) and/or by a designated committee within the department/program. The committee should also review evidence of teaching effectiveness.
- April 1 each year: Chair(s) submit the Non-Tenure-Track Appointment Request Form for all Lecturers and Senior Lecturers who are recommended for reappointment for the next academic year, along with an evaluative recommendation.
  - The recommendation should apply clear standards for teaching effectiveness, perhaps established in conjunction with DCAL, or with Language Program Directors where appropriate. All evaluation criteria must be applied equitably to all.
  - Recommendations for multi-year contracts for Lecturers must clearly explain the curricular need for the position for the full term of the proposed contract as well as the evidence for teaching effectiveness.
  - Recommendations for multi-year contracts for Senior Lecturers must clearly explain the curricular need for the position for the full term of the proposed contract as well as the evidence for teaching effectiveness and ongoing professional activity.

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## RESEARCH FACULTY

Research faculty appointments are non-tenure-line positions where the faculty member carries out independent sponsored research. Research faculty 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. Research Faculty are voting members of the Faculty of Arts and Sciences (OFASDC, Section I.A). While Research Faculty do not vote on appointments at the department/program level, the tenure-line faculty in a department/program may vote to include Research faculty as voting members for other internal department/program business (OFASDC, Sections IV.B, IV.E, and Section IV.F).

Research faculty increase the College's intellectual base and overall capacity to investigate significant research questions. Faculty holding such appointments are expected to demonstrate sustained independence and excellent productivity in research. They may, when appropriate and allowable under the terms of their externally funded grants and contracts, be asked to serve on department/program committees, organize research seminars, and contribute generally to the intellectual breadth of the department/program. Research faculty should also have the ability and interest to provide informal supervision of students and, when needed, to teach in a formal classroom setting. Research faculty are expected to adhere to all Dartmouth policies and standards of professional and personal conduct.

Appointments are made by an Associate Dean upon the recommendation of a department or program at one of three ranks: Research Assistant Professor, Research Associate Professor, or Research Professor. These appointments are for fixed terms and are renewable; they do not convey tenure. Research faculty 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 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 policies (Section 10 of this handbook).

Appointments as Research Assistant Professor are not intended to replace regular postdoctoral or Research Associate appointments: only individuals of unusual achievements, who appear to have the capability of becoming self-sustaining, are considered for research faculty appointments. For example, a recent PhD degree recipient who shows promise of developing into a successful independent researcher and PI may be appointed as a Research Assistant Professor with initial financial support coming from a funded research program already in existence at the College.

Researchers 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 Research Professor.

## POLICIES

1. Final decision on all research appointments rests with the Dean of the 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 (described in the OGFDC).
2. The rank of Research Professor typically receives a rolling three-year appointment. 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.
  - a. 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 and to

- supervise senior honors theses, or other equivalent contributions to the research infrastructure of the department or program.
- b. Although rolling appointments are generally considered ongoing, the Associate Dean may initiate a review at any time 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.
- 3. 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-line faculty in the department/program and the Associate Dean.
- 4. Space allocation for research faculty 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.

## INITIAL APPOINTMENT

- 1. An appointment file should contain the candidate's statement about the job and plans for research at Dartmouth, a Curriculum Vitae including a complete publication list, and three letters of recommendation (at least two from experts not affiliated with Dartmouth).
- 2. The tenure-line faculty of all ranks vote on all research faculty hiring recommendations within their department or program, regardless of the rank of the research faculty candidate.
- 3. Following discussion and voting, the Chair makes a formal report and recommendation to the Associate Dean.
- 4. Initial appointments at all ranks are usually for three years.
  - a. In some cases, appointments may be for a shorter period, such as Interagency Personnel serving government agencies such as NSF, NASA, etc., on grants administered by the College.

## REAPPOINTMENT AND PROMOTION

- 1. Reappointment of Research Assistant Professors and Research Associate Professors after an initial three-year term is contingent upon satisfactory performance, based on an internal review.
  - a. By December 1 of the review year, the Candidate submits to the Chair a complete updated CV and a statement of past accomplishments and future plans (four single-spaced pages).
    - i. Research Assistant Professors are expected to have made substantial progress towards establishing an independently funded research program.
    - ii. Research Associate Professors are expected to have achieved and maintained their independently funded research program.
  - b. The Chair appoints an internal ad-hoc committee of two tenured faculty members of higher rank than the research faculty member. After reviewing the Candidate's materials, the committee makes a recommendation to the tenure-line faculty in the department/program, who vote on the reappointment (OFASDC, Section IV.E.d). The Chair conveys the vote and recommendation to the Associate Dean.
  - c. If approved by the Associate Dean, reappointment will be for a three-year term.
  - d. Unsatisfactory performance as determined by the review committee and/or Associate Dean can lead to a one-year terminal appointment in the research faculty rank.

2. Promotion reviews for Research Assistant Professors and Research Associate Professors are meant to assess the quality and significance of the Candidate's research, as well as the overall benefit to the College of continuing the appointment. Reviews typically occur at the end of the second three-year term in rank. The same review process applies to Research Professors whose initial appointment was at that rank for a fixed term, for consideration of a continuing appointment with a rolling three-year term. Reviews are conducted as follows:
  - a. By December 1 of the review year, the Candidate provides to the Chair and Associate Dean an updated CV and a research statement, describing both past accomplishments and future plans (4 single-spaced pages).
    - i. Research Assistant Professors are expected to have established an independently funded research program commensurate with the rank of Research Associate Professor.
    - ii. Associate Research Professors and Research Professors are expected to have maintained their independently funded research program as well as made other contributions to the department/program commensurate with the rank of Research Professor.
  - b. The Candidate and the Chair each separately provide the Associate Dean with the names of experts in the field who can assess the Candidate's research. Both lists should include experts not affiliated with Dartmouth.
  - c. The Associate Dean solicits 5-6 review letters and provides copies of the Candidate's CV and research statement to the letter writers. At least three of the letters should be from experts not affiliated with Dartmouth.
  - d. The experts' letters, and the candidate's materials, are reviewed by the department/program's tenure-line faculty and research faculty of higher rank than the Candidate, who then vote on promotion.
  - e. On the basis of the review and vote, the Chair makes a written recommendation to the Associate Dean.
  - f. The Associate Dean notifies the Candidate of the results and the terms of the appointment that will be offered.
3. Promotion review of Assistant Research Professors has three possible outcomes:
  - a. promotion to Research Associate Professor with a three-year term;
  - b. reassignment as to a position as Research Scientist/Analyst/Engineer (with rank commensurate to the position);
  - c. one-year terminal appointment as Research Assistant Professor if performance, which includes the ability to raise external support, is not satisfactory.
4. Promotion review of Associate Research Professors has four possible outcomes:
  - a. promotion to Research Professor with a rolling three-year term;
  - b. reappointment as Research Associate Professor for a three-year term;
  - c. reassignment to a position as Research Scientist/Analyst/Engineer (with rank commensurate to the position);
  - d. one-year terminal appointment as Research Associate Professor if performance, which includes the ability to raise external support, is not satisfactory.
5. Research Professors with rolling three-year appointments may be reviewed for continuation of their appointment at the request of the Associate Dean. The process is the same as outlined above for promotion reviews. The review has three possible outcomes:
  - a. Continuation as Research Professor with a rolling three-year term;
  - b. reassignment to a position as Research Scientist/Analyst/Engineer (with rank commensurate to the position);
  - c. one- to three-year terminal appointment as Research Professor if performance, which includes the ability to raise external support, is not satisfactory.

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## NON-FACULTY 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 STAFF

These titles 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 established 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.

#### Research Scientist/Analyst/Engineer

Appointments as (unprefixed) Research Scientist/Analyst/Engineer are made by the relevant Dean at the recommendation of a department or program Chair, to a renewable term, normally for 1–5 years.

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 Dartmouth 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. Research Scientists/Analysts/Engineers (unprefixed) 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

Senior Research Scientists/Analysts/Engineers have a higher level of responsibility in terms of personnel management and/or in providing key services to the institution as a whole. Individuals in these roles are expected to maintain professional standing in their fields 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. Senior Research Scientist/Analysts/Engineers may also hold titles such as Director or Technical Director of a core or institutional service.

Promotion (or initial appointment) to Senior Research Scientist/Analyst/Engineer is justified based on the level of responsibilities and competence. For promotion, there is no standard timing, and the recommendation for advancement is made following an internal review of performance with three letters from external referees. Recommendations for promotion are made to the relevant Dean.

## Principal Research Scientist/Analyst/Engineer

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.

Promotion (or initial 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.

## 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 [their] 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.

Postdoctoral scholars may be referred to as “fellows,” but their employment title will be determined by Human Resources as follows:

- Research Associate (the most common). 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. 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. Research Associates are not members of the Faculty.
- Postdoctoral Scholar. This title is used for postdoctoral scholars who receive a sponsored training fellowship paid to them directly, with no compensation from Dartmouth.
- Research Fellow. This title is used for postdoctoral scholars who are funded on certain training grants (such as NRSA and T32).

## POST-GRADUATE RESEARCH ASSOCIATE

This title may be requested for appointments at the level of Research Associate A or Research Associate B for candidates who have completed a BA or Master’s degree and bring to the position advanced research skills that the supervising faculty member could not substitute via recruitment of a Research Assistant, Lab Manager, or equivalent positions filled through the staff hiring process.

The term length for an appointment as PGA is typically one or two years and is not renewable beyond two years. Any such request must demonstrate that the faculty member has secured full funding to support the appointment. Faculty requesting an appointment should submit, for review by the Associate Dean, a description of the work the PGA will conduct and the specific research skills the PGA will employ that demonstrates that the research the PGA will be conducting is of significant centrality to the project and will be conducted with sufficient independence to warrant an appointment at this rank. Faculty requesting PGA appointments for international appointees should consult the Office of Visa and Immigration Services (OVIS) for details regarding visa, insurance, and funding requirements.

## 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.

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## 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 at the College. Frequently, but not exclusively, such visitors carry regular appointments at other institutions.

## VISITING PROFESSOR

Faculty who hold tenure-line at another institution and who are teaching temporarily at Dartmouth may be appointed as visiting professors, according to their rank: Visiting Assistant Professor, Visiting Associate Professor, or Visiting Professor.

Faculty who hold research positions at another institution and who are temporarily conducting research at Dartmouth can also be appointed as visiting professors, according to their rank: Visiting Research Assistant Professor, Visiting Research Associate Professor, or Visiting Research Professor.

Visiting appointments normally do not extend beyond one year.

## VISITING OR RESIDENT 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 who teach one or more Dartmouth courses, an appointment as Visiting Professor may be more appropriate.

## DISTINGUISHED FELLOW

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.

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## **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. 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 Office of Visa and Immigration Services (OVIS) to determine whether the candidate is eligible for employment in accordance with applicable Dartmouth College policies.



## 8. PROFESSIONAL CONDUCT AND RESPONSIBILITY

Many policies related to professional conduct and responsibility are set by the Provost Office and can be found on the Policy Portal. Some of the major policies include:

- [Research Misconduct Policy and Procedures](#)
- [Code of Ethical Conduct](#)
- [Conflict of Interest Policy](#)

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### NONDISCRIMINATION POLICY

The [Nondiscrimination and Anti-Harassment Policy and Resolution Procedures](#) affirm Dartmouth College's commitment to creating and maintaining a living, learning, and working environment free from discrimination, harassment and retaliation based on a person's membership in a protected class, and to ensuring compliance with applicable federal and state laws that prohibit such conduct.

Dartmouth College ("Dartmouth"), inclusive of all its schools and faculties, does not discriminate on the basis of sex, race (actual or perceived), color, religion, age, disability, status as a veteran, national or ethnic origin, actual or perceived shared ancestry or ethnic characteristics, or citizenship or residency in a country with a dominant religion or distinct religious identity, familial status, marital status, sexual orientation, gender identity, gender expression, or any other category protected by applicable law, in the administration of its educational policies, admission policies, scholarship and loan programs, employment, or other school administered programs.

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### SEXUAL RESPECT AND SEXUAL MISCONDUCT POLICY

At Dartmouth, we value integrity, responsibility, and respect for the rights and interests of others, all central to our Principles of Community. We are dedicated to establishing and maintaining a safe and inclusive campus where all have equal access to the educational and employment opportunities Dartmouth offers. We strive to promote an environment of sexual respect, safety, and well-being. In its policies and standards, Dartmouth demonstrates unequivocally that sexual and gender-based harassment, sexual assault, sexual exploitation, dating or domestic violence, provision of alcohol and/or other drugs for purposes of prohibited conduct, and stalking are not tolerated in our community.

Dartmouth is taking action to strengthen an environment in which sexual and gender-based harassment, sexual assault, sexual exploitation, dating or domestic violence, provision of alcohol and/or other drugs for purposes of prohibited conduct, and stalking are not tolerated. We are committed to the safety and well-being of every member of our community.

- [Sexual Respect and Title IX](#)
- [Dartmouth Sexual and Gender-Based Misconduct Policy](#)

**PROCESS FOR RESOLVING GRIEVANCES AGAINST MEMBERS OF THE FACULTY**

**I. Introduction:** statements of principles and purpose; scope; intake; initial assessment; options for action; documentation

Statement of Principles. As its institutional mission, Dartmouth College educates the most promising students and prepares them for a lifetime of learning and of responsible leadership through a faculty dedicated to teaching and the creation of knowledge. Dartmouth faculty members' overriding professional obligation is, therefore, to work according to the spirit and methods of responsible inquiry and teaching. Dartmouth faculty members should seek in good faith to fulfill the responsibilities that arise from their roles as teachers, scholars, and members of the Dartmouth community.

Scope. This Grievance Process shall cover all complaints that a Dartmouth faculty member has violated one or more of these principles—for example, by taking advantage of one's power, supervision, or authority over another—with the exceptions of complaints of sexual or gender-based misconduct or research misconduct, which shall be covered either by the Sexual and Gender-Based Misconduct Policy and Process for Resolving Reports Against Faculty or by the Research Misconduct Policy and Procedures, respectively.

The faculty includes all members of the departments and other instructional programs holding appointments as Professor, Associate Professor, Assistant Professor, Instructor, Senior Lecturer, Lecturer, Research Professor, Research Associate Professor, or Research Assistant Professor.

This Grievance Process does not replace, modify, or supersede the Agreement Concerning Academic Freedom, Tenure, and Responsibility of Faculty Members Voted by the Board of Trustees (January 15, 1971) after approval by the Faculty (October 19, 1970) as amended June 12, 2009, and as amended in the future (the Agreement) set forth in the Organization of the General Faculty of Dartmouth College (OGFDC). All disciplinary action that may arise from this Grievance Process with regard to faculty members who are covered by the definition of "faculty" in the Agreement shall continue to be covered by the Agreement.

Intake. Regardless of which campus office initially receives a complaint or the medium of the complaint, complaints normally will be resolved by the Dean of the Faculty, in keeping with the Dean's responsibility for all matters relating to the effectiveness, development, and well-being of the Arts and Sciences faculty.<sup>1</sup> The Dean will attempt to handle

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<sup>1</sup> All references to the "Dean" throughout this Grievance Process shall refer to the Dean of the Faculty, and shall include the Dean's designee, such as the appropriate divisional Associate Dean, whom the Dean shall identify in writing to serve in that capacity for the purpose of this Grievance Procedure. All references to the "Dean's Office" throughout this Grievance Process shall include any Associate Dean within the office of the Dean of the Faculty. If a faculty member against whom a complaint has been made has a joint appointment at multiple schools, the Deans of the respective schools shall confer to determine who shall address the complaint; if the Deans cannot reach agreement, they shall notify the Provost, who shall decide which Dean shall address the complaint. If a faculty member against whom a complaint has been made has a joint appointment in a school and in an office outside that school, the Dean shall confer with the head of that office's division or department to determine who shall address that complaint; if the Deans cannot reach agreement, they shall notify the Provost, who shall decide whether the Dean or the division/department head shall address the complaint. For complaints against any Dean, all references to the "Dean" throughout this Grievance Process shall be replaced by the "Provost," and shall include the Provost's designee, whom the Provost shall identify in writing to serve in that capacity for the purpose of this Grievance

complaints with sensitivity, discretion, and fairness, with due regard for the interests of all parties and witnesses. If at any time in the course of implementing this Grievance Process a Dean becomes aware of reported conduct within the scope of the Sexual and Gender-Based Misconduct Policy, the Dean shall make an immediate referral to the Title IX Coordinator, who shall determine whether that Policy applies to the reported conduct. Likewise, if at any time a Dean becomes aware of reported conduct covered by the Research Misconduct Policy and Procedures, the Dean shall make an immediate referral to the Provost, who shall determine whether the Policy and Procedures apply to the reported conduct.

The individual who makes the complaint shall be referred to as the “Complainant”; a Complainant may be a Dartmouth faculty or staff member, student, alumnus/a, volunteer, or third party not affiliated with Dartmouth. The faculty member against whom the complaint is made shall be referred to as the “Respondent.” The decision whether and how to act upon complaints remains at the discretion of the Dean in accordance with the process for Initial Assessment described below. Should a Complainant request confidentiality, the Dean will take all reasonable steps to honor that request and to act upon the complaint consistent with that request, but the Dean’s ability to do so may be limited based on the nature of the complaint and the nature of the request for confidentiality. For instance, the Dean generally will need to disclose the identity of the Complainant to initiate the procedures described in Section II below for complaints that may be resolved through potential disciplinary action. In addition, the Dean generally will not take action upon complaints that are submitted anonymously.

Initial Assessment. To determine whether to take action and, if so, appropriate options for action, the Dean shall conduct an initial assessment.

- For complaints by undergraduate students or students in the Guarini School of Graduate and Advanced Studies (Guarini), the Dean may consult with the Dean of the College or the Dean of Guarini, respectively, to determine whether the complaint should be referred to either for resolution. If the Deans cannot reach agreement, they shall notify the Provost, who shall decide which Dean shall address the complaint.
- For all complaints, the Dean may consult with any or all of the following: the Complainant, the Respondent, or any campus office.

If the Dean determines to take no action, the Dean shall so notify the Complainant in writing, and shall notify the Respondent to the extent consistent with any request by the Complainant for confidentiality.<sup>2</sup> If the Dean determines to refer a complaint elsewhere—for example, to the Dean of the College, the Dean of Guarini, the Title IX Coordinator, the Provost, a department or program chair, or a program director—the Dean shall so notify the Complainant in writing. (Should a Complainant be a third party unaffiliated with Dartmouth, the Dean shall have the discretion to make a notification as appropriate in the event of no action upon or referral of the complaint.) The Dean shall make any referral in writing, and shall request the recipient of the referral to report to the Dean in writing any disposition of the complaint, at which time the Dean will determine whether any further action is appropriate under this Grievance Process or any other applicable Dartmouth policy or process. Notifications to the Complainant and/or the Respondent following the referral shall be the responsibility of the office or individual to which the referral occurs.

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Procedure; for such complaints, all references to the “Dean’s Office” throughout this Grievance Process shall refer to the Provost or the Provost’s designee.

<sup>2</sup> All references to “writing” or “written” shall include transmission by electronic mail as well as hard-copy transmission.

Options for Action. If the Dean determines to act upon a complaint, there are two options for action:

- The parties, with or without the assistance of the Dean, may agree upon a resolution that does not involve disciplinary action against the Respondent and that the Dean determines is appropriate.
- The Dean may determine that, if the allegations are true, they could be the basis for potential disciplinary action against the Respondent. In that case, the Dean shall follow the procedures described below in Section II.

Documentation. Regardless of how a complaint reaches the Dean's Office and the medium in which the complaint is made, the Dean's Office will document every complaint, any actions taken in response to the complaint, and the resolution by one of the two methods described below; and will retain copies of all reports generated as a result of any investigation. These records will be kept private to the extent required or permitted by law. Complainants and Respondents shall have access to their respective records to the extent required by New Hampshire legal requirements for access to personnel records.

## II. Procedures and time frames<sup>3</sup> for complaints that may be resolved through disciplinary action

If the Dean determines disciplinary action may be an appropriate potential resolution to a complaint, the Dean shall notify the Complainant and Respondent in writing, normally within thirty days of receiving the complaint. If there are multiple Complainants, the Dean has the discretion to determine whether this initial notification and all subsequent communications should occur with individual Complainants or to the Complainants as a group or multiple sub-groups, depending on the nature of the complaint.

The Dean's initial notification to the Complainant and the Respondent shall include: the names of the Complainant and Respondent; a description of the allegations in the complaint, including the date, location, and nature of the alleged conduct; an invitation to provide any information relevant to the complaint and the names of any witnesses with relevant firsthand knowledge of the alleged conduct, within thirty days of the date of the notification; a prohibition against retaliation; a direction to preserve any potentially relevant information; and an instruction to keep the matter strictly confidential. The Dean's initial notification to the Respondent shall also include an invitation to provide a written response to the allegations in the complaint within thirty days of the date of the notification; a description of the steps the Dean's Office may take to investigate and resolve a complaint, as outlined below; and, for cases in which the Respondent holds an appointment that is covered under the Agreement (as defined above), a statement that, while the Dean refrains from prejudging the outcome of the investigation, the Respondent shall have access to all rights conferred by the Agreement (as defined above) in the event of any disciplinary action that the Dean imposes or recommends as well as the right to an advisor/observer as described below.

Based on the parties' responses to the Dean's initial notification, the Dean's Office may undertake any steps the Dean's Office determines to be appropriate in seeking to investigate and resolve a complaint, including but not limited to: consulting with any other campus office on a confidential basis; meeting with one or both of the parties, reviewing records from one or both of the parties, or meeting with witnesses identified by one or both of the parties; or appointing a trained internal or external investigator to conduct a confidential, prompt, thorough, fair, and impartial investigation resulting in written findings of fact and determinations of the violation of any applicable law or any Dartmouth policy or standard. During this process, the parties have the right to be accompanied to meetings

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<sup>3</sup> While these procedures designate time frames with the goal of achieving a reasonably prompt resolution of complaints, Dartmouth may extend any time frame for good cause, which shall be documented in writing and shall become part of the complaint records that are retained in the Dean's Office as described above. All references are to calendar days. Days during the summer term are not counted toward the designated time frames.

or conversations with the Dean's Office or the investigator by a single advisor/observer who is not otherwise involved in the circumstances underlying the complaint, or responsible—for example, by virtue of a position at Dartmouth or membership on a committee—for taking current or future action in response to the complaint. Advisors/observers may not actively participate by answering questions or making presentations on behalf of the parties, and are limited to advising the parties privately. Advisors/observers are subject to the same confidentiality obligations applicable to the parties.

If the Dean decides to appoint an investigator, the Dean shall notify the parties of the name of the investigator in writing and shall give the parties the opportunity to challenge the selection of the investigator by making a written submission within five days describing any conflict of interest or bias that would compromise that individual's objectivity. The Dean shall issue a written determination to the parties regarding the outcome of any such challenge, and that determination shall be final.

The investigation shall normally be completed within sixty days from the notification to the parties of the selection of the investigator or the Dean's disposition of any challenges to the selection of the investigator. The investigator may conduct interviews with, and request relevant documents (including electronic records) from the parties and any witnesses, but the investigator, not any party or witness, is responsible for determining the relevance of such information or witnesses. Generally, information that does not directly relate to the facts at issue, but instead reflects upon the reputation, personality, qualities, or habits of an individual is character evidence and is not relevant to the investigation. The investigator shall seek to record all interviews with parties or witnesses, subject to objection by a party or witness at the time an interview is scheduled.

Throughout the investigation process, the investigator shall provide the parties with the following, along with reasonable time frames for the completion of each step:

- The opportunity to submit relevant information, and/or the names of witnesses with relevant firsthand knowledge, supporting their position;
- The opportunity to review records or other information submitted by the other party, to the extent permitted by FERPA and other applicable laws, and to submit questions that the investigator may consider posing to the other party or witness(es), subject to the investigator's discretion;
- The opportunity to be notified of substantial new factual allegations and to respond with additional information and/or witnesses;
- The opportunity to be notified of any alleged violation of applicable law or Dartmouth policy or standard and to respond; and
- The opportunity to review the investigator's preliminary factual findings and determinations of any violation of law or Dartmouth policy or standard, and to provide written responses that the investigator shall consider in producing the final version of such findings and determinations.

The investigator's final report shall be in writing and shall include findings of fact and determinations of the violation of any applicable law or any Dartmouth policy or standard, utilizing a preponderance of the evidence standard. The investigator shall issue the final report simultaneously to the Dean and both parties.

Within thirty days of the issuance of the final report, the Dean shall notify both parties in writing of any action by the Dean based on the report. If that action by the Dean includes any disciplinary action, the notification to the party subject to disciplinary action shall include the rights conferred by the Agreement (as defined above). Section III below contains a non-exhaustive list of potential disciplinary actions.

In addition to the retention of records described above in Section I for all complaints, the Dean shall issue a written notification of the report's findings and determinations and any action by the Dean to the following offices, as appropriate, based on the source and/or nature of the complaint:

- To the Director of Risk and Internal Controls Services, if the complaint originated through the EthicsPoint hotline;
- To the Senior Vice President/Senior Diversity Officer of the Office of Institutional Diversity and Equity, if the complaint was initially submitted to that office;
- To the Dean of the College or the Dean of Guarini, if the complaint was initially submitted to either office;
- To the Chief Human Resource Officer, if the complaint was initially submitted to the Office of Human Resources; and
- To the Title IX Coordinator, if the complaint was initially submitted to the Title IX Office.

Those offices shall maintain the Dean's written notification in accordance with their applicable record retention policies.

### III. Potential disciplinary actions

The Agreement governs disciplinary actions against a faculty member, which may be effected only for adequate cause as defined in the Agreement and via the procedures described in the Agreement. Potential disciplinary actions include—but are not limited to—those listed below. In recommending or taking a disciplinary action, the Dean shall include an indication of whether the action shall be considered as part of the faculty member's subsequent reappointment, tenure, and/or promotion.

Pending the outcome of disciplinary proceedings, the Dean may place a faculty member on temporary leave from College duties, with pay and benefits; such leave is not itself a disciplinary action against a member of the faculty. The Dean may also require a faculty member to participate in an educational program, which is not a disciplinary action.

#### A. Disciplinary actions that may be recommended by the Dean and taken by the Board of Trustees.

Under the Agreement, the following actions may be recommended by the Dean but may be taken only by the Board of Trustees pursuant to the procedures set forth in Sections 6(a)(ii) and 6(b)—(h) of the Agreement.

1. Termination of an appointment with tenure
2. Termination of a nontenured appointment before the end of its specified term
3. Suspension without pay from College duties, with or without conditions

#### B. Disciplinary actions that may be taken by the Dean.

Under the Agreement, all other actions may be taken by the Dean, and the faculty member shall have the right to have such actions reviewed pursuant to the procedures set forth in Section 6(a)(i) of the Agreement. By way of example, such actions may include, but are not limited to:

1. Letter of reprimand
2. Special monitoring of future work
3. Probation, with or without conditions
4. Censure
5. Removal from Dartmouth housing, research/laboratory space, or other property
6. Exclusion from Dartmouth property or activities
7. Prohibition against taking on graduate students
8. Removal from a particular project
9. Reduction in salary
10. Withholding of merit increase in salary
11. Prohibition against sabbatical accrual and/or delay in grant of sabbatical for defined period

12. Reduction in or elimination of access to research, development, or other faculty support funds
13. Restitution as appropriate
14. Demotion in rank
15. Removal of endowed chair
16. Removal of administrative position or change in work assignment
17. Future ineligibility—either permanently or for a fixed period—for honors bestowed by the College, including named chairs, prizes, and emerit appointments.

## 9. RESEARCH AND EMPLOYMENT POLICIES

The Dartmouth College [Policy Portal](#) is the official repository of all college policies, including those related to copyright, patents, intellectual property, and other issues related to faculty activities. Included here are only a handful of those policies most directly related to topics covered in the Faculty Handbook.

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### OFFICE OF SPONSORED PROJECTS

Sponsored research activities are central to the purposes of the Faculty of Arts and Sciences and of Dartmouth College as a whole. The [Office of Sponsored Projects](#) (OSP) provides guidance and management during all phases of sponsored research activity. The [Grant Manager](#) team in Arts and Sciences also works closely with faculty and OSP on sponsored activities.

Faculty should pay particular attention to sections on Sponsored Research Administration, which include 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, the title to capital equipment acquired under sponsored projects, and patent policy.

All grant purchases must comply with Dartmouth [procurement policies](#).

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### EQUIPMENT TRANSFER GUIDELINES

When a faculty member decides to leave the College and desires to transfer equipment purchased while at Dartmouth to another institution, they should make a written request to the Associate Dean to initiate a review of the assets.

The faculty member's Associate Dean will be guided by the following procedures in reviewing the transfer request. The Associate Dean is the final arbitrator concerning which pieces of equipment, other than government-furnished equipment, can leave the College. The [Office of Sponsored Projects](#) details further aspects of this policy.

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, can be transferred 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.
5. Contact the Fixed Asset Coordinator to obtain the fair market value of equipment to be transferred and provide the information to the faculty member.
  6. The faculty member will 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.
  8. Once the letter is signed, copies go to:
    - a. A&S Fiscal Office. A fiscal officer will finalize arrangements for payment by the receiving institution and ensure payment is received.
    - b. Fixed Asset Manager in Procurement Services so that the fixed asset system information remains current.
    - c. Sponsored Research Manager(s), to add to the file of any grants managed by the Office of Sponsored Projects.

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## **EMPLOYMENT OF PARTNERS AND FAMILY MEMBERS**

Dartmouth College recognizes that both partners of married couples, civil unions, and domestic partnerships may simultaneously seek employment at Dartmouth and in the Upper Valley area. While the presence of dual-career couples is not unique to Dartmouth, the institution's small size and rural location often make it difficult to meet the needs of these individuals. Faculty who have questions about potential opportunities for their spouse or partner should contact their Associate Dean.

The Offices of the Dean of the Faculty of Arts and Sciences, Dean of the School 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 direct support regarding staff employment, while the Office of the Dean of the Faculty provides assistance for these efforts for Arts and Sciences faculty. Appropriate individuals from these offices work to identify employment issues as early as possible in the process of attracting potential employees to Dartmouth.

## EMPLOYMENT RELATIONSHIPS INVOLVING RELATIVES

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.
- Spouses, partners or other family members holding appointments in the same department or program may not participate in the deliberation or the vote on cases of appointment, reappointment, promotion, or tenure for members of each other's cohort group. In determining a cohort group for purposes of reappointment, promotion, and tenure, rank year (the year of initial appointment in current rank) will take precedence over the year of initial appointment. The Associate Dean may stipulate broader exclusions, depending on the circumstances.
- 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 are:

- the individual's spouse or domestic partner;
- the individual's siblings regardless of type (half-siblings, step-siblings, etc.);
- the siblings of the individual's spouse or domestic partner, regardless of type half-siblings, step-siblings, etc.);
- the individual's siblings' 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.

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## INDEMNIFICATION

Dartmouth College will indemnify an employee of the College against liability and associated costs if the conduct that is the subject of the claim or action occurred within the scope of the employee's duties and the employee was acting in good faith, without criminal or other misconduct, and in the reasonable belief that the employee's action was in the best interests of the College. Ordinarily, indemnification will not be available if the claim against the employee involves work paid for by someone other than the College.

- Indemnification policy

Employees should promptly (preferably the same day) notify the Office of the General Counsel, in writing, of any claim or action. The Office of the General Counsel will advise the employee, in writing, of its decision regarding the request for indemnification. Further guidance: <https://www.dartmouth.edu/legal/advice/contacts.html>.

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## 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. For guidance, visit: <https://www.dartmouth.edu/legal>.

## 10. COMPENSATION AND BENEFITS

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

All tenure-line and research faculty are required to submit an annual Faculty Record Supplement (FRS) to ensure that publications and other professional activities are kept current. This form provides important information for the salary review process. Teaching faculty also submit an annual activity report.

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### PAYROLL PROCEDURES

Salary is paid on a monthly basis on the first working day of the month. Newly appointed faculty receive their first payment on the first working day of the month following their start date (e.g. August 1 if the appointment started on July 1). Details of effective dates and any modifications to regular procedures are specified in individual appointment letters.

Monthly statements are available through [Human Resources](#). Faculty should review their statements regularly to ensure accuracy, particularly following any changes in expected payments or benefits costs. 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 monthly salary statement.

For the purposes of part-time appointments or other calculations of effort by term, the following dates are used. 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 – August 31
- **Fall:** September 1 – November 30
- **Winter:** December 15 – March 14
- **Spring:** March 15 – June 14

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### 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.

The [Human Resources Office](#) establishes the terms of fringe benefits and they are subject to change each year. There are a number of benefits that are a constituent part of faculty compensation. Under the terms of federal legislation (ERISA), Dartmouth distributes information about these benefits annually.

Benefits eligibility varies by appointment type. Full details are available through Human Resources and the Arts and Sciences Finance Center.

**REGULAR COMPENSATION**

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-line 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.

Tenure-line faculty 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.

Even though the academic year obligation for full-time faculty is 9 months, faculty members normally have continuous access to all institutional facilities, including office space, library services, and computer support.

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-line 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. Accordingly, 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. Approval may include requirements for salary reimbursement to Dartmouth and other financial stipulations.

**FREE TERM COMPENSATION**

Faculty members on nine-month appointments may have opportunities 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. 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-year 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.
- 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. The Dean of the Faculty office 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.
- Faculty members who are appointed Chair or acting Chair of departments by the Dean of the Faculty are awarded additional annual salary for each academic term they serve. This extra salary will be paid during each term of service and is included in the annual 3/9 cap.
  - Chairs of academic departments and programs also receive a reduction in teaching assignment and sabbatical credits (detailed in Section 4 under Sabbaticals).
  - 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 should discuss their free-term schedules with the respective Associate Dean well in advance of the term.
- Further information on free-term compensation from sponsored sources is detailed below.

## **SPONSORED RESEARCH COMPENSATION**

The Dean of the Faculty encourages faculty to seek extramural support for their research program, including funding that can support student researchers and postdoctoral scholars, equipment and supplies, and faculty salary.

These guidelines delineate policy for salary drawn from sponsored projects and all other funding sources administered as grants including corporate and foundation funds received as gifts and internally funded grants. These policies enable flexibility while encouraging faculty to maintain a balance between research and classroom teaching. They apply to tenure-line faculty in the Arts and Sciences, except those whose primary appointment is in the Thayer School of Engineering.

Where payments of salary are charged to grants or contracts administered by the College, the charge includes a fringe rate to cover the costs of fringe benefits. Both academic and supplementary salaries are charged the same fringe rate. Fringe rates are established annually through the budget process.

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 (defined in the Faculty Leave section), should make arrangements for compensation within this policy with their Research Grant Manager and the Arts and 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.

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 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 their 9-month compensation during an otherwise free term.

### **Salary Research Reserve (SRR) Accounts**

Faculty members are eligible to be reimbursed into a Salary Research Reserve (SRR) account when the Arts and 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 the 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 an 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.

Faculty members may draw compensation from an SRR account provided that they have exhausted all other sponsored and College-funded free-term or Research Leave (RESL) support (defined in the Professional Leaves section), and that they draw no more than 3/9 salary from an SRR in any fiscal year.

### Free Term Compensation

The fourth term of the academic year not included in regular 9-month compensation is called the "free term." Tenure-line faculty may be paid up to 3 months additional compensation for their free term, in line with sponsored source guidelines and College policies.

Recognizing that sponsored 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 tenure-line 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.

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.

### Additional Sponsored Project Effort during Non-Free Terms

A faculty member who has drawn the full 3/9 salary during a 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 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 in the grant, Dartmouth cost-shares the appropriate level of effort on the departmental faculty compensation account.
- If there is effort committed and salary is budgeted in the grant, the appropriate amount of salary is drawn from the grant. This amount is later deposited into the investigator's SRR account.

## NIH and Other Salary Caps

For faculty members who are subject to the NIH salary cap (and similar salary caps and 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.

## SUPPLEMENTAL COMPENSATION

As a rule, neither extra compensation nor honoraria are paid with Dartmouth-administered funds to tenure-line 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 instruction, research commitments, or participation on Dartmouth committees and related activities.

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

### Exceptions for Service

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. Prior approval from the Dean of the 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 Dartmouth-administered sources shall be treated as wages and subject to standard withholdings.

1. Supplementary compensation is subject to the annual 3/9 cap for those with nine-month appointments.
2. Such compensation is annually limited to 10% per academic year of the individual's academic year salary.
3. The payment(s) are made during the academic term(s) of the scheduled event(s) and are nontransferable from one year to the next.
4. Funds may be placed in an SRR account if they cannot be paid as salary.

### Exceptions to 12-month Salary Cap

Occasionally faculty members may 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:** Dartmouth-administered prizes are awarded for past achievement rather than for a current service obligation and are not 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.
- **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 \$1,500 per fiscal year. Examples include payments for alumni travel programs, student advising, service to a College administrative office, or giving a lecture. Payments of this type beyond the first \$1,500 can be made but are subject to the 3/9 cap on



regular additional compensation for nine-month appointments. Non-recurring refers to payments not expected to happen more than twice in three consecutive years.

- **Special Payments:** Payments for special activities that are outside the scope of a faculty member's regular duties at the College will not be counted as regular annual compensation.

Faculty members who provide service and are offered additional compensation need to inform those offering payment of these guidelines to avoid overlap between such payments and other 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.

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## TEACHING FACULTY

### Contract Policies

- All teaching faculty are regularly reviewed for their teaching performance and curricular contributions.
- All appointments are for a specified length of time.
- Appointments are typically renewable pending performance review and continued curricular needs.
- Appointments that are at least half-time, and that have course assignments distributed across three consecutive academic terms, are eligible for pro-rated fringe benefits. Further details about benefits are available from the [Benefits Office](#).
- Regardless of the overall number of courses taught, full-time or part-time, the total assignment for a single term cannot exceed two courses except in extraordinary circumstances and with prior approval from the relevant Associate Dean(s).
- Lecturers and Senior Lecturers teaching in more than one department/program may not accept conflicting assignments or overload assignments.

### Twelve-Month Contracts

Lecturers and Senior Lecturers employed on twelve-month contracts receive twelve equal monthly paychecks (August 1 through July 1) regardless of the terms in which they teach. Eligibility is defined as follows:

- Appointment is more than half-time (50%);
- Teaching assignment in three of the four academic terms;
- Employed as a benefits-eligible Lecturer or Senior Lecturer in Arts and Sciences for the previous academic year (at least half-time with course assignments distributed across three academic terms).

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## RESEARCH FACULTY

Research Faculty are generally expected to generate their own support from research and sponsored sources for their regular compensation, including fringe benefits. 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.

Salary increments are determined annually by the Dean of the Faculty, based on merit as determined by the record of research and scholarship. Research faculty receive a Faculty Record Supplement form from the Dean of the 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.

Dartmouth-sourced compensation is provided under the following conditions:

- **Teaching.** When a research faculty member is teaching a formal course in addition to their sponsored research activity, the 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 (from College sources) and 50% effort for research (from sponsored sources).
  - 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.
  - Teaching assignments are subject to department/program needs and there is no expectation of regular or ongoing teaching assignments for research faculty.
- **Proposal preparation.** Since time spent preparing new proposal cannot be paid by current sponsored funding, research faculty who are fully supported on sponsored research and are preparing new sponsored funding proposals are typically eligible to receive compensation from Dartmouth for 5% effort at their regular sponsored project rate during the term in which they are developing a new proposal. This 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. Such support may be provided for a maximum of one term during any academic year, regardless of the number of proposals that are prepared.
  - Arrangements for compensation within this policy should be made during Spring term prior to each academic year with the Arts and Sciences Research Grant Manager and the Arts and Sciences Fiscal Office.

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## 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 must discuss these matters with their respective Chairs and Associate 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 travel programs, interfere with the normal teaching schedule and other College responsibilities and obligations.

Faculty members must keep their Chairs and 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.

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## 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](#) 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.

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## 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.

- [Application for the JP Morgan Corporate Card Program](#)

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## 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 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.

- Allowable expenses are detailed in the [Business Expense Policy](#).
- Expense reporting guidelines are detailed at the [Finance Office](#).
- International travel must be registered in advance with the [Global Dartmouth Travel Registry](#). Some destinations require approval for a travel exception.
- [The Arts and Sciences Finance Center](#) can assist with questions, processing, and approvals.
- Faculty members may draw on their research funds for dependent travel expenses for up to a maximum of \$2000 per academic year. Funds from sponsored accounts may only be used if dependent care is explicitly allowed by the sponsor. Please note: this is a taxable benefit. In order for a payment to be approved the following steps must be followed:
  - The travel must be associated solely with professional activities that will clearly advance the faculty member's career, and which could not occur without dependent travel support.
  - Before making any travel arrangements, the faculty member must obtain signed approval, using the [Dependent Travel Request Form](#). Details regarding the purpose of travel and nature of the expense will be required. The form also provides the option to request a gross pay rate of 142.8% of the actual cost to cover the tax burden of receiving a payment for dependent travel expenses (still within the \$2000 annual maximum).
  - All approvals must be secured in writing in advance of confirming travel arrangements or making any financial commitments.
  - Personal funds must be used for the dependent travel expenses. Dependent travel expenses may not be charged to a Dartmouth corporate card; personal funds must be used. If this presents a financial hardship, please contact the ASFC.

- Within 14 days of completion of travel, all dependent travel receipts must be submitted for processing.
- Payment to faculty for the dependent travel will normally be processed within 14 days of submission of receipts.

## 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 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.

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## LAWFUL PERMANENT RESIDENCE SPONSORSHIP

The Dean of the Faculty Office recommends that tenure-line faculty (tenure-track and tenured) who are foreign nationals apply for Lawful Permanent Residence (LPR) sponsorship at the beginning of their appointment. Faculty who seek LPR sponsorship should notify both their immigration advisor in the [Office of Visa and Immigration Services](#) (OVIS) and their Associate Dean. For a College-sponsored petition, OVIS will engage one of its approved outside immigration law firms. Most fees are paid directly by the College on behalf of the faculty member; always consult before making any payments. The Dean of the Faculty Office supports the LPR process with the following policies:

### Benefits

- Cost of the Labor Certification process for Special Handling cases. These costs are paid directly to an approved law firm (as a non-taxable benefit).
- Cost of attorney and government filing fees required for the I-140 immigrant visa petition process. The need for premium processing (government expedite fee) will be determined on a case-by-case basis. These costs are paid directly to an approved law firm (as a taxable benefit).
- Cost of attorney and government filing fees for the I-485 adjustment of status application process for the principal beneficiary (faculty member). These costs are paid directly to an approved outside immigration law firm, and do not include costs related to Requests for Evidence (as a taxable benefit)
- Cost of government filing fees, and in some cases attorney fees, for the petition to extend the faculty member's underlying nonimmigrant status while the application for permanent residence is pending (as a taxable benefit). The need for the extension petition will be assessed by OVIS in consultation with counsel from the approved law firm.
- Special situations not listed here may also be covered on a case by case basis, with prior approval.

### Limitations

- Faculty are responsible for the legal and filing fees for dependent family member applications.
- Faculty are responsible for any costs associated with missed deadlines caused by the faculty member's delay.

- Faculty who opt to pursue marriage-based residency instead of employment-based residency must use a law firm approved by OVIS. Any future filing for employment-based residency would be at the faculty member's expense.

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## DISABILITY AND ACCESSIBILITY

The [Dartmouth Disability and Accessibility Resources Office](#) works to ensure that all Dartmouth community members can adequately access campus resources, spaces, and events. The ADA/504 Coordinator (ADAC) oversees and implements a campus-wide compliance program, including managing all disability-based grievance processes related to the provision of disability-related accommodations, delivering campus-wide disability compliance training, promoting physical and digital access enhancements, and providing leadership to promote cross-divisional collaboration and consistency.

Faculty, visitors, and other employees can [Request Accommodations and Support](#) related to disability, pregnancy, parenting, and religious beliefs and practices.

Employees who are temporarily or permanently disabled should follow the [Employee Accommodation Request Process](#). Anyone who believes that they have been discriminated against on the basis of disability can contact the ADA/504 Coordinator or [file a report](#).

Faculty seeking accommodations can consult the Assistant Dean for Faculty Affairs in Arts and Sciences for general advice.

If an approved accommodation involves equipment purchases or other direct expenses, consult the Assistant Dean for Faculty Affairs before making any financial commitments to ensure compliance with all Dartmouth policies. The Dean of the Faculty Office will review and approve funding requests.

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## PERSONAL LEAVES

Personal leave includes a range of circumstances that may interrupt a faculty member's ability to fulfill their research, teaching, and/or service obligations for some period of time.

All Dartmouth employees, which includes the various faculty and non-faculty titles and ranks described in this handbook, are eligible for various types of personal leaves under the policies set by the [Benefits Office](#). Many types of personal leave are governed by the terms of the Family and Medical Leave Act (FMLA). Details can be found at [Human Resources](#).

This handbook only delineates additional leave benefits provided by Arts and Sciences for tenure-line and teaching faculty.

Requests for personal leaves require documentation and approvals to ensure that all appropriate benefits are applied and that timely arrangements can be made to reassign the core responsibilities of the person on leave.

Initial questions and consultations should be directed to the Assistant Dean for Faculty Affairs.

Policy resources:

- [Dartmouth Policies for Leaves of Absence](#)
- [Human Resources Leaves of Absence](#)
- [Dartmouth Faculty Parental and Pregnancy Leave Policy](#)
- [Arts and Sciences Schedule Adjustment Request Portal](#)

## LEAVE TERM DEFINITIONS

### Tenure-Line Faculty

The relationship between Personal Leave terms and teaching is the same as for Professional Leave terms (details above in Section 4).

### Lecturers and Senior Lecturers

For benefits-eligible teaching faculty, arrangements of teaching reductions will depend on the individual contract and the number of courses assigned for the academic year. Depending on the teaching assignment and timing of the leave, arrangements will be made to provide the appropriate number of leave terms without teaching.

## PREGNANCY LEAVE

Pregnancy Leave is granted to faculty members who are birth-parents without loss of seniority, benefits, or compensation. Only one pregnancy leave per pregnancy is allowed and the leave must be taken in the academic term during or immediately after the birth. Pregnancy Leave can be combined with Parental Leave for a two-term leave.

### Tenure-Line Faculty

Tenure-line faculty members are entitled to a one-term pregnancy leave at full compensation for one of the three residence terms.

Pregnancy Leave, like other leaves, does not count toward sabbatical accrual. For tenure-track faculty, Pregnancy Leave automatically extends the timeline for reappointment or tenure review by one year (details in Section 5).

Faculty who wish to take Pregnancy Leave should contact the Assistant Dean for Faculty Affairs, who will coordinate with their department/program chair and Associate Dean in advance to work out coverage of faculty obligations. Faculty should then complete a request in the Schedule Adjustment Request Portal. If eligible, faculty should also request FMLA leave through Human Resources.

### Lecturers and Senior Lecturers

Faculty members in the rank of Lecturer or Senior Lecturer who are eligible for FMLA are also eligible for Pregnancy Leave.

Pregnancy Leave entails a one-term leave without loss of compensation.

Faculty who wish to take Pregnancy Leave should contact the Assistant Dean for Faculty Affairs, who will coordinate with their department/program chair and Associate Dean in advance to work out coverage of faculty obligations. If eligible, faculty should also request FMLA leave through Human Resources.

## PARENTAL LEAVE

The intention of Parental Leave is to bond with a child following birth, adoption, or foster placement of one or more children under the age of 18 (or older if disabled).

- Benefits-eligible faculty are eligible for one paid Parental Leave for the birth, adoption, or foster care placement of a child or children in a 12-month period.
- The 12-month period commences with the birth or placement of the adopted or fostered child regardless of when the leave is taken. The leave must be completed within a 12-month period.

- Multiple births, adoptions, or placements (e.g., the birth of twins) do not increase the total amount of paid Parental Leave during the 12 months.
- Parental Leave is granted without loss of seniority, benefits, or compensation.
- Parental Leave can be combined with Pregnancy Leave for a two-term leave.
- If a faculty member's spouse or partner is also a benefits-eligible employee of Dartmouth, both parents are entitled to Parental Leave according to the terms of their employment type and FMLA eligibility.

### Tenure-Line Faculty

Parental Leave entails a one-term leave within a one-year period of the arrival. Parental Leave, like other leaves, does not count toward sabbatical accrual.

Faculty who wish to request Parental Leave should contact the Assistant Dean for Faculty Affairs, who will coordinate with their department/program chair and Associate Dean in advance to work out coverage of faculty obligations. Faculty should then complete a request in the [Schedule Adjustment Request Portal](#). If eligible, faculty should also request FMLA leave through [Human Resources](#).

### Lecturers and Senior Lecturers

Faculty members in the rank of Lecturer or Senior Lecturer who are eligible for FMLA are also eligible for Parental Leave.

Parental Leave entails a one-term leave within a one-year period of the arrival.

Faculty who wish to request Parental Leave should contact the Assistant Dean for Faculty Affairs, who will coordinate with their department/program chair and Associate Dean in advance to work out coverage of faculty obligations. If eligible, faculty should also request FMLA leave through [Human Resources](#).

## FAMILY LEAVE

FMLA provides for up to 12 weeks per twelve-month period of unpaid personal leave to enable family care of various kinds. Details can be found at [Human Resources](#). Such leaves are unpaid. Requests for Family Leave should be made through the [Schedule Adjustment Request Portal](#) or directly to the Associate Dean for eligible Lecturers and Senior Lecturers. At the same time, faculty should request FMLA leave through [Human Resources](#).

Arrangements related to course reductions depend on the length and timing of family leave.

A tenure-track faculty member who has taken Family Leave may also request an extension of time for reappointment/tenure review under the [Personal Exigency policy described in Section 5](#).

## MILITARY LEAVE

Dartmouth's [Military Leave Policy](#) provides for continuation of compensation, benefits, and retirement contributions for employees in active military service.

Faculty who are activated should notify their Chair(s) and Associate Dean(s) of anticipated military service requirements as soon as possible, including anticipated dates of duty, so that appropriate arrangements can be made for teaching, student mentoring, and other responsibilities. Tenure-line faculty should also request leave through the [Schedule Adjustment Request Portal](#).

For tenure-track faculty, service of one to six months automatically extends the timeline for reappointment or tenure review by one year. Service of seven to twelve months automatically extends the timeline for reappointment or

tenure review by two years. Tenure-track faculty who have been on active duty may also request additional extension through the [Personal Exigency policy described in Section 5](#).

## MEDICAL LEAVE

Tenure-line and teaching faculty who become ill or injured are eligible for paid leave that includes a reduction in teaching responsibilities. Faculty returning to work after a Medical Leave are encouraged to consult in advance with the [ADA/504 Coordinator](#) if they are likely to experience a temporary or permanent disability and thus to request accessibility accommodations.

### Tenure-Line Faculty

Tenure-line faculty are eligible for one or two terms of paid Medical Leave in one academic year. For tenure-track faculty, Medical Leave automatically extends the timeline for reappointment or tenure review by one year ([details in Section 5](#)).

Requests for Medical Leave should be made through the [Schedule Adjustment Request Portal](#). They will be reviewed by the Chair and Associate Dean. If eligible, faculty should also request FMLA leave through Human Resources.

### Lecturers and Senior Lecturers

For benefits-eligible teaching faculty, arrangements for teaching reductions for one or two terms will depend on the individual contract and number of courses assigned for the academic year.

## LONG-TERM DISABILITY

Eligible faculty who are disabled as a result of injury or illness may apply for long-term disability benefits after six months (two consecutive terms) of Medical Leave. Benefits are managed by [Human Resources](#).

Faculty returning to work after a Long-Term Disability Leave are encouraged to consult in advance with the [ADA/504 Coordinator](#) if they are likely to experience a temporary or permanent disability and thus to request accessibility accommodations.

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## NON-DEGREE COURSE ENROLLMENT

Dartmouth employees and their spouses may enroll as non-degree students in courses offered by the Faculty of Arts and Sciences (with the exception of courses in Studio Art and Music Instruction).

- [Educational Assistance Benefits](#), Office of Human Resources
- [Graduate Special Student Program](#), Guarini School of Graduate and Advanced Study

Instructors have the responsibility of evaluating whether an individual is adequately prepared for a particular course and of ensuring that the non-degree student will not displace a matriculated student.

These policy statements apply only to courses offered by the School of Arts and Sciences and the Guarini School of Graduate and Advanced Studies. 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.



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## COLLEGE TUITION AID PROGRAM

*Applicable only to tenure-line faculty members with hire dates prior to June 30, 1988.* This program is administered by the Office of Human Resources: [human.resources@dartmouth.edu](mailto:human.resources@dartmouth.edu).

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## RETIREMENT

Faculty who are planning to retire are encouraged to consult with their Associate Dean and/or with the Assistant Dean for Faculty Affairs well in advance to ensure that they are fully informed of all relevant considerations. They may also wish to consult the Benefits Office and Human Resources. The Dean of the Faculty Office maintains a [Retirement Handbook](#) that outlines policies particular to retired faculty in Arts and Sciences.

The effective date for retirements is June 30. Any other retirement date must be approved in advance by the Dean of the Faculty. Note that the deadline for a department/program to provide a written recommendation to the Associate Dean for emerit status is April 30 (details below)

Once a faculty member has decided to retire, they should complete the following steps:

1. Initiate the retirement process by informing the department/program Chair and Associate Dean of their plan to retire in writing.
2. Contact the Payroll Office ([aspay@dartmouth.edu](mailto:aspay@dartmouth.edu)) and the Office of Human Resources ([arts.and.sciences.faculty.hr@dartmouth.edu](mailto:arts.and.sciences.faculty.hr@dartmouth.edu)) to receive and complete the appropriate forms.

## FLEXIBLE RETIREMENT OPTION (FRO)

Dartmouth 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.

The FRO program allows an individual and Dartmouth to agree that the individual can perform the equivalent of one year of full-time teaching over a period of three years, while receiving a more than proportional amount of salary for three years. Subject to the needs of Dartmouth, there may also be an opportunity to perform additional services for additional compensation from Dartmouth. 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 for the three-year period.

The FRO program is administered by the Benefits Office, which publishes an annual [Fact Sheet and Program Description](#). Faculty with questions about how to apply the terms of the program to their individual circumstance should consult the Assistant Dean for Faculty Affairs. To participate in the FRO, an agreement must be reached with the Dean of the Faculty by March 31. Faculty may consult with the Assistant Dean for Faculty Affairs for guidance but must meet with the Dean of the Faculty to finalize the terms of the FRO agreement.

### Eligibility and Plan Design

Eligibility begins on the July 1st following the individual's 59th birthday and ends on the July 1st following the individual's 72nd birthday. Eligible faculty are those who are benefits-eligible and have held an appointment as an employee of Dartmouth at the rank of Professor, Associate Professor, Research/Non-tenure-track Professor, Research/Non-tenure-track Associate Professor, Instructional/Non-tenure-track Professor or Instructional/Non-tenure-track Associate Professor for 15 or more consecutive years, and who either 1) hold an appointment with tenure; or 2) are research or instructional non-tenured faculty who 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. A FRO will begin on July 1st of the first year of the FRO.

### Base Salary

The salary in effect on July 1st 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.

- **Age:** Years of age as of July 1<sup>st</sup> of the year in which FRO is elected.
- **Eligible Service:** Years of service at an eligible rank (Professor, Associate Professor, etc.) as of the July 1st of the year in which FRO is elected. Years of service accrued beyond age 67 will not be recognized when calculating FRO eligibility.

#### *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 eligible service to a maximum of 75% for 30 or more years of eligible 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 eligible service are accrued beyond age 67.

### Reduced Work Requirements

In exchange for the salary reduction, Dartmouth will reduce the participant's work obligation. If the FRO plan is elected and implemented, the participant will be required to teach the equivalent of one year at full-time schedule or, if approved by the Associate Dean, the equivalent of one year spread over the three-year FRO period. Since the needs of the participant's department/program must be considered, the details of the teaching assignment of the FRO must be approved by the appropriate Associate Dean.

Faculty with an FRO agreement may fully participate in departmental and College service, however they are not required to do so.

## EMERIT APPOINTMENTS

Upon the retirement of a voting member of the Dartmouth faculty, the Board of Trustees, may grant emerit status to individuals holding the rank of 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.

Emerit status is not automatic. The process begins with a request from the retiring faculty member to their department/program Chair(s). The Chair(s) then convene the tenured members of the department/program(s) to discuss the retiring faculty member's career contributions and to vote on the request for emerit status. The department/program Chair(s) then communicate the result of the vote to the Associate Dean(s) who determines whether to recommend emerit status to the Dean of the Faculty. The Dean of the Faculty then makes their recommendation to the Board of Trustees. Upon approval of the Dean's recommendation by the Board of Trustees, individuals may use the title modifier that they prefer (Professor Emerit, Emeritus, Emerita, or a similar variation).

Since emerit status must be granted by the Board of Trustees, faculty who seek emerit status should begin the process at least six months prior to the formal retirement date. Faculty already on FRO should begin the request process in January of their final year. In order to be considered for emerit status prior to the end of an academic year, the deadline for department/program Chairs to submit a recommendation for emerit status (one that has already been approved by department/program vote) to the Associate Dean is April 30. This is the final deadline for the academic year, unless special arrangements are approved by the Associate Dean. Chairs can submit the recommendation at any time and are encouraged to do so sooner.

**Timeline summary:**

1. January of final FRO year or academic year of planned retirement: faculty member begins emerit request process by submitting letter of request to department/program chair.
2. Between January and April: Tenured members of department/program vote to recommend emerit status.
3. April 30: Last date for department/program Chair to submit emerit status recommendation, which includes positive result of department/program vote and a letter detailing the retiring faculty member's career contributions.
4. Upon receipt of the recommendation, the Associate Dean initiates the internal conduct records review in accordance with Dartmouth policy.
5. Following the review, the Associate Dean makes their recommendation to the Dean of the Faculty, who then makes their recommendation to the Board of Trustees.

The privileges and benefits of emerit status for the Faculty of Arts and Sciences are detailed in the Retirement Handbook.