RESEARCH FACULTY

INTRODUCTION

The title of Research Assistant Professor, Research Associate Professor, or Research Professor, with the rank determined by seniority, is awarded to persons who are carrying out their own independent research in Arts and Sciences. Appointments in these ranks are made in order to increase the college’s intellectual base and research capability beyond the limits allowed by tenure-track appointments.

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

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

SPECIFICATIONS

Details concerning regular Research Faculty positions are as follows:

1. Faculty in the research track can, and are expected to, serve as Principal Investigators (PIs) on externally funded grants and contracts, defined as any monies awarded to the College and administered through the Office of Sponsored Projects.

2. Although sponsored research of the highest quality is the primary responsibility of research faculty, they may also engage in regular classroom teaching. A common arrangement is the teaching of one course per year for which the (sponsoring) department or program is generally charged 0.17 FTE. During a term in which research faculty teach one course, they are paid at 50% effort for teaching and 50% effort for research. (The research faculty member’s total effort may not exceed 1.00 FTE for research and teaching combined; the rate of compensation for teaching may differ from the rate of compensation for research.) This norm neither obligates nor entitles a research faculty member to teach, since department/program teaching needs and FTE cap will determine the availability of teaching opportunities for research faculty. The teaching load can be negotiated up or down on a year-by-year basis, depending on the needs of the teaching and/or research programs.

3. Research faculty may, when appropriate and allowable under the terms of their award(s), be asked to serve on department/program committees, organize research seminars and contribute generally to the intellectual breadth of the department or program.

4. Space allocation is at the discretion of the department or program Chair in consultation with the appropriate Associate Dean and is determined by the needs of the sponsored project. Ordinarily, space allocation is tied to funding and ends when the funding ends. Under some circumstances (e.g., bridging
short periods between funding, when experiments involving thesis students are in progress, or through terminal appointments) it may be appropriate to extend space allocation beyond the funded period. Such extensions are at the discretion of the department/program Chair in consultation with the appropriate Associate Dean. It should be noted that the needs of the department or program will always have priority.

ELIGIBILITY

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

PROCEDURES FOR INITIAL APPOINTMENTS, REAPPOINTMENTS AND PROMOTION

1. An appointment file should contain curriculum vita, complete publication list, three letters of recommendation from individuals, two of whom are outside the Dartmouth community, and a statement from the candidate concerning her/his view of the job and plans for research at Dartmouth. The tenure-track faculty vote on all initial and subsequent appointments within their department or program.

2. Initial appointment is for three years and is generally initiated by tenure-track faculty recommendation to the department/program, which upon approval is forwarded to the associate dean. On occasion, appointments such as Interagency Personnel serving government agencies such as NSF, NASA etc., which are administered by the College, may be for a shorter period.

3. Reappointment to a second three-year period in rank, following the initial appointment in that rank, is contingent upon satisfactory performance. For reappointment, performance is reviewed by an ad-hoc committee of two tenure-track faculty members, of higher rank than the research faculty member, appointed by the department or program chair. The review at the end of the first appointment in any rank is internal; research assistant professors are expected to have made substantial progress towards establishing an independently funded research program, associate and full research professors are expected to have achieved and maintained those goals. Unsatisfactory performance as determined by the department or program can lead to a one-year terminal appointment in the research faculty rank.

4. A review soliciting outside input is typically performed at the end of the second three-year term in rank. For assistant research professors, it normally leads either to promotion, an evaluation of whether Research Scientist/Analyst/Engineer is a more appropriate appointment for those not directly engaged in the academic mission of the College, or a one-year terminal appointment if performance, which includes ability to raise external support, is not satisfactory. For associate research professors, it normally leads either to promotion, a re-appointment in the same rank, to transition to Research Scientist/Analyst/Engineer, or to a one-year terminal appointment. While this review applies to a full research professor whose initial Dartmouth appointment was in this rank, those promoted to this rank as a result of the in-depth review are thereafter appointed on a rolling three-year basis. That is, unless the individual gives shorter notice, the position remains in force for three years from any given point in time or from the time the College indicates its intention to terminate the appointment. For an individual whose initial appointment was in the rank of research professor, the in-depth review leads to continuation, on a
rolling appointment basis, to transition to Research Scientist/Analyst/Engineer or to a terminal appointment, normally from one to three years.

5. In conducting the in-depth review, the relevant associate dean shall collect letters of reference that provide an assessment of the quality and importance of the individual’s research as viewed by professionals in the field, including testimony from at least three experts who are not affiliated with Dartmouth. The associate dean selects appropriate experts, after consulting names provided by the candidate and by the department/program chair, and provides materials generated by the candidate: a curriculum vita and a research statement. The experts’ letters, and the candidate’s materials, are reviewed by the department’s (or program’s) tenure-track and research-track faculty members of higher rank than the candidate, who then vote on promotion and reappointment. The overall benefit to the College of continued association with the individual under review will be assessed. On the basis of the review and vote, the department or program chair makes a written recommendation to the associate dean.

6. Rolling appointments of research professors normally are not re-reviewed following their initial appointment in that rank and therefore may be thought of as permanent until retirement. However, the associate dean may initiate a review if concerns arise about lack of funding, about the level and quality of contributions by the individual to the College, or about personal or professional conduct. Research professors holding rolling appointments are expected to be self-funded and to contribute to the collective research of the department or program, which includes helping to bring in RA support for graduate students and to provide research opportunities for undergraduates, such as WISP, supervision of Presidential scholars and senior honors theses, or other equivalent contributions to the research infrastructure of the department or program.

7. Research faculty are permitted to submit grant proposals for the balance of their appointment plus one year, or in the case of rolling appointments, for four years. Proposals for longer funding periods, e.g. five-year funding opportunities, must be negotiated individually with approval of tenure-track faculty in the department/program and the associate dean.

8. Salary increments are determined annually by the Dean of Faculty, based on merit as determined by the record of research and scholarship. As with tenure-track faculty, research-track faculty will receive a “faculty record supplement” form from the Dean of Faculty Office on which to document their activity in research and mentoring. For Research Assistant Professors, the associate dean may also solicit an evaluation from the relevant department or program chair and the PI of the supporting grant when relevant.

9. Visiting Research Faculty appointments, for periods of time adapted to an individual case, are handled in the same manner as visiting faculty appointments, approved by the chair and forwarded to the associate dean.

10. Final decision on all research appointments rests with the Dean of Faculty Office, as administered by divisional associate deans. However, certain types of alleged misconduct by faculty including research faculty come under the purview of the Council on Academic Freedom and Responsibility of the General Faculty of Dartmouth College.

OTHER APPOINTMENTS

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

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

RESIDENT SCHOLAR, VISITING SCHOLAR

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

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

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

POSTDOCTORAL SCHOLAR

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

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

RESEARCH ASSOCIATE

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

**RESEARCH SCIENTIST, RESEARCH ANALYST, RESEARCH ENGINEER**

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

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

**Research Scientist, Research Analyst, Research Engineer**

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

**Senior Research Scientist/Analyst/Engineer**

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

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

**Principal Research Scientist/Analyzer/Engineer**

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

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

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

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