



**GUIDELINES FOR
APPOINTMENTS,
REAPPOINTMENTS,
PROMOTION AND
TENURE FOR FACULTY**

EXCERPT from the “Handbook of
the Faculty of Arts & Sciences”

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FACULTY APPOINTMENTS

Different levels of the institution have different perspectives on its needs. Therefore, assessment 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 & 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 promise of distinction in the future, based largely upon an evaluation of scholarly activity and teaching during the first term of appointment, is also the basis for making reappointments as Assistant Professor.

The Board of Trustees, upon recommendation of the President after consultation with the Committee Advisory to the President (CAP), makes all tenure appointments. Each department or program, when nominating a candidate for tenure to the CAP, 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.

CONFIDENTIALITY

The integrity and the fairness of the assessment process depends on confidentiality. Every participant in the assessment of a candidate for appointment, reappointment, promotion and/or tenure agrees to practice and uphold this core principle. Participants should 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.

EFFECTIVE DATE OF APPOINTMENT FOR REGULAR FACULTY

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

July 1 is the effective date for promotions, reappointments, and for salary adjustments.
Resignations, retirements, and terminations normally become effective on June 30.

TENURE-TRACK APPOINTMENTS

RECRUITMENT

Recruitment for all tenure track positions must be authorized by the Associate Dean for the department or program undertaking the search and the Dean of the Faculty. Official approval using the appropriate permission form must be obtained before advertising for positions or bringing candidates for interviews. The Associate Dean is expected to participate in the interviews of all candidates. A second form, authorizing visits and maintaining a record for consultation with the Director of Equal Opportunity & Affirmative Action is also required. Special arrangements are required when recruitment is for a joint appointment (between a department and a program or between two departments or two programs) or when the appointment may be of major consequence to another department or program.

All formal offers of appointment are made by the Associate Dean or the Dean of the Faculty normally on

recommendation of the Chair acting on behalf of the members of a department or program. The rules governing department or program decisions, as described in the current Organization of the Faculty of Dartmouth College (OFDC) must be carefully followed. It is expected that very high standards will be applied in all decisions, and the Associate Dean and the Dean of the Faculty can decide not to make an offer of appointment. In the absence of suitable candidates, in consultation with and approval of the Associate Dean, a decision will be made to continue with or delay the search, usually until the next academic year.

INSTRUCTOR

Appointment as Instructor is made when advanced degree requirements are not completed. The normal appointment as Instructor is two years.

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 granted, the nominee will be appointed as an Instructor for a two-year period. If the degree is granted by July 1 or before the beginning of classes in the fall term of the first year as Instructor, the appointment is automatically advanced retroactively to the rank of Assistant Professor, effective July 1. The Graduate Dean or other appropriate officer of the institution granting the degree must certify completion of all degree requirements.

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

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

ASSISTANT PROFESSOR

Appointment as Assistant Professor is made for individuals who have completed the Ph.D., or the appropriate advanced degree, or have equivalent experience in the creative arts or other professions. Normally appointment as Assistant Professor is for a three-year term followed by reappointment for another three-year term. Consideration for promotion to Associate Professor with tenure takes place in the sixth year. Earlier action requires truly exceptional scholarly achievement (normally including service in rank at another institution) and must be approved by the appropriate Associate Dean who will consult with the Chair and the tenured faculty in the department(s) or program(s).

REVIEW OF PERFORMANCE OF ASSISTANT PROFESSORS

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

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

The Chair of the department, program, or mentoring committee will give each Assistant Professor a copy of the evaluation and meet with them to discuss the evaluation as soon as possible, normally within one week of the evaluation's completion.

Each Assistant Professor also will meet annually with the appropriate Associate Dean to review the evaluation. The Assistant Professor may choose to respond in writing to the tenured faculty or Associate Dean as a matter of record. The information in the evaluation is advisory. Departments or programs are encouraged to identify points of strength that must be maintained and to identify specific areas where improvement is needed to meet the department or program's expectations for scholarship and teaching that will be required for reappointment, promotion and tenure. Such expectations should be discussed on a regular basis by the department or program faculty.

Peer review by colleagues and evaluations by current and former students should be the basis for a judgment on teaching effectiveness. To produce the most complete assessment possible, department and program procedures for evaluating teaching ideally should consider multiple methods, such as class visitations by tenured senior faculty, team teaching with senior colleagues, student course evaluations, and interviews of selected students.

REAPPOINTMENT OF ASSISTANT PROFESSORS

Normally actions to reappoint are taken by the CAP in the winter term of the third year as Assistant Professor.

GUIDE TO THE CANDIDATE

In preparation for reappointment, the Candidate should submit to the department or program an updated C.V. and a two- page, single- spaced, statement accessible to the non- specialist (e.g., members of the CAP) about their scholarship, teaching and service by November 1 of the year of reappointment. Following the November 1 deadline, the Candidate should make the Chair and Associate Dean aware of any significant updates to the portfolio, such as publications, contracts, grants, or awards.

The tenured members of a department or program meet to discuss the Candidate's record 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. The methods used for evaluation should be stated in the letter.

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).

Following the CAP action, the Candidate will be provided with a copy of the department or program recommendation letter 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 letter prepared by the department or program at reappointment 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.

GUIDE TO THE DEPARTMENT OR PROGRAM

The reappointment committee will normally consist of the tenured members of the Candidate's department or program, chaired by the department or program Chair. Those tenured professors who cannot, or choose not to, participate in person in the committee's deliberations may not vote on the case. They also may not convey their opinions to the Chair, Associate Dean, or CAP. 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.

A committee must consist of at least four voting members. If a department or program is not large enough, a minimum of two additional tenured full professors from one or more other departments or programs will be added to bring the total to at least four. In exceptional cases, the Dean of the Faculty may recommend that the CAP augment the reappointment committee with at least two additional tenured faculty members, even if there are already four or more in the department or program. The Associate Dean should confer with the Candidate and the department or program Chair regarding the composition of this committee. The Dean of the Faculty, in consultation with the Associate Dean, will assemble a list of potential committee members by May 1 in the spring of the year prior to reappointment, submit it to the CAP for approval, and appoint the committee.

When more than one candidate from a department or program is being considered for reappointment 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.

1. The Chair will remain in close communication with the Candidate throughout the reappointment procedure.
2. At the request of the Candidate, the Chair of the reappointment committee will solicit confidential letters of evaluation from any department or program Chair, or Director of a Dartmouth center, institute, or organization who could provide information about significant teaching, mentoring, collaborative research, or service by the Candidate outside of their home department or program. These letters will be submitted to the Chair of the reappointment committee for consideration by the committee and inclusion with the materials to be forwarded to the Associate Dean.
3. After the committee has met to deliberate on reappointment 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 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. 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 prospects for promotion and tenure. The methods used for evaluation should be stated in the letter.

The letter, even as it explains the reasoning of the majority, should ideally reflect all points of view; if, however, individuals feel that the committee's letter does not adequately represent his or her particular perspectives, they are free to submit separate letters that either support or dissent from the recommendation. These letters must be succinct and they must be submitted to the Chair, who will share them with the 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.

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.

4. The committee should submit the reappointment decision letter to the Associate Dean by December 1. Any modification of the November 1 date for delivery of materials by the Candidate to the reappointment committee or the December 1 date for delivery of the reappointment decision letter by the reappointment committee to the

Associate Dean must be authorized by the Associate Dean.

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).

6. The Associate Dean transmits the letter, the Candidate's C.V. and personal statement, and the Associate Dean's own recommendation, based on his or her independent assessment of the evidence, to the Dean of the Faculty, who, in turn, places the case on the agenda of the CAP.

7. The CAP may require changes in the wording of the recommendation 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 Chair shares the letter with the Candidate.

8. Following the CAP action and approval of the final version of the recommendation letter by the Associate Dean, the Candidate will be provided with a copy of the letter 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 letter prepared by the department or program at reappointment will be included in the dossier submitted to the CAP if and when the Candidate is considered for tenure and promotion to Associate Professor.

GUIDE TO THE ASSOCIATE DEAN

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

1. The Associate Dean and the Dean will assemble and appoint the reappointment committee by May 1.

2. The Candidate may submit to the Chair of the reappointment committee the names of department or program Chairs, or Directors of Dartmouth centers, institutes, or organizations, who could provide relevant information about significant teaching, collaborative research, mentoring, or service outside the Candidate's home department or program.

3. By December 1, the Committee will provide to the Associate Dean a copy of the Candidate's portfolio, as described above in Guide to the Candidate, along with the Committee's reappointment decision letter. Following the December 1 deadline, the Candidate should make the Chair and Associate Dean aware of any significant updates to the portfolio, such as publications, contracts, grants, or awards.

4. The Associate Dean will submit a recommendation when transmitting the reappointment dossier to the Dean of the Faculty.

5. 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. In no instance shall the Associate Dean share his or her personal recommendation with the Candidate, or with the department or program.

6. 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 Chair shares the letter with the Candidate.

7. Following the CAP action and approval of the final version of the recommendation letter by the Associate Dean, the Candidate will be provided with a copy of the letter 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 letter prepared by the department or program at reappointment will be included in the dossier submitted to the CAP if and when the Candidate is considered for tenure and promotion to Associate Professor.

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, or the ninth year for an individual with less than a full-time appointment.

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.

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

In rare cases where promotion to Associate Professor is made without a recommendation either for tenure or a terminal contract, appointment as Associate Professor will be made for three years, with the understanding that a decision regarding tenure will be made by the end of the second year. In the case of a second review of a faculty member previously promoted to Associate Professor without tenure, 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.

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

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.

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. 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.

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.

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.

EXTENSION AND POSTPONEMENT OF REAPPOINTMENT OR TENURE

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

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

GUIDELINES FOR TENURE AND PROMOTION TO ASSOCIATE PROFESSOR

GUIDE TO THE CANDIDATE

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

1. By May 1, the Candidate should submit to the Chair of the tenure committee, and to the Associate Dean, a current curriculum vitae and a list of eight to ten individuals qualified to review the Candidate's scholarly work, some of whom will be selected for the final list. Normally these reviewers must hold 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. Potential conflicts-of-interest (e.g., coauthor, PhD or postdoctoral advisor) should be identified. The Candidate may specify one or two individuals whom they prefer not be considered with a brief explanation of why they should be excluded. 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.
2. By October 1, the Candidate may submit a list of students especially qualified to speak about his or her teaching and mentoring to the Associate Dean, who will request letters from these students, if they have not already been solicited as part of the normal sampling process. These letters are identified as "recommended by the Candidate." These additional requests for letters will not normally exceed twenty. The Candidate will not be informed of the names of any students who are identified as part of the normal sampling process.

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

3. Normally no later than December 1, the Candidate will submit a portfolio of materials, in electronic format, which will be made available to the tenure committee, outside reviewers, and the CAP. Any modification

of this date needs to be authorized by the Associate Dean. The portfolio will consist of the following:

- a. curriculum vitae,
- b. published works, manuscripts, or other evidence of artistic or professional work (e.g., books, articles, or portfolios),
- c. published reviews of the Candidate's work, where available, and
- d. a statement (approximately five single-spaced pages) outlining the Candidate's achievements and goals related to scholarship, teaching, and other contributions to the College and to the profession.

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. It is the Candidate's responsibility to assemble the portfolio 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 Faculty.

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

4. After the tenure committee has submitted its recommendation, the Associate Dean will discuss the committee's recommendation with the Candidate. At this time the Candidate should raise any procedural questions or concerns. The Associate Dean will then submit the committee's recommendation, along with the Associate Dean's own assessment, to the CAP.

GUIDE TO THE DEPARTMENT OR PROGRAM

The tenure committee will normally consist of the tenured members of the Candidate's department or program, chaired by the department or program Chair. Those tenured professors who cannot, or choose not to, participate in person in the committee's deliberations may not vote on the case. They also may not convey their opinions to the Chair, Associate Dean, or CAP. 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.

A committee must consist of at least four voting members. If a department or program is not large enough, a minimum of two additional tenured full professors from one or more other departments or programs will be added to bring the total to at least four. In exceptional cases, the Dean of the Faculty may recommend that the CAP augment the tenure committee with at least two additional tenured faculty members, even if there are already four or more in the department or program. The Associate Dean should confer with the Candidate and the department or program Chair regarding the composition of this committee. The Dean of the Faculty, in consultation with the Associate Dean, will assemble a list of potential committee members by May 1, submit it to the CAP for approval, and appoint the committee.

When more than one candidate from a department or program is being considered for promotion and tenure 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.

1. The Chair will remain in close communication with the Candidate throughout the tenure procedure. Any modification of the December 1 date for delivery of materials must be authorized by the Associate Dean.
2. By May 1, the Candidate should submit to the Chair of the tenure committee and the Associate Dean a list of eight to ten possible external reviewers. The Candidate's list should include the prospective reviewers' email

addresses, 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 or former mentor). Candidates should identify any potential reviewers with such conflicts of interest. The list may also include one or two individuals whom the Candidate prefer not be considered, with a brief explanation of why they should be excluded. The Chair, in consultation with the other members of the committee, will generate a list of eight to ten additional prospective reviewers, including their email address, their field of specialization, and a brief description of why they are particularly qualified to evaluate the dossier. 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. 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. The Associate Dean compiles the composite list of reviewers to be solicited. The Associate Dean may independently add names not on either the Candidate's or the committee's list. In some cases, the Associate Dean may consult further with the committee Chair to identify additional prospective reviewers.

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 names of these reviewers 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. In some cases, for example, where the professional work consists of performances or exhibitions, alternative forms of external review may have to be arranged.

At the request of the Candidate, the Chair of the tenure committee will solicit confidential letters of evaluation from any department or program Chair, or Director of a Dartmouth center, institute, or organization who could provide information about significant teaching, mentoring, collaborative research, or service by the Candidate outside of their home department or program. These letters will be submitted to the Chair of the tenure committee for consideration by the committee and inclusion with the materials to be forwarded to the Associate Dean.

3. 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.
4. 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 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 ideally reflect all points of view; if, however, individuals feel that the committee's letter does not adequately represent his or her particular perspectives, they are free to submit separate letters that either support or dissent from the recommendation. These letters must be succinct and they must be submitted to the Chair, who will share them with the tenure committee. They will then be submitted to the Associate Dean along with the committee's letter. 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.

The committee chair's letter to the Associate Dean should report the vote tally, indicating who was present, who was not present together with a brief explanation of their absence, and which members voted for and against recommending tenure and which abstained. Votes should normally be open and reported to the CAP. Any member of the committee may propose the use of a secret ballot. If the committee uses a secret ballot,

the letter must provide an explanation for this choice and a list of those present, and then report the number of votes for and against the recommendation and the number of abstentions.

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

5. After the committee concludes its deliberations, but before the Chair submits the committee's letter to the Associate Dean, the Chair will inform the Candidate of the recommendation (positive or negative). The Chair can also inform the Candidate whether the vote was unanimous but the vote tally is confidential as are all individual opinions and statements made at any time during the deliberations.
6. After receiving the Committee's letter and prior to submitting his or her own evaluation 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. The Candidate should raise any procedural questions or concerns. 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. In no instance shall the Associate Dean share his or her personal recommendation with the Candidate, or with the department or program.
7. The Associate Dean will submit his or her own recommendation when transmitting the dossier to the Dean of the Faculty.

GUIDE TO THE ASSOCIATE DEAN

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.

1. In the spring term prior to the academic year in which promotion is considered, the Associate Dean will meet with the Candidate to review the procedures.
2. The Associate Dean and the Dean will assemble and appoint the tenure committee by May 1.
3. By May 1, the Candidate should submit to the tenure committee Chair and the Associate Dean a list of eight to ten possible external reviewers. The list should include the prospective reviewers' email addresses, their field of specialization, and a brief description of why they are particularly qualified to evaluate the dossier. The Candidate may indicate one or two individuals whom they prefer not be considered with a brief explanation of why they should be excluded. The Chair, in consultation with the other members of the committee, will provide a list of eight to ten additional prospective reviewers, including their email address, field of specialization and a brief description of why they are particularly qualified to evaluate the dossier. 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. 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. The Associate Dean should normally obtain letters from eight to ten reviewers. 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. Reviewer names are confidential and will not be made known to the Candidate.
4. The Associate Dean, on behalf of the Dean of the Faculty, will solicit letters from among the Candidate's former students. Any student who has been accused by the Candidate of Honor Code violations should be excluded from this solicitation.
5. By October 1, the Candidate may submit to the Associate Dean a list of students especially qualified to

speak about his or her teaching and mentoring. The Associate Dean will request letters from those students if they have not already been solicited by the Dean of the Faculty as part of the normal sampling process. These letters are identified as "recommended by the Candidate." These additional requests will not normally exceed twenty. The Candidate will not be informed of the names of any students who are identified as part of the normal sampling process.

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

6. By December 1, the Candidate will provide to the Associate Dean a copy of his or her portfolio, as described above in Guide to the Candidate. The Associate Dean will send the Candidate's portfolio to the external reviewers, along with an explanation of the criteria for tenure and promotion.
7. After the department or program has submitted its evaluation and prior to submitting his or her own evaluation 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. 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. In no instance shall the Associate Dean share his or her personal recommendation with the Candidate, or with the department or program.
8. The Associate Dean will submit a recommendation when transmitting the dossier to the Dean of the Faculty.
9. The dossier forwarded to the CAP will contain the following:
 - a. Department or program roster with appointment terms for all faculty,
 - b. Letter describing the recommendation from the Associate Dean to the Dean of the Faculty,
 - c. Teaching and leave schedule of the Candidate, year by year and term by term since the time of initial appointment,
 - d. Tenure committee's letter detailing the reasons for their recommendation,
 - e. Letters from tenure committee members who, having reviewed the Chair's letter, wish to express an individual viewpoint either dissenting from or supporting the recommendation,
 - f. Other letters solicited by the Chair of the tenure committee from the Chairs of departments or programs or the Directors of Dartmouth centers, institutes or organizations,
 - g. Department's or program's letter submitted to the Associate Dean at the time of reappointment,
 - h. Curriculum vitae of the Candidate,
 - i. Statement submitted by the Candidate,
 - j. Evaluations solicited by the Associate Dean from external reviewers, accompanied by the reviewer's curriculum vitae,
 - k. Letters solicited by the Associate Dean from current and former students, and
 - l. Other evidence deemed appropriate by the Dean of the Faculty (e.g., previous department or program and Associate Dean letters submitted for CAP action).

During CAP deliberations, the Associate Dean presents background and answers questions, but will not be present during the CAP discussion and vote.

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.

GUIDELINES FOR PROMOTION TO PROFESSOR

GUIDE TO THE CANDIDATE

Faculty may present themselves for promotion to Professor in or after their sixth year in the rank of Associate Professor. A candidate who desires to 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.

1. 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 promotion committee will normally consist of the tenured Professors in the Candidate's department or program, chaired by the departmental or program Chair.
2. By May 1, the Candidate will submit to the Chair of the promotion committee, and the Associate Dean, a list of eight to ten possible external reviewers, some of whom will be selected for the final list. 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 or former mentor). Candidates should identify any recommenders with such conflicts of interest. The Candidate may indicate one or two individuals whom they prefer not be considered, with a brief explanation of why they should be excluded. 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. By October 15, the Candidate will submit a portfolio of materials in electronic format, which will be made available to the promotion committee, outside reviewers, and the CAP. Any modification of this date needs to be authorized by the Associate Dean. The portfolio will consist of the following:
 - a. curriculum vitae,
 - b. published works, manuscripts, or other evidence of artistic or professional work (e.g., books, articles, or portfolios), beyond what was considered during the tenure review,

- c. published reviews of the Candidate's work, where available, and
- d. a statement (approximately five single-spaced pages) outlining the Candidate's achievements and goals relating to scholarship, teaching, service and other contributions to the College and to the profession.

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

After the promotion committee has submitted its recommendation, the Associate Dean will discuss the committee's recommendation with the Candidate. At this time the Candidate should raise any procedural questions or concerns. The Associate Dean will then submit the committee's recommendation, along with the Associate Dean's own assessment, to the CAP.

If the Candidate is unsure what to include, he or she 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 portfolio 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 Faculty.

4. The Candidate may submit to the Chair of the promotion committee the names of department or program Chairs, or Directors of Dartmouth centers, institutes or organizations, who can provide information about significant teaching, collaborative research, mentoring, or service outside the Candidate's home department or program.
5. After the promotion committee has submitted its recommendation, the Associate Dean will discuss the recommendation with the Candidate before forwarding it to the Dean of the Faculty. At this time, the Candidate should raise any procedural questions or concerns.

GUIDE TO THE DEPARTMENT OR PROGRAM

The promotion committee will normally consist of the tenured Professors in the Candidate's department or program, chaired by the departmental or program Chair. Those tenured Professors who cannot, or choose not to, participate in person in the committee's deliberations may not vote on the case. They also may not convey their opinions to the Chair, Associate Dean, or CAP. 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.

A promotion committee must consist of at least four tenured Professors. If a department or program is too small, a minimum of two additional tenured Professors from one or more other departments or programs will be added to bring the total to at least four. In exceptional cases, the Dean of the Faculty may recommend that the CAP argue the promotion committee with at least two additional tenured Professors, even if there are already four or more in the department or program. The Associate Dean should confer with the Candidate and the department or program Chair regarding the composition of this committee. The Dean of the Faculty, in consultation with the Associate Dean, will then assemble a list of potential committee members by May 1, submit the list to the CAP for approval, and appoint the committee. The promotion committee will submit its vote and recommendations to the Associate Dean.

When more than one candidate from a department or program is being considered for promotion to Professor 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.

1. After receiving the Candidate's curriculum vitae and list of external reviewers, the promotion committee will meet to select its list of eight to ten additional professional reviewers. 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. The list, including reviewers' email address, field of specialization, and a brief description of why they are particularly qualified to evaluate the dossier, as well as any potential conflicts of interest (e.g., coauthor, PhD or postdoctoral advisor), is submitted by the Chair of the committee to the Associate Dean, normally by June 1, and may include comments on the Candidate's selections.

2. 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 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. 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.

At the request of the Candidate, the Chair of the promotion committee will solicit confidential letters of evaluation from any department or program Chair, or Director of a Dartmouth center, institute or organization, who could provide information about significant teaching, mentoring, collaborative research, or service by the Candidate outside of their home department or program. These letters will be submitted to the Chair of the promotion committee for consideration by the committee and inclusion with the materials to be forwarded to the Associate Dean.

3. 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).
4. 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 letter, even as it makes a case for the majority, should ideally reflect all points of view; if, however, individuals feel that 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.

The committee chair's letter to the Associate Dean should report the vote tally, indicating who was present, who was not present together with a brief explanation of their absence, and which members voted for and against recommending promotion and which abstained. Votes should normally be open and reported to the CAP. Any member of the committee may propose the use of a secret ballot. If the committee uses a secret ballot, the letter must provide an explanation for this choice and a list of those present, and then report the number of votes for and against the recommendation and the number of abstentions.

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

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). The Chair may also inform the Candidate whether the vote was unanimous but the vote tally is confidential, as are all

individual opinions and statements made at any time during the deliberations.

6. Prior to submitting his or her own evaluation 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. The Candidate should raise any procedural questions or concerns. 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. In no instance shall the Associate Dean share his or her personal recommendation with the Candidate, or with the department or program.
7. The Associate Dean will submit his or her own recommendation when transmitting the materials to the Dean of the Faculty.

GUIDE TO THE ASSOCIATE DEAN

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.

1. In the spring term prior to the academic year in which promotion is considered, the Associate Dean will meet with the Candidate to review the procedures.
2. The Associate Dean and the Dean will assemble and appoint the promotion committee by May 1.
3. Normally by May 1, the Candidate should submit to the committee Chair and the Associate Dean a list of eight to ten possible external reviewers. The list should include the prospective reviewers' email addresses, their field of specialization, and a brief description of why they are particularly qualified to evaluate the dossier. The Candidate may indicate one or two individuals who they prefer not be considered. The Chair, in consultation with the other members of the committee, will provide a list of eight to ten more prospective reviewers including their email addresses, their field of specialization and a brief description of why they are particularly qualified to evaluate the dossier. The Chair will forward the committee's list to the Associate Dean by June 1, along with any comments on the Candidate's selections. The Associate Dean compiles the list of reviewers to be solicited. The Associate Dean may independently add names not on either the Candidate's or the committee's list. In some cases, the Associate Dean may consult further with the committee Chair to identify additional prospective reviewers.

The reviewers must hold the rank of Professor, or its equivalent, at peer institutions or be a recognized leader in the Candidate's field. The names of the reviewers are confidential and will not be made known to the Candidate. The Associate Dean should normally obtain letters from eight to ten reviewers. After the Candidate submits his or her promotion materials, normally by October 15, the Associate Dean will send each reviewer these materials, along with an explanation of the criteria for promotion.

4. After the department or program has submitted its evaluation and prior to submitting his or her own evaluation 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. 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. In no instance shall the Associate Dean share his or her personal recommendation with the Candidate, or with the department or program.
5. The Associate Dean will submit his or her own recommendation when transmitting the dossier to the Dean

of the Faculty.

6. The dossier forwarded to the CAP will contain the following:
 - a. Department or program roster with appointment terms for all faculty,
 - b. Letter from the Associate Dean describing her or his own recommendation,
 - c. Teaching and leave schedule of the Candidate, year by year and term by term since tenure,
 - d. Promotion committee's letter detailing the reasons for their recommendation,
 - e. Letters from promotion committee members who, having reviewed the Chair's letter, wish to express an individual viewpoint either dissenting from or supporting the recommendation,
 - f. Other letters solicited by the Chair of the promotion committee from the Chairs of departments or programs or Directors of Dartmouth centers, institutes or organizations,
 - g. Department's or program's letter submitted to the Associate Dean at the time of tenure,
 - h. Curriculum vitae of the Candidate,
 - i. Statement submitted by the Candidate,
 - j. Evaluations solicited by the Associate Dean from external reviewers, accompanied by the reviewer's curriculum vitae,
 - k. Other evidence deemed appropriate by the Dean of the Faculty (e.g., previous letters submitted by the department or program or the Associate Dean for CAP action).

During CAP deliberations, the Associate Dean presents background and answers questions, but will not be present during the CAP discussion and vote.

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

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

In accordance with the procedures outlined in the Organization of the Faculty of Dartmouth College (**OFDC**), the Candidate or members of the reappointment, tenure, or promotion committee, individually or collectively, can request that a case be re-examined. See the OFDC (VI.C) for a detailed description of the appeal procedures.

JOINT APPOINTMENT PROCEDURES

INITIATING JOINT APPOINTMENTS

Joint appointments occur between programs and departments, two departments, or two programs. Proposals for joint appointments must be discussed in advance with the appropriate Associate Dean(s) and the Dean of the Faculty. Joint appointments may be used to recruit individuals whose work cuts across existing departments and programs; such appointments can assist Dartmouth in providing strong interdisciplinary offerings and building in emerging fields that cross beyond the borders of the traditional disciplines. A joint position will usually be shared equally by the two academic units that are hiring the individual, but it may also be regarded as based in one or the

other. The Dean of the Faculty will determine where the joint appointment will be primarily based. If the individual holding that appointment should leave, the search for a replacement will usually revert to the primary base. The new search may involve a different pairing of academic units. The courses to be taught by an individual with a joint appointment may come from the existing course pool, or they may be add-on courses for one or both of the academic units. This matter should be clarified and recorded before initiating the search.

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

THE SEARCH AND THE INITIAL APPOINTMENT

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

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

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

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

APPOINTMENT LETTER: TEACHING RESPONSIBILITIES, ANNUAL REVIEWS, AND SERVICE

The initial appointment letter should state where the position is based; if the position is shared equally by two departments or programs, then the letter should clearly state that this is the case. As a rule, the individual’s teaching would be evenly divided between the two departments or programs, but exceptions are possible. Therefore the letter must establish the specific division of teaching responsibilities between the two academic units. If any special considerations have been made regarding the distribution of courses when the individual is on sabbatical or leave for part of the year, this should also be indicated in the letter. 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 expectations regarding service, location of the individual’s office, etc. should also be stated in this letter. Departments and programs need to be sensitive to the fact that the individual may be faced with “double duty” in

terms of meetings, attendance at sponsored events, advising, registration, job searches, independent studies, and the like.

EVALUATION, TENURE AND PROMOTION

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

committee's evaluation will be submitted to the Associate Dean and the Chairs of both units, and shared with the junior colleague. For recommendations on reappointment, tenure and promotion, each unit will make its own independent evaluation, which will then be made available to its counterpart. If a department or program has fewer than four eligible individuals to serve on a committee for reappointment, tenure, or promotion, then an ad hoc committee will be appointed in accordance with procedures outlined earlier.

GUIDELINES FOR TENURE AND PROMOTION

Procedures for tenure and promotion are described earlier, but are modified as described here. During the spring term the Candidate should submit to the Chair of each academic unit and the Associate Dean an updated curriculum vitae and a list of eight to ten possible external reviewers, some of whom will be selected for the final list.

Also during the spring term, the Chairs of the two academic units will forward to the Associate Dean a combined list of another eight to ten prospective reviewers, including their email address, field of specialization, and a brief description of why they are particularly qualified to evaluate the dossier. Normally, this list will comprise three reviewers from each of the two academic units and four other reviewers upon which the two units agree. The Associate Dean compiles the final list of reviewers after consultation with the Chairs of the academic units. The Associate Dean may independently add names not on either list. Normally these reviewers must hold a tenured appointment, or its equivalent, at a peer institution or be a recognized leader in the Candidate's field. The names of these reviewers are confidential and will not be made known to the Candidate. In some cases, such as when the professional work consists of performances or exhibitions, alternative forms of external review should be arranged by the Chair and the Candidate.

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

On any particular case, tenured faculty holding joint appointments in two academic units 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 participation and vote takes place.

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

Procedures for promotion to Professor will follow those described earlier, modified as described above for tenure and promotion of joint appointments.

JOINT APPOINTMENTS FOR CURRENT MEMBERS OF THE DARTMOUTH FACULTY

Any current member of the Dartmouth faculty may request a joint appointment by petitioning both the department/program in which the faculty member is currently appointed and the department/program where the

new partial appointment would reside. The petition should include a rationale for the request and the candidate's curriculum vitae. Such a change in status requires submission of separate recommendations by the two departments/programs concerned to the appropriate Associate Dean(s). The Associate Dean(s) will discuss these recommendations with the respective chairs and with the candidate before forwarding them, along with her or his own recommendation, to the Dean of the Faculty. Final approval will be made by the CAP. Only in exceptional cases would such a change be approved for an individual who does not already have tenure.

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

CHECKLIST OF PROCEDURES FOR JOINT APPOINTMENTS

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

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

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

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

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

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

SENIOR RECRUITMENT

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

bringing additional academic distinction to the Faculty of Arts and Sciences.

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

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

LESS THAN FULL-TIME APPOINTMENTS

Less than full-time tenure-track or tenured appointments are governed by all rules applying to full-time faculty

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