HANDBOOK
OF THE FACULTY OF
ARTS & SCIENCES

DARTMOUTH COLLEGE
HANOVER, NEW HAMPSHIRE

September 2019
Dear Colleagues:

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

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

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

Sincerely,

[Signature]
# TABLE OF CONTENTS

<table>
<thead>
<tr>
<th>Section</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>FOREWORD</td>
<td>0</td>
</tr>
<tr>
<td>TABLE OF CONTENTS</td>
<td>1</td>
</tr>
<tr>
<td><strong>PART I: THE COLLEGE</strong></td>
<td>6</td>
</tr>
<tr>
<td>History</td>
<td>6</td>
</tr>
<tr>
<td>Mission Statement</td>
<td>7</td>
</tr>
<tr>
<td>Our Core Values</td>
<td>7</td>
</tr>
<tr>
<td>Our Legacy</td>
<td>7</td>
</tr>
<tr>
<td>Charter</td>
<td>8</td>
</tr>
<tr>
<td><strong>BOARD OF TRUSTEES</strong></td>
<td>8</td>
</tr>
<tr>
<td>Standing Committees of the Board of Trustees</td>
<td>8</td>
</tr>
<tr>
<td><strong>OFFICE OF THE PRESIDENT</strong></td>
<td>9</td>
</tr>
<tr>
<td><strong>INSTITUTIONAL DIVERSITY AND EQUITY</strong></td>
<td>9</td>
</tr>
<tr>
<td><strong>OFFICE OF THE PROVOST</strong></td>
<td>9</td>
</tr>
<tr>
<td><strong>OFFICE OF THE DEAN OF FACULTY</strong></td>
<td>10</td>
</tr>
<tr>
<td>Guarini School of Graduate and Advanced Studies</td>
<td>10</td>
</tr>
<tr>
<td>Office of the Registrar</td>
<td>11</td>
</tr>
<tr>
<td><strong>DEAN OF THE COLLEGE/STUDENT AFFAIRS</strong></td>
<td>11</td>
</tr>
<tr>
<td>Undergraduate Deans</td>
<td>12</td>
</tr>
<tr>
<td>Accessibility services</td>
<td>12</td>
</tr>
<tr>
<td>Academic Skills Center</td>
<td>12</td>
</tr>
<tr>
<td>Other student affairs resources</td>
<td>12</td>
</tr>
<tr>
<td><strong>OFFICE OF THE EXECUTIVE VICE PRESIDENT</strong></td>
<td>13</td>
</tr>
<tr>
<td>Environmental Health And Safety (EHS)</td>
<td>13</td>
</tr>
<tr>
<td>Facilities Operations And Management (FO&amp;M)</td>
<td>13</td>
</tr>
<tr>
<td>Risk and Internal Controls Services</td>
<td>14</td>
</tr>
<tr>
<td>Controller</td>
<td>14</td>
</tr>
<tr>
<td>Human Resources</td>
<td>15</td>
</tr>
<tr>
<td><strong>OFFICE OF VICE PRESIDENT FOR DEVELOPMENT</strong></td>
<td>15</td>
</tr>
<tr>
<td>The Office of Communications</td>
<td>16</td>
</tr>
<tr>
<td>Mission</td>
<td>16</td>
</tr>
<tr>
<td>Vision</td>
<td>16</td>
</tr>
<tr>
<td><strong>PART III: POLICIES AND PROCEDURES</strong></td>
<td>17</td>
</tr>
<tr>
<td>Freedom of Expression and Dissent</td>
<td>17</td>
</tr>
<tr>
<td>Academic Freedom</td>
<td>17</td>
</tr>
<tr>
<td><strong>THE ACADEMIC HONOR PRINCIPLE</strong></td>
<td>17</td>
</tr>
<tr>
<td>Faculty Guidelines For Responding To Violations Of The Academic Honor Principle</td>
<td>19</td>
</tr>
<tr>
<td>FERPA Guidelines On Confidentiality Of Student Education Records</td>
<td>19</td>
</tr>
<tr>
<td>Teaching Guidelines for Faculty</td>
<td>20</td>
</tr>
<tr>
<td>Dartmouth College Sexual and Gender-Based Misconduct Policy</td>
<td>24</td>
</tr>
<tr>
<td>Policy Statement</td>
<td>24</td>
</tr>
<tr>
<td>Procedures For Recruitment And Hiring</td>
<td>24</td>
</tr>
<tr>
<td>Attendant Affirmative Action Concerns</td>
<td>25</td>
</tr>
</tbody>
</table>
Dartmouth College had its origins in More’s (later Moor’s) Indian Charity School, a precursor educational enterprise established in the year 1754 at Lebanon, Connecticut, by Reverend Eleazar Wheelock, a minister of the Congregational faith and a graduate of Yale. A search for support of this undertaking and difficulties in finding either Indians or a charter in Connecticut led Wheelock to relocate his mission to the province of New Hampshire, where offers of land and expressions of civic interest had earlier been elicited from the provincial authorities. Through the good offices of Governor John Wentworth, and others, a royal charter was obtained and approved on December 13, 1769, establishing a college “for the education and instruction of Youth of the Indian Tribes in this Land in reading, writing, and all parts of Learning which shall appear necessary and expedient for civilizing and Christianizing Children of Pagans as well as in all liberal arts and sciences and also of English Youth and any others.” The following year Mr. Wheelock settled in the township of Hanover and erected his single log hut as the home of the new school. Wheelock had suggested that the school be called Wentworth, but the Governor who was so instrumental in securing the royal charter modestly preferred to name it for his friend William Legge, the Earl of Dartmouth, an important benefactor of the College, and a Trustee of its original endowment. The first class of four students was awarded baccalaureate degrees in the initial commencement exercises undertaken in 1771, and there has been a graduating class every year since.

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

In 1797, prior to the Dartmouth College Case, Dr. Nathan Smith, one of the leading surgeons and physicians of the day had established the Dartmouth Medical School. Other additions to the College were established. In 1851 the Chandler School of Science was founded as the result of a generous gift by a Boston merchant of that name, and subsequently became an integral part of the College now represented in the various Science departments. In 1868 an agricultural school was established by the State of New Hampshire under the Morrill Land Grant Act. In 1892 it was relocated to Durham, New Hampshire, where it has since evolved into the University of New Hampshire. The Thayer School of Engineering was founded in 1871 through the generosity of Sylvanus Thayer, and in 1899 the Amos Tuck School of Business Administration was founded with an endowment furnished by another alumnus, Edward Tuck, Class of 1862. Post-baccalaureate studies were well established by 1850, when the Medical School alone had some 52 students in this category. Dartmouth first conferred a Ph.D. degree on a candidate in the Classics Department in 1885, but a doctoral program in the modern sense did not get underway until 1960, when the College authorized the development of a Ph.D. program in the Medical School that led to an interdisciplinary doctoral program in molecular biology. Shortly thereafter departmental programs in mathematics and physics were authorized, and since that time doctoral graduate study on a modest scale has been undertaken by all departments in the sciences and by the Department of Psychological and Brain Sciences. In addition, Masters Programs are offered in Electro-Acoustical Music, Comparative Literature, among others.
Originally a college for male students, Dartmouth has admitted undergraduate women candidates since 1972. Concurrently with this development, the College changed its curriculum to a four quarter, year-round educational calendar. Undergraduates must be enrolled in a summer term, usually following their sophomore year.

**MISSION STATEMENT**

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

**OUR CORE VALUES**

Dartmouth expects academic excellence and encourages independence of thought within a culture of collaboration.

Dartmouth faculty are passionate about teaching our students and are at the forefront of their scholarly or creative work.

Dartmouth embraces diversity with the knowledge that it significantly enhances the quality of a Dartmouth education.

Dartmouth recruits and admits outstanding students from all backgrounds, regardless of their financial means.

Dartmouth fosters lasting bonds among faculty, staff, and students, which encourage a culture of integrity, self-reliance, and collegiality and instill a sense of responsibility for each other and for the broader world.

Dartmouth supports the vigorous and open debate of ideas within a community marked by mutual respect.

**OUR LEGACY**

Since its founding in 1769 to educate Native students, English youth, and others, Dartmouth has provided an intimate and inspirational setting where talented faculty, students, and staff—diverse in background but united in purpose—contribute to the strength of an exciting academic community that cuts easily across disciplines.

Dartmouth is committed to providing the best undergraduate liberal arts experience and to providing outstanding graduate programs in the Geisel School of Medicine, the School of Graduate and Advanced Studies, Thayer School of Engineering, and the Tuck School of Business. Together they constitute an exceptional and rich learning environment. Dartmouth faculty and student research contributes substantially to the expansion of human understanding.

The College provides a comprehensive out-of-classroom experience, including service opportunities, engagement in the arts, and competitive athletic, recreational, and outdoor programs. Pioneering programs in computation and international education are hallmarks of the College. Dartmouth graduates are marked by an understanding of the importance of teamwork, a capacity for leadership, and their keen enjoyment of a vibrant community. Their loyalty to Dartmouth and to each other is legendary and is a sustaining quality of the College.
PART II: STRUCTURE AND OFFICES

CHARTER

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

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

BOARD OF TRUSTEES

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

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

STANDING COMMITTEES OF THE BOARD OF TRUSTEES

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

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

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

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

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

INSTITUTIONAL DIVERSITY AND EQUITY

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

OFFICE OF THE PROVOST

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

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

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

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

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

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

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

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

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

GUARINI SCHOOL OF GRADUATE AND ADVANCED STUDIES

The Dean of the Guarini School has administrative responsibility for all PhD, MS, and MA post-baccalaureate programs at Dartmouth. The Dean is assisted by the Assistant Dean and Registrar of Graduate Studies and Assistant Deans of Graduate Student Affairs; Postdoctoral Affairs; and Recruiting and Diversity, and Communications. The functions of the Guarini School include:

Planning and implementation with respect to the intellectual character and organization of graduate activity;

- Assistance in raising external funds;
Promotion of graduate student fellowships and scholarships;
Admission of graduate students and graduate special students;
Registration of graduate students and graduate special students;
Maintenance of graduate student and graduate special student academic transcripts and records;
Adjudication of graduate student disciplinary cases;
Oversight of graduate student housing and other aspects of graduate student life.

Ex officio, the Dean of the Guarini School is Chair of the Council on Graduate Studies, and a member of the Council on Sponsored Programs. For more information on Dartmouth’s graduate programs in Arts and Sciences see https://graduate.dartmouth.edu/

OFFICE OF THE REGISTRAR

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

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

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

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

DEAN OF THE COLLEGE/STUDENT AFFAIRS

As Dean of the College, Professor of Sociology Kathryn Lively serves as the senior officer responsible for the undergraduate experience. Dean Lively oversees the Student Affairs division and Dartmouth’s six house communities, and is responsible for promoting the integration of academic life into the full range of student experiences.

As faculty, your most significant interactions with Student Affairs may be in connection with students for whom you have concerns. Within Student Affairs, Student Academic Support Services include the Undergraduate Deans Office, Accessibility Services, and the Academic Skills Center.
UNDERGRADUATE DEANS

The Undergraduate Deans serve as:

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

If you have a concern about an undergraduate student, please consult with an undergraduate dean. For contact options, see: https://students.dartmouth.edu/undergraduate-deans/resources-support/faculty. In addition to direct contact, you may use the web-based Banner academic alert system to report observations or concerns about individual student academic performance or other issues. To access the system, choose the “DSASA-Academic Alert to Dean” link on your faculty Banner page. For complete instructions, see https://students.dartmouth.edu/undergraduate-deans/sites/students_undergraduate_deans.prod/files/students_undergraduate_deans/wysiwyg/2016_17_dsasa_instructions.pdf.

ACCESSIBILITY SERVICES

For detailed information regarding expectations of the faculty to ensure accessibility for all students, please see the website for Dartmouth’s Student Accessibility Services (SAS) (https://students.dartmouth.edu/student-accessibility/, then click on “faculty and staff”). To consult with new Accessibility Services Director Alison May ’97, call 646-9900.

Students requiring disability-related academic adjustments and services must consult the Student Accessibility Services office. Once SAS has authorized services, students must show the originally signed SAS Services and Consent Form and/or a letter on SAS letterhead to their professor. As a first step, if students have questions about whether they qualify to receive academic adjustments and services, they should contact the SAS office. All inquiries and discussions will remain confidential.

ACADEMIC SKILLS CENTER

Academic Skills offers a variety of services to help students become more effective and efficient learners, including academic coaching, peer tutoring, study groups, and House Community Resident Experts. For a complete list and more information about their services, or to contact the Director, see https://students.dartmouth.edu/academic-skills/about/about-asc/services.

OTHER STUDENT AFFAIRS RESOURCES

Community Standards and Accountability Office (formerly known as Judicial Affairs): CSAO supports the College disciplinary process and the Committee on Standards. Contact Director Katharine Strong at 646-3482 if you have concerns about possible Academic Honor Principle or other Standards of Conduct violations.
**Health Service**: The College Health Service at 5 Rope Ferry Road provides on-campus primary care, counseling and psychiatric services, an in-patient department for students during the term, a wide variety of other student health and wellness services, and a pharmacy that serves students, faculty and staff.

**The Tucker Center for Spiritual and Ethical Life**: The Tucker Center supports members of the Dartmouth community to cultivate a deep sense of meaning and purpose through spiritual, ethical and moral exploration and engagement. To assist with calendar planning and awareness of our diverse religious and spiritual community, the list of holy days for 2019-2020 can be found at: [https://students.dartmouth.edu/tucker/spiritual-life/about-spiritual-life/holy-day-calendar](https://students.dartmouth.edu/tucker/spiritual-life/about-spiritual-life/holy-day-calendar). The list represents major holy days which may impact accommodation of campus events in general, as well as student course attendance, exams, Commencement and participation in activities in 2019 and 2020. Contact Rabbi Daveen Litwin, the Dean and Chaplain of the Tucker Center, for more information.

**OFFICE OF THE EXECUTIVE VICE PRESIDENT**

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

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

**ENVIRONMENTAL HEALTH AND SAFETY (EHS)**

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

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

**FACILITIES OPERATIONS AND MANAGEMENT (FO&M)**

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

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

RISK AND INTERNAL CONTROLS SERVICES

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

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

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

CONTROLLER

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

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

Administer a range of life income and other charitable gift instruments along with the Development and Investment Offices;

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

HUMAN RESOURCES

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

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

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

OFFICE OF VICE PRESIDENT FOR DEVELOPMENT

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

Staff officers associated with the Senior Vice President are the Vice President for Development, the Chief operating Officer for Advancement, and the Vice President for Alumni Relations. The Senior Vice President oversees Alumni Relations, Development and Conferences & Events.
All Arts and Sciences development solicitations must be cleared by and coordinated through the Office of the Chief of Staff for Administration and Advancement. For more information on development activities within the Division of Arts and Sciences, visit:

https://faculty.dartmouth.edu/dean/about/administrative-areas/office-chief-staff-administration-advancement

THE OFFICE OF COMMUNICATIONS

The Office of Communications promotes the excellence of Dartmouth students, faculty, and staff and produces stories about their impact and contributions to the world.

The Office is divided into four groups: digital resources, media relations, news and editorial services, and social media. Each group produces informative and engaging content about the institution, as well as provides strategic guidance and expertise to Dartmouth community members interested in reaching internal or external audiences.

Dartmouth’s digital resources include graphic design, digital production, photography, and videography for channels managed by the Office of Communications. It supports high-priority creative projects for offices around campus.

Dartmouth’s media relations team facilitates engagement with the media and provides advice on how best to extend reach to external audiences. Social media is managed through media relations.

Dartmouth’s news and editorial team reports on news about and by the community. The team is responsible for storytelling that populates college-produced communications properties, including the Dartmouth home site, Dartmouth News, and Dartmouth Life—our print publication shared with the alumni body.

Dartmouth’s social media team creates compelling content for publication across all of Dartmouth’s social channels including Facebook, Instagram, and Twitter with the aim of promoting high levels of engagement with our community and expanding our audience. Through its social channels the Office of Communications shares Dartmouth news and serves as an important vehicle for spreading up-to-date and accurate information about what is happening on campus while also generating pride in the institution.

MISSION

The mission of the Office of Communications is to promote and protect Dartmouth’s reputation for excellence in teaching, learning and research. Through compelling storytelling and the production of high-quality informative content, we enhance appreciation for Dartmouth’s contributions to the world and understanding of its place of distinction within higher education.

VISION

The Office of Communications seeks to use creative, innovative storytelling and content creation to advance the overall vision of enhanced academic excellence for Dartmouth.

For more information on the Office of Communications, go to https://communications.dartmouth.edu/
PART III: POLICIES AND PROCEDURES

FREEDOM OF EXPRESSION AND DISSENT

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

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

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

Faculty of Arts and Sciences Action
June 6, 1968

ACADEMIC FREEDOM

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

THE ACADEMIC HONOR PRINCIPLE

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

Therefore be it Resolved that,

I. The Faculty of Dartmouth College, in recognizing the responsibility of students for their own education, assumes intellectual honesty and integrity in the performance of academic assignments, both in the classroom and outside. Each student upon enrollment at Dartmouth College accepts this responsibility with the understanding that any student who submits work which is not his or her own violates the purpose of the College and is subject to disciplinary actions, up to and including suspension and separation.

II. The Faculty recognizes its obligation: (a) to provide continuing guidance as to what constitutes academic honesty; (b) to promote procedures and circumstances which will reinforce the principle of academic honor; (c) to review constantly the effective operation of this principle.

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

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

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

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

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

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

1. **Examinations.** Any student giving or receiving assistance during an examination or quiz violates the Academic Honor Principle.

2. **Plagiarism.** Any form of plagiarism violates the Academic Honor Principle. Plagiarism is defined as the submission or presentation of work, in any form, that is not a student’s own, without acknowledgment of the source. With specific regard to papers, a simple rule dictates when it is necessary to acknowledge sources. If a student obtains information or ideas from an outside source, that source must be acknowledged. Another rule to follow is that any direct quotation must be placed in quotation marks, and the source immediately cited. Students are responsible for the information concerning plagiarism found in Sources: Their Use and Acknowledgment, available in the Deans’ Offices.

3. **Use of the same work in more than one course.** Submission of the same work in more than one course without the prior approval of all professors responsible for the courses violates the Academic Honor Principle. The intent of this rule is that a student should not receive academic credit more than once for the same work product without permission. The rule is not intended to regulate repeated use of an idea or a body of learning developed by the student, but rather the identical formulation and presentation of that idea. Thus the same paper, computer program, research project or results, or other academic work product should not be submitted in more than one course (whether in identical or rewritten form) without first obtaining the permission of all professors responsible for the courses involved. Students with questions about the application of this rule in a specific case should seek faculty advice.

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

**FACULTY GUIDELINES FOR RESPONDING TO VIOLATIONS OF THE ACADEMIC HONOR PRINCIPLE**

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

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

1. The instructor may want to discuss the suspected violation with the student(s) to determine that there has been no misunderstanding between the instructor and student(s).

2. The instructor is strongly encouraged to test the validity of his/her suspicion by consulting a colleague or the department/program Chair.

3. If, after consideration, the instructor believes that the suspicion is valid, the instructor should immediately bring the matter to the attention of the Committee on Standards by contacting the Undergraduate Judicial Affairs Officer in the Dean of the College Office at 646-3482 and should inform the department/program Chair. The Judicial Affairs Officer will consult with the instructor about the kinds of information and materials needed for a judicial review and will consult with the Dean of the College about proceeding with a hearing. Under no circumstances should the instructor who suspects a violation of the Academic Honor Principle attempt to resolve the matter independently or in camera with the student in question.

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

**FERPA GUIDELINES ON CONFIDENTIALITY OF STUDENT EDUCATION RECORDS**

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

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

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

1. Directory Information, including name, age, date and place of birth, student ID number, dates of attendance, enrollment status, class year, major, awards and honors, home address, telephone number, Dartmouth email address,
relationship to an alumnus or alumna of the College, degrees awarded, campus address and telephone number, previous educational institutions attended and degrees awarded, extracurricular activities, student photo, and weight and height of members of athletic teams may be disclosed without restriction unless the student objects in writing to the Office of the Dean of the College. A student’s request that directory information not be released remains in effect until the student releases it.

2. To faculty members and other officials of Dartmouth College who have a legitimate educational need to access a student’s education record in order to fulfill their professional responsibility. College officials eligible to review education records for this purpose may include administrative, supervisory, academic or support staff members; individuals or entities with whom the College has contracted; members of the Board of Trustees; and persons assisting these officials in performing their tasks.

3. To government agencies entitled to it by law.

4. To the parent(s) or guardian(s) of a student unless the student has filed with the Dean of the College Office a statement certifying that he or she is not financially dependent as defined by the federal income tax laws.

5. In response to a lawfully-issued subpoena or court order. (Instructions on what to do if you receive a subpoena or court order for education records may be found at http://www.dartmouth.edu/~legal/advice/records.html.

6. To determine the student’s eligibility for financial aid or to enforce the terms or conditions of financial aid that a student has received.

7. To an organization conducting a study if the organization certifies that (i) the study will not be conducted in a way which will permit the personal identification of the students and (ii) the organization’s record of such information will be destroyed when the study is completed.

8. To appropriate parties in a health or safety emergency in which the health or safety of a student or other individuals is seriously threatened and the parties to whom the information is disclosed are in a position to meet the emergency.

9. Upon request, to officials of another school in which a student seeks or intends to enroll or another institution which is part of a student exchange program.

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

TEACHING GUIDELINES FOR FACULTY

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

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

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

2. **Syllabus**

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

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

**Recommendations for Syllabus Content**

A. Learning goals or objectives for the course

B. Course requirements
   i. Required books, articles, readers and where these may be found (on reserve, online, purchase).
   ii. A schedule of topics, readings, and assignments for the course, including missed days and scheduled x hours (students quickly assume that unless otherwise indicated x-hours will not be used, and they plan accordingly). Any anticipated missed class days should be made up during x-hours or at a specified time outside normal class hours (see section IV on “Other course activities”).
   iii. New or experimental courses, as well as advanced seminars, often work differently from regular courses. In such cases, instead of an explicit daily or weekly schedule, the syllabus should provide a description of how topics, readings, and assignments for the course will be determined during the term. This structure permits flexibility while still providing enough of a framework so that students are able to plan and organize their academic time effectively.
   iv. Statement on grading, due dates of assignments, exam dates, etc.
   v. Course activities outside normal class hours, such as field trips, films, exams (see section IV on “Other course activities”).
   vi. Statement on attendance/absences (see section V)

C. Course Procedures
   i. Office hours, contact information.
   ii. Homework policy, policy on revisions.
   iii. Policy for late work, make-up exams.
   iv. Disability policy about how students should seek accommodation in the course (see ORC, Access and Accommodation for Students with Disabilities).
   v. Honor Principle statement and course policy on limits (if any) to collaborative work in fulfilling course requirements (see ORC, Academic Honor).
While many of the suggested aspects of the syllabus are dependent on the nature of the course and instruction, there are several aspects which are required by the ORC: B.iii, C.iv and C.v. In discussing the required texts for the course (B.i), faculty shall conform to the Higher Education Opportunity Act by providing textbook information at the time a student registers for a course, in particular the ISBN number and the retail price.

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

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

3. Student evaluation and grading

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

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

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

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

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

Because they appear as part of a student’s transcript, citations must be relatively brief (100 words or less). Faculty should take care not to reveal inappropriate information about a student. In addition to information that is legally prohibited (e.g., information concerning disabilities and/or health status), faculty should not reveal information that reflects poorly on the student, even if the information is provided as background to
a commendation. When a course has more than one instructor, all instructors shall submit a single citation for each deserving student.

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

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

4. Other course activities

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

5. Absences

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

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

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

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

Faculty members should also be aware that students may wish to participate in religious observances during the academic term; faculty may wish to consult a list of religious holidays to identify potential conflicts and put in place policies to resolve them. The COP reviewed and recommended the following language for adoption on course syllabi:
Some students may wish to take part in religious observances that occur during this academic term. If you have a religious observance that conflicts with your participation in the course, please meet with me before the end of the second week of the term to discuss appropriate accommodations.

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

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

DARTMOUTH COLLEGE SEXUAL AND GENDER-BASED MISCONDUCT POLICY

POLICY STATEMENT

I. STATEMENT OF NON-DISCRIMINATION

Dartmouth College, inclusive of all its schools and faculties, does not discriminate on the basis of sex, race, color, religion, age, disability, status as a veteran, national or ethnic origin, sexual orientation, gender identity, gender expression, or any other category protected by applicable law, in the administration of its educational policies, admission policies, scholarship and loan programs, employment, or other school administered programs.[1]

[1] Throughout this policy, the pronouns “they”, “them”, and “their” are used intentionally to be inclusive of all genders.

For complete policy, see Appendix A (page 101) or go to: https://sexual-respect.dartmouth.edu/policy/dartmouth-college-sexual-and-gender-based-misconduct-policy

PROCEDURES FOR RECRUITMENT AND HIRING

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

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

3. Invitation to the most promising candidates to visit Hanover for colloquia and interviews.

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

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

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

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

### ATTENDANT AFFIRMATIVE ACTION CONCERNS

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

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

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

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

2. To the maximum extent feasible, female and minority faculty members should be included on search committees. Where this is impossible, knowledgeable female and minority faculty should be consulted.

3. Departments/programs and search committees are expected to expand recruitment contacts to include deans and faculty in traditionally black colleges and universities, professional organizations, well-known minority and female figures in the field, specialized caucuses, and the producers and distributors of appropriate directories.

4. Associate Deans responsible for authorizing travel funds for serious candidates to visit the campus will first review the composition of short-listed candidates. The appropriate Associate Dean should consult with the Vice President of ID&E if there are no minority and female candidates on the short list and may require additional recruiting, if appropriate.
5. Funds can be provided to cover additional recruiting when more intensive efforts are required to ensure a representative pool of candidates.

6. Departments and programs are expected to expand the number of women and minorities in their own graduate programs where such programs exist.

7. To widen knowledge of existing graduate programs and to familiarize those in such programs with Dartmouth’s efforts in the area of affirmative action, departments and interdisciplinary programs are encouraged to invite female and minority speakers and scholars to the campus.

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

- **Pre-Recruitment.** The Search Committee Chair consults with the Vice President of ID&E to discuss affirmative action procedures and guidelines, the job description, the proposed recruitment plan, and the search committee composition.

- **Proposed Short List.** When a proposed interview or short list has been selected from the applicant pool, the Initial Affirmative Action Recruitment Report is completed, and the Search Committee Chair consults with the Office of ID&E to discuss it.

- **No Women and Minorities on Short List.** If the short list does not contain at least one female and one minority candidate, the Associate Dean will consult with the Office of ID&E and may then require additional recruitment as appropriate.

- **After Final Ranking.** Before authorizing an appointment, the Authorization for Faculty Appointment and Affirmative Action Recruitment Report will be completed. The Associate Dean will contact the Office of ID&E to discuss whether all affirmative action procedures were followed.

---

**FACULTY RECRUITING BUDGET**

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

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

2. Transportation, room, and board in connection with visits of candidates to Hanover. The College does not cover the expenses of the candidate’s spouse, partner or family except in rare instances and as authorized in advance by the appropriate dean. Spouse, partner or family expenses are fully taxable to the candidate under IRS provisions. Up to $400 per visitor is allowed for entertainment and meals during a single visit.

3. The appropriate Associate Dean may specifically authorize extra recruitment expenses.

4. Special efforts above and beyond normal recruitment to identify minority and women candidates for existing or potential openings at the College, including liaison with established minority and women professionals at other institutions.

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

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 about their scholarship, teaching and service. The Candidate should also submit a separate two-page, single spaced statement that provides a forward looking plan in preparation for the tenure review. These statements must be submitted by November 1 of the year of reappointment and should be accessible to the non-specialist members of the CAP. In addition, the Candidate should include a list of courses taught during the past two years. 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

Tenure track faculty members with an approved maternity/parental leave will automatically be granted an extension of the reappointment/tenure clock. Specifically, for each child associated with an approved maternity leave, parental leave or both, a faculty member will be granted an extension of the reappointment/tenure clock by one year.

This extension can be taken any time prior to the year in which the tenure decision is scheduled. For example, a faculty member with an approved maternity and parental leave prior to reappointment may use the one-year extension for the reappointment review, may choose to defer the one-year extension to the period following reappointment but prior to the tenure review, or may opt for no extension of the reappointment/tenure clock. The number of years that the reappointment/tenure clock may be extended is based upon the number of children associated with approved maternity and/or parental leaves. Because an extension will automatically be granted, faculty members who opt to forego extension of the reappointment/tenure clock must notify the Associate Dean in writing.

Tenure track faculty members will automatically be granted an extension of the reappointment/tenure clock by one year for approved medical leave(s) in a given academic year. For example, a faculty member with an approved one-term medical leave will be granted a one-year extension of the reappointment/tenure clock. A faculty member with two approved terms of medical leave in a given academic year (July 1 to June 30) will also be granted a one-year extension of the reappointment/tenure clock. A faculty member with approved medical leaves in two different academic years will be granted a two-year extension of the reappointment/tenure clock. Because an extension will automatically be granted, faculty members who opt to forego extension of the reappointment/tenure clock must notify the Associate Dean in writing.
Faculty members with approved maternity/parental and medical leaves in the same academic year will be granted a one-year extension of the reappointment/tenure clock but may request an additional extension by writing to the 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 argument 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/PROMOTIONS DECISIONS FOR ARTS & SCIENCES FACULTY**

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

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.
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.

FACULTY MENTORING & PROFESSIONAL DEVELOPMENT

Providing outstanding faculty mentoring and professional development are key components to launching and sustaining faculty throughout their academic careers. Faculty need to take ownership and responsibility for seeking out mentoring and professional development opportunities, but it is also up to one’s colleagues, Chairs, and Deans to be available to offer advice and guidance based upon their own perspectives.

GUIDE TO ASSISTANT AND UNTENURED ASSOCIATE PROFESSORS

It is critically important that you engage in all department/program related activities. You should develop an action plan mapping out goals and benchmarks to help determine progress during the years prior to the tenure decision. Revisit this plan yearly. Meet with department/program chair and associate dean to discuss progress, challenges, and concerns as appropriate.

You should carefully read your teaching evaluations and discuss them with your department/program chair, associate dean, and mentors where applicable. Address concerns with the help of a mentor and DCAL as appropriate. Seek out external/internal grants and fellowships to help advance scholarly and teaching trajectory.

Seek mentoring opportunities from your department/program chair, associate dean, and/or other faculty members within and outside of the department/program. Appropriate mentors may also include individuals outside of Dartmouth such as faculty members at other institutions.

Thoroughly review the Guidelines for Appointments, Reappointments, Promotion and Tenure for Faculty from the Faculty Handbook. Be mindful of workload issues and thoughtful about your allocation of time. It is important to think about your teaching, scholarship, and service as it relates to tenure and promotion. Discuss with your Associate Dean, Chair and mentors as need be. Develop a visibility in your profession, not only for your own tenure and promotion, but for the benefit that your visibility brings to the institution.

Identify professional development opportunities offered through DCAL, Institutional Diversity and Equity (IDE), the National Center for Faculty Development and Diversity (NCFDD), and Human Resources (HR).
Help foster an academic community that is built on trust, fairness, and mutual respect. Bring up any concerns with mentors, department/program chair, associate dean, and/or other faculty members within and outside of the department/program.

**GUIDE TO TENURED ASSOCIATE PROFESSORS**

Meet with your department/program chair and associate dean for at least three years after tenure to map out a plan to come up for promotion to full professor. You should discuss concerns, opportunities, and any anticipated challenges. Continue to develop visibility in your profession, not only for your own promotion, but for the benefit that your visibility brings to the institution. Seek out external/internal grants and fellowships to continue scholarly and teaching trajectory. Thoroughly review the Guidelines for Appointments, Reappointments, Promotion and Tenure for Faculty from the Faculty Handbook.

Continue to explore mentoring opportunities from your department/program chair, associate dean, and/or other faculty members within and outside of the department/program. Appropriate mentors may also include individuals outside of Dartmouth such as faculty members at other institutions.

Begin to take on leadership roles within your department/program, including the mentorship of junior faculty while being mindful of your own workload issues. Be thoughtful about your allocation of time regarding teaching, scholarship, and service as it relates to promotion. Discuss with your Associate Dean, Chair and mentors as need be.

Seek out professional development opportunities offered through DCAL, IDE, NCFDD, and HR.

Help foster an academic community that is built on trust, fairness, and mutual respect. Bring up any concerns with mentors, department/program chair, associate dean, and/or other faculty members within and outside of the department/program.

**GUIDE TO PROFESSORS**

Continue to advance your scholarship and teaching. Seek out external/internal grants and fellowships to continue your scholarly and teaching trajectory. Continue to develop visibility in your profession, not only for your own benefit, but for the benefit that your visibility brings to the institution.

Mentor junior faculty members as well as associate professors within and outside of the department/program. Seek opportunities to build the visibility of junior colleagues.

Take on leadership roles on various committees/councils, working groups, and other institutional initiatives.

Help foster an academic community that is built on trust, fairness, and mutual respect. Bring up any concerns with mentors, department/program chair, associate dean, and/or other faculty members within and outside of the department/program.

**GUIDE TO DEPARTMENT/PROGRAM CHAIRS**

Promote an open-door policy as part of the department/program culture. Facilitate the participation of all faculty members, regardless of rank, in all department/program activities. Meet with assistant professors and untenured associate professors annually to provide clear and candid feedback on their progress toward tenure and promotion. Share and discuss with both the results of a written annual review. If possible, meet with junior faculty and untenured associate professors as a group or individually each term.

Encourage junior faculty and untenured associates to develop an action plan mapping out goals and benchmarks for assessing progress prior to the tenure decision. Encourage junior and untenured associate professors to pursue
external/internal grants and fellowships that will provide them with critical time to advance their scholarship. Carry out annual reviews.

Lead the department/program effort to provide a realistic assessment of the assistant professor’s progress during the third-year review. Meet with tenured associate professors in the year following tenure to map out a plan to come up for promotion to full professor. Subsequently, meet with associates in years 3 and 5 after they received tenure to discuss progress toward promotion. Discuss concerns, opportunities, and any anticipated challenges. Be mindful of the workload issues for assistant and associate professors and the need to balance teaching, scholarship, and service when making teaching assignments and assigning departmental duties. Keep in mind their goals for tenure and promotion.

Look for opportunities to nominate faculty for external prizes and awards.

Meet with the Associate Dean at the beginning of each year to:

- Map out schedule and plan for any upcoming cases for reappointment, tenure, or promotion. Discuss any concerns related to your department.
- Review with the Associate Dean “Guidelines to Department and Program Chairs for Reappointment, Tenure, and Promotion.”
- Review with the Associate Dean the format of department/program letters for recommendations for reappointment, tenure, or promotion.

Assign mentors or mentoring committees to each junior faculty member as well as untenured associate professors. Coordinate mentoring with other departments/programs for faculty with joint appointments. Encourage junior and associate professors to attend professional development workshops, seminars, and training in addition to professional conferences.

Remind faculty about course releases available for maternity and parental leave in the quarter during or immediately after the birth of a child and primary childcare responsibilities within a one-year period of the arrival of the child.

Review departmental resources with Fiscal Office and/or DOF Chief of Staff and/or the Associate Dean.

Encourage senior faculty to build a supportive and transparent environment around professional expectations.

Help foster an academic community that is built on trust, fairness, and mutual respect.

GUIDE TO ASSOCIATE DEANS

Promote an open-door policy for faculty members seeking guidance on career decisions.

Meet with assistant professors and untenured associate professors on an annual basis. During the initial meeting, articulate the need to have outstanding records of both scholarship and teaching to achieve tenure. Service (committee work, advising/mentoring, etc.) is also an important expectation of being a member of the Dartmouth community. In subsequent meetings, provide candid feedback regarding the faculty member’s progress in both scholarship and teaching.

Meet junior faculty following reappointment as well as untenured associate professors upon appointment to discuss a plan and benchmarks for the period preceding the tenure review. Meet with tenured associate professors in years 3 and 5 after they receive tenure to provide clear and candid feedback on progress toward promotion. Share candid assessment of progress toward tenure or promotion to full professor as applicable.
Encourage junior and associate professors to attend professional development workshops, seminars, and training. See attached for available resources.

Meet with department and program chairs annually to review year’s action items regarding reappointment, tenure, and promotion and associated processes and deadlines. Review guidelines for mentoring and for departmental letter writing for reappointment, tenure, and promotion.

RESEARCH FACULTY

INTRODUCTION

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

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

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

SPECIFICATIONS

Details concerning regular Research Faculty positions are as follows:

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

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

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

**ELIGIBILITY**

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

**PROCEDURES FOR INITIAL APPOINTMENTS, REAPPOINTMENTS AND PROMOTION**

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

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

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

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

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

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

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

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

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

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

OTHER APPOINTMENTS

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

RESEARCH ASSISTANT

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

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

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

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

POSTDOCTORAL SCHOLAR

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

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

RESEARCH ASSOCIATE

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

RESEARCH SCIENTIST, RESEARCH ANALYST, RESEARCH ENGINEER

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

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

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

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

**SENIOR RESEARCH SCIENTIST/ANALYST/ENGINEER**

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

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

**PRINCIPAL RESEARCH SCIENTIST/ANALYST/ENGINEER**

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

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

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

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

**EQUIPMENT TRANSFER GUIDELINES**

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

1. Contact the Fixed Asset Coordinator in Procurement Services to obtain a list of all equipment, including all computer equipment, purchased by the faculty member listed in the fixed asset system. The list will include a description of the equipment, date purchased, account purchased, serial numbers, ID tag number(s), and current location.

2. Send this list to the A&S Fiscal Office for verification of account status (open DOF account, closed DOF account, open sponsored project account, closed sponsored project account, government-furnished, other) for each piece of equipment on the list. The Fiscal Office may contact the appropriate person in the Office of Sponsored Projects or the relevant Research Grant Manager to determine the status of sponsored project accounts.

3. Discuss the equipment on the list with the faculty member to ascertain what equipment, if any, he or she may wish to transfer to another institution. The faculty member should also be asked to add any additional relevant equipment to the list.

4. Negotiate with the faculty member and the Chair(s) of the faculty member’s department(s) or program(s) to determine which pieces of equipment the faculty member will be allowed to transfer. In general, the assumption is that equipment which is of continuing use to Dartmouth faculty and researchers should be retained by Dartmouth College. More specifically:
   a. Equipment purchased with College funding is the property of Dartmouth College and should be retained by Dartmouth College if the equipment will be used here.
   b. Title to equipment purchased on closed sponsored projects accounts has been fully vested in Dartmouth College so this equipment should also be retained by Dartmouth College if it is of use to researchers at Dartmouth.
c. Equipment purchased by open sponsored projects accounts may be transferred to another institution with the written approval from the awarding agency and Dartmouth College.

d. Equipment furnished by a government agency remains the property of the government agency, and the Office of Sponsored Projects must be contacted to ensure that disposition of such equipment remains the prerogative of the awarding agency.

e. Transfers of equipment to another institution may involve reimbursement to Dartmouth College.

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

5. Contact the Fixed Asset Coordinator to obtain the fair market value of equipment to be transferred.

6. Draft a letter formally requesting to transfer capital equipment from Dartmouth College to another institution. The letter should include:

   a. a list of the equipment,
   b. the current market value of each piece of equipment,
   c. a description of each piece of equipment,
   d. an indication of whether the equipment was purchased with College or sponsored project funding (open or closed projects) and
   e. a summary of the amount to be reimbursed to Dartmouth College for the transfer.

7. The letter needs to be signed by the faculty member (PI), their department or program chair, the Associate Dean and the Director of the Office of Sponsored Projects. The letter should be copied to the Fixed Asset Manager in Procurement Services so that the fixed asset system information remains current.

8. Once the letter is signed, a copy needs to be given to the A&S Fiscal Office. A fiscal officer will finalize arrangements for payment by the receiving institution and ensure payment is received.

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

**PROCEDURE FOR TRANSFERRING CAPITAL EQUIPMENT FROM ONE INSTITUTION TO ANOTHER**

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

- Type up a letter formally requesting to transfer the capital equipment from Dartmouth College to another institution. The letter should list the current market value of the capital equipment and it should describe the piece of equipment.

- The letter needs to be signed by the Principal Investigator, their Department or Program Chair and the Director, Office of Sponsored Projects.

- Fixed Assets Coordinator of Procurement Services needs to be notified when capital equipment is being transferred so they can then remove the piece of equipment from the inventory list. Fixed Assets Coordinator of Procurement Services should be copied on this letter.

- Once proper signatures have been obtained, the letter should be sent to the appropriate OSP, Sponsored Research Manager. The OSP, Sponsored Research Manager will keep the original letter in the grant file.

**INTERDISCIPLINARY PROGRAMS**
**PROGRAM CHAIRS**

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

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

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

**PERSONNEL COMMITTEES**

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

**PROGRAM MEMBERSHIP**

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

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

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

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

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

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

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

**STEERING COMMITTEES**

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

The Chair of the Program chairs the Steering Committee.

**FACULTY SALARY AND COMPENSATION**

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

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

**COMPENSATION AND ACADEMIC YEAR OBLIGATION: TENURE-TRACK FACULTY**

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

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

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

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

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

### SUPPLEMENTARY COMPENSATION: SPECIAL ACADEMIC YEAR ACTIVITIES

As a rule, neither extra compensation nor honoraria are paid with Dartmouth College administrative funds to tenure-track faculty (or other College officers) for participation in academic year activities. This rule derives from the fact that the academic year salary rate established for an individual represents full pay for total academic year obligation to the institution, whether in regularly scheduled instructional or research commitments or participation on College committees and other such activities.
Similarly, no additional compensation will be paid to full-time faculty for participation or consultation in sponsored activities administered by Dartmouth College during the nine- or twelve-month academic year commitment of the individual involved, as applicable.

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

1. The equivalent of four to five days a month should be considered the maximum for any consulting and other outside employment. This would permit participation in a weeklong Alumni College. In no case should consulting or other outside activities, including Alumni College, interfere with the normal teaching schedule and other College responsibilities and obligations.

2. Compensation in any full-time term will not be augmented by Dartmouth for services during that term relating to instruction or extra-curricular activities involving Dartmouth students.

3. Supplementary compensation can be provided in situations where the faculty member is addressing non-student groups. Such compensation is annually limited to 10% per academic year of the individual's academic year salary. The payment(s) will be made during the academic term(s) of the scheduled event(s) and is nontransferable from one year to the next.

4. Prior approval from the Dean of Faculty Office is required before payments can be made. Payroll authorization forms also will require appropriate authorization from the Dean's Office. Honoraria or extra compensation paid from College sources is treated as wages and is subject to standard withholdings.

5. Supplementary compensation is subject to the annual 3/9 cap.

**SPONSORED FACULTY COMPENSATION GUIDELINES**

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

**REGULAR COMPENSATION**

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

**FREE TERM AND ACADEMIC YEAR SUPPORT ON SPONSORED PROJECTS**

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

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

- 75% from sponsored sources while on a non-teaching residence term (R term),
- 50% from sponsored sources while teaching one course in a term or on sabbatical, or
- 25% from sponsored sources while teaching two courses in a term.

### FREE TERMS

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

### NON-FREE TERMS

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

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

### RESEARCH LEAVE TERMS (RESL)

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

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

NIH AND OTHER SALARY CAPS

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

ARRANGEMENTS FOR SPONSORED SUPPORT

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

RESEARCH FACULTY COMPENSATION GUIDELINES

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

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

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

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

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

- **Prizes**: Prizes are awarded for past achievement rather than for a current service obligation and will not be counted as regular annual compensation.
- **Reimbursement**: Reimbursements for expenses incurred by a faculty member that are paid through the payroll system are allowable. Examples include reimbursement for participation in an off-campus program or visa application fees.
- **Special Payments**: Payments for activities not within the scope of a faculty member’s regular duties at the College will not be counted as regular annual compensation. Examples include playing a musical instrument for a College function, holding a quilt-making workshop for staff, or teaching swing dancing to students (provided such activities are not part of a faculty member’s area of academic expertise).
- **De minimis Payments**: De minimis payments for non-recurring, additional service to the College within the scope of a faculty member’s duties may be allowed up to a limit of $1,000 per fiscal year. Examples include payments for Alumni College, student advising, service to a College administrative office, or giving a lecture. Payments of this type beyond the first $1,000 can be made but are subject to the 3/9 cap on regular additional compensation. Non-recurring refers to payments not expected to happen more than twice in three consecutive years.

**ARRANGEMENTS FOR ADDITIONAL COMPENSATION**

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

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

**SALARY RESEARCH LEAVE (SRR) ACCOUNTS**

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

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

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

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

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

<p>| | | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Summer</td>
<td>June 15 through August 31 (06/15-8/31)</td>
<td></td>
</tr>
<tr>
<td>Fall</td>
<td>September 1 through November 30 (09/1-11/30)</td>
<td></td>
</tr>
<tr>
<td>Winter</td>
<td>December 15 through March 14 (12/15-3/14)</td>
<td></td>
</tr>
<tr>
<td>Spring</td>
<td>March 15 through June 14 (03/15-06/14)</td>
<td></td>
</tr>
</tbody>
</table>

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

RESEARCH LEAVE (RESL)

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

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

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

### SALARY ADVANCES

Dartmouth faculty undertaking assignments on behalf of the College at locations remote from Hanover, such as in the case of study programs abroad, may secure advances of pay to underwrite their expenses until such time as normal financial channels can be reestablished. Arrangements for advances of pay for this purpose may be made through the Office of the Dean of the Faculty. The Gilman Loan Fund and commercial banking sources are available to faculty members experiencing temporary financial need.

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

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

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

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

### FRINGE BENEFITS

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

Benefits include medical insurance, dental insurance, retirement plans, long-term disability insurance, life insurance, and medical and dependent care reimbursement accounts. Fringe benefits at Dartmouth College are established by the Human Resources Office and are subject to change. There are a number of benefits that are a constituent part of faculty compensation. The College is required under federal legislation (ERISA) to distribute information about these benefit plans to participants, in the form of Summary Plan Documents. The benefit descriptions that follow should not be considered Summary Plan Documents, and it is recommended that the Benefits Office be contacted for more complete information at (603) 646-3588 or point your browser to [http://www.dartmouth.edu/~hrs/benefits/index.html](http://www.dartmouth.edu/~hrs/benefits/index.html)
The expense of fringe benefits is paid by a central fund administered by the College. Deposits to this fund are generated through a fringe rate charged on all salary. Both academic and supplementary salaries are charged the same fringe rate. Fringe rates are established annually through the budget process. Where payments of salary are charged to grants or contracts administered by the College, the fringe rate will be charged to grant funds.

**CLARIFICATION OF BENEFIT ELIGIBILITY**

Faculty members are eligible for the following benefits subject to the qualifying requirements of each plan, provided they are working at least half-time in positions of at least nine consecutive months duration each year: medical insurance, dental insurance, retirement plans, term life insurance, medical and dependent care reimbursement accounts, long-term disability, workers' compensation, family and medical leave, adoption benefit, infertility benefit, long-term care insurance, and 7% special benefit. (For more information on faculty member leave policies, please refer to the Faculty Leaves section of this Handbook.)

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

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

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

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

**INTEREST-FREE LOANS**

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

**FLEXIBLE RETIREMENT OPTIONS (FRO)**

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

**PURPOSE OF THE OPTION**

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

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

ELIGIBILITY AND PLAN DESIGN

Eligibility begins on the July 1 following the individual’s 59th birthday and ends on the July 1 following the individual’s 72nd birthday. Eligible faculty are those who are benefits-eligible and have held an appointment as a Professor, Associate Professor, Research Professor, or Research Associate Professor for 15 years or more, and who either 1) hold an appointment with tenure; or 2) have obtained approval by the responsible Dean of a plan for funding the FRO. All faculty members must obtain approval for the FRO plan through the responsible Dean. If implemented, the FRO plan will begin on July 1.

SALARY

The salary in effect on July 1 of the year in which FRO is elected will be considered the "Base Salary" for calculation purposes. As of that date, salary payments to the FRO participant will be reduced depending on age and years of eligible service, as defined below. Any additional salary earned during the FRO period will not be eligible for full fringe benefits.

- **Election of FRO between age 59 and 67:** The percentage factor will be 60% for a participant with 15 years of eligible service, increasing by 1% for each additional year of service to a maximum of 75% for 30 or more years of service. The reduced salary will be considered the "FRO Salary" and will be paid each month through the regular monthly payroll cycle.

- **Election of FRO between age 68 and 72:** For those electing FRO beyond age 67 (ages 68, 69, 70, 71, or 72), there will be a further 6% reduction per year for each year FRO was not elected beyond age 67. For example, if FRO is elected at age 69, with 25 years of eligible service, the FRO Salary will be reduced by an additional 12% (6% for each of the two years beyond age 67). The FRO Salary would then be 58% of the Base Salary, rather than 70% had FRO been elected between ages 59 and 67. Years of eligible service used in the FRO eligibility calculation are capped at age 67. No additional years of service are accrued beyond age 67.

- **Salary Increases:** The FRO Salary may be increased annually, on each succeeding July 1 by an amount determined each year by the President of the College. The increase will be approximately one-half of the average increase granted to active members of the Faculty who are not participating in the FRO agreement.

REDUCED WORK REQUIREMENTS

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

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

HEALTH AND WELFARE PLANS

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

LIFE INSURANCE

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

TRAVEL ACCIDENT INSURANCE

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

RETIREMENT PLANS

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

PRIVILEGES

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

ADDITIONAL COMPENSATION/WORK ASSIGNMENTS

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

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

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

If less than the equivalent of the full-time work requirement has been completed, the unpaid balance of the FRO salary for the three-year FRO contract will be pro-rated according to the proportion of the unfulfilled work requirement. Any unpaid balance due will be payable in equal monthly installments or in a lump sum equal to the present value of said balance as of the date of termination of employment from the College.

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

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

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

COMPLETION OF FRO/POST-FRO RE-EMPLOYMENT

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

APPLICATION PROCEDURE

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

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

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

GUARANTEE TO PARTICIPANTS

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

COLLEGE TUITION AID PROGRAM (CTAP)

Applicable Only To Tenure-Track Faculty Members With Hire Dates Prior To 6/30/88

SUMMARY

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

<table>
<thead>
<tr>
<th>Dean of Faculty Parent’s Appointment</th>
<th>For Children Attending Dartmouth College</th>
<th>For Children Attending Another College</th>
</tr>
</thead>
<tbody>
<tr>
<td>Before 7/1/64</td>
<td>$2,500</td>
<td>$2,500</td>
</tr>
<tr>
<td>7/1/64 – 6/30/72</td>
<td>$2,500</td>
<td>$2,100</td>
</tr>
<tr>
<td>7/1/72 – 6/30/88</td>
<td>$1,000</td>
<td>$1,000</td>
</tr>
<tr>
<td>After 7/1/88</td>
<td>$0</td>
<td>$0</td>
</tr>
</tbody>
</table>

ADMINISTRATION OF THE PROGRAM

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

The grants are subject to the following terms:

- The student must be enrolled on a full-time basis in a pre-baccalaureate program only at an institution determined to be eligible for U.S. federal financial aid programs. During the period of the grant, the student must be dependent on the faculty parent in the sense of federal income tax regulations.

- Sons and daughters of faculty who have served less than full-time will be eligible for grants in half of the amounts shown above.

- Sons and daughters of emeriti faculty or faculty in the ranks of Associate and full Professor who have died in active service or faculty who are receiving disability compensation under the College program are also eligible for the grants.

- The grant covers tuition and applicable educational fees (library, computing, etc.) only and is not available for other expenses incurred in attending the pre-baccalaureate institution involved.
In the event a student receives a scholarship or grant from any source other than Dartmouth College, the Dartmouth payment will be reduced by the amount that the sum of both awards exceeds the tuition charge at the institution attended (unless that institution determines that there is additional need, using nationally accepted need analysis procedures for dependent students).

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

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

**ACADEMIC CALENDAR AND TERM-TRADING**

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

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

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

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

- **Over the two-year period**, six terms out of eight will be in residence and committed by the faculty member to normal teaching, administrative, and other departmental obligations.
Sabbatical and College Fellowship terms or research leaves covered by a grant held by the College are counted as a departmental assignment for purposes of fulfilling part of the six-term commitment.

Term-trading cannot extend beyond the expiration date of the faculty member's appointment, nor for more than one year in advance.

The faculty member is compensated each year at the full academic year rate.

Term-trading normally requires teaching in the summer as the summer term cannot be taken as a residence term.

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

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

<table>
<thead>
<tr>
<th>YEAR 1</th>
<th>YEAR 2</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>CASE 1</strong></td>
<td><strong>CASE 2</strong></td>
</tr>
<tr>
<td>Summer</td>
<td>Summer</td>
</tr>
<tr>
<td>Fall</td>
<td>Fall</td>
</tr>
<tr>
<td>Winter</td>
<td>Winter</td>
</tr>
<tr>
<td>Spring</td>
<td>Spring</td>
</tr>
<tr>
<td>T</td>
<td>F</td>
</tr>
<tr>
<td>T</td>
<td>S</td>
</tr>
<tr>
<td>R</td>
<td>F</td>
</tr>
<tr>
<td>T</td>
<td>T</td>
</tr>
<tr>
<td><strong>CASE 3</strong></td>
<td><strong>CASE 2</strong></td>
</tr>
<tr>
<td>Summer</td>
<td>Summer</td>
</tr>
<tr>
<td>Fall</td>
<td>Fall</td>
</tr>
<tr>
<td>Winter</td>
<td>Winter</td>
</tr>
<tr>
<td>Spring</td>
<td>Spring</td>
</tr>
<tr>
<td>T</td>
<td>T</td>
</tr>
<tr>
<td>T</td>
<td>T</td>
</tr>
<tr>
<td>T</td>
<td>R</td>
</tr>
<tr>
<td>R</td>
<td>T</td>
</tr>
<tr>
<td>F</td>
<td>F</td>
</tr>
<tr>
<td>S</td>
<td>T</td>
</tr>
</tbody>
</table>

T = Teaching on campus or on a formal off-campus program
R = In Residence
F = Free Term
S = Sabbatical or Fellowship Term

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

Summer: June 15 – August 31
Fall: September 1 – November 30
Winter: December 15 - March 14
Spring: March 15 - June 14

INSTRUCTIONAL CALENDAR

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

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

8. The fall term shall normally consist of 47 class meeting days plus a 2 day Pre-Examination break with the final examination period and the term ending before the Thanksgiving holiday.

Another change in legislation passed at the same time:

9. "No College-sponsored or College-recognized regular-season athletic event may be scheduled during a Pre-examination break or a Final examination period except with the permission of the Provost, Dean of Faculty, and Dean of the College. One such exception is the regularly scheduled Saturday football game that is scheduled during the fall final examination period; during this day normally final examinations are suspended."

FACULTY LEAVES

GUIDELINES ON LEAVE TERMS AND TEACHING COMMITMENTS

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

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

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

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

JUNIOR FACULTY FELLOWSHIP (JFF)

All Assistant Professors who are successfully reappointed to a second three-year term are awarded a Junior Faculty Fellowship. Junior Faculty Fellowships provide a leave term permitting Assistant Professors to pursue study and research of significance to their own professional development. These fellowships must be taken in the first or second year following the reappointment decision.

Such leaves are granted on the assumption that colleagues and students will benefit from the enlarged perspectives of the faculty member. Accordingly, acceptance of a Junior Faculty Fellowship carries with it a commitment to return to the faculty for no less than one year following the year of the leave.

http://faculty.dartmouth.edu/dean/research-teaching-support/internal-awards-and-fellowships/tenured-and-tenure-track-faculty-funding/junior-faculty-fellowships

SENIOR FACULTY GRANT (SFG)

Senior Faculty Grants are made each year to a limited number of full Professors and Associate Professors on a competitive basis.
Beginning in 1977, the Trustees initiated a program of grants for scholarly research to senior members of the faculty with the understanding that such grants normally will not be awarded to the same person more frequently than once every four years. In practice, because of the high level of competition, the normal period between awards has been eight or more years.

The purpose of this program is to provide one term of released time for senior members of the faculty who have established reputations in a given field or are venturing into a new field outside their accustomed area of study. It is expected that most applicants will seek support for research projects of unusual promise, research likely to lead to publication. In the past, six Senior Faculty Grants have been awarded each year. It should be noted that the number of applications has increased to a level which, in some years, does not permit support for more than one in six of the requests.

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

http://faculty.dartmouth.edu/dean/research-teaching-support/internal-awards-and-fellowships/tenured-and-tenure-track-faculty-funding/senior-faculty-grants

**SABBATICALS (SAB)**

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

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

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

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

The sabbatical leave is considered part of the faculty member’s service to the College; therefore the College continues all benefits, such as TIAA retirement premiums and group insurance contributions, during the sabbatical leave. Since the sabbatical leave is intended to provide a faculty member with an uninterrupted opportunity for research and intellectual refreshment, no faculty member may accept a teaching appointment, a visiting professorship, or any other employment during such a leave. This restriction does not apply to an unpaid research post at another institution.
Sabbatical leaves are granted on the assumption that colleagues and students will benefit from the enlarged perspectives of the faculty member. Accordingly, acceptance of a sabbatical leave carries with it a commitment to return to the faculty for no less than one year. An individual approaching retirement from the faculty will be eligible for a leave of one or two terms if at least one year of service remains before retirement. A leave of three terms may be granted if at least two years of service remain before retirement. Sabbatical leaves are not granted to persons who have elected FRO or to persons in a period of terminal appointment.

Application for sabbatical leave should be initiated in the fall of the year prior to that in which the leave is to take place. The applicant should submit a Leave Request Form and specific study proposal to the department Chair. This form and proposal, accompanied by departmental recommendation, will then be forwarded to the Arts & Sciences Fiscal Office and Associate Dean of the appropriate division for action.

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

**PRESTIGIOUS AWARD POLICY (PRST)**

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

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

**RESEARCH LEAVE (RESL)**

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

Some grants require that the College "cost share" a portion of the work to be performed under the grant. On occasion this can be done by allocating to the project a portion of the salary expense paid by the College appropriate to the academic year effort expended by the faculty member(s) involved. This arrangement is consistent with the current College practice of underwriting fully all academic year effort, both teaching and research, except where a reduced teaching or other assignment is required.
On occasion, however, a faculty member may wish to request release time in the form of a research leave (RESL) to pursue sponsored research during a term that would otherwise have been part of the faculty member’s three term academic year obligation to the College. In such cases the faculty member must have sponsored funding for each complete term (one-third of the nine-month salary) and apply for a RESL on the Leave Request Form. When on a RESL faculty continue to be paid through the Dartmouth College payroll system and receive full benefits. Faculty members on RESL will work with the Arts & Sciences Fiscal Office to ensure pay is drawn from the appropriate sources. Faculty do not accrue sabbatical for terms on RESL.

## COURSE TRADING AND REDUCTIONS

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

## RELEASE TIME FOR CURRICULUM DEVELOPMENT

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

## MATERNITY LEAVE

### TENURED AND TENURE-TRACK FACULTY

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

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

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

LECTURERS AND SENIOR LECTURERS

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

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

PARENTAL LEAVE

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

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

MEDICAL LEAVE

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

FAMILY AND MEDICAL LEAVE ACT (FMLA)

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

LEAVES OF ABSENCE WITHOUT COMPENSATION (LOC)

Leaves of absence on own charges (LOC) from the faculty are granted to enable faculty members to pursue professional activities outside of Dartmouth under circumstances that are judged to be reasonable for the institution as well as the individual making the request. Such leaves have been granted for periods of up to one year. In exceptional cases, most often related to government service, leaves for a two-year period have been approved.
Frequently such leaves are taken to enable faculty to accept fellowship or research awards administered by an outside agency, to accept a visiting appointment to another academic institution, or to engage in public service. However, leaves of absence are normally not granted to permit a person to undertake a probationary teaching appointment at another college or university.

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

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

OFF-CAMPUS PROGRAMS

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

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

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

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

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

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

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

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

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

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

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

**FACULTY GRIEVANCE PROCEDURE**

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

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

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

The decision whether to act upon complaints remains at the discretion of the Dean of the Faculty or his or her designee. If the Dean determines to take no action, the complainant will be so informed. If the Dean decides to proceed with the complaint, the faculty member will be informed of the complaint against him or her as soon as is reasonably possible, normally no longer than 30 days following receipt of a written complaint. The faculty member will be informed at that time of these informal procedures and of all of the faculty member's rights under the Agreement Concerning Academic Freedom, Tenure, and Responsibility. The faculty member will be invited to respond to the complaint in writing.
The purpose of these informal procedures is to try to resolve misunderstandings or act upon grievances informally and expeditiously, and not to establish adversarial proceedings. Normally the faculty member will be invited to meet with the appropriate Associate Dean and the Assistant Dean to discuss the complaint. The faculty member may choose to consult with a senior faculty member about these matters.

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

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

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

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

**TENURED APPOINTMENTS AT ANOTHER INSTITUTION**

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

**CONSULTING AND OUTSIDE EMPLOYMENT**

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

Faculty members are requested to keep their Chairs and appropriate Associate Dean informed of all formal or continuing consulting arrangements.
Appointments to another institution in an adjunct, lecturer, or part-time capacity while the individual carries a full-time faculty appointment at Dartmouth should not be undertaken without prior discussion and approval of the Dean of the Faculty.

**EMERITUS/EMERITA APPOINTMENTS**

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

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

**APPOINTMENT OF CONTINGENT FACULTY**

**LECTURER**

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

**SENIOR LECTURER**

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

**SPECIAL TWELVE-MONTH CONTRACT FOR A&S LECTURERS**

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

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

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

**CONTRACT PROVISIONS**

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

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

**EVALUATION OF CONTINGENT FACULTY**

Contingent faculty at the rank of Lecturer and Senior Lecturer form an essential cohort within Dartmouth’s teaching staff and intellectual community. As with tenure-ladder faculty, contingent faculty are expected to conform to the highest standards of Dartmouth’s teaching mission, and their work is expected to undergo clear processes of evaluation. Both Lecturers and Senior Lecturers on multi-year contracts receive merit raises based on their performance; it is important that the rationale for these raises be made clear. In addition, Lecturers who consistently demonstrate teaching effectiveness should be eligible for eventual promotion to the rank of Senior Lecturer through a process that is clear and equitable.

1. All contingent faculty at the rank of Lecturer and Senior Lecturer who wish to be reappointed should be evaluated annually, either by the department/program Chair or by a committee composed of senior members of the department or program. Clear standards for teaching effectiveness, perhaps established in conjunction with DCAL, or with Language Program Directors where appropriate, should be determined by individual departments/programs and applied equitably to all.

2. Annual evaluations should make use of the enclosed forms, “Department/Program Evaluation of Contingent Faculty” and “Department/Program Contingent Faculty Record Supplement.” Written letters of self-evaluation from the candidate and evaluation from the department/program Chair will also suffice.

3. All contingent faculty at the rank of Senior Lecturer should be evaluated by the department/program Chair or department/program committee at the end of their first year, and subsequently every 3 or 5 years, depending on their length of contract. Evaluations of Senior Lecturers should also address continued professional activity or research projects during the period of the current appointment.

4. Merit raises for all contingent faculty will be based on written feedback from the department/program and the candidate. The Associate Dean will not reappoint contingent faculty unless the department or program has provided evaluations that clearly show teaching effectiveness.

**GUIDELINES FOR PROMOTION**

Lecturers who have successfully demonstrated teaching effectiveness (normally over a period of six years) will be eligible for promotion to the rank of Senior Lecturer. This promotion will need to be voted on by tenure-track members of the department or program. Promotion will be accompanied by a special merit raise.
VISITING APPOINTMENTS

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

A NOTE ON THE APPOINTMENT OF FOREIGN NATIONALS

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

ADJUNCT APPOINTMENTS

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

LECTURER

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

SENIOR LECTURER

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

SPECIAL TWELVE-MONTH CONTRACT FOR A&S LECTURERS

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

**CONTRACT ELIGIBILITY**

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

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

**CONTRACT PROVISIONS**

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

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

**NAMED CHAIRS**

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

**INDEMNIFICATION**

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

Indemnification is conditioned on the employee’s compliance with the conditions set forth in Item 5 (“Procedure”) below. Covered expenses include defense costs and the payment of judgments, fines, penalties, settlements, and other expenses an employee would reasonably incur in connection with the defense of the claim or action.

**PROCEDURE**

The decision whether to provide indemnification will be made by the Office of General Counsel or the Board of Trustees upon recommendation of the Office of General Counsel.

As a condition of receiving indemnification, an employee must:
1) Give prompt notification of a claim or action to the Office of the General Counsel, following the guidance noted on the “Summonses, Subpoenas, Legal Notices, and Contacts from Attorneys” section of the Office of the General Counsel’s website;

2) Permit the College to select legal counsel to defend the claim or action;

3) Cooperate with the College and its designated legal counsel in the defense of the claim or action;

4) Refrain from making any public statements, oral or written, regarding the claim or action without the prior written permission of the Office of the General Counsel; and

5) Refrain from entering into any settlement or compromise of the claim or action without the prior written approval of the Office of the General Counsel.

DOCUMENTATION:

Employees should promptly notify the Office of the General Counsel, in writing, of any claim or action. The Office of the General Counsel will advise the employee, in writing, of its decision regarding the request for indemnification.

NONDISCRIMINATION POLICY

Dartmouth is dedicated to establishing and maintaining a safe and nondiscriminatory learning, living, and working environment in which all individuals are treated with respect and dignity. The College’s Principle of Community establishes that interactions between and among members of the Dartmouth community should be based on integrity, responsibility, and consideration so that all may fully access and benefit from the opportunities the College provides.

Dartmouth is committed to the principle of equal opportunity for all its students, faculty, staff, and applicants for admission and employment. For that reason, Dartmouth prohibits any form of discrimination against any person on the basis of race, color, religion, sex, gender identity or expression, pregnancy, age, sexual orientation, marital or parental status, national origin, citizenship, disability, genetic information, military or veteran status, or any other legally protected status in the administration of and access to the College’s programs and activities, and in conditions of admission and employment. Dartmouth adheres to all applicable state and federal equal opportunity laws and regulations.

Inquiries or complaints concerning the application of Title IX, including the institutional response to sex discrimination and sexual and gender-based harassment, may be referred to the Title IX Coordinator and/or the United States Department of Education.

PHYSICAL AND LEARNING DISABILITIES

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

In addition, Section 504 of the Rehabilitation Act of 1973 mandates that "no qualified handicapped person shall, on the basis of handicap, be excluded from participation in, be denied the benefits of, or otherwise be subjected to discrimination under any program or activity which receives or benefits from federal financial assistance." According to federal regulations, students, faculty members or employees with documented learning disabilities have the same legal entitlements as those with physical disabilities and therefore both groups are entitled to academic adjustments and/or auxiliary aids.
If a faculty member believes that he or she has been discriminated against on the basis of disability, he or she is urged to contact the appropriate Associate Dean or the Director of the Office of Institutional Diversity and Equity at 6018 McNutt Hall, (603) 646-3197.

EMPLOYMENT OF PARTNERS AND FAMILY MEMBERS

ASSISTANCE IN SPOUSE/PARTNER HIRING

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

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

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

EMPLOYMENT RELATIONSHIPS INVOLVING RELATIVES/NEPOTISM

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

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

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

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

In other cases, spouses, partners or other family members may at their option -- but are not required to -- recuse themselves from participation in the matter under consideration.

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

PROCEDURES FOR SEEKING PARTNER EMPLOYMENT ASSISTANCE

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

ACADEMIC ASSISTANTS (UNDERGRADUATE)

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

- The use of qualified undergraduates in the instruction of other undergraduates is to be encouraged on a selective basis when a department or program judges such instruction to have educational benefits for the instructor and the instructed.
- All instructional activities of undergraduates are to be carefully supervised by the appropriate faculty member or members. In all cases, the faculty member bears the responsibility for the instruction given by the undergraduates.
- While undergraduates may participate in limited ways in evaluating student performance in courses (e.g., grading objective exams, reading laboratory reports, notebooks, etc.), the determination of a student’s mid-term or final grade in a course is the direct responsibility of the faculty and cannot be delegated in any manner.
- In general, undergraduates who are participating in some form of instructional activity will not at the same time receive course credit. Exceptions to this understanding should be few and should be authorized only by department or program Chairs.
- The above guidelines apply equally to off-campus instructional activities for which Dartmouth students earn course credit.

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

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

**SPONSORED RESEARCH**

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

**PART IV: FACILITIES, SERVICES AND RESOURCES**

**ADMISSION OF FACULTY AND FACULTY SPOUSES TO DARTMOUTH COURSES FOR CREDIT**

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

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

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

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

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

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

Special community students may use the College’s library, computing facilities, and dining facilities.
These policy statements apply only to courses offered by the Faculty of Arts and Sciences. Inquiries regarding the possibility of "Graduate Special Student" status in the associated schools of Medicine, Engineering, or Business Administration should be directed to the admissions offices of those schools.

AUDITING

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

FACULTY SUPPORT

FACULTY RESEARCH AND PROFESSIONAL DEVELOPMENT FUND (FRPDF)

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

Details on the program can be found on the Dean of Faculty web site at: http://faculty.dartmouth.edu/dean/research-teaching-support/internal-awards-and-fellowships/tenured-and-tenure-track-faculty-funding/faculty-research-professional-development-funds

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

WALTER AND CONSTANCE BURKE RESEARCH INITIATION AWARDS

Since 1986 an outside foundation has supported research initiation awards for newly hired Assistant Professors at Dartmouth College. Named in honor of a former College Trustee Walter Burke and his wife, Constance Burke, these funds are meant to provide start-up support in all disciplines during the first six years of an appointment. Details on the program can be found on the Dean of Faculty web site at: http://faculty.dartmouth.edu/dean/research-teaching-support/internal-awards-and-fellowships/tenured-and-tenure-track-faculty-funding/burke-research-initiation-awards

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

RESEARCH AND PROFESSIONAL DEVELOPMENT SUPPORT FOR INSTRUCTOR CONTINGENCY APPOINTMENTS

Faculty members in the rank of Instructor Contingency Appointment do not qualify for Burke Research Initiation Awards or FRPDF. They do, however, have access up to $800 to cover research and professional activities. Please see the guidelines on spending under FRPDF on the Dean of Faculty web site at:

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

COLLEGE RENTAL HOUSING
The College operates approximately 250 units of housing available to faculty and employees, composed mostly of apartments and duplexes, along with some houses. Almost all of these accommodations are located within the Town of Hanover. The purpose of this housing is to provide transitional accommodations for new faculty and employees coming to Hanover.

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

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

For additional information, please see [https://realestate.dartmouth.edu/rental-property/dartmouth-rental-housing/employee-rentals](https://realestate.dartmouth.edu/rental-property/dartmouth-rental-housing/employee-rentals)

REAL ESTATE OFFICE

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

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

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

PARKING FACILITIES

All faculty and employees wishing to use Dartmouth parking facilities must register their vehicles online at Parking.Dartmouth.edu or at Transportation Services. There is a fee that may be payroll deducted for permanent faculty for parking in the green lots. Please check with us on permit and lot availability. Any vehicles without a parking permit will be issued citations. For more information on carpooling, Zagster bikeshare program, Zipcars, Advance Transit, and parking policies and violations go to: [https://www.dartmouth.edu/~fom/services/parking/](https://www.dartmouth.edu/~fom/services/parking/)

THE LIBRARIES OF DARTMOUTH COLLEGE

STRATEGIC OBJECTIVES

- **Co-Educators in Teaching and Learning**
  The Library partners with faculty, students, and staff in research activities locally, nationally and internationally. Our
library experts are embedded at critical points in the research lifecycle providing collections, information resources, innovative tools and services to support scholarly inquiry. The Library is committed to partnering with faculty and students to enhance and showcase Dartmouth scholarly output and entrepreneurial endeavors.

**Undergraduate Applicants**
In collaboration with faculty and other strategic partners, the Library provides immersive and transformative learning experiences by engaging in all aspects of the educational continuum, preparing students for a lifetime of learning and responsible leadership as informed global citizens. The Library proactively supports undergraduate, graduate, and professional student academic success through innovative educational programs.

**Inspiring Environments for Inspiring Ideas**
The Library is dedicated to creating a variety of welcoming and inspiring physical and digital environments. These environments, which our students, faculty and patrons inhabit, offer creative workspaces for individual and collaborative scholarly enquiry and aim to promote well-being as well as stimulate innovative thinking through user-centered design approaches.

**STRATEGIC PRIORITIES**
- Collaborate with faculty and key stakeholders to enhance and support new modes of scholarship, applied practice and research innovation at Dartmouth.
- Lead on the development and use of tools and services for the creation, dissemination, discovery, and preservation of Dartmouth research and collections.
- Partner with students, faculty and other strategic partners on curriculum design and teaching to enrich Dartmouth’s teacher/scholar model through the innovative use of library resources and expertise.
- Connect students and faculty with resources at the point of need, anytime, anywhere through enhanced discovery tools.
- Develop digital library environments for collaborative interaction that meet the needs of 21st century scholars.
- Provide inspiring and inclusive learning environments and staff expertise, both centrally and in strategically located library hubs across campus.
- Contribute to global scholarship through our unique collections, the Dartmouth Digital Library and Dartmouth Digital Learning Initiatives.
- Empower library staff to engage in new roles to enrich Dartmouth’s teaching, learning and research initiatives.
- Attract new philanthropic and grant funding in support of strategic priorities.

For more information visit [http://library.dartmouth.edu/](http://library.dartmouth.edu/).

**INFORMATION, TECHNOLOGY AND CONSULTING (ITC)**

The operating philosophy of Information, Technology and Consulting (ITC) is to integrate computing into the life of the institution, with open access and a generous allocation of computer resources to every student and to all members of the faculty, staff, and administration.
Because computing is well integrated into academic activities and campus life, undergraduate students are required to own a personal computer for use at Dartmouth. Information, Technology and Consulting (ITC) actively supports the Windows and Apple Macintosh operating systems. A complete list of supported hardware and software is available on the Information, Technology and Consulting (ITC) web site: https://itc.dartmouth.edu/. A comprehensive directory of technology support services is available to faculty on the Web at: http://www.dartmouth.edu/comp/resources-fac.html.

MONTGOMERY ENDOWMENT

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

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

NELSON A. ROCKEFELLER CENTER

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

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

FANNIE AND ALAN LESLIE CENTER FOR THE HUMANITIES

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

HOPKINS CENTER

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

THE HOOD MUSEUM OF ART
Dartmouth’s collections are among the oldest and largest of any college or university in the country, but it was not until the Charles Moore–designed Hood Museum of Art opened its doors in 1985 that they were all housed under one roof and made available to faculty, students, and the public. When first accredited in 1990, the Hood was already described by the American Association of Museums (now the American Alliance of Museums) as a “national model” for college and university museums. The museum has been consistently accredited since then and subsequently labeled “as fine a museum as one can find in this country.” The Hood’s collections are drawn from a broad range of cultures and historical periods and represent a remarkable educational asset for both Dartmouth and the communities of the Upper Valley region of New Hampshire and Vermont. Among the museum’s most important holdings are six Assyrian stone reliefs from the palace of Ashurnasirpal II (about 900 BCE) and the remarkable fresco by José Clemente Orozco titled The Epic of American Civilization (1932–34), which is now a National Historic Landmark. The 65,000 objects in the museum’s care represent the diverse artistic traditions of six continents, including, broadly, Native American, European and American, Asian, Aboriginal Australian, African, and Melanesian art. The museum collects, preserves, and makes available for interpretation these works in the public trust and for the benefit of all.

In 2019, the Hood completed a physical expansion and renovation, as well as a reinvigoration of what it does and how it does it. The museum tripled its teaching capacity from one study-storage room to three smart object-study classrooms, each designed to accommodate a particular type of experiential engagement with objects of aesthetic and cultural significance. It expanded its galleries by a third and added to its existing facility a new public concourse that serves as a forum for the college’s arts and innovation initiatives, as well as a welcoming entry into the new museum and object-study center. The expansion also encompasses improvements to the original Charles Moore galleries, a new office suite and conference room for staff, and a renewal of the museum’s auditorium and general visitor-services accommodations.

General information about the museum can be found at the following web site: http://hoodmuseum.dartmouth.edu/.

Specific information on resources for faculty is at: http://hoodmuseum.dartmouth.edu/learn/faculty

OFFICE OF CONFERENCES AND SPECIAL EVENTS

The Office of Conferences and Events was established to minimize conflicts that might otherwise arise in scheduling events at Dartmouth. It is important to notify Conferences and Events of any activity in the early planning stages to avoid conflicts and assure that the necessary space is available. This office also arranges set-up requirements, furniture, audio/visual, cleaning, etc.

When planning an activity, Safety and Security should be consulted as needed. Security personnel can be assigned where there might be a problem with respect to traffic or non-Dartmouth intrusions into private functions. The Conferences and Events Office is located at 5 Allen Street, suite 250, extension 6-2923, and additional information can be found at the following web site: http://www.dartmouth.edu/~cse/.

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

The Registrar’s Office controls Dartmouth College classrooms, which are primarily used for academic purposes, during the academic term. In addition to being used for regularly scheduled academic activities, classrooms, as well as other facilities, are available (through the Office of Conferences and Events) for use by conferences, continuing education, recognized student groups, departments and organizations of the College, during term breaks, after regular class hours, and when not used for classes during academic hours. THE DARTMOUTH CLUB OF NEW YORK (YALE CLUB)
Faculty are eligible to apply for faculty membership, which provides full membership privileges in the Yale Club of New York (50 Vanderbilt Avenue, near Grand Central Station), through an arrangement negotiated by the Dartmouth Club of New York. Rooms, office space, and meeting rooms may be reserved by members by calling the Yale Club directly (212) 716-2150. Services used are billed to individual accounts. Non-member faculty can arrange for overnight, temporary lodging through the Office of Alumni Relations, extension 2259, which also can provide further details on the use of this facility.

ALUMNI CLUB SPEAKING

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

PART V: DEPARTMENTAL AND PROGRAM ADMINISTRATION

DEPARTMENTAL AND PROGRAM BUDGETS

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

- During the fall term faculty staffing requirements for each academic unit are reviewed jointly by the respective Chair and the Dean of the Faculty or a designated representative. Teaching assignments and departmental course allocations are finalized for the following academic year.
- During the winter term the appropriate Fiscal Officer works with the departments and programs to prepare budgets for supplies, secretarial assistance, equipment, telephones, and objects of expense required to support instructional activities other than faculty compensation.
- Departmental and program budgets, including the amounts required for faculty compensation, are aggregated with other requests and are presented as the Arts and Sciences budget to College review authorities and finally to the Board of Trustees, who take final action on the overall College budget in April.

DEPARTMENTAL AND PROGRAM BUDGET ADMINISTRATION

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

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

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

### ADMINISTRATIVE SERVICES

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

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

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

### STAFF POLICIES AND PROCEDURES

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

### RECRUITMENT

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

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

**SALARY INCREASES**

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

**PAYROLL**

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

**DEPARTMENTAL/PROGRAM SPACE AND PHYSICAL PLANT FACILITIES**

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

**FACULTY OFFICES**

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

1. Office space in a department or program must above all be reserved for current tenure track faculty.
2. Second in order of priority are all other teaching faculty for the terms that they are teaching, both non-tenure track faculty and visiting scholars who carry academic appointments in Arts and Sciences.
3. Research track faculty will be assigned space consistent with commitments made to an external funding agency in any funded proposal for the duration of the funding period.
4. If there is additional space, emeriti as well as non-tenure track faculty not teaching that term may occupy that space. This may require the sharing of offices. Allocation will be determined by the Chair in consultation with the Dean of the Faculty office and the office of the Provost.
5. Space available for emeriti and non-tenure track faculty will be reviewed annually at the department or program level and by the Associate Dean. Some office space reallocation may be required.

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

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

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

TRAVEL ON COLLEGE BUSINESS

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

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

TRAVEL ADVANCES

Within three days of the departure date, faculty members may obtain cash advances from the Cashier’s. They are intended to cover out-of-pocket expenses not chargeable to a credit card and are limited to a maximum of $500, unless the length and nature of the trip warrant a higher amount. In that case, approval by an Associate Dean or a Fiscal Officer must be obtained. Advances must be settled upon return from a trip on a Business Expense Reimbursement Form properly authorized by the appropriate Chair or, in the case of funds held by the Dean of the Faculty, by the appropriate Dean or Fiscal Officer. Amounts not accounted for should be reimbursed by a check accompanying the Business Expense Reimbursement Form. Detailed cash advance policies and procedures can be found on the College Travel Office website: http://www.dartmouth.edu/~cto/policy/.

DARTMOUTH CORPORATE CARD

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

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

### REIMBURSEMENT OF TRAVEL EXPENSES

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

### REIMBURSEMENT FOR ENTERTAINMENT

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

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

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

### INTERCAMPUS MAIL & U.S. MAIL

The College operates an internal mail distribution service to deliver both student and departmental mail on campus. The student outlet is located in Hopkins Center. For all other users, the Intercampus Mail is delivered directly to the building in which the faculty member or other employee works. Receptacles for this purpose are installed in each academic building, and the building or department/program is assigned a box number, which is also listed under each individual in the Dartmouth College Directory. More information can be found at the Hinman Mail Services website: http://www.dartmouth.edu/~fom/services/mail/.

### PROCUREMENT SERVICES

The Procurement Services Department is responsible for the procurement of goods and services required for departmental use and purchased with College funds (including Grants and Contracts). Details on services available through the Procurement Services Department can be found at their web site: http://www.dartmouth.edu/~purchase/. Contact them at 6-2811.
The College provides a facility on Route 120 for the management and storage of College records. The Records Manager (618-1875) will assist departments in establishing and maintaining a program for the storage, retention, security, and timely destruction of material. Records sent to the Center are considered confidential and remain the property of the department until either permanent transfer to the archives or the material is destroyed. The Records Management web site is: http://www.dartmouth.edu/~library/recmgmt/.

LEGAL SERVICES

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

SOURCES OF INFORMATION ABOUT DARTMOUTH

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

OFFICERS, REGULATIONS AND COURSES (ORC)

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

DARTMOUTH COLLEGE DIRECTORY

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

STUDENT HANDBOOK

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

SOURCES

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

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

APPENDIX A

FULL DARTMOUTH COLLEGE SEXUAL AND GENDER-BASED MISCONDUCT POLICY

OFFICE OF PRIMARY RESPONSIBILITY
Title IX Office
https://sexual-respect.dartmouth.edu/

AFFECTED PARTIES
All Groups

POLICY STATEMENT

I. STATEMENT OF NON-DISCRIMINATION

Dartmouth College, inclusive of all its schools and faculties, does not discriminate on the basis of sex, race, color, religion, age, disability, status as a veteran, national or ethnic origin, sexual orientation, gender identity, gender expression, or any other category protected by applicable law, in the administration of its educational policies, admission policies, scholarship and loan programs, employment, or other school administered programs.[1]

[1] Throughout this policy, the pronouns “they”, “them”, and “their” are used intentionally to be inclusive of all genders.

II. STATEMENT OF PURPOSE

Dartmouth College (“Dartmouth”), inclusive of all its schools and faculties, is committed to establishing and maintaining a safe learning, living, and working environment where healthy, respectful, and consensual conduct represents the campus cultural norm. To that end, this policy prohibits the following types of conduct, collectively, “Prohibited Conduct”:

1. Sexual and gender-based harassment, sexual assault, sexual exploitation, relationship and interpersonal violence, provision of alcohol and/or other drugs for purposes of prohibited conduct, and stalking, as described below in Section VII;

2. Retaliation against an individual for making a report of Prohibited Conduct or for participating in an investigation or resolution of an alleged violation of this policy, as described below in Section VII; and

3. The exertion of power, supervision, or authority by one individual over another in relationships of a sexual or intimate nature, as described below in Section IX.

Prohibited Conduct undermines the character and mission of Dartmouth and will not be tolerated. Students, Faculty or Staff who engage in Prohibited Conduct may be subject to disciplinary action, including permanent separation from Dartmouth. In
addition, Dartmouth will take steps to eliminate Prohibited Conduct, prevent its recurrence and remedy its effects, as appropriate.

It is the responsibility of every member of the Dartmouth community to foster an environment free from Prohibited Conduct. All members of the community are strongly encouraged to take reasonable and prudent actions to prevent or stop an act of Prohibited Conduct. This may include direct intervention when safe to do so, enlisting the assistance of others, contacting law enforcement, or seeking assistance from a person in authority. Community members who choose to exercise this positive responsibility will be supported by Dartmouth and protected from retaliation.

This policy complies with applicable legal requirements including Title IX of the Education Amendments of 1972; the Jeanne Clery Disclosure of Campus Security Policy and Campus Crime Statistics Act, as amended by the Violence Against Women Reauthorization Act of 2013; Title VII of the Civil Rights Act of 1964; and other applicable federal and New Hampshire state laws. It supersedes all previous statements of Dartmouth policy on sexual harassment, sexual assault, sexual misconduct, dating violence, domestic violence and stalking.[2] This policy shall become effective after approval by the Faculty of Dartmouth, consisting of the Faculty of Arts and Sciences, the Faculty of the Geisel School of Medicine, the Faculty of the Thayer School of Engineering, the Faculty of the Amos Tuck School of Business Administration; and the Board of Trustees of Dartmouth

[2] Former policies and procedures, which have been superseded by this policy, include, but are not limited to: Notice of Nondiscrimination [Updated November 7, 2015]; Unified Disciplinary Procedures for Sexual Assault by Students and Student Organizations; Undergraduate Disciplinary Procedures for Sexual Harassment, Domestic Violence, Dating Violence, and Stalking; Committee on Standards – Standard III; Geisel School of Medicine Disciplinary Procedures for Sexual Harassment, Domestic Violence, Dating Violence, and Stalking; Graduate Studies Disciplinary Procedures for Sexual Harassment, Domestic Violence, Dating Violence, and Stalking; Thayer School of Engineering Disciplinary Procedures for Sexual Harassment, Domestic Violence, Dating Violence, and Stalking; Tuck School of Business Disciplinary Procedures for Sexual Harassment, Domestic Violence, Dating Violence, and Stalking; Employee Sexual Harassment Policy; Employee Sexual Misconduct Policy [Updated January 26, 2015]; Consensual Relationships Policy and Employment of Relatives/Nepotism Policy; the Geisel Professionalism Policy – Undergraduate Medical Education; and Appointments, Promotions, and Titles at the Geisel School of Medicine. This policy supersedes these former policies and procedures wherever they may appear in any Dartmouth publication, including but not limited to any handbook for Faculty, Staff, Employees, or Students, as defined in Section III of this policy.

III. TO WHOM THIS POLICY APPLIES

This policy applies broadly to the entire Dartmouth community, including undergraduate, graduate, and professional school students in Arts and Sciences, the Guarini School of Graduate and Advanced Studies, the Geisel School of Medicine, the Thayer School of Engineering, and the Tuck School of Business, and visiting students in any of these schools (collectively known together as “Students”); those employed by Dartmouth, including all faculty members, postdoctoral fellows, and all staff positions (including all exempt and non-exempt positions, bargaining unit positions, non-faculty academic positions (such as Research Associates, Research Fellows, and Research Scientists) and senior administrative and leadership positions), as well as those adjunct and visiting faculty, clinicians, and research or health scientists who are not employed by Dartmouth but have Dartmouth faculty, affiliate, postdoctoral, or house staff appointments for the purpose of teaching and/or research at Dartmouth, such as but not limited to the Geisel School of Medicine (together “Faculty and Staff” or “Employees”); contractors, vendors, or other third parties contractually obligated to Dartmouth (“Third Parties”); and alumni, visitors, or guests of Dartmouth, including prospective Students or Employees (“Invitees”). These definitions are solely for the purpose of this policy and the processes for resolving reports under this policy, and do not apply to any other Dartmouth policy.

This policy pertains to acts of Prohibited Conduct committed by or against Students, Faculty and Staff, Third Parties and Invitees when:
1. the conduct occurs on Dartmouth premises or premises leased by or otherwise under the control of Dartmouth;

2. the conduct occurs in the context of a Dartmouth employment, education, or research program or activity, including but not limited to Dartmouth-sponsored, Dartmouth-funded or otherwise Dartmouth-supported study off campus and/or abroad, research, internship, mentorship, summer session, conferences, meetings, social events, or other affiliated programs or premises, either online or in person; or

3. the conduct, regardless of location or context, has continuing adverse effects occurring on Dartmouth premises or in any Dartmouth employment, education, or research program or activity.

To implement this policy, Dartmouth has developed processes to investigate and/or resolve a report of Prohibited Conduct that could implicate this policy.

The individual reported to have experienced Prohibited Conduct will be referred to as the “Complainant.” The individual who is reported to have violated the policy will be referred to as the “Respondent.” There may be instances where another person, who has not experienced but is aware of the occurrence of Prohibited Conduct, may report conduct, and that person is referred to as the “Reporting Party.” In those limited circumstances, Dartmouth will determine which of the protections provided to the Complainant, if any, are also applicable to the Reporting Party.

Dartmouth will select the appropriate process to use in a given situation based on the role of the Respondent. See Section XI below for more information about the specific processes for investigation and resolution.

IV. TITLE IX COORDINATOR

Dartmouth’s Title IX Coordinator is charged with coordinating Dartmouth’s compliance with Title IX, with the assistance and support of Deputy Title IX Coordinators. The Title IX Coordinator is responsible for overseeing and providing education and training; coordinating Dartmouth’s investigation, response, and resolution of all reports under this policy; and tracking and reporting annually on all incidents in violation of this policy. The names and contact information of Dartmouth’s current Title IX Coordinator and Deputy Title IX Coordinators are accessible via the hyperlink above.

Concerns about Dartmouth’s application of this policy may also be addressed to the Title IX Coordinator, the Deputy Title IX Coordinators, or the following:

U.S. Department of Education, Office for Civil Rights

United States Equal Employment Opportunity Commission

New Hampshire Commission for Human Rights

V. PRIVACY AND CONFIDENTIALITY

Dartmouth is committed to making reasonable efforts to protect the privacy interests of a Complainant, a Respondent and/or other individuals involved in a report under this policy.

Privacy: For the purposes of this policy, privacy generally means that information related to a report of Prohibited Conduct under Sections VII and IX of this policy will be shared with a limited number of individuals who “need to know” in order to ensure the prompt, equitable and impartial review, investigation, and resolution of the report. All employees who are routinely involved in Dartmouth’s Title IX response receive specific training and guidance about safeguarding private information in accordance with applicable laws.
Confidentiality: For the purposes of this policy, confidentiality means that campus or community professionals with the statutorily granted ability to maintain information as privileged cannot reveal identifiable information shared by an individual to any other person without express permission of the individual, or as otherwise permitted or required by law. Those campus and community professionals who have the ability to maintain privileged communications and keep information confidential, referred to as Confidential Resources, include:

A. Health care providers (and those who assist in the provision of confidential services) in Dartmouth College Health Services;

B. Mental health professionals (and those who assist in the provision of confidential services) in the Dartmouth College Counseling Center (Health Services and the Counseling Center are collectively referred to as “Dick’s House” throughout this document), in the Faculty/Employment Assistance Program, and in any programs that contract with Dartmouth to provide mental health professional services; and

C. Ordained clergy, all of whom normally have privileged confidentiality that is recognized by New Hampshire state law.

These individuals are prohibited from breaking confidentiality when they receive information in any of the above capacities, unless

I. Given permission to do so by the person who disclosed the information;

II. There is an imminent threat of harm to self or others;

III. The conduct involves suspected abuse of a minor under the age of 18; or (iv) as otherwise required or permitted by law or court order.

VI. EMPLOYEE RESPONSIBILITY TO REPORT ALLEGATIONS

There are (3) general categories of Dartmouth employees and the respective ability of each category of individuals to maintain confidentiality differs as follows:

A. Confidential Resources: (individuals listed in Section V who have the ability to maintain legally protected confidentiality). Confidential Resources can maintain an individual’s confidentiality, including disclosures by a Complainant, Reporting Party or Respondent, and will not share any information with Dartmouth, subject to the exceptions listed above.

B. Responsible Employees: As contrasted with the Complainant’s personal decision whether to make a report of Prohibited Conduct, once information is disclosed to a Responsible Employee, the Responsible Employee is required to immediately convey all known details of incidents of Prohibited Conduct involving Students, Faculty and Staff, Third Parties and Invitees to the Title IX Coordinator, but is able to maintain the privacy of the individual(s) who made the report. “Responsible Employees” include employees in a leadership or supervisory position, or who have significant responsibility for the welfare of Students, Faculty or Staff. A supervisor is anyone who has the authority to hire, promote, discipline, evaluate, grade, or direct Students, Faculty or Staff. Responsible Employees include, but are not limited to: the Title IX Coordinator; the President, Vice Presidents and Deans; the Provost; members of the President’s Senior Leadership Group; Deputy Title IX Coordinators; Department of Safety and Security Officers; Human Resources Consultants; faculty department chairs; all teaching faculty; teaching assistants; undergraduate advisors; coaches; and anyone who leads, administers, advises, or directs Dartmouth programs or departments. Students serving in certain positions of leadership or authority, and/or Student employees with significant responsibility for the welfare of other Students, Faculty or Staff are also considered Responsible Employees and
receive appropriate training within the context of their specific programs. This list is not exhaustive; any questions about the status of an employee as a Responsible Employee should be addressed to the Title IX Coordinator and/or a Deputy Title IX Coordinator.

C. All other Employees are strongly encouraged to share information with the Title IX Coordinator about any Prohibited Conduct.

D. Clery Act Reporting: Pursuant to the Clery Act, Dartmouth includes statistics about Clery Act crimes in its daily crime log and Annual Security Report and provides those statistics to the United States Department of Education; in all these instances, the information is reported in a manner that does not include personally identifying information about persons involved in an incident. Dartmouth also reports aggregate numbers of incidents (with no detail or personally identifying information) disclosed to Confidential Resources. Dartmouth will also issue a timely warning to the community for reports of Clery-defined conduct that may constitute a serious and ongoing threat, as outlined in the Annual Security Report.

E. Public Awareness Events: Public awareness events such as “Take Back the Night,” “Many Voices,” protests, or other forums in which community members disclose experiences with sexual and gender-based harassment, sexual assault, sexual exploitation, and/or relationship and interpersonal violence, are not considered to be reportable events or notice to Dartmouth of sexual misconduct and will not trigger Dartmouth’s obligation to investigate or take action with respect to such information. However, such events will inform education and prevention efforts, and Dartmouth will continue to provide information about Title IX, support, resources, and options for resolution to attendees at these events.

VII. PROHIBITED CONDUCT UNDER THIS POLICY

Conduct under this policy is prohibited regardless of the sexual orientation, gender, gender identity, or gender expression of the Complainant or Respondent.

A. Sexual or Gender-Based Harassment: Sexual or Gender-Based Harassment includes any unwelcome sexual advance, request for sexual favors, or other unwanted conduct of a sexual nature, whether verbal, non-verbal, graphic, physical, electronic, or otherwise (sexual harassment); or, any act of intimidation or hostility, whether verbal or non-verbal, graphic, physical, or otherwise based on sex or gender, sexual orientation, gender identity, or gender expression, even if the acts do not involve conduct of a sexual nature (gender-based harassment); when one or more of the following conditions are present:

1) Submission to or rejection of such conduct is either an explicit or implicit term or condition of, or is used as the basis for decisions affecting, an individual’s employment or advancement in employment, evaluation of academic work or advancement in an academic program, or basis for participation in any aspect of a Dartmouth program or activity (quid pro quo); or

2) The conduct is sufficiently severe, pervasive, or persistent that it has the purpose or effect of unreasonably interfering with, limiting or depriving an individual from participating in or benefiting from Dartmouth’s learning, working, or living programs under both an objective and subjective standard (hostile environment).

In evaluating whether a hostile environment exists, Dartmouth will evaluate the totality of known circumstances, including, but not limited to:
i. the frequency, nature and severity of the conduct;

ii. whether the conduct was physically threatening;

iii. the effect of the conduct on the Complainant’s mental or emotional state;

iv. whether the conduct was directed at more than one person;

v. whether the conduct arose in the context of other discriminatory conduct;

vi. whether the conduct unreasonably interfered with the Complainant’s educational or work performance and/or Dartmouth programs or activities;

vii. whether the conduct implicates academic freedom or protected speech; and,

viii. other relevant factors that may arise from consideration of the reported facts and circumstances.

B. Sexual Assault: Sexual assault is having or attempting to have sexual contact with another individual without consent (see VIII below for definition of consent). Sexual contact includes:

3) sexual intercourse (anal, oral, or vaginal), including penetration with a body part (e.g., penis, finger, hand, or tongue) or an object, or requiring another to penetrate themselves with a body part or an object, however slight; or

4) sexual touching, including, but not limited to, intentional contact with the breasts, buttocks, groin, genitals, or other intimate part of an individual’s body.

C. Sexual Exploitation: Sexual Exploitation is intentionally taking sexual advantage of another person without consent. It may involve use of one’s own or another individual’s nudity or sexuality. Examples of Sexual Exploitation include, but are not limited to:

1) voyeurism (such as watching or taking pictures, videos, or audio recordings of another person in a state of undress without their consent or of another person engaging in a sexual act without the consent of all parties);

2) disseminating, streaming, or posting images, pictures or video of another in a state of undress or of a sexual nature without the person’s consent;

3) knowingly exposing one’s genitals to another person without consent;

4) prostituting another individual; or

5) knowingly exposing another individual to a sexually transmitted infection or virus without the other individual’s knowledge and consent.
D. **Relationship and Interpersonal Violence**: Relationship and Interpersonal Violence includes any act of violence or threatened act of violence against a Complainant who is or has been involved in a sexual, dating, domestic, or other intimate relationship with the Respondent, or against a person with whom the Respondent has sought to have such a relationship.

Relationship and Interpersonal Violence may include, but is not limited to, threatening or causing physical harm or engaging in other conduct that threatens or endangers the health or safety of any person. It may also include forms of Prohibited Conduct under this policy, including Sexual Assault, Sexual Exploitation, and Stalking. Relationship and Interpersonal Violence includes, but is not limited to, physical, sexual, emotional, economic and/or psychological actions or threats of action, including threatening to reveal personal or confidential information (including, but not limited, to information regarding one’s gender identity and/or sexual orientation), that are intimidating, frightening, terrorizing or threatening. It also includes threats of violence or harm to one’s family member(s) or friends.

E. **Stalking**: Stalking occurs when a person engages in a course of conduct toward another person under circumstances that would cause a reasonable person to fear bodily injury or experience substantial emotional distress.

Course of conduct means two or more instances including but not limited to unwelcome acts in which an individual directly, indirectly, or through third parties, by any action, method, device, or means, follows, monitors, observes, surveils, threatens, or communicates to or about a person, or interferes with a person’s property. Substantial emotional distress means significant mental suffering or anguish.

Stalking includes the concept of cyber-stalking, a particular form of stalking in which electronic media such as the internet, social networks, blogs, cell phones, texts, or other similar devices or forms of contact are used.

F. **Provision of Alcohol and/or Other Drugs for Purposes of Prohibited Conduct**: The provision of alcohol and/or other drugs to an individual for the purpose of committing or facilitating Prohibited Conduct under this policy is also in and of itself a form of Prohibited Conduct. Such behavior may include provision of a drink or food which contains alcohol and/or other drugs without the knowledge of the individual to whom it is being provided or other actions taken with the intention of impairing the senses, judgment, and/or physical and mental ability of another person in order to engage in other forms of Prohibited Conduct. An individual does not have to engage in sexual activity with another person to be found responsible for the prohibited provision of alcohol and/or other drugs.

G. **Retaliation**: Retaliation means any adverse action or threat taken or made against an individual for making a report of Prohibited Conduct or participating in any investigation or proceeding related to this policy. Retaliation includes threatening, intimidating, harassing, or any other conduct that would discourage a reasonable person from engaging in activity protected under this policy, such as seeking services, receiving protective measures and accommodations, and/or reporting Prohibited Conduct. Retaliation includes such conduct through associates or agents of a Complainant, Respondent, Reporting Party, or participant in any investigation or proceeding related to this policy.

VIII. RELATED DEFINITIONS: CONSENT, COERCION OR FORCE, AND INCAPACITATION

A. **Consent**: Consent is an affirmative and willing agreement to engage in specific forms of sexual contact with another person. Consent requires an outward demonstration, through mutually understandable words or actions, indicating that an individual has freely chosen to engage in sexual contact. Consent cannot be obtained through:

   a. the use of coercion or force; or
b. by taking advantage of the incapacitation of another individual.

Silence, passivity, or the absence of resistance does not imply consent. It is important not to make assumptions; if confusion or ambiguity arises during a sexual interaction, it is essential that each participant stop and clarify the other’s willingness to continue.

Consent can be withdrawn at any time. When consent is withdrawn and outwardly communicated as such, sexual activity must cease. Prior consent does not imply current or future consent; even in the context of an ongoing relationship, consent must be sought and freely given for each instance of sexual contact.

An essential element of consent is that it be freely given. Freely given consent might not be present, or may not even be possible, in relationships of a sexual or intimate nature between individuals where one individual has power, supervision or authority over another. More information, policy and guidance regarding such relationships can be found in IX below.

In evaluating whether consent was given, consideration will be given to the totality of the facts and circumstances, including but not limited to the extent to which a Complainant affirmatively uses words or actions indicating a willingness to engage in sexual contact, free from intimidation, fear, or coercion; whether a reasonable person in the Respondent’s position would have understood such person’s words and acts as an expression of consent; and whether there are any circumstances, known or reasonably apparent to the Respondent, demonstrating incapacitation or lack of consent.

B. Coercion or Force: Coercion is verbal and/or physical conduct, including manipulation, intimidation, unwanted contact, and express or implied threats of physical, emotional, or other harm, that would reasonably place an individual in fear of immediate or future harm and that is employed to compel someone to engage in sexual contact.

Force is the use or threat of physical violence or intimidation to overcome an individual’s freedom of will to choose whether or not to participate in sexual contact.

C. Incapacitation: An individual who is incapacitated lacks the ability to make informed judgments and cannot consent to sexual contact. Incapacitation is the inability, temporarily or permanently, to give consent because an individual is mentally and/or physically helpless, asleep, unconscious, or unaware that sexual activity is occurring. Mentally helpless means a person is rendered temporarily incapable of appraising or controlling one’s own conduct. Physically helpless means a person is physically unable to verbally or otherwise communicate consent or unwillingness to an act.

Where alcohol or other drugs are involved, incapacitation is a state beyond impairment or intoxication. Where alcohol or other drugs are involved, evaluating incapacitation requires an assessment of how the consumption of alcohol and/or drugs affects a person’s decision-making ability; awareness of consequences; ability to make informed, rational judgments; capacity to appreciate the nature and quality of the act; or level of consciousness. The assessment is based on objectively and reasonably apparent indications of incapacitation when viewed from the perspective of a sober, reasonable person.

IX. SEXUAL OR INTIMATE RELATIONSHIPS BETWEEN INDIVIDUALS IN UNEQUAL POSITIONS

Overview and Statements of Principle.
Relationships of a sexual or intimate nature in which one individual has power, supervision or authority over another at the point such a relationship begins or thereafter pose significant risks to the atmosphere of trust integral to the educational and work environment because, to varying degrees, they may undermine the assurance of freely given consent. For the purpose of this policy, these relationships fall into three categories, depending on the nature of the power, supervision, or authority. Dartmouth therefore adopts the principle that no Dartmouth community member should have a role of power, supervision, or authority over any individual with whom they have or have had a relationship of a sexual or intimate nature. The definition of each category and the accompanying requirements for the individual with greater power, supervision, or authority are described below in A, B, and C.

Taking advantage of one’s power, supervision or authority over another is unacceptable and may create a hostile environment for the individuals involved and the community at large that seriously undermines the atmosphere of trust essential to the academic enterprise. Inappropriate personal attention by an individual who is in a position to exercise professional power over another individual could include – but is not limited to – an instructor who determines a student’s grade or who can otherwise affect the student’s academic performance or professional future, including a postdoctoral position or residency placement; a tenured professor whose evaluation of a junior colleague can affect the latter’s professional life; a coach who can affect the participation of a student-athlete; a faculty or staff supervisor who assigns work and makes other decisions affecting a staff member’s duties or other conditions of employment; or an investigator who can determine the effort committed or salary received for grant-funded activities.

Sexual or intimate relationships that might be appropriate in other circumstances have inherent dangers when they occur between a Dartmouth community member and a person for whom the community member has a professional responsibility (e.g., as instructor, advisor, evaluator, supervisor, coach, mentor). Implicit in the idea of professionalism is the recognition by those in positions of authority that in their relationships with students, faculty or staff there is an element of power. Thus, for the purpose of this policy, “power” is limited to such distinctions in professional responsibility and does not include purely social distinctions or differences in students’ class year. It is incumbent upon those with authority not to abuse, nor to seem to abuse, the power with which they are entrusted.

As defined in Section VIII, an essential element of consent to sexual contact is that it be freely given. Because freely given consent might not be present, or may not even be possible, in relationships of a sexual or intimate nature between individuals where one individual has power, supervision or authority over another, an abuse of power shall be presumed whenever an individual proposes, requests, or accepts sexual favors from, or engages in a sexual or intimate relationship with anyone over whom that individual holds power, supervision, or authority. As described further below in A, that presumption cannot be overridden in cases in which the nature of the power differential precludes the individual with greater authority from relinquishing that role. In comparison, B and C outline situations in which the conduct in question is not prohibited outright, because the presumption of abuse of power can be overridden – if the individual with greater authority complies with the stated requirements – that is, for disclosure and potential use of a management plan – or relinquishes the role that has created the power differential. B and C also apply to existing consensual sexual or intimate relationships between individuals of unequal power that predate the power differential or the adoption of this policy, which are subject to those requirements of disclosure and a potential management plan going forward.

All Dartmouth community members have the same protections and responsibilities relating to sexual or intimate relationships between individuals of unequal power. Any member of the Dartmouth community with questions, concerns or doubts about the appropriateness of an actual, anticipated or suspected relationship should consult with the appropriate Dean, Deputy Title IX Coordinator, and/or the Title IX Coordinator. All Dartmouth community members should also be mindful that a change in position or role at Dartmouth that results in a change in power, supervision, or authority may either
implicate one or more of the categories below or may cause a relationship to move from one category to another, thereby implicating requirements applying to that new category.

purposes of this policy:

A. Prohibited Conduct:

1) No Faculty, Staff or non-Student Employee (as defined in Section III) shall propose, request, or accept sexual favors from or engage in a romantic, sexual or intimate relationship with any Dartmouth undergraduate student. Such conduct creates a presumptive abuse of power that cannot be overridden and is therefore prohibited outright.

2) No Faculty; graduate, professional school or medical student; medical resident or fellow; postdoctoral fellow, scholar, or research associate; research scientist, distinguished fellow; teaching or research assistant or fellow; or proctor, mentor, or undergraduate teaching assistant shall propose, request, or accept sexual favors from or engage in a romantic, sexual or intimate relationship with any undergraduate, graduate, professional school or medical student who is enrolled in a course or section taught by that individual or otherwise subject to that individual’s academic supervision. Academic supervision includes teaching, formal advising, supervising research, serving on a dissertation or other academic committee, mentoring, coaching, overseeing and/or having influence upon funding and/or academic progress, serving as a teaching assistant or grader,[3] and/or otherwise occupying a position of influence or power over a student’s academic program.

Where a student’s academic program requires a course that is taught only by the student’s spouse or significant other or in which the only teaching assistant is the student’s spouse or significant other, the appropriate Dean may, in his or her discretion, allow the student to take the course, so long as the conflict has been disclosed and arrangements have been made for a person apart from the instructor or teaching assistant who is the student’s spouse or significant other to evaluate and grade the student’s work, provided such arrangements are feasible for the course involved. No Faculty, Staff or Employee (as defined in Section III) shall propose, request, or accept sexual favors from or engage in a romantic, sexual or intimate relationship with any Faculty, Staff or Employee subject to that individual’s supervision.

B. Requirements for Relationships Between Individuals of Different Dartmouth Status: While not prohibited outright as an abuse of power, amorous relationships between individuals of different Dartmouth status that occur outside the direct instructional, supervisory, or evaluative context can also lead to difficulties. In a personal relationship where no current professional responsibility exists, the individuals involved should be sensitive to the possibility that they may unexpectedly be placed in a position of responsibility for that individual’s instruction, supervision or evaluation. This could involve being called upon to write a letter of recommendation or to serve on a promotion, disciplinary, or selection committee involving the individual.

Although graduate, professional school or medical students; medical residents or fellows; postdoctoral fellows, scholars, or research associates; research scientists; distinguished fellows; teaching or research assistants or fellows; or proctors, mentors, or undergraduate teaching assistants may be less accustomed to think of themselves as being in a position of greater authority by virtue of their professional responsibilities, they should recognize that they might be viewed as more powerful than they perceive themselves to be. To the extent these individuals are in leadership or supervisory positions, they should be aware of the dynamics and risks of relationships with a power differential. Relationships between individuals in the same academic department or program are particularly prone to such risks.
Individuals with questions or concerns about the appropriate nature of an actual, anticipated or suspected relationship should consult with the appropriate Dean, Deputy Title IX Coordinator, and/or the Title IX Coordinator.

Even when both parties have consented at the outset to the development of such a relationship, it is the person in the position of greater authority who, by virtue of their special responsibility and educational mission, will be held accountable for the relationship. Accordingly, the person in the position of greater authority must notify their academic supervisor(s) and/or Human Resources to evaluate the situation and to determine whether disclosure and development of a management plan is required. Such a management plan would normally include, but is not limited to, recusal in all situations indefinitely thereafter, in which the person in the position of greater authority would otherwise participate in or make a decision concerning the other person’s employment or education.

[3] For the purpose of defining those positions subject to the Prohibited Conduct provisions of Section IX.A, serving as a teaching assistant or grader excludes those graduate or professional school students whose sole responsibility consists of a) marking assignments or exams of other graduate and professional school students according to a required grading rubric provided by a faculty member; or b) grading anonymized assignments or exams of other graduate or professional school students. Such graduate or professional students with either or both of these responsibilities are instead subject to the notification, disclosure, and management plan requirements of Section IX.B.

C. Requirements for Other Relationships Between Faculty, Staff and Other Employees in Unequal Positions of Authority: As in B, consensual relationships between Faculty, Staff and Employees who occupy inherently unequal positions of authority are not prohibited outright as a presumed abuse of power. However, it is important that the person in the position of greater authority does not exercise any supervisory or evaluative function over the other person in the relationship at the point at which it begins and indefinitely thereafter. Accordingly, the person in the position of greater authority should notify their supervisor(s) and/or Human Resources to evaluate the situation and to determine whether disclosure and development of a management plan is required. If such a management plan is required, the plan would normally include, but is not limited to, recusal in all situations indefinitely thereafter in which the person in the position of greater authority would otherwise participate in or make a decision concerning the other person’s employment or education.

X. RESOURCES AND REPORTING OPTIONS

Dartmouth offers trained professional resources for Students, Faculty and Staff, whether as Complainants, Reporting Parties, or Respondents, to provide support and guidance throughout the initiation, investigation, and resolution of a report of Prohibited Conduct. For comprehensive information on emergency assistance; hospitals; on-campus, community, and available support with academics, housing, and work, please refer to the Title IX Office website.

Any individual who is uncertain what they wish to do in response to an alleged incident of Prohibited Conduct, including how or whether to report the conduct, may contact and consult a Confidential Resource to address questions and concerns in a confidential setting. Individuals with questions or concerns about Dartmouth’s processes may also contact the Title IX Coordinator directly as part of reporting the conduct to Dartmouth. Any individual may make a report of Prohibited Conduct under this policy regardless of affiliation with Dartmouth.

Dartmouth recognizes that deciding whether to make a report of Prohibited Conduct is a personal decision. The following principles and values will guide Dartmouth as facts and circumstances permit:

1) Dartmouth will seek to respect a Complainant’s autonomy in making the determination regarding how to proceed.
2) In limited circumstances, typically where a risk of imminent harm to an individual or others or a threat to the health and safety of the campus is determined to exist, Dartmouth may be required to take immediate action upon receipt of a report of Prohibited Conduct. In such circumstances, the reasons and steps Dartmouth will take will be explained to the Complainant and, as appropriate, the Reporting Party.

3) Dartmouth is committed to educating and informing individual(s) regarding the choices and options available to them, including resources and processes inside and outside Dartmouth.

4) Dartmouth is committed to protecting all participants in any investigation or proceeding related to this policy from retaliation.

5) An individual may choose to seek assistance, support or guidance from a Confidential Resource on campus or in the community. A disclosure to a Confidential Resource does not constitute a report to Dartmouth.

6) An individual may choose to make a report: (1) to Dartmouth, via a Responsible Employee or the Title IX Office and/or (2) to external law enforcement. While conduct reported to a Responsible Employee will be conveyed to the Title IX Office, the most direct manner to make a report is to contact the Title IX Coordinator.

A. Resources: The following resources are available at Dartmouth to individuals wishing to seek information and support, make a report and/or file a Complaint:

1) Confidential Resources: As outlined in Section V, Confidential Resources are prohibited from breaking confidentiality unless:
   i. given permission to do so by the person who disclosed the information;
   ii. there is an imminent threat of harm to self or others;
   iii. the conduct involves suspected abuse of a minor under the age of 18; or (iv) as otherwise required or permitted by law or court order.

2) Designated Reporting Options: Making a report does not require an individual to decide whether to request a specific course of action. Deciding how to proceed can be a process that unfolds over time with support and assistance. The following are resources that an individual can use to report conduct that could be a violation of the Policy. Likewise, the persons listed below are familiar with the Policy and may be contacted to address questions or concerns about the Policy.

   • Title IX Coordinator
   • Deputy Title IX Coordinators
   • Deputy Title IX Coordinators for Faculty, Staff, Undergraduate, Graduate, and Professional School Students
• Office of Student Affairs
• Human Resources
• Department of Safety and Security

3) Local Law Enforcement: Dartmouth also strongly encourages anyone who becomes aware of an incident of Prohibited Conduct which may constitute a violation of law to report the incident to local law enforcement and will provide support, resources and assistance to those who do so.

If off campus, call 911 to reach local law enforcement, or contact:

Hanover Police Department - 603-643-2222 (non-emergency number), or

The local police department where the conduct occurred.

All Confidential Resources and Designated Reporting Options are able to provide or direct community members to this support option.

4) Anonymous Report: Anyone can make an anonymous report through the Dartmouth Compliance and Ethics Hotline, Dartmouth’s telephone and web-based confidential reporting tool. The Hotline allows the reporter to report concerns and communicate with Dartmouth administrators while maintaining anonymity. Depending on the nature of the information provided, Dartmouth’s ability to respond may be limited. Additional information about anonymous reporting is located at https://www.dartmouth.edu/~rmi/hotlinefaqs2018.pdf.

Telephone: 888-497-0516

Online: Dartmouth Compliance and Ethics Hotline

B. Time Frame for Reporting: There is no time limit on reporting violations of this policy, although Dartmouth’s ability to respond fully may become more limited with the passage of time. If the Respondent is no longer affiliated with Dartmouth (e.g., a report is made after a student has left or graduated or an employee no longer works for Dartmouth), Dartmouth will still provide reasonably available remedial measures to the Complainant, assist the Complainant in identifying external reporting options, and may take other appropriate action.

C. Immunity from Disciplinary Action for Personal Ingestion of Alcohol or Other Drugs: Dartmouth generally will grant immunity from disciplinary action to a reporting Student, whether as a Complainant or a Reporting Party, for the personal ingestion of alcohol or other drugs in violation of Dartmouth’s Standards of Conduct that is part of a report of Prohibited Conduct. Students should be aware that any such grant of immunity from disciplinary action by Dartmouth has no effect on actions by law enforcement agencies.

D. Initial Assessment Upon Receipt of a Report: Consistent with the processes that accompany this policy, upon receipt of a report, Dartmouth will conduct an Initial Assessment of the reported information. The goal of the Initial
Assessment is to provide a consistent, integrated and coordinated response to all reports and to ensure that all Dartmouth community members have access to information about Dartmouth resources, policies and procedural options for resolving the report. The Initial Assessment seeks to gather information only to determine whether this policy applies to the report and, if so, whether informal or formal resolution or any interim or remedial protective measures (below) would be appropriate. It in no way represents a finding of fact or responsibility. The Initial Assessment will also include a determination whether a timely warning pursuant to the Clery Act is necessary to protect the safety of the Complainant, any other individuals, or the campus community.

E. Interim Remedial and Protective Measures: Dartmouth will take and/or make available reasonable and appropriate interim measures designed to preserve access to educational and employment opportunities; address safety concerns of the Complainant, the Reporting Party, the Respondent or broader Dartmouth community; maintain the integrity of the investigative and/or resolution process; and deter retaliation. Depending on the nature and specific facts and circumstances of the reported conduct, these actions may be remedial (measures designed to provide support and maintain continued access to educational opportunities) or protective (involving a restrictive action against a Respondent).

Interim remedial measures may be available regardless of whether a Complainant pursues an investigation or seeks formal disciplinary action. Interim remedial measures are also available to Respondents.

Interim remedial measures may include:

- Facilitating access to counseling and medical services;
- Guidance in obtaining a sexual assault forensic examination;
- Assistance in arranging rescheduling of exams and assignments and extensions of deadlines;
- Academic supports;
- Assistance in requesting accommodations through the appropriate office, if the Complainant qualifies as an individual with a disability;
- Voluntary changes in the Complainant’s or Respondent’s class schedule (including the ability to transfer course sections or withdraw from a course), work schedule, or job assignment;
- Voluntary change in the Complainant’s campus housing;
- Escort and other safety planning steps;
- Voluntary agreement by the parties to a mutual "no contact order," an administrative remedy designed to curtail contact and communications between two or more individuals;
- Voluntary leave of absence;
- Referral to resources to assist in obtaining a protective order;
- Referral to resources to assist with any financial aid, visa, or immigration concerns; or

- Any other remedial measure that does not interfere with either party’s access to education or employment opportunities can be used to achieve the goals of this policy.

In contrast, interim protective measures are typically only available when Dartmouth has an articulable factual foundation that would support the taking of a restrictive measure against a Respondent prior to the conclusion of the investigation.

Interim protective measures may include:

- Imposition of a "no contact order" prohibiting the Respondent or other individuals from having contact or communications with the Complainant or other individuals, or a requirement to have such contact only in specified circumstances and under monitoring;

- Change in the Respondent’s class schedule;

- Change in the Respondent’s Dartmouth work schedule or job assignment, including teaching, research, and service responsibilities;

- Paid or unpaid administrative leave for the Respondent;

- Withdrawal from sponsored research projects;

- Change in the Respondent’s campus housing;

- Exclusion from all or part of campus housing;

- Exclusion from specified activities or areas of campus;

- Prohibition from participating in student activities or representing Dartmouth in any capacity such as playing on an official team; serving in student government; performing in an official band, ensemble, or production; participating in a recognized student organization; participating in Greek life activities; or participating in academic honor ceremonies;

- Interim suspension; or

- Any other protective measure that can be used to achieve the goals of this policy.

Dartmouth will consider a number of factors in determining which measures to take, including the needs of the Student or Employee seeking remedial and/or protective measures; the severity or pervasiveness of the alleged conduct; any continuing effects on the Complainant; whether the Complainant and the Respondent share the same residence hall, academic course(s), or job location(s); and whether judicial measures have been taken to protect the Complainant (e.g., protective orders). Dartmouth will work in good faith to implement the requirements of judicially issued protective orders and similar orders, to the extent that doing so is within its authority. Before imposing interim protective measures against a Respondent involving removal from campus property, paid or unpaid
administrative leave, or a material change in work responsibilities, Dartmouth shall undertake an individualized analysis of safety and risk for the campus community and risk for the integrity of any investigation of a report, and shall provide the Respondent with written notice of the interim protective measure and an opportunity to challenge the interim protective measure within 72 hours of the notice, as set forth in the applicable process. In the event that an immediate threat to the health or safety of Students, Faculty, and/or Staff justifies emergency removal of a Respondent, Dartmouth shall remove the Respondent and shall provide the Respondent with notice and an opportunity to challenge the removal immediately thereafter. The applicable procedures governing such notice and opportunity to respond shall be determined by the role of the Respondent.

The Title IX Coordinator is responsible for ensuring the implementation of interim measures and coordinating Dartmouth’s response with the appropriate offices on campus. Dartmouth will maintain the privacy of any remedial and protective measures provided under this Policy to the extent practicable and will promptly address any violation of the protective measures.

Dartmouth will also provide reasonably available remedial measures for Invitees or Third Parties, provided that the remedial measures are within the scope of that individual’s relationship to Dartmouth.

**PROCEDURE**

**XI. RESOURCES AND REPORTING OPTIONS**

Should a report be referred for informal resolution based on the initial assessment, all Complainants and Respondents will have access to the same procedures. Thus, the role of the Respondent determines only the procedures that will be used if the report is referred for formal resolution. For the sake of clarity, the entire process – from receipt of a report until resolution – for each category of Respondent can be found on the Title IX Office website ([https://sexual-respect.dartmouth.edu/compliance/dartmouth-sexual-and-gender-based-misconduct-policy-and-procedures](https://sexual-respect.dartmouth.edu/compliance/dartmouth-sexual-and-gender-based-misconduct-policy-and-procedures))

- Process for Resolving Reports against Faculty ([https://sexual-respect.dartmouth.edu/policy/process-resolving-reports-against-faculty](https://sexual-respect.dartmouth.edu/policy/process-resolving-reports-against-faculty))

A Respondent whose primary status is a Student, and who serves in a teaching, grading, research assistant, or lab assistant capacity shall be subject to the Process for Resolving Reports against Students. A Respondent whose primary status is Staff or Faculty as defined in Section III but who is enrolled as a student as a benefit of employment shall be subject to the Process for Resolving Reports against Staff or Faculty. Where there is a question about the primary status of the Respondent, the Title IX Coordinator or Team, as applicable, shall determine which process applies to each Respondent named in a report.

Invitees and Third Parties are both protected by and subject to this Policy. An Invitee or Third Party may report potential policy violations committed by a member of Dartmouth community, and Dartmouth will take appropriate steps to investigate and respond to the conduct consistent with the authority granted by Dartmouth’s jurisdiction over the Respondent. Dartmouth’s ability to take appropriate corrective action against an Invitee or Third Party will be determined by the nature of the relationship.
of the Respondent to Dartmouth. Based on the role of the Invitee or Third Party, Dartmouth may have limited authority to discipline the Respondent.

In response to a report against an Invitee or Third Party, Dartmouth will typically follow the steps listed below:

1. The Title IX Coordinator will evaluate the nature of the Respondent’s relationship with Dartmouth to determine the extent to which Dartmouth has disciplinary authority or control over the Respondent. The Title IX Coordinator will seek to make this determination within five (5) business days.

2. Consistent with Dartmouth’s disciplinary authority over the Respondent, if any, Dartmouth may take action under this Policy. An Invitee or Third Party who is accused of violating Dartmouth policy may have their relationship with Dartmouth terminated and/or be permanently barred from Dartmouth or subject to other restrictions for failing to comply with this Policy.

3. Dartmouth may take steps to investigate the conduct to inform the appropriate response. Those investigative steps may vary depending on the nature of the conduct, Dartmouth’s relationship with the Respondent, and the steps necessary to effectively address the conduct. Investigative steps may include interviewing the parties and witnesses, when available, and a review of other relevant information. Where there is a sufficient factual basis, an Invitee or Third Party who is accused of violating this Policy may be permanently barred from Dartmouth or subject to other restrictions for failing to comply with this policy.

4. The Title IX Coordinator will notify the Complainant about any actions taken by Dartmouth. In addition, Dartmouth may provide appropriate remedial measures to a Complainant, as described above in Section X E, and may help to identify external reporting options that may have enforcement authority over the Respondent.

In all instances, the Title IX Coordinator will determine the appropriate manner of resolution consistent with Dartmouth’s commitment to a prompt and equitable process consistent with federal law, state law and this Policy. Dartmouth will ensure that any process used to respond to a report of misconduct against or on behalf of an Invitee or Third Party will take appropriate steps to eliminate the conduct, prevent its recurrence, and address its effects, as appropriate.

XII. SANCTIONS

A Student or Employee determined to have committed an act of Prohibited Conduct in violation of this policy or any other relevant Dartmouth policy is subject to disciplinary action. Disciplinary action may include – but is not limited to – a reprimand, probation, deferred suspension, administrative leave without pay, or temporary or permanent separation from Dartmouth. Third Parties or Invitees who violate this policy may have their relationship with Dartmouth terminated and/or their privilege of being on Dartmouth premises withdrawn.

If a Student withdraws from Dartmouth, or an Employee separates from Dartmouth, at any time after a report has been made, Dartmouth may continue with any of the processes for informal or formal resolution, even without the Respondent’s participation. The determination as to how to resolve the report once a Student or Employee is no longer affiliated with Dartmouth will be based on the Title IX Coordinator’s assessment of the actions necessary to eliminate Prohibited Conduct, prevent its recurrence, and address its effects, in consultation with other institutional officials as appropriate.
If a Student withdraws from Dartmouth after Dartmouth has begun an investigation but prior to a finding or resolution, an entry may, in appropriate circumstances, be made on their transcript that indicates the Student has withdrawn with a disciplinary investigation or Complaint pending. As noted above, Dartmouth may elect to continue with the investigation.

If an Employee separates from Dartmouth after Dartmouth has begun an investigation but prior to disciplinary charges being filed, an entry may, in appropriate circumstances, be made in their personnel file that indicates that employment terminated with an investigation pending. Dartmouth may elect to continue with the investigation.

If an Employee separates after disciplinary proceedings have been initiated but prior to resolution, an entry may, in appropriate circumstances, be made in their personnel file that indicates that employment terminated with disciplinary charges pending.

XIII. FREE SPEECH AND INTEGRITY

Dartmouth is committed to the principles of free speech. Vigorous discussion and debate and academic freedom are fundamental to this commitment and may include speech that is offensive – for instance, speech that is controversial. That offensiveness, on its own, is not sufficient for the speech to constitute Prohibited Conduct. Rather, the conduct must be sufficiently serious to unreasonably interfere with an individual’s ability to participate in employment or educational programs and activities from both a subjective and objective perspective. Such behavior compromises Dartmouth’s integrity and tradition of intellectual freedom and will not be tolerated.

XIV. CONFLICT OF INTEREST

A conflict of interest may arise when a member of the Dartmouth community uses or has the authority to use their position to improperly influence a Dartmouth decision, action or outcome with regard to the implementation and enforcement of this policy, including associated investigative and disciplinary procedures. It is the responsibility of all members of the Dartmouth community involved in any aspect of a report of Prohibited Conduct to disclose potential or actual conflicts as they arise to Title IX Coordinator and/or Human Resources. Dartmouth community members who are covered by Dartmouth’s Conflict of Interest Policy are reminded of their obligation to comply with the requirements of that Policy. In the event any individual with a responsibility identified in this policy is a witness or has a conflict of interest that would compromise that individual’s objectivity in discharging that responsibility, Dartmouth will appoint a designee.

XV. PREVENTION AND AWARENESS PROGRAMS

As part of its commitment to the prevention of Prohibited Conduct, Dartmouth offers education and awareness programs. Incoming Students and new Faculty and Staff receive prevention and awareness programming as part of their orientation, and all Students and Faculty and Staff receive ongoing training and related programs on an annual basis.

XVI. VIOLATIONS OF NEW HAMPSHIRE STATE LAW

Behavior that violates this policy also may violate the laws of the local jurisdiction in which the incident occurred and subject a respondent to criminal prosecution by the presiding authority. An individual can choose to make a report to external law enforcement at any time and doing so does not preclude the individual from making a report to Dartmouth. Both processes can be pursued if an individual chooses to do so. Dartmouth encourages individuals to report an incident which may be a violation of New Hampshire State Law to external law enforcement. Prompt reporting to external law enforcement is important in a criminal prosecution. The following sections compiled from the New Hampshire General Laws may be relevant to this
policy: Aggravated Felonious Sexual Assault, RSA 632-A:2; Felonious Sexual Assault, RSA 632-A:3; Sexual Assault, 632-A:4; Domestic Violence, RSA 173-B:1; and Stalking, RSA 633:3-a.

Students, Faculty and Staff studying, working, or engaging in other Dartmouth activities outside the State of New Hampshire are governed by the applicable laws regarding sexual assault and other criminal offenses implicated by this policy.

Behavior that violates this policy also may subject a respondent to civil or criminal liability. Please note that the preponderance of the evidence standard used by Dartmouth is not the standard used for criminal culpability in most jurisdictions and a determination of responsibility under this Policy does not equate with a finding of a violation of criminal laws.

XVII. AMENDMENT

Amendments to this policy, all processes for resolving reports against Respondents under this policy, and all other applicable procedures under this policy (“Amendments”) shall be made as follows:

a) Amendments to update or correct information regarding resources, contacts, or other factual items may be made on an ongoing basis by the Title IX Office and shall become effective upon publication on the Title IX Office’s web site.

b) Amendments to ensure legal compliance may be made by the Office of General Counsel and shall become effective upon publication on the Title IX Office’s web site, following a 30-calendar-day period in which all Dartmouth Students and Employees receive notice of the proposed Amendments and the opportunity to comment.

c) All other Amendments shall originate either from a majority vote of a quorum of the General Faculty at a regularly scheduled meeting or by e-mail or other electronic means; or from approval by the Provost and Deans of the four faculties. Following such approval, all Dartmouth Students and Employees shall receive notice that the Amendments are taking temporary effect for six months. To become permanent, such Amendments must then be approved by a majority vote of a quorum of the General Faculty and shall become effective upon publication on the Title IX Office’s web site. Such a vote may occur at a regularly scheduled meeting of the General Faculty or by e-mail or other electronic means.

LAST REVISED

Sunday, September 1, 2019