



# Guidelines for Appointments, Reappointments, Promotion and Tenure for Faculty

Excerpt from the *Handbook of the Faculty of Arts and Sciences*

## **FACULTY APPOINTMENTS**

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

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

### **Effective Date of Appointment for Regular Faculty**

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

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

## **TENURE-TRACK APPOINTMENTS**

### **Recruitment**

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

All formal offers of appointment are made by the Associate Dean or the Dean of the Faculty normally on recommendation of the Chair acting on behalf of the members of a department or program. The rules of the faculty governing department or program decisions, as described in the current OFDC are carefully followed; it is expected that very high standards will be applied in all decisions, and the Associate Dean and the

Dean of the Faculty can decide not to make an offer of appointment. In the absence of suitable candidates, in consultation with the Associate Dean, a decision will be made to continue with or delay the search usually until the next academic year.

### **Instructor**

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

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

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

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

### **Assistant Professor**

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

### *Review of Performance: Assistant Professors*

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

The Chair will give each Assistant Professor a copy of the evaluation and provide an opportunity to meet with the individual to discuss the evaluation.

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

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

### *Reappointment: Assistant Professors*

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

In preparation for reappointment, the candidate should submit an updated C.V. and a two-page, single-spaced, statement about research and teaching to the department or program by November 1<sup>st</sup> of the year of reappointment.

The Chair (or designee) submits a letter drafted in consultation and shared with all members participating in the discussion, describing the department or program recommendation and the vote for or against reappointment. It must include strong evidence of the individual's success in scholarship and teaching, their contributions to the department or program and College, and an estimate of the candidate's long-term

prospect for promotion. The Associate Dean transmits the letter, the candidate's C.V. and personal statement, and the Associate Dean's own recommendation to the Dean of the Faculty, who, in turn, places the case on the agenda of the CAP.

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

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

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

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

## **GUIDES FOR PROMOTION AND TENURE: ASSOCIATE PROFESSOR**

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

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

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

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

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

### **Expectations of Performance: Associate Professor**

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

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

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

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

## **Extension and Postponement of Reappointment or Tenure**

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

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

## **PROMOTION AND TENURE: ASSOCIATE PROFESSORS**

### **Guide to the Candidate**

In the summer or early in the fall of 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. In the Arts and Humanities Division this consultation will occur in early spring term of the year prior to tenure consideration. It is important that the candidate also discuss all aspects of the process with the Chair of the Department or Program.

1. By October 15<sup>th</sup>, the candidate should submit to the Chair of the tenure committee and the Associate Dean an updated 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. In the Arts and Humanities Division, candidates will submit their list early in the spring term of the year prior to tenure consideration. Normally these reviewers must hold tenured appointments or their equivalent at peer institutions. The list should include the prospective reviewers' addresses, their field of specialization, and a brief description of their qualifications for the task. Potential conflicts-of-interest (e.g., coauthors, PhD, or postdoctoral advisors, etc.) should be identified. The names of reviewers and their evaluations are confidential and will not be made known to the candidate. Maintaining confidentiality is critical to the process, and the obligation to protect this confidentiality should be recognized and is required by all participants.
2. The candidate may submit a list of students especially qualified to speak about his or her teaching and mentoring to the Associate Dean, who will request letters from them if they have not already been solicited as part of the normal sampling process. These letters are identified as "recommended by the candidate." These additional requests for letters will not normally exceed twenty. The candidate

will not be informed of the names of any students who are identified as part of the normal sampling process. The candidate may submit to the Chair of the tenure committee a list of department or program Chairs who could provide relevant information about teaching, mentoring, or service outside the candidate's home department or program.

3. Normally no later than December 1, the candidate will submit to the Associate Dean twenty (20) copies (in paper and, where appropriate, in electronic format) of the following which will be made available to the outside reviewers and the CAP (any modification of this date needs to be authorized by the Associate Dean). The candidate also will deliver to the department or program sufficient copies of these materials for the tenure committee:
  - a. Curriculum vitae
  - b. Published works, manuscripts or evidence of artistic or other professional work (e.g., books, articles, portfolios). The candidate may identify those of primary importance
  - c. Published reviews of the candidate's work where available
  - d. A statement (approximately five single-spaced pages) outlining the candidate's achievements and goals relating to scholarship, teaching, or other contributions to the College

If the candidate is unsure what to include, he or she should consult with the Associate Dean. It is the candidate's responsibility to assemble these materials and ensure their accuracy, but reasonable associated costs (purchase of books, copying, and packaging of materials) will be reimbursed by the Dean of the Faculty. In some cases e.g. where the professional work consists of performances, exhibitions, etc., alternate forms of external review may have to be arranged.

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

### **Guide to the Department or Program**

The tenure committee will normally consist of the tenured members of the candidate's department or program, chaired by the department or program Chair. Those senior members who cannot, or choose not to, participate in person in the committee's deliberations are not voting members, although they may submit a letter to the committee Chair.

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 faculty members from one or more other departments or programs will be added to bring the total to at least four. In exceptional cases, the Dean of the Faculty may recommend that the CAP augment the

tenure committee with at least two additional tenured faculty members, even if there are already four or more in the department or program. The Associate Dean should confer with the candidate and the department or program Chair regarding the composition of this committee. Then the Dean of the Faculty, in consultation with the Associate Dean, will assemble a list of potential committee members, submit it to the CAP for approval, and will appoint the committee.

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

1. The Chair will remain in close communication with the candidate throughout the tenure procedure. Any modification of the December 1 date for delivery of materials must be authorized by the Associate Dean.
2. By October 15<sup>th</sup>, the candidate should submit to the Chair of the tenure committee and the Associate Dean a list of eight to ten possible external reviewers. In the Arts and Humanities Division, candidates will submit their list spring term of the year prior to tenure consideration. The list should include the prospective reviewers' addresses and a brief description of their qualifications for the task. The Chair, in consultation with the other members of the committee, will list eight to ten more prospective reviewers including addresses, their field of specialization, and a brief description of their qualifications for the task. The Chair will forward the committee's list to the Associate Dean, and may choose to comment on the candidate's selections. The list compiled by the Chair may include names of reviewers, normally not more than three, that also appear on the candidate's list. The Associate Dean compiles the composite list of reviewers to be solicited. The Associate Dean may independently add names not on either the candidate's or the department's or program's lists. Normally these reviewers must hold tenured appointments or their equivalent at peer institutions. The names of these reviewers are confidential and will not be made known to the candidate. In some cases, e.g. where the professional work consists of performances, exhibitions, etc., alternative forms of external review may have to be arranged.

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

3. The members of the committee will examine the materials submitted by the candidate, review the letters solicited by the Dean of the Faculty Office from external reviewers, former students, and other appropriate sources, and consider other evidence (e.g., Department or Program teaching evaluations, class visitation reports, and College course assessments). The committee should also

consider the recommendation that the department or program submitted at the time of the candidate's reappointment.

4. After the committee has met to deliberate on the promotion, the Chair will write a letter to the Associate Dean, drafted in consultation and shared with all members of the committee, that reports the vote and presents in detail the committee's reasoning based on the evidence of the candidate's scholarship, teaching (including graduate teaching and work in the graduate program where appropriate), and other contributions. The letter, even as it makes a case for the majority, should ideally reflect all members' points of view; if, however, individuals feel the Chair's letter does not adequately represent his or her particular perspectives, they are free to submit separate letters that either support or dissent from the recommendation. These letters must be succinct and they must be submitted to the Chair who will share them with the tenure committee. They will then be submitted to the Associate Dean along with the committee's letter.

The department or program tenure committee must recommend either promotion with tenure or a one-year terminal appointment at the rank of Assistant Professor.

5. After the committee concludes its deliberations, but before the Chair submits the results in writing, the Chair will inform the candidate of the recommendation (positive or negative) and will consult with the Associate Dean. The Chair can also inform the candidate whether the vote was unanimous or not, however the vote tally is confidential as are all individual opinions and statements made at any time during the deliberations.

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

### **Guide to the Associate Dean**

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

1. In spring, summer, or early in the fall of the year in which promotion is considered, the Associate Dean will meet with the candidate to review procedures. In the Arts and Humanities Division this consultation will occur in the spring term of the year prior to tenure consideration.
2. The Associate Dean and the Dean will assemble and appoint the tenure committee by October 15.

3. By October 15<sup>th</sup>, the candidate should submit to the Chair and the Associate Dean a list of eight to ten possible external reviewers. In the Arts and Humanities Division, candidates will submit their list in the spring term of the year prior to tenure consideration. The list should include the prospective reviewers' addresses, their field of specialization, and a brief description of their qualifications for the task. The Chair, in consultation with the other members of the committee, will list eight to ten more prospective reviewers including their addresses and a brief description of their qualifications for the task. The Chair will forward the committee's list to the Associate Dean, 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 department or program's lists. Normally the reviewers must hold tenured appointments or their equivalent at peer institutions. Reviewer names are confidential and will not be made known to the candidate. After obtaining agreement from eight to ten reviewers, the Associate Dean will send each a packet containing a letter explaining the purpose of the solicitation along with the candidate's personal statement and scholarly materials.
4. The Associate Dean, on behalf of the Dean of the Faculty, will solicit letters from among the candidate's former students.
5. The candidate may submit to the Associate Dean a list of students especially qualified to speak about his or her teaching and mentoring. The Associate Dean will request letters from those students if they have not already been solicited by the Dean of the Faculty as part of the normal sampling process. These letters are identified as "recommended by the candidate." These additional requests will not normally exceed twenty. The candidate will not be informed of the names of any students who are identified as part of the normal sampling process. The candidate may submit to the Chair of the tenure committee a list of department or program Chairs who could provide relevant information about teaching, mentoring, or service outside the candidate's home department or program.
6. The Associate Dean will discuss the department or program's recommendation with the candidate before forwarding it to the Dean of the Faculty with his or her own recommendation. At this time the candidate should raise any procedural questions or concerns. If, at any time, the Associate Dean or Dean thinks that the tenure review process has been compromised, the CAP will delay deliberation until the issues have been resolved. The Associate Dean is not obliged to share their personal recommendation with the candidate.
7. The Associate Dean will submit his or her recommendation when transmitting the dossier to the Dean of the Faculty. If the Associate Dean cannot support the tenure committee's recommendation, he or she will consult with the Chair and, if appropriate, other members of the tenure committee before forwarding the case to the CAP.

8. The dossier forwarded to the CAP will contain the following:
  - a. Department or program roster with appointment terms for all faculty
  - b. Letter of recommendation from the Associate Dean to the Dean of the Faculty
  - c. Teaching and leave schedule of the candidate, year by year and term by term since the time of initial appointment
  - d. Tenure committee's letter of recommendation
  - e. Letters from tenure committee members who, having reviewed the Chair's letter, wish to express an individual viewpoint either dissenting from or supporting the recommendation
  - f. Other letters solicited by the Chair of the tenure committee from Chairs of programs in which the candidate taught
  - g. Department's or program's letter submitted to the Associate Dean at the time of reappointment
  - h. Curriculum vitae
  - i. Statement submitted by the candidate
  - j. Testimony solicited by the Associate Dean from external reviewers. These letters will be accompanied by the reviewer's curriculum vitae
  - k. Letters solicited by the Associate Dean from current and former students,
  - l. Other evidence deemed appropriate by the Dean of the Faculty (e.g., previous department or program and Associate Dean letters submitted for CAP action)

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

## **PROMOTION TO FULL PROFESSOR**

### **Expectations of Performance**

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

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

## GUIDES FOR PROMOTION: FULL PROFESSORS

### Guide to the Candidate

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

1. Faculty members should notify their department or program chair and Associate Dean of their intention to be considered for promotion in the current academic year and submit to each a current curriculum vitae no later than August 1. In the Arts and Humanities Division, candidates will submit their list early spring term of the year prior to promotion consideration.
2. By October 15<sup>th</sup>, the candidate will submit to the chair of the promotion committee and to the Associate Dean (early spring of the prior year for Arts and Humanities faculty) a list of eight to ten possible external reviewers, some of whom will be selected for the final list. Normally these reviewers must themselves hold Full Professor appointments or their equivalent. The list should include the prospective reviewers' addresses, their field of specialization, and a brief description of their qualifications for the task. Potential conflicts-of-interest (e.g., coauthors, PhD, or postdoctoral advisors, etc.) should be identified. The names of reviewers and their evaluations are confidential and will not be made known to the candidate. Maintaining confidentiality is critical to the process, and the obligation to protect this confidentiality should be recognized and shared by all participants.
3. By October 15<sup>th</sup>, the candidate should submit to the Associate Dean twenty (20) copies (in paper and, where appropriate, in electronic format) of the material listed below, which will be made available to the external reviewers and to the Committee Advisory to the President. The candidate will also deliver sufficient copies to the t for the promotion committee. The dossier should include:
  - a. Updated curriculum vitae
  - b. Published works, manuscripts or evidence of artistic or other professional work (e.g., books, articles, portfolios). The candidate may identify those of primary importance but should restrict the scholarly material submitted to that beyond what was considered during the tenure review.
  - c. Published reviews of the candidate's work where available
  - d. Statement (approximately five single-spaced pages) outlining the candidate's achievements and goals relating to scholarship, teaching, or other contributions to the College

If the candidate is unsure what to include, he or she should consult with the Associate Dean. It is the candidate's responsibility to assemble these materials, but reasonable associated costs (purchase of books, copying and packaging of materials) will be reimbursed by the Dean of the Faculty. In some cases, such as where the professional work consists of performances, exhibitions, etc., alternate forms of external review may have to be arranged.

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

### **Guide to the Department or Program**

The Promotion Committee will normally consist of the tenured full professors in the candidate's department or program, chaired by the departmental or program Chair. Those full tenured professors who cannot, or choose not, to participate in person in the committee's deliberations are not voting members.

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

1. After receiving the candidate's promotion materials, the promotion committee will meet to select a list of eight to ten professional reviewers. The list, including reviewers' addresses, their field of specialization, and brief descriptions of their qualifications, is submitted to the Associate Dean by October 15. However, Arts and Humanities departments will meet early in the spring term prior to the academic year of consideration.

2. Reviewers should hold the rank of full professor or have equivalent professional qualifications in the candidate's field. The names of the reviewers selected and their evaluations are confidential, and they will not be made known to the candidate. Maintaining confidentiality is critical to the process. The obligation to protect this confidentiality should be recognized and shared by all participants. The Associate Dean compiles the list of reviewers to be solicited after consultation with the chair of the promotion committee. The Associate Dean may independently add names not on either the candidate's or the department's or program's lists. In some cases, e.g., where the scholarly work consists of performances, exhibits, etc., alternative forms of external review may have to be arranged.

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

3. The members of the promotion committee will examine the materials submitted by the candidate, review the letters from professional reviewers and other appropriate sources solicited by the Dean of the Faculty Office, and consider evidence related to teaching (e.g., teaching evaluations, class visitation reports, and College course assessments).
4. After the committee has met to deliberate on the promotion, the Chair will write a letter to the Associate Dean, drafted in consultation and shared with all members of the committee, that reports the vote and presents the committee's reasoning based on the evidence of the candidate's scholarship, teaching (including graduate teaching and work in the graduate program where appropriate), and other contributions. The letter, even as it makes a case for the majority, should ideally reflect all members' points of view; if, however, individuals feel the Chair's letter does not adequately represent their particular perspectives, they can submit separate letters that either support or dissent from the recommendation. These letters must be succinct and they must be submitted to the Chair who will share them with the committee. They will then be submitted to the Associate Dean along with the committee's letter.
5. After the committee concludes its deliberations, but before the chair submits the results in writing, the Chair will inform the candidate of the recommendation and will consult with the Associate Dean. The Chair normally informs the candidate whether the vote was unanimous or not, however the vote tally is confidential as are all individual opinions and statements made at any time during the deliberations.
6. The Associate Dean will submit a personal recommendation which is submitted to the Dean of the Faculty. If the Associate Dean cannot support the committee's recommendation, he or she will meet again with the Chair and, if appropriate, with the other members before forwarding the case to the CAP. At this point, the committee may be asked for clarification of its position.

## Guide to the Associate Dean

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

1. Early in the academic year in which promotion is considered, the Associate Dean will meet with the candidate to review procedures. In the Arts and Humanities Division this consultation will occur in the spring term of the year prior to promotion consideration.
2. The Associate Dean and the Dean will assemble and appoint the promotion committee by October 1st. Note – this must be Oct 1 to allow the committee to submit its list of names to the dean by Oct 15 (see above).
3. The candidate should submit to the Chair and the Associate Dean a list of eight to ten possible external reviewers. In the Arts and Humanities Division, candidates will submit their list spring term of the year prior to promotion consideration. The list should include the prospective reviewers' addresses, their field of specialization, and a brief description of their qualifications for the task. The Chair, in consultation with the other members of the committee, will list eight to ten more prospective reviewers including their addresses and a brief description of their qualifications for the task. The Chair will forward the committee's list to the Associate Dean, along with comments on the candidate's selections. The Associate Dean compiles the list of reviewers to be solicited. The Associate Dean may independently add names not on either the candidate's or the department's or program's lists. Normally the reviewers must hold the rank of full professor or its equivalent. The names of the reviewers are confidential and will not be made known to the candidate. After obtaining agreement from eight to ten such reviewers, the Associate Dean will send each a packet containing a letter explaining the purpose of the solicitation along with the candidate's personal statement and scholarly materials.
4. After the promotion committee has submitted its recommendation, the Associate Dean will discuss the recommendation with the candidate before forwarding it to the Dean of the Faculty with his or her own recommendation. The Associate Dean is not obliged to share that recommendation with the candidate. At this time the candidate should raise any procedural questions or concerns that he or she has. If the Associate Dean or Dean at this point becomes convinced that the promotion review process has been compromised in any way, the CAP will delay consideration until the issues have been resolved.
5. The Associate Dean will submit his or her own recommendation when transmitting the dossier to the Dean of the Faculty. If the Associate Dean cannot support the tenure committee's recommendation, he or she will consult again with the Chair and, if appropriate, with the other members before forwarding the case to the CAP.

6. The dossier forwarded to the CAP will contain the following:
  - a. Department or program roster with appointment terms for all faculty
  - b. Letter of recommendation from the Associate Dean to the Dean of the Faculty
  - c. Teaching and leave schedule of the candidate, year by year and term by term since tenure
  - d. Promotion committee's letter of recommendation
  - e. Letters from promotion committee members who, having reviewed the Chair's letter, wish to express an individual viewpoint either dissenting from or supporting the recommendation
  - f. Other letters solicited by the Chair of the promotion committee from the Chairs of departments or programs in which the candidate taught
  - g. Department's or program's letter submitted to the Associate Dean at the time of tenure
  - h. Curriculum vitae
  - i. Statement submitted by the candidate
  - j. Testimony solicited by the Associate Dean from external reviewers. These letters will be accompanied by the reviewer's curriculum vitae
  - k. Other evidence deemed appropriate by the Dean of the Faculty, including previous letters submitted for CAP action

### **Review of Reappointment/Tenure/Promotion Decisions**

The purpose of the review process for a reappointment/tenure/promotion decision in the Faculty of Arts and Sciences is to determine if proper procedures were followed when making these critical judgments about a case. The merits of the decision or the composition of the committee that made the decision are not subject to review.

There are two grounds for asking the CAP to review or reexamine a case: (1) there was a violation of the College's non-discrimination policy or academic freedom, and/or (2) there were procedural errors (e.g., failure to include proper information or facts that should have been made available under the submission and evaluation guidelines stipulated above, or a failure to follow normal procedures for considering the case). In the latter instance, the CAP will undertake a review only when the procedural errors or new information is deemed to have substantially affected the outcome of a case to the detriment of the candidate, and further that the candidate did not neglect to provide or improperly provide the facts or information as stipulated in the guidelines above or conveyed to them by the Chair of the department or program, and/or the Associate Dean or other representative of the Dean of Faculty.

There are two ways that requests for review can be initiated by a faculty member whose reappointment/tenure/promotion has been denied:

1. By submitting a letter stating the grounds for review to the Director of Equal Opportunity & Affirmative Action, in cases where the faculty member alleges a

violation of the College's non-discrimination policy. The Director of Equal Opportunity & Affirmative Action will forward the request to the Dean of the Faculty, conduct a factual review of the faculty member's claim, and provide the results of that review to the faculty member and the Dean.

2. By submitting a letter stating the grounds for review and explaining how they are likely to meet the standards necessary for undertaking a review to the Dean of the Faculty.

Before formally requesting review under either of the options described above, faculty members are encouraged to confer informally with the Dean of Faculty.

Following either of these actions, the Dean of Faculty will confer with the CAP about the concerns raised in the written request. At any time prior to a decision by the CAP, the Dean of Faculty also may appoint an independent fact-finder (who shall be either a full professor at Dartmouth or a senior member of the administration) and, in cases involving allegations of discrimination, may ask the Director of Equal Opportunity & Affirmative Action to review the case if the faculty member has not already done so.

The CAP will determine if the concerns raised by the faculty meet the grounds and standards required for a full review (i.e., reexamination of the case), and the Dean of Faculty will inform the faculty member of the decision to either deny the request for review, or proceed to reexamine the case. Given the individual nature of each case, specific actions (such as adding or removing material, soliciting additional external review, consulting with the department, and so on) can not be specified here, but the faculty member will be informed of the process that will be undertaken. Following reexamination of the case, the Dean of Faculty will inform the faculty member of the CAP decision and the decision will be final.

In cases where the faculty member alleges a violation of the College's non-discrimination policy, or where the Dean of Faculty determines that a review under the College's non-discrimination policy is appropriate, the Director of Equal Opportunity & Affirmative Action will review a reappointment/tenure/promotion file to determine the strength of the evidence in support of the allegation of discrimination. The Director will report their findings to the Dean of Faculty, who will transmit them to the CAP for a final determination as to whether there are sufficient grounds to support a reexamination of the case. In reviewing a case, the Director of Equal Opportunity & Affirmative Action will seek to maintain confidentiality to the maximum extent consistent with obtaining information relevant to the claim of discrimination. Following their review, the Director of Equal Opportunity & Affirmative Action shall transmit all files and papers concerning the matter to the offices of the Dean of Faculty. In the case of alleged procedural errors, the written request will form part of the faculty member's reappointment/tenure/promotion file but will not be placed in a general personnel file.

## JOINT APPOINTMENT PROCEDURES

### Initiating Joint Appointments

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

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

### The Search and the Initial Appointment

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

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

If the appointment is to be in different divisions, then one of the Associate Deans will be designated by the Dean of the Faculty as the person to meet with candidates, write the

appointment letter, and to hold annual meetings with the faculty member. The other Associate Dean will be consulted throughout the process.

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

### **Appointment Letter: Teaching Responsibilities, Annual Reviews, and Service**

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

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

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

### **Evaluation, Promotion and Tenure**

Each department or program will carry out separate annual evaluations of its non-tenured individuals holding joint appointments, just as it does with individuals holding full appointments. Each unit will make its evaluation available to its counterpart. This procedure will also be followed for reappointment. (If either a department or a program has fewer than four eligible people to serve on a committee for reappointment, tenure, or promotion, then an ad hoc committee will be appointed in accordance with the procedures outlined in the *OFDC*.)

#### *Recommendations for promotion and tenure:*

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

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

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

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

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

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

### **Joint Appointments for Current Members of the Dartmouth Faculty**

Current members of the Dartmouth faculty can receive joint appointments; however, such a change in status requires separate recommendations by the two departments/programs concerned, approval by the Dean of the Faculty, and final

approval by the CAP. Only in exceptional cases would such a change be approved for an individual who does not already have tenure.

It is expected that the approval of a joint appointment would reflect the teaching and research interests of the faculty member, and would also involve a specific course commitment by the faculty member to the department or program comprising the new portion of the joint appointment. The appointment letter should indicate the specific teaching commitment, and it should also deal with any of the other considerations outlined in this memo that are appropriate (for instance, the promotion procedure for someone in the rank of Associate Professor should be stated in the letter). Approval of joint appointments will 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. Will the courses come from the existing pool of courses in each entity, or will one or both be requesting additional courses?
5. Review procedures for reappointments, tenure, and promotion
6. 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. The CAP normally will be informed of the search and participate in candidate visits to campus.
2. The search for a person to be appointed to the senior ranks may involve an extended effort. Some searches may not be completed in a single year but usually will be completed within two years.
3. 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. The Associate Dean or a faculty member will be designated by the Dean of the Faculty to Chair the search committee.
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, faculty members on the CAP, 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 Associate Dean on behalf of the Dean of the Faculty will solicit outside evaluations of research beyond the initial three or four that were obtained by the

department as part of the search and screening process. The list of outside evaluators should be developed in consultation with the Chair of the department or program, and a uniform letter should be used similar to the one used for promotion and tenure cases. A total of at least seven letters should be obtained, with at least four solicited by the Dean of the Faculty Office. The department or program as part of the recommendation it forwards to the Associate Dean should evaluate these letters, and also include evidence for excellence in teaching as part of its deliberations.

### **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. This opportunity is of particular significance to those who desire both part-time appointments and regular professional advancement. 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.