

Report to the  
Faculty, Administration, Trustees and Students

of

**DARTMOUTH COLLEGE**  
Hanover, New Hampshire

by

An Evaluation Team representing the  
Commission on Institutions of Higher Education of the  
New England Association of Schools and Colleges

Prepared after study of the institution's self-evaluation report  
and a visit to the campus on November 14-17, 2010

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This report represents the views of the evaluation team as interpreted by the Chair. It goes directly to the institution before being considered by the Commission. It is a confidential document prepared as an educational service for the benefit of the institution. All comments in this report are made in good faith, in an effort to assist Dartmouth College. They are based solely on an educational evaluation of the institution, and of the manner in which it appears to be carrying out its educational objectives.

**COMMISSION ON INSTITUTIONS OF HIGHER EDUCATION**  
**New England Association of Schools and College**  
**Preface Page**

Date form completed: 11/1/2010

Name of Institution Dartmouth College

1. **History** Year chartered or authorized 1769 Year first degrees awarded 1771

2. **Type of control:** ☐ State ☐ City ☐ Other; specify: \_\_\_\_\_  
☒ Private, not-for-profit ☐ Religious Group; specify: \_\_\_\_\_  
☐ Proprietary ☐ Other; specify: \_\_\_\_\_

3. **Degree level:**  
☐ Associate ☒ Baccalaureate ☒ Masters ☒ Professional ☒ Doctorate

4. **Enrollment in Degree Programs : Fall 2010** (Use figures from fall semester of most recent year):

	Full-time	Part-time	FTE	Retention <sup>a</sup>	Graduation <sup>b</sup>	# Degrees <sup>c</sup>
Associate	N/A	N/A	N/A	N/A	N/A	N/A
Baccalaureate	4135	0	4135	97%	95%	1067
Graduate	1734	95	1765.35	N/A	N/A	660
Non-Degree/ Visiting/Special	101	76	126.08	N/A	N/A	N/A

(a) full-time 1<sup>st</sup> to 2<sup>nd</sup> year (b) 3 or 6 year graduation rate (c) no. of degrees awarded most recent year

5. **Number of current faculty\*:** Full time 808 Part-time 188 FTE: 870.04

\*As of 11/1/2010. Only includes faculty on Dartmouth Payroll. FTE is calculated as fulltime + .33\*(part-time)

6. **Current\* fund data for most recently completed fiscal year:** (Specify year: June 30, 2010)

(\*"Operating Activities" from audited GAAP financial statements . Dollars in millions)

**Revenues**

Tuition	\$139.563
Gov't Appropriations	
Gifts/Grants/Endowment	\$429.676
Auxiliary Enterprises	\$59.738
Other	\$104.233
Total	\$733.210

**Expenditures**

Instruction	\$446.884
Research	\$121.744
General	\$82.986
Auxiliary Enterprises	\$65.449
Other	
Total	\$717.063

7. **Number of off-campus locations:** N/A

In-state \_\_\_\_\_ Other U.S. \_\_\_\_\_ International \_\_\_\_\_ Total \_\_\_\_\_

8. **Number of degrees and certificates offered electronically:** N/A

Programs offered entirely online \_\_\_\_\_ Programs offered 50-99% online \_\_\_\_\_

9. **Is instruction offered through a contractual relationship?**

☒ No ☐ Yes; specify program(s): \_\_\_\_\_

10. **Accreditation history:**

Candidacy: none Initial accreditation: 1929 Last comprehensive evaluation: 1999-2000

Last Commission action: Accepted 5th Year Report Date: Spring, 2005

11. **Other characteristics:**

## Introduction

Dartmouth College has long been one of the premier institutions of higher education in the United States and the world, and is currently building impressively upon its strengths rather than resting on its laurels.

Dartmouth's hallmark is the intensity and quality of its undergraduate liberal arts education, informed by and informing outstanding scholarship, graduate and professional schools. Many institutions lay claim to the synergies of great teaching and scholarship, but few live up to this ideal in the way that Dartmouth does. Many of its faculty are producing knowledge and creative work at the highest level, as evidenced by their scholarly vibrancy and citations. And they are also inspiring educators, who largely do their own teaching and grading. The quality of the faculty, students and staff and the relatively small scale of the institution make this remarkable combination possible. The values of the Dartmouth community, true to its founding mission, ensure its abiding commitment to this ideal.

Dartmouth's excellence and values have been forged through a healthy debate about its mission that has gone on for over two centuries, at least since Daniel Webster declared his love for the college. The creative tension between the intimacy of an undergraduate college and the disciplinary reach of a university has not disappeared, but it does seem to be arriving at a powerfully productive combination, if not complete resolution of this question. Dartmouth remains at heart a great liberal arts college and is admirably focused on delivering the highest quality undergraduate education. Dartmouth's impressive fulfillment of that mission is undoubtedly bolstered by its faculty's scholarship and by its graduate and professional schools, which are also in turn strengthened by the undergraduate college. Dartmouth has in the past been distracted by the debate between college and university, but now seems to have come to more fully appreciate the strengths of its unique combination, and is leveraging these strengths to the great advantage of its students and faculty. This is an historic accomplishment for Dartmouth and has the potential to serve as an important model for higher education more broadly.

One of the ways this development is most clearly manifest is in the heightening of efforts to see and seek Dartmouth's unique possibilities as an ever more unified institution. We saw evidence of this in the varied programs that draw on the resources of different schools, the valuable research opportunities for undergraduates in the graduate and professional schools, as well as in the Faculty of Arts and Sciences, and the ways in which scholarship enriches the college's curriculum across the disciplines. We were inspired to learn of the newest forms such collaborations are taking, for example with the launch of the exciting program in health care delivery science, and applaud efforts to explore further such innovations that build on Dartmouth's unique combination of strengths, for instance in public policy. We also note new efforts to combine and refine administrative functions that can provide for greater effectiveness and efficiency institution wide. It is a testament to the cohesion and leadership of Dartmouth that the recent economic downturn and need for budget adjustments seem in many ways, and despite real concerns, to have drawn the community together in these efforts. We encourage further developments of such academic and administrative collaborations.

We heard enlivening discussion of how curricular developments might further draw on and reinforce Dartmouth's strengths across the disciplines. Faculty and administrative colleagues opened conversations with us about how to enhance the array of culminating experiences for undergraduates and further hone their writing skills, how to use postdoctoral fellows or combined BA/MA programs, especially in the humanities, or how to facilitate the faculty's efforts to develop new pedagogies, for example, exploring the use of online lectures combined with small study groups that will bring the faculty into more intense and intimate interaction with their students in large courses. Of course we also heard lively debates, for instance about the pros and cons of the quarter system, perceived constraints on team teaching, which should be reviewed, and the need for better integration of service learning and study abroad into students' educational experiences. But we were most impressed by an arts and sciences faculty that seems ready, eager and able to engage in a renewed conversation about the future of the undergraduate curriculum, ranging from general education and distribution requirements to culminating experiences, and to think further and creatively about assessing learning outcomes. This is another historic opportunity for Dartmouth.

All of this engagement is a testament not only to the quality and dedication of the Dartmouth faculty, but also to a more elusive quality: a sense among the faculty of openness and trust, a willingness to explore and to work together to find even better ideas and models. The faculty are eager for interaction and discussion with the administration and board, and we were struck by that spirit of cooperation, rather than the kind of defensiveness that might have been produced by recent necessary budget adjustments. The staff is also eager for more communication among themselves and with faculty and administrative colleagues.

One of the arenas for development about which we heard widespread agreement was the further globalization of Dartmouth. This builds upon already impressive achievements in international student enrollment, study abroad by the majority of undergraduates, and an increasingly internationally focused curriculum. We were intrigued by discussion of how these efforts could be enhanced by exploring the potential expansion of study abroad programs with careful attention given to ensure equitable access and assessment of the impact of participation on enrollment. This is just one of the possible ways in which we see Dartmouth continuing to refine itself.

All of this suggests an institution of great strength that is poised to reap the benefits of a transformative moment. Dartmouth has retained its historic values but has brought those to bear on and in the modern world. Not so long ago, the pervasive debate about the right balance between tradition and change threatened to derail Dartmouth's trajectory of excellence. We are impressed at how thoughtfully and effectively those concerns have been allayed. Counterpoints about the future of fraternities or athletics have been turned to a more productive conversation about how to ensure that all elements of campus life contribute to the well-being of the community as a whole. The alumni have rallied in support of their beloved college, and debates about the structure and direction of the board of trustees have largely been resolved. Given the alternative, this also is an historic accomplishment.

Dartmouth has and is diversifying its views, its view of itself, and its membership, making impressive advances in the diversity of its student body, which further contribute to the

community's strengths, building on its founding mission to educate Native Americans and informed by data and assessment. There is always more work to be done on this front anywhere, for instance in the challenges of broadening access for low-income students, ensuring effective support mechanisms for all students and hiring a more diverse faculty and staff. And we did hear about remaining divides between graduate and undergraduate students, fraternity members and those not, gay and straight, or across race or class. We heard about the desire for more social opportunities that bring students together across these potential divides, and about how the Dartmouth plan sometimes cuts against social cohesion. But all of these issues were framed by a love for Dartmouth and a dedication to working to make further improvements together.

All of these accomplishments attest to extraordinary leadership at Dartmouth. We found a truly inspiring and effective new president who has already earned a remarkable level of respect and admiration from the community. His dedication to inspiring all, especially the students, to become leaders who will help understand and solve local and global problems is a testament to what a great leader can do even in two years. We found an incredibly strong leadership team in the administration, partnering with a great faculty and a dedicated staff. We were impressed by the representatives we met from the board of trustees, whose wisdom has set in motion the advances of late, and the loyalty of Dartmouth's vibrant alumni body.

This does not mean that there is not still work to be done at Dartmouth; there always is anywhere, and even more so at an institution of such great quality that can and should aspire even further. We note that much of this work—curricular development, faculty regeneration, financial aid, further improvements on an already astonishingly beautiful and well-maintained campus—will require additional financial resources. Dartmouth's supporters will need to step up, and we are confident they are and will be inspired to do so. Any future downward trends in the economy or endowment return would also of course present challenges, though we are reassured by the fiscal management of the college and by its recent ability to meet such challenges with wisdom, unity and alacrity.

Dartmouth is at a very strong place, perhaps uniquely so in its history. And rather than be complacent, it is an institution poised for an even bolder future, looking further outward for assessment, talent and ideas, but also guided by its core values.

### *The Campus Visit*

The NEASC visiting team was on the Dartmouth campus from November 14-17, 2010, and we remain grateful for the warm hospitality we experienced during our time on campus. On arrival, president Kim hosted a dinner that afforded us a valuable opportunity for in-depth conversation with Dartmouth's reaccreditation steering committee. The team also reviewed Dartmouth's affirmation of compliance form signed by president Kim that documents the institution's compliance with federal regulations relating to Title IV. Over the subsequent two days, team members met with more than 85 administrators; the committee advisory to the president, the committee on admission and financial aid, the committee on the faculty, the committee on organization and policy and the committee of chairs; four trustees, including the board's chair and vice chair; and a range of students serving in Dartmouth's student government and on key campus advisory groups. We were impressed by how thoroughly

colleagues prepared for these conversations, by the thoughtfulness of their responses and by their openness to questions, suggestions and meaningful dialogue about Dartmouth's distinctive strengths and opportunities for further improvement. The team also held separate open meetings for Dartmouth's faculty, students and staff to afford them the opportunity to engage the team in discussion about the institution and to offer any observations or recommendations based on their experiences within the campus community. Again, we were impressed by the number of faculty, staff and students who made time amid busy schedules to attend these meetings and by the keen insights they offered with both candor and tact. A strong love of the institution and powerful dedication to its educational mission shone through in all of our interactions during the visit. Before leaving campus, the team met with president Kim and members of his senior leadership team to offer a brief verbal summary of our findings in accordance with NEASC practice.

## **The Standards**

### **1. Mission and Purposes**

The Dartmouth community is dedicated to its historic educational mission and is unusually and admirably attentive to the regular review and refinement of the articulation of its mission. Since its last reaccreditation in 1999, Dartmouth has redrafted its mission statement as part of the "Forever New" strategic planning process. The statement, articulated through an inclusive and collaborative process and formally adopted by the board of trustees in April 2007, is succinct but captures the institution's legacy, values, and unique combination of strengths in undergraduate teaching informed by strong research programs. Dartmouth's mission statement also celebrates the diversity of its campus community and the qualities, achievements, and loyalty of its graduates.

In the team's conversations with faculty, administrators, students, staff and trustees, it was evident that Dartmouth's mission is thoroughly understood, widely accepted as an articulation of the campus' common purpose, and is an important guiding force in institutional, departmental and individual decision-making. Dartmouth's educational mission is paramount, and the statement provides a framework within which the efficacy of the curriculum and its requirements can be evaluated. The statement also provides helpful direction to departments in units in informing the goals and objectives they develop in their annual and long-term planning.

With a new strategic planning process in its early stages, it seems likely that the Dartmouth community may again revisit its mission statement and those of its graduate and professional schools and consider whether it may be further amended to better reflect the college today and its future direction, even more closely uniting its constituent units into a whole that is greater than the sum of its already impressive parts.

## 2. Planning and Evaluation

The president and provost are committed to planning and evaluation throughout Dartmouth. Under their leadership, we expect that the planning and review practices long a part of the institutional culture will be supported and improved and that further attention will be given to the assessment of student learning outcomes.

### *Planning*

Since Dartmouth's 1999 reaccreditation review, the institution developed a strategic plan—"Forever New"—and implemented many of its components. In 2008, in advance of a presidential transition, Dartmouth assessed the success of this effort and published a report outlining the many goals it met. Important successes include increasing admission selectivity, maintaining need-blind admission and expanding financial aid programs, increasing the diversity of the student body, a decrease in the faculty-student ratio, smaller class sizes and greater opportunities for one-on-one student-faculty interaction, a successful \$1.3 billion fundraising campaign, and facilities enhancements.

In the first 18 months of president Kim's tenure, economic challenges led to the reduction of \$100 million in annual expenditures as well as a reduction of roughly 150 staff, most through voluntary retirement and attrition. While this has been a very difficult period for Dartmouth, there have been some positive developments arising from the necessary budgetary planning and implementation. Senior administrators from schools and administrative departments across the campus have shared in decisions and built more collaborative working relationships for the future through the strategic budgetary reduction investment (SBRI) process. In addition, the president's leadership team has coalesced and the three professional schools have joined with the Faculty of Arts and Sciences in institution-wide decision-making more fully than in the past.

With hope for greater financial stability, the next major planning effort – development of a new strategic plan – is underway. President Kim and the provost have created a strategic plan steering committee and are now consulting with faculty members to get their input and ultimately to design related faculty advisory committees. Our understanding is that the president and provost not only expect to lay out basic goals and accompanying values for the future, they also strive to create a positive "culture of planning" and an ongoing set of planning processes.

This new strategic planning complements certain planning and review efforts already in place, including for the areas of finances, facilities, the library, and information technology as well as periodic internal and external reviews of administrative and academic programs. Out of the strategic plan may come more transparent processes and also better mechanism for reviewing recommendations and implementing appropriate improvements.

### *Evaluation*

NEASC's response to Dartmouth's 1999 ten-year reaccreditation review (echoed for the fifth-year interim report) recommended that Dartmouth give emphasis to its continued success in "the effort to evaluate and improve the quality of academic programs by

developing and implementing direct methods to assess educational outcomes and by benchmarking against peer institutions.”

Ten years later, Dartmouth is moving toward greater assessment of learning outcomes. For the ten-year reaccreditation review, faculty for each bachelor’s degree and PhD program plus arts and science master’s programs and the MPH responded to the E-series inventory of education effectiveness indicators by providing learning outcomes goals and where they are published, evidence for the outcomes other than GPA, explanations of how these outcomes are interpreted and used, and the date of the most recent program review. However, as noted in the section of this report addressing the academic program, learning outcomes are not always easily found on the websites listed on the E-forms.

There is commitment from the offices of the provost, institutional research, and the Dartmouth center for the advancement of learning (DCAL) to build a climate of learning outcomes assessment in a way that also deeply involves program faculty and creates distinctive assessments appropriate to the different academic disciplines. The DCAL, led by and for faculty for the improvement of teaching, has recently received a Teagle Foundation grant to work intensively with departmental faculty to more fully develop learning objectives for majors and then to collaboratively identify and collect evidence of learning outcomes appropriate for each department, and finally to evaluate what is learned in order to improve educational programs. This will begin with two departments in spring 2011. While we believe this is an appropriate and wise step toward instituting assessment of learning outcomes at Dartmouth with full involvement from faculty, we also hope that after one or two terms the number of departments involved will grow more rapidly.

One area of growing assessment practice and expertise is the use of portfolio analyses comparing writing competence both at the beginning and end of the first-year, two-course undergraduate expository writing sequence. The expository writing faculty jointly developed the rubric for this assessment, which not only created a good and accepted way to assess writing skills but also improved teaching in these courses.

As academic innovations continue (for example, the new master’s program in health care delivery science), we urge that both formative and summative assessments be built into new program designs from the beginning. The bachelor’s and doctoral programs in the Faculty of Arts and Sciences could learn much from established assessment practices in the professional schools. Learning outcomes assessment for the three professional schools (Tuck MBA students, Thayer engineering BE and master’s students, and Dartmouth Medical School MD students) has long been part of their professional accreditation processes. We believe that this is another area where the growing spirit of cross-Dartmouth collaboration can contribute to improved assessment processes across the campus.

#### *Resources for Planning and Evaluation*

In 1999, Dartmouth created an office of institutional research (OIR). In 2009, reporting and research functions and assessment and evaluation efforts were consolidated by combining the office of student affairs, planning, evaluation and research (SAPER) with the OIR. The OIR



reports to the provost and also collaborates with the DCAL and other institutional offices. This nexus of planning and evaluation resources is currently in a state of transition with two OIR vacancies, including the director of institutional research, and discussion about the creation of a provost for finance and planning to lead these efforts. We see potential benefits from clearer central direction of institutional research, assessment, and program reviews.

### **3. Organization and Governance**

#### *CEO and Leadership Team*

One key institutional strength is the leadership of the new president and the individual experience and coherence of the relatively new senior leadership team. The team is structured to manage well in even the most challenging financial circumstances and is seeking to manage resources and match them with mission, in order to steward the legacy of Dartmouth and propel it into a still more exciting academic future. As noted above, a new strategic planning effort is in its early stages and is delegated to the provost, who has engaged representative deans and faculty in an exploration of innovations and themes that will resonate across all the academic divisions within the Faculty of Arts and Sciences and the professional schools. The next challenging step will be to engage all faculty members and achieve buy-in before launching the next comprehensive campaign.

The president, provost, and new executive vice president and chief financial officer have had to implement budget reductions and envision revenue enhancements of major proportions in order to match resources with educational effectiveness, and in so doing have apparently consulted effectively with faculty and other stakeholders. Although the brunt of budget cuts were absorbed through reductions in staff positions and short-term non-tenure-track hiring, with the tenure-track faculty and the size of the curriculum sustaining only modest reductions, the cuts combined to reduce the support faculty have for their teaching and research missions. For example, we heard from various constituents about increased burdens on support staff in academic departments. Despite the time pressures for budget reductions, we judge that the senior team consulted with and responded to faculty and constituent concerns, based on the reports from the faculty whom we met in forum, the committee on organization and policy, the committee on the faculty, and the committee of chairs. Despite the stringency of budgetary reductions, the institutional ethos emerges healthy, proudly engaged, and invigorated, and this is a testimony to consultation and communication, upon which shared governance rests. It is not to say that communication among deans, senior leadership, and faculty cannot improve, as outlined below. But it is clear, going forward, that the senior leadership team will assess the effectiveness of its organizational structure as it does its practice—by whether they meet the very best practices that American higher education and its elite peer set can muster.

#### *Academic Leadership*

The divisional deans of arts, sciences, and engineering are responsible to a strong dean of the faculty and provost to ensure the integrity and quality of academic programming. Course delivery, the scope of the curriculum, quality of teaching and innovations thereof, and academic resources have strong oversight through this organization. Given the health of

shared governance, the arts, sciences, and engineering faculty, working with these academic leaders, are well positioned organizationally to undertake a review of the undergraduate curriculum within the next few years, if they choose, to serve 21<sup>st</sup>-century faculty and student needs and to match up with the academic initiatives that will give substance and energy to any emerging comprehensive campaign for Dartmouth.

### *Staff*

There is no doubt that staff are much admired by the entire Dartmouth community, and it must have been difficult to make budget cuts that affected staff. We were deeply impressed that more than half of the comments we heard at the staff forum were not complaints, but suggestions to enhance the student experience, though staff also noted that they often serve as the face of Dartmouth for students and their families, and thus cuts to staff and services impact the student experience. In an otherwise seemingly cohesive and egalitarian community, we heard concern about the lack of a staff organization and regular communication medium. The staff value the presence of an ombudsperson and the employee assistance program, but they report a desire for better communication between faculty and staff and between administration and staff, and this was particularly felt during the recent financial crisis.

### *Students*

The student body has several avenues for participation in institutional governance. The student assembly is the formal undergraduate student government, with an elected, representative membership and a charge to “represent student opinions and concerns to other constituencies of the Dartmouth community, including trustees, administrators, faculty and staff.” Class councils, also elected, address the interests and concerns of particular classes, and play a role in coordinating events specific to those classes. Students are included in some regular college committees that address topics that are especially relevant to student life, academic issues, and the budget. Dartmouth also maintains a graduate student council (GSC) with representatives from each department or graduate program. The GSC takes up issues concerning graduate student welfare, represents graduate student perspectives to Dartmouth’s administration, and sponsors social activities for this constituency. There is a Dartmouth Medical School (DMS) student government with representative elected from among the MD and PhD students in DMS departments that affords students a voice in financial and curricular matters, and takes up student welfare issues. We did not hear any grave concerns about formal student governance structures from students, administrators, faculty or staff; however, students also desire better communication with the administration through formal and informal means.

There are two areas of institutional governance worthy of special note in the interim since last review—the shared governance system through which the faculty exercises its voice and the composition and structure of the board of trustees.

### *Shared Governance with the Faculty*

The faculty has the deepest impact on matters of academic governance. Faculty members have a large, substantive voice in program, policy, and planning, which they report is reasonably equitably shared with administration. We met with members of several major faculty committees—the committee advisory to the president (CAP), the committee of chairs,

the committee on organization and policy, and the committee on the faculty—but also heard from representatives of the broader faculty in a forum setting. They emphasized a good degree of communication, that promises regarding start-up packages had been kept despite the recession, that starting salaries remain competitive, and that the benefits reductions were rationalized and explained, not simply expedient. They reported general satisfaction with the management of the budget crisis and with the fairness of compensation at Dartmouth. They worry, naturally, about salary compression, but they feel the deans are “responsive.” Although not all faculty members agree that reductions in benefits need be a direct trade-off to faculty or staff size, the reductions were generally seen as an acceptable budget compromise. We believe this resolution and attitude evidence the essence of healthy shared governance. The recent critical fiscal challenge that the institution faced is an excellent example of the strength of shared governance at Dartmouth. One could well have feared “torture by a thousand cuts.” But a \$100 million forward reduction in spending, on top of a \$72 million budget cut, and a look at almost every source of revenue and expenditure to see what was changeable—all of this was taken through the faculty’s committee on priorities. And the many changes were communicated to faculty directly and through the work of the committee structures.

Faculty members appreciate the fact that a contained burden of committee service (except in CAP) allows them to do the teaching and research they are called to, and as a result there seems to be general satisfaction with the organization of governance at Dartmouth. However, they report that the general faculty meetings have become sparsely attended, consist mainly of reports, and lack meaningful debate about substantive academic issues. One risk of this structure seemed to resonate with many faculty members: the relative protection of tenure-track faculty from committee service means that they can eventually become committee and department chairs with little, if any, prior experience in such leadership.

One recurrent theme about committee structures was modest dissatisfaction with the communication coming back to faculty from the committee of chairs, which appears to some to be too department-centric. Many cited uncertainty about the administration’s expectations for communication following this committee’s meetings and the lack of a uniform vehicle for it. Instead, the possibility is that “42 different versions” of a discussion will be reported back to departments. This was by no means a unanimously held opinion, with some chairs asserting that the flow of information to and from the committee works well. It seems that members of this well-established committee could work with senior administrators to agree on expectations for dissemination of information from administration to faculty and from faculty to administration; it should be easily solved and could be placed on the agenda by the faculty coordinating committee.

Another modest concern expressed by the committee on the faculty was that the one-term leave accrued per nine terms served should be moved away from what is in essence an entitlement (no report or productivity from the previous leave is required) towards a more competitive and demanding system of approval of leave applications. Finally, the faculty noted that there is no single website that updates all committee member assignments or meeting dates; many faculty reported the barriers to productivity and collaboration created for themselves and for staff by the absence of a Dartmouth-wide online events calendar.

### *Board Governance*

An historic schism within the board was widely publicized and painfully felt by the Dartmouth community. The board should be congratulated for undertaking a systematic review of its organizational structure over the past three years, conducted through the oversight of its governance committee, the leadership of the board's former chair, and with the help of consultant Richard Chait. It has returned to more conventional best practices of selection and election of board members, has enlarged in size, and has written its first-ever by-laws, which are ready for adoption. It has reaffirmed the value of traditional standing committees, rather than the previous experiment with task-oriented, short-term working groups, because standing committees provide continuity and better support constituencies. But it also stands prepared to create *ad hoc* working groups to tackle any strategic problem, policy, or fiduciary issue that emerges. The board values its small size, which allows all members to have a voice in all matters, relegating the role of its executive committee to only routine matters that intervene between the board's frequent meetings. It also values the alumni body's intense loyalty, immense talent, and intuitive understandings of Dartmouth's distinctive culture, and it intends to continue the practice through which nearly all board members are alumni. However, the board recognizes the need for greater diversity of professional experience, and may experiment with a few appointments outside of the alumni body, perhaps for sitting academic leaders.

We heard from several individuals that for some years the board was not provided with sufficiently detailed financial information to fulfill its fiduciary responsibilities to the best of its ability. We understand this to mean that an appreciation of the full impact across the entire institution of multiple un-booked "previously unfunded commitments," the structural deficit that those helped create, and an enterprise-wide consolidated budget impact were therefore somewhat opaque. Now it feels to trustees that the current senior administrative leaders provide transparent, detailed, and valuable information that the board needs; it has a high level of trust in its chief financial officer.

As a result of all these changes, the board members we interviewed feel the board is functioning at a high level and is greatly improved in its relationships with alumni and in its work. In essence, it has undergone a complete turnaround. Alumni trustees and charter trustees are aligned collaboratively and are functioning seamlessly as a board. The board chair and representative members offered this vision for the future: Dartmouth should be a more outward-looking place with a global presence, because its image lags behind the greater reality of all it is doing. Dartmouth should build on its strengths, not trying to fill in all the gaps, but investing limited resources where it can be distinctive. It should preserve what is fundamentally strong and leverage areas perceived as less strong by better integrating them into the entire enterprise, so that the separate schools create something together they could not do alone.

Now that the board has gone through a self study and a change in its culture, which was in many ways wrenching, it acknowledges the need to assess the progress and function of its new system. Are 24 members sufficient to provide the diversity of backgrounds, skills, networks, and all the other variables by which diversity can inspire greater creativity and effectiveness of a board? Is the committee structure productive of the real work of a board?

Is the ratio of charter members to alumni members right-sized? These are some of the questions it will answer. The board has said it has not yet decided the date or mechanism of its next interim reassessment in the wake of its substantive changes. The fact that the board has come through a great challenge so effectively, has always periodically reviewed itself, and continues to seek improvements are *prima facie* evidences of our certainty that it will carry out this next review in a timely and effective manner.

#### **4. The Academic Program**

Dartmouth is one of the nation's premier educational institutions with a long and distinguished history of graduating individuals who go on to accomplished careers. Its mission is "to educate the most promising students and prepare them for a lifetime of learning and responsible leadership, through a faculty dedicated to teaching and the creation of knowledge." Dartmouth prides itself on providing an intimate, high-quality, undergraduate liberal arts education while also aspiring to rank among the nation's premier research universities in selected programs.

##### *Undergraduate Education*

All undergraduate majors are offered through the Faculty of Arts and Sciences and comprise 56 majors and programs and a variety minors leading to an AB degree. The Thayer School of Engineering also offers a professional accredited BE degree. Undergraduate degree programs are designed to give students a substantial and coherent introduction to the broad areas of human knowledge, their theories and methods of inquiry, plus in-depth study in at least one disciplinary or interdisciplinary area.

Dartmouth operates on a quarter system, offering students a broad array of courses. By and large, this system has operated well for several decades, with stated benefits to student exploration, faculty research, and optimal use of facilities. However, both faculty members and students raised questions about whether this system is adequately able to accommodate certain disciplinary or interdisciplinary bodies of knowledge within an abbreviated ten-week term. As Dartmouth embarks on a new strategic planning process this fall, it should devote effort to reflecting on the current quarter system in light of its mission, objectives and efficacy.

Through a minimum of eight courses at an advanced level, plus prerequisites and the culminating experience, the major affords Dartmouth students the opportunity to develop knowledge and skills in a specific disciplinary or clearly articulated interdisciplinary area above the introductory level through properly sequenced course work. Students may pursue an optional minor or second major. Minors consist of at least six courses, no more than two of which can be prerequisites. Currently, about 50 percent of undergraduates undertake multiple majors/minors.

Each undergraduate program includes a set of general education requirements that were implemented in 1994. The general education requirement is generally coherent and substantive. It embodies the institution's definition of an educated person and prepares

students for the world in which they will live. The present system is based on two foundational ideas: first, students need exposure to different modes of inquiry, captured by eight categories of knowledge; second, students must have a critical understanding of how unique historical traditions and social categories impact the ways in which knowledge is created and shared. Within the last decade, the faculty voted to eliminate Dartmouth's interdisciplinary requirement. This requirement, which does not apply to the graduating classes of 2005 and later, had students complete one course from an approved list of courses that were interdisciplinary and taught by two or more faculty members, typically with appointments in different departments or programs. While this change addressed logistical issues associated with this approach as part of the general education requirements, there appear to be persistent institutionalized disincentives to offering interdisciplinary courses in general. This is seemingly inconsistent with Dartmouth's vision of an innovative, international and interdisciplinary education. However, the team was impressed with the "college course" program that provides a limited vehicle for co-taught interdisciplinary courses.

Given that the current general education requirements are sixteen years old, it may be appropriate to revisit the philosophy, essence, and details of these requirements in light of the needs and opportunities of the 21<sup>st</sup> century. The arts and sciences faculty seem eager to take up this challenge and we encourage Dartmouth to engage in a comprehensive curricular review as part of its next strategic planning process.

The hallmarks of a liberal arts education include the ability to communicate clearly, to express oneself in a variety of contexts through the appropriate medium, and to use the writing process as a means to think critically. As part of developing these skills, Dartmouth has, since the 1960s, offered a first-year, two-course sequence that requires most students to take an expository writing course (WRIT 2-3 or WRIT 5) and all students to take a writing course embedded in different disciplines (First-Year Seminar [FYS]). In 2004, the various pieces of writing instruction were consolidated under a single administrative entity, called the institute of writing and rhetoric (IWR). The IWR is charged with overseeing all of the first-year courses and other writing and speech courses, as well as student and faculty support for the courses. The IWR is an outstanding and valuable resource for Dartmouth students and faculty alike. Its web-based resources are accessed by individuals around the globe.

About 25 percent of first-year students are exempted from the expository writing course requirement on the basis of a combination of their SAT verbal and writing score. An internal review by the *ad hoc* curricular review committee in 1999 and an external review of the composition center in 2002 strongly recommended removing this exemption. The material that is taught in WRIT 2-3 and WRIT 5 is beyond the capacities tested in the SATs; exempting students from these courses, although economically efficient, does a disservice to students fortunate enough to score well on standardized tests. We applaud Dartmouth's continuing efforts to work toward eliminating this exemption, despite the pressure on its financial resources.

Dartmouth prides itself in its high (61 percent) participation in studying abroad, mainly at its 25 distinct foreign study programs. Dartmouth faculty members teach on-site for at least one course per quarter to help ensure program quality. Programs are reviewed regularly, usually

after every five cycles, or more frequently for newer programs. Evaluation forms are being revised to provide a more complete assessment of student experiences, including reflection on “how their off-campus activity has improved their cultural competencies.” Concerns stated in the self-study include issues related to cost of running these programs, that housing limitations now require a certain number of students to be abroad, and unequal access to study abroad programs for certain student groups, such as athletes and those in disciplines such as science and engineering. We also encourage Dartmouth to explore whether there are opportunities to create new synergies between global education initiatives in the various schools that will provide enhanced educational opportunities for students.

### *Graduate Education*

There has been a long tradition and commitment to providing the highest quality undergraduate education across all disciplines. More recently, Dartmouth has enhanced its emphasis on research and graduate education. Consonant with its reputation for undergraduate education, investments in graduate programs have focused on a select number of areas where the institution has resources and expectations that exceed those required for undergraduate programs in a similar field and can compete with the best programs in the nation. Dartmouth offers eight master’s and sixteen PhD programs as well as an MD program. However, only eleven of Dartmouth’s sixteen doctoral programs qualified to be included in the most recent National Research Council report. The low-enrollment programs that did not qualify should be evaluated in the near term. We also noted that, although Dartmouth has a clear commitment to maintaining its excellence in undergraduate education, there appears to be a light tension among some members of the faculty regarding the appropriateness of growing graduate programs outside of the professional schools.

At present, the dean of the arts and sciences graduate school resides within the Faculty of Arts and Sciences administrative structure, and is appointed by and reports to the dean of the faculty. This structure is no doubt a vestige of the evolutionary trajectory of the graduate enterprise. Based on several comments from various faculty members and administrators, Dartmouth is considering reorganizing the position to report directly to the provost, similar to deans of other major units on campus, to facilitate institution-wide efficiencies and better recognition for graduate education. Given the present demands of the institution-wide graduate programs and the plans for future growth, it seems appropriate for Dartmouth to re-examine how the office of the dean of graduate studies is resourced and organized.

In the past decade, the life-sciences education programs in biochemistry, genetics, microbiology and immunology, and cellular biology combined their resources in a new graduate program: the molecular and cellular biology program, which has a large critical mass and is very competitive with peer institutional programs. Following this model, the programs in physiology, pharmacology and toxicology, and neuroscience formed a new program in experimental and molecular medicine (PEMM) three years ago. These programs are excellent examples of marshalling resources to develop interdisciplinary strengths that have resulted in nationally competitive programs. This type of creative innovation could serve as an excellent model for other graduate and undergraduate programs at Dartmouth.

Dartmouth does not run any non-resident distance learning programs. However, they are about to launch a new signature master's program in health care delivery science which will be a hybrid in-residence and distance learning program, run by the DMS in collaboration with several other units across the campus. This promising new program will expand the range of educational opportunities Dartmouth provides and add a new element to its future reaccreditation reviews as well.

### *Administration*

Dartmouth's degrees at undergraduate, graduate and professional levels are appropriate for the coursework required. Dartmouth is fortunate to have strong and thoughtful leadership in the professional schools, as well as in the Faculty of Arts and Sciences. Faculty and administrators alike take seriously their respective responsibilities for high-quality course content, instructional delivery, admissions, registration, and awarding of credit, including through Dartmouth's transfer policy, for degree completion. Dartmouth has improved its orientation of new students with publications such as *First Year: Class of 2013* (updated annually) that describes policies governing the awarding of credit or exemptions based on pre-matriculation work (SAT test scores, etc.). No faculty, staff or students cited any significant difficulties in these areas, and public materials were accessible and sufficient. Dartmouth has evaluated its procedures for potential plagiarism, and has appropriate library staff and the Dartmouth Center for the Advancement of Learning (DCAL) to support faculty and students in prevention as well as identification and remediation.

### *Assessment*

Faculty, chairs, deans and central leadership consistently recognize the importance of assessment of student learning, and the role of defining clear learning objectives and learning outcomes as part of that process. They acknowledged that part of the value of the NEASC self-study has been to help engage faculty in defining those objectives and learning outcomes. In 2006, Dartmouth initiated a required online student course evaluation system for all undergraduate courses. They typically achieve at least an 80 percent response rate, and are refining their processes to close the feedback loop with faculty and programs. Since 1994, all majors required a culminating experience, designed to be an academically challenging project appropriate to the discipline such as theses, directed research and writing, laboratory research, senior seminars, group tutorials, or some combination of these approaches. Most of these culminating experiences are predicated on individual work; the team noted a lack of options for collaborative group-based projects, which represents an area for further improvement. E-forms were completed for most degree programs and majors. However, most learning outcomes for departments in the Faculty of Arts and Sciences were not easily found at the websites provided on the form. On further discussion, faculty and deans noted the development of learning outcomes to be a work in progress. The professional schools, required to meet similar standards with their own accrediting bodies, have well established processes and protocols. Arts and sciences departments, however, are for the most part early in their process. The S-forms were also reviewed in detail with the appropriate deans and staff, and the few questions that arose with some of the data were resolved.



A major asset in this process is the DCAL. Since its founding in July 2004, the DCAL has become a major resource for faculty development, graduate student teaching training, and consultation for pedagogy. Faculty and deans across campus, including the professional schools, spontaneously mentioned the DCAL as a strong collaborator and important faculty development and pedagogical resource. The DCAL is charged to help departments refine their overall objectives, learning outcomes, and assessment activities, including discussing how to capture the work faculty already do (e.g., select “honors” papers, rank students within a department, etc.) into rubrics that reflect their overall objectives.

Departments in the Faculty of Arts and Sciences are beginning to establish seven- to ten-year cycles for regular external reviews. The office of the provost would like to centralize this process, including providing clear review guidelines and communication routes to ensure that the appropriate parties are aware of the findings and able to implement the recommendations. At the committee of chairs, some faculty reported that these reviews were “pro forma”—that they required a fair amount of work only to languish on a shelf. However, others noted that such reviews helped tremendously with departmental strategic planning, such as in psychological and brain sciences that resulted in consolidating scattered faculty into a state-of-the-art new facility. Chairs agreed that clearer process guidelines for external reviewers and departments would be helpful. Such guidelines might include defining the goal of the review, so that, for instance, if no additional resources are available, the reviewers would understand how to better frame their recommendations.

The OIR is described in section two of this report. At this time, with limited staff, the office does not play a significant role in assessing academic programs. However, they recognize that as resources become available, they could play a larger role in helping the office of provost to track learning assessment data over time and across schools, not only for identifying best practices, but for flagging potential areas of concern for deeper investigation.

### *Institutional effectiveness*

Dartmouth prides itself on excellent teaching, and cites the satisfaction and success of its graduates as evidence of the quality of their programs. Programs have begun the process of becoming more rigorous in assessing that quality by defining clear learning objectives, learning outcomes, and assessment rubrics across their curricula. Organizational changes underway, such as increased central oversight by the office of the provost for programmatic and departmental reviews, as well as increasing support of this process through the OIR and the DCAL, will support these efforts.

## **5. Faculty**

Dartmouth strives to achieve academic excellence, supports excellence in scholarly research and teaching, and seeks to promote a collaborative academic culture both within the diverse disciplines and throughout the institution. To attain this end, Dartmouth recruits and develops faculty with appropriate academic qualifications and who demonstrate success in fulfilling the

institution's mission. The overall faculty includes members of the Tuck School of Business, the Thayer School of Engineering, the DMS, and the Faculty of Arts and Sciences.

Faculty members of the Thayer School regularly teach both undergraduate and graduate students, and are members of the Faculty of Arts and Sciences. Faculty members of the two remaining professional schools teach undergraduate students depending upon the exigencies of the circumstances. For example, the Tuck School operates a bridge program for arts and sciences undergraduates in the summer and, since 2009, its faculty offer undergraduate courses in accounting, marketing and business strategy. The DMS opens its doors to undergraduate students as interns or volunteers in its laboratories and some of its faculty teach undergraduate courses in the Faculty of Arts and Sciences. Neither the Tuck School nor the DMS faculty are members of the Faculty of Arts and Sciences.

### *Composition*

The categories into which faculty are distributed are: category I (tenure-track faculty, primarily full-time); category II (full-time faculty members ineligible for tenure, including coaches, who are adjunct in status); category III (part- or full-time faculty who are ineligible for tenure yet are retained under renewable one to three-year contracts); and category IV (faculty with term appointments, generally those who serve as replacements for Dartmouth faculty members on sabbatical leaves and those who serve as faculty fellows).

The Faculty of Arts and Sciences comprises 379 tenure-track faculty members, seventy-five percent of whom are tenured, and approximately 200 non-tenure-track faculty members. During the past decade, tenured and tenure-track faculty lines have increased by 16.4 percent, from 353 to 411. Thus, in any given year, approximately 30 positions remained unfilled. In response to fluctuating enrollment needs of the institution and to the demands of specialized disciplines, non-tenure-track faculty may be hired for one or more courses, or on a full-time basis. In certain cases, the dean of the Faculty of Arts and Sciences may offer multi-year contracts in the title of lecturer or senior lecturer commensurate with their respective experiences teaching at the institution. For lecturers a full teaching load consists of six courses; for senior lecturers, five courses, with the understanding that the latter will spend more time and energy advising and supervising independent projects. The designation "visiting" has been reserved for those instructors who retain appointments at other institutions. Embedded in these figures, the percentage of tenured women faculty in the Faculty of Arts and Sciences in all ranks is 37 percent, and the percentage of all minority faculty in all ranks is 15 percent. During the various searches to make appointments, Dartmouth's office of institutional diversity and equity consults regularly with faculty, chairs, chairs of search committees, associate deans, and deans of the professional schools and the provost.

The Tuck School consists of 60 tenure-track faculty members, 33 of whom are tenured, and between eight and ten non-tenure-track members. Although the number of students increased from 370 to 532 during the past decade, the size of the tenure-track faculty has remained steady. The Thayer School comprises 27 tenure-track faculty members, 21 of whom are tenured, and 21 non-tenure-track faculty members under three-year contracts, which are renewable. The DMS has 76 tenured faculty members, 81 untenured faculty on

the tenure track, and 167 non-tenure-track faculty. Affiliated members, who are not on Dartmouth's payroll, are not included in these figures.

The preparations and qualifications of recruited faculty are appropriate to the field and level of expectations. The appropriateness of prospective appointments is measured by the possession of advanced degrees, extant publications, post-doctoral study and relevant professional experiences and training.

### *Teaching Loads*

The arts and sciences faculty are dedicated to the mission of excellent teaching and research. The student to faculty ratio, as reported in Dartmouth's common data set for 2009-2010, is eight to one. Teaching, academic advising, supervising research projects, and service to the various committees that administer academic life constitute the general workload of the faculty. Dartmouth operates on a quarter system and expects full-time faculty to remain in residence for three of the four quarters. The full teaching workload for the arts and humanities and the social sciences consists of four courses, for the sciences three courses plus laboratory and graduate courses, per academic year. The course loads are structured to allow sufficient time for class preparation, mentoring students, and scholarly endeavors. The faculty members with whom we spoke acknowledged that teaching loads are reasonable, although several noted that disciplinary and/or departmental differences between the number of new courses tenure-track faculty members may be expected to develop and teach are perceived by some to be less than equitable. Almost all faculty with whom we spoke noted that the quarter system works to their advantage in creating compact blocks of the year in which they are teaching, affording them ample time to pursue scholarly and creative work. However, as noted elsewhere in this report, some concerns were expressed that the length of quarters does not afford them enough time to delve as deeply into some course material as they would like.

For a Thayer School tenure-track faculty member, the normal teaching load consists of three courses per academic year. In view of the fact that the curriculum has been designed on interdisciplinary projects, each member of the faculty is also expected to supervise between one and three student project design teams. Faculty members on the instructional track basically teach four classes per academic year and supervise a somewhat larger number of project teams. Faculty on the tenure-track and research-track are expected to maintain a sponsored research program and to serve as major advisors of MS and PhD students as part of their normal responsibilities.

The Tuck School faculty members have a typical teaching workload of three courses per academic year. Teaching loads are established to permit a significant portion of individual faculty members to devote their time toward research. All faculty are also expected to participate on committees and to contribute to the success of the Tuck School.

Assistant professors at the DMS are given minimal teaching responsibilities during their first two years to assist them in establishing successful research activities. After this initial period, normal teaching loads may be nine to twelve lecture hours per academic year in a core course. Established senior faculty members typically teach an advanced graduate seminar either yearly

or every other year. All tenured and tenure-track faculty members are expected to have externally funded research programs and to instruct undergraduate, graduate, and postdoctoral students in the context of those programs within the laboratory framework. Although there are no expectations or obligations for teaching on the part of research-track faculty members, some undertake these responsibilities on a limited basis.

#### *Recruitment, Tenure and Promotion Procedures*

The search, promotion and tenure processes in the Faculty of Arts and Sciences are based on established institutional procedures, and are perceived by faculty members to be transparent and fair. Appointments as assistant professor are made for individuals who have completed the PhD or the appropriate advanced degree, or have equivalent experience in the creative and performing arts or other professions. Recruitment for all tenure-track positions in academic departments and programs must receive authorization from their respective associate dean and the dean of the faculty. When recruitment occurs for joint appointments between a department and a program or between two departments, special arrangements are required. All formal offers of appointment are initiated by the associate dean or the dean of the faculty, usually on the recommendation of the chair acting on behalf of the members of a department or program. Most initial appointments are at the rank of assistant professor, for three years, after which the respective departments may recommend reappointment for another three-year term. Upon making tenured appointments at the senior level, the dean of the Faculty of Arts and Sciences coordinates hiring negotiations with the associate dean. Non-tenured appointments with three-year contracts in the Thayer School undergo identical review procedures as tenure-track reappointments in the Faculty of Arts and Sciences. Prior to becoming a candidate for tenure, beginning tenure-track faculty will have received a review every year during the first three years of service. The procedure initiating promotion normally occurs in the sixth year.

The dean of the Faculty of Arts and Sciences annually reviews all faculty members at the time of salary review. Assessments are based on course evaluations and the faculty record supplement forms that allow faculty to list all of their scholarly and creative work, publications, papers presented at conferences and universities, teaching initiatives, advising and mentoring projects, service in professional organizations, and service to the institution.

The criteria for promotion to tenure and for renewal of continuing non-tenure track appointments are research, teaching and institutional service. Peer review, in the form of class visitations by tenured senior faculty, team teaching of junior and senior colleagues and evaluations by current and former students constitute the procedures taken by the appropriate department and program to assess teaching effectiveness. Each department and program is required to maintain a statement of the specific procedures that it utilizes in evaluating teaching, and all faculty members should become aware of these procedures. Evaluations of tenure-track faculty comprise self-assessment of scholarly publications, scholarly and/or creative submissions, letters solicited from former students (including graduate students where appropriate), the assessment of external peer reviewers, and a tenure review committee consisting of all the tenured members of the department or program who make a recommendation to the associate dean who, in turn, presents his or her recommendation to the

CAP. When the members of a tenure review committee are fewer than four, or when required by other extenuating circumstances, two additional colleagues are solicited by the associate dean who, in turn, requests approval for this *ad hoc* tenure review committee from the CAP. The CAP is chaired by the dean of the Faculty of Arts and Sciences and consists of six faculty members: two each from traditional divisions, elected by the faculty for rotating three-year terms. The CAP directly advises the President on faculty reappointment, tenure and promotion decisions in the Faculty of Arts and Sciences. The president and the board of trustees make the final decisions about all recommendations made by the CAP. Through similar committees within the three professional schools, deans are also advised by faculty members. Over the past ten years, roughly 85 percent of tenure cases considered by the CAP have been approved. The team noted that Dartmouth should continue to track this rate carefully and consider whether it remains appropriate for an institution of Dartmouth's very high caliber.

The promotion of tenured associate professors to the rank of professor usually occurs during the sixth year in rank. The process and expectations are similar to those for promotion to the rank of associate professor with tenure, the exception being the associate dean's office will not solicit student letters in support of the candidate's teaching. Though teaching remains a very important criterion for promotion to tenure, several faculty expressed the conviction that research carries more weight. Others maintain that the standards for promotion from associate to full professor have become increasingly more stringent over the past ten years, particularly with the emphasis on proceeding during the sixth year in rank. Procedures for filing grievances and/or making appeals concerning reappointment, tenure, and promotion are referred to the recently constituted faculty review committee.

The DMS, the Thayer School, and the Tuck School follow their own procedures for recruitment and promotion of tenured and tenure-track faculty. The Thayer School maintains the practices of the Faculty of Arts and Sciences in hiring faculty, tenure and promotion. One important difference involves the decisions by which searches are initiated, hire candidates and negotiate terms of the appointment and the corresponding startup package become the responsibility of the dean of the Thayer School. In regard to tenure and promotion cases, the policies of the Faculty of Arts and Sciences apply, with the dean of the Thayer School serving as the dean responsible for the decision process. All tenure-track appointments are also reviewed and approved by the provost.

The Tuck School maintains a standing committee on tenure and promotion, consisting of tenured faculty and chaired by the dean. The committee establishes criteria for tenure decisions and promotion at the Tuck School, and recommends specific action to the dean on individual cases. The committee also participates with the dean in preparing long-range planning for staffing the faculty. The dean of the Tuck School has the authority to make recommendations for tenure, which are submitted to the president via the office of the provost, who possesses the authority to review independently the recommendation going forward, and either to return the recommendation to the dean of the Tuck School or to endorse it to the president.

At the DMS, faculty hired at the level of assistant professor are usually offered two three-year appointments, and begin coordinating the process of developing their academic portfolio

with their respective chair(s). The portfolio provides the framework that guides and assures that the candidate fulfills the criteria for promotion in a timely fashion. The DMS has a faculty advisory committee, which serves as a resource for professional development and portfolio review. In consultation with the departmental chair and senior faculty mentors, the portfolio is reviewed and updated periodically. Candidates will submit their portfolios for consideration of promotion to associate professor after five years, and for consideration of promotion to full professor after seven years. Portfolios are subsequently reviewed, in conjunction with both internal and external letters of assessment first by the home department before a review by the school's appointments, promotion and titles committee (APT). Recommendation for promotion, if approved and put forward by the APT subsequently must be approved by the dean of the DMS, the dean's academic advisory board, the provost and, in the case of tenure, the board of trustees.

### *Joint Appointments*

Joint appointments occur between programs and departments, two departments, or two programs. Dartmouth has undergone several curricular changes during the past decade, which reflect the shift from one interdisciplinary course requirement to a cluster of several courses and programs that have evolved to incorporate directly interdisciplinary learning. Joint appointments also reflect curricular changes in that they may be employed to recruit individuals whose work interpenetrate existing departments and programs. Such appointments may assist the institution in strengthening its interdisciplinary offerings as well as remain abreast with emerging intellectual trends that cross traditional disciplinary boundaries. In practice, a joint appointment will be shared equally by the two academic units hiring the individual but, in certain cases, may be regarded as anchored in one or the other.

The determination of the primary location of a particular joint appointment will emanate from the office of the dean of the faculty. Upon making the appointment, the initial letter must indicate where the position will be based; or, if it is a position which is equally shared by two departments and or programs, the appointment letter must clearly specify that such will be the case. In general practice, the individual's teaching is divided evenly between the two departments or programs, allowing for certain exceptions. The appointment, in addition, identifies any special procedures involved with annual reviews. An example of such a procedure will occur when the specialized nature of an individual's research may require evaluation by only one of the departments or programs, but will allow an evaluation of teaching and service by both. Each department or program undertakes separate annual evaluations of its non-tenured individuals holding joint appointments, as it does with individuals holding full appointments. Each academic unit makes its evaluation available to its counterpart. This procedure is also followed for reappointment. The tenure and promotion committees of each unit examine the materials submitted by the candidate, review the letters solicited by the office of the dean of the faculty from external reviewers, former students, and evidence from other appropriate sources. Tenured faculty members holding joint appointments in two academic units are only permitted to participate and vote in one unit. Promotion to full professor follows the same procedure as for tenure.

### *Compensation*

Dartmouth makes a concerted effort to provide competitive salaries and benefits, support for research and teaching, teaching workloads, in comparison with identified peer institutions. Applying data provided annually by these very peer institutions and the American Association of University Professors, the committee on the faculty, which monitors the total compensation of the Faculty of Arts and Sciences, issues an annual report that tracks the degree to which Dartmouth maintains its commitment to this effort. The offices of the dean of the faculty and the associate deans assume the responsibility of determining individual faculty compensation. These offices work closely with department and program chairs during the recruitment process, to ensure that initial salary offers are competitive with those from peer institutions. Salaries for all faculties are also reviewed by the provost. The general perception among faculty members seems to be that Dartmouth is successful in its efforts to provide competitive and fair compensation.

Dartmouth provides generous start-up support for faculty to facilitate scholarly productivity, particularly for those engaged in laboratory-based projects. For example, beginning assistant professors receive a minimum of \$25,000 in research support during their first six years. After completing a straightforward application process, funds are disbursed in two equal installments; the first \$12,500 becomes available at the beginning of the initial three-year contract, the second upon reappointment. During this past decade, Dartmouth has ensured that assistant professors in all divisions receive a one-course reduction in their first year. Currently, faculty members receive \$3,000 annually to support their research and teaching, and faculty possessing one of the 87 endowed chairs are given \$5,000. A limited number of endowed chairs include additional support in the form of extra funds or reduced teaching; these chairs are usually of short duration so that more faculty members may derive benefits from them. Eight teaching awards are also granted with small, one-time research funds. At the time of reappointment, assistant professors may apply for junior faculty fellowships. These fellowships provide a one-term leave and are often combined with a one-term sabbatical and a summer leave term to accumulate nine months consecutive leave.

Sabbatical leaves, accumulated every nine terms in residence over three years, result in receiving one term of leave with a one course reduction in teaching for the year. For faculty members who are recipients of prestigious fellowships awarded in amounts of at least \$30,000 for the academic year, such as Guggenheim, Fulbright, and National Endowment for the Humanities, the office of dean of the Faculty of Arts and Sciences will close the gap between the amount of the award and the faculty member's annual salary and benefits. As a result of this generous compensation, the faculty member will have to teach an extra course after the term of the award will have been completed. In addition to health insurance benefits and 403(b) contribution, Dartmouth contributes an additional seven percent after the age of forty toward either compensation or retirement benefits for regular faculty.

The Thayer School follows the practices of the Faculty of Arts and Sciences in reviewing faculty performance evaluations and merit considerations. Salary decisions for the Thayer School faculty are made by the dean of the Thayer School. Salary data for engineering professors, compiled by the American Society for Engineering Education (ASEE), are

utilized as guidelines in setting compensation at the time of making new appointments. Faculty members of the Thayer School are provided with an annual \$3,000 research discretionary fund, generally disbursed to support travel to an academic conference or to visit a potential research sponsor. All faculty members of the Thayer tenure-track, research-track, and instructional-track are provided with this financial support.

The Tuck School provides financial resources to support faculty research through three separate programs: the Tuck funding system to support teaching and research (STAR) accounts; summer research support; and Tuck research computing. As part of their annual activity reports, all faculty members request funding through the STAR system to support individual teaching and research.

The DMS, in view of its expectation that all faculty members develop a viable research program, determines compensation based on the level of grant support received. Beginning assistant professors receive competitive salaries, as funded 100 percent by the DMS during the initial, three-year appointment, or until the first major grant award as a primary investigator (PI) is received if that success occurs earlier. Faculty members recruited at the associate or full professor level, with existing substantial research funding, are generally expected to fund immediately at least 50 percent of their salaries from their cumulative efforts on grants on which they are the PI or as a co-investigator on another PI's grant.

### *Institutional Effectiveness*

The timing of the new president's arrival, combined with Dartmouth's self-study, was fortuitous in providing the context within which to prepare and enhance the possibilities of realizing its core mission. The comprehensive strategic planning he and the provost have initiated will have to include the disgruntled voices along with the enthusiastic supporters of Dartmouth's current growth aspirations in future deliberations. Indeed, several members have expressed profound skepticism, if not anxiety, over the growth of graduate programs and Dartmouth's ability to sustain the institution's objective of maintaining the traditional balance between excellence in both teaching and research. As noted elsewhere in this report, faculty members have also expressed a clear desire for better communication from and with the administration on a range of issues.

## **6. Students**

Dartmouth is a learning community of nearly 6,000 students, of whom roughly 4,200 are undergraduates and 1,800 are graduate students in the Faculty of Arts and Sciences and the three professional schools. Graduate student enrollments are highest in the Faculty of Arts and Sciences (614) and the Tuck School of Business (532), with a robust number of medical students (411) and the smallest enrollments in the Thayer School of Engineering (234). Dartmouth maintains a very high retention rate of 98 percent for undergraduates, with an overall graduation rate that is consistently at or above 94 percent.



### *Admissions and Financial Aid*

Dartmouth has continued to attract academically accomplished students from across the country and around the world. Its applicant pool has increased by more than 75 percent over the past decade, with more than 18,000 applicants for the undergraduate Class of 2013. Since undergraduate enrollments have remained relatively stable, Dartmouth's selectivity has increased, with an admit rate of only 13 percent for the Class of 2013. The institution experience shifts in various populations within the student body. For example, within a four-to five-year period the number of students of color increased from 30.4 percent to 39.1 percent, the number of international students increased from 5.5 percent to 7.2 percent and the number of first-generation students increased from 11.3 percent to 13.9 percent. The committee encourages Dartmouth to continue to diversify its student population, particularly with respect to first-generation, low-income and international students, where the increases have been good but small.

Dartmouth maintains a robust and progressive financial aid program, with 52 percent of its students now receiving need-based. The institution has been thoughtful in balancing its mission and the needs of students and their families with financial pressures since the economic downturn.

### *Issues Noted in 2005 Interim Report*

NEASC raised in its letter of April 1, 2005, accepting Dartmouth's fifth-year interim report and requesting specific updates and analysis of Dartmouth's progress on key issues impacting the student experience, including:

1. Efforts to assess how and what students are learning with particular emphasis on its efforts to address educational and technical problems for students to ensure that they fully benefit from their educational experience;
2. Progress toward enhancing social and residential life;
3. Provision of adequate opportunities for male and female athletes through varsity and recreational sports; and
4. Efforts to assess and use findings to achieve co-curricular goals.

### *Assessment and Student Learning*

Dartmouth collects appropriate data to assess student progress in a number of ways. At the mid-point of each term, professors identify students who are struggling academically to the office of the dean of undergraduate students, so that individual deans assigned to each student can monitor their progress and provide support as needed. Students' academic progress is then reviewed at the end of each term by the office of the dean of undergraduate students (in collaboration with other offices such as the OIR) in accordance with academic standards outlined and publicized in the student handbook. The office runs a complicated algorithm to determine which students are at academic risk. The undergraduate deans follow up with individual students as appropriate and the staff reviews the data quarterly to identify emerging trends. Staff members report that at times the students identified may not be those who would be considered at risk at other institutions (e.g., a student with a 3.2 average who

had a poor performance initially but then improved). Staff also reports that once a student is flagged in the system, it is often difficult for students to move off the radar. There was some suggestion that the institution review the standards used to assess student performance to make certain that they are appropriate. Finally, through the OIR and other offices focused on specific student populations, the institution collects data on first-year retention rates, four- and six-year graduation rates and academic progress of varsity athletes pursuant to NCAA rules. These data are routinely reviewed to determine any trends.

While the relevant academic advisors follow up with individual students, it is not clear that Dartmouth has a comprehensive and coordinated approach to address the needs of students with more serious academic concerns. Statistics on academic probation cases indicate that some students may need additional support to fully benefit from a Dartmouth education. The college is taking steps to address these concerns, for instance, it recently designed a pilot summer program for first-generation students whom it determined would benefit from focused support. Because of student advocacy, the first-year student enrichment program was created under the auspices of the dean of the college. The goals and curriculum were developed by a team of student life staff and faculty in 85 days. Early anecdotal information about the 27 students who participated in the program suggests that it has had a positive impact on those involved. Dartmouth plans to track these students and compare them to a control group. Future efforts in this area would benefit from a conversation “across the green” between faculty and administrative staff about the needs of this particular group, the goals and philosophy of future programs, and a more coordinated approach between faculty and administrators responsible for all aspects of advising and student support for this group of students.

### *Social and Residential Life*

In 2000, Dartmouth launched the student life initiative, a comprehensive plan designed to improve the student experience outside the classroom. The plan called for the improvement of the residential system through the development of residential clusters and additional residential space for graduate students, enhanced dining and social spaces, the creation of a program to improve cultural understanding, and significant changes to the coed, fraternity and sorority (CFS) system and alcohol guidelines.

Dartmouth has made much progress on many fronts. Over the last ten years, it has made a significant investment in facilities related to student life. It has had a net gain of 550 new beds in its undergraduate residential facilities (which include CFS organizations) allowing it to house 95 percent of the student body on campus. The institution can also now house many more graduate students as a result of new housing. Those fraternity and sorority spaces most heavily used by all students on campus for social events and residential use were also improved with support from the college. Recreational athletic facilities have also been significantly improved, a fact that many students specifically credited with enhancing life on campus during our visit. Data confirm increased undergraduate student satisfaction. Eighty-six percent of students in the class of 2008 were satisfied with student housing compared to 75 percent of students from the class of 2000; 92 percent of students from the class of 2008 were satisfied with athletic facilities compared to 78 percent of the class of 2000.

A central dining space is being enhanced and other dining options are now available on campus. Although the institution has increased social spaces for students, students and administrators indicate that more spaces are desired, particularly student performance spaces and neutral spaces that are not owned by any one student or administrative group. This sentiment was confirmed by a recent report of a consultant hired to assess space needs. Because of budget cuts, the institution has not built a separate graduate student center but has renovated various discrete spaces for graduate and professional students within academic buildings and continues to look for additional social space on campus to address the needs of this important constituency.

During this period, the office of pluralism and leadership (OPAL) was created to support specific student populations and standards for behavior in CFS organizations were reviewed, refined and implemented. In addition, the alcohol guidelines were rewritten. CFS organizations continue to play a significant role in the undergraduate experience. Unlike at other institutions, the organizations' events are open to all students. While admissions officers report that incoming students are often concerned about CFS organizations' impact before arrival, most students participate in the organizations; 60 percent of eligible students are members of CFS organizations, with more men than women participating. Although individuals within the institution continue to debate the relative value of CFS on campus, the institution has embraced these groups and acknowledges them as an important part of the undergraduate experience. Students and staff report that efforts to improve CFS facilities have served to enhance the experience and ability of students to support social life. Some students perceive Dartmouth's support to be uneven between fraternities and sororities, along with levels of administrative action to hold all CFS organizations accountable for poor behavior.

Although the institution has revised its alcohol policies, alcohol continues to be a major concern at Dartmouth. Administrators report that, although the rate of binge drinking as self-reported by a random sample of students in the annual Dartmouth health survey has dropped from 57 percent in 2004 to 44 percent in 2008, binge drinking continues to be an issue as well as the behaviors that are often associated with alcohol use. Of particular concern is the number of incidents of sexual assault. Crime statistics available in the 2009 and 2010 annual security and fire safety reports for Dartmouth indicate that there were 13 reported forcible sex offenses reported incidents on campus in 2006, 19 in 2007, 23 in 2008 and 10 in 2009. The institution suspects that there are more unreported cases. To its credit, the student body and administration have galvanized around this issue. President Kim formed a cross-constituency committee to explore ways to address this problem and the decrease in numbers suggests that efforts are having an impact. Dartmouth will soon announce a project to address the issue of binge drinking and is continuing to work on ways to understand and address issues of sexual assault.

### *Athletics*

Dartmouth participates in Division I of the NCAA. It has a robust varsity athletic program, sponsoring 32 teams, 16 each for men and women athletes, more than other institutions in its league. Dartmouth athletes are admitted on the same basis as all other students. Based on a review of their academic performance, athletes look the same as other students. The

institution, through personnel assigned to the athletics department, provides academic advising and connects students to needed resources. In addition, both athletes and athletic administrators report that athletes are fully integrated into the student community because many belong to CFS groups and these groups represent a large proportion of the student body.

Generally, budgets spent on men's and women's programs are equal. Facilities for men's and women's sports are roughly equivalent. The only concern that the athletic director reports with respect to equity is that the rosters for women's teams on average are lower than the number on men's teams. Women are more likely than men to quit teams. While administrators and students have an anecdotal sense of why this disparity exists, athletic administration is in the process of developing an assessment process to help identify the reasons for this trend.

#### *Assessment of Attainment of Co-Curricular Goals*

The office of the dean of the college is responsible for all co-curricular programs and services. In collaboration with the OIR, it has established a system of evaluation for its work. An *ad hoc* cross-constituency group of administrators works with units within the department that are undergoing assessment to help determine goals for the evaluation, review and approve surveys and protocol and assist with the assessment of data once gathered. Within the last five years, 13 of 17 areas within the office have undergone an evaluation. The extent to which the units use the data developed and document how changes have been made based on the data is uneven. In addition, the office of the dean of the college has identified specific department-wide goals including metrics that it uses to assess its progress in attaining those goals.

#### *Other Key Issues*

##### *Advising*

Dartmouth has a multilayered system to advise and assess student academic progress. Faculty members provide general academic advising during the first four terms of each student's academic career. Once a student has declared a major, he or she identifies a faculty member from the department who serves as the primary academic advisor until graduation. The office of undergraduate advising in the dean of the Faculty of Arts and Sciences provides general academic advising support, largely by members of the faculty. Within the office of the dean of the college there are staff who provide academic support for specific student populations (e.g. athletics and OPAL). Recent data for the class of 2008 indicate that merely 41 percent of the class was satisfied with pre-major advising while 76 percent was satisfied with major advising. Although progress has been made over the past ten years to strengthen the advising program, there is more work to be done in this area, and particularly to further enhance pre-major advising at Dartmouth. Students report that it is often difficult to know whom to go to for support and the faculty and administrators responsible for advising confirm that there is little coordination. Students of color and first-generation students are particularly vulnerable in this system. Dartmouth has made some efforts to improve first-year advising but has yet to develop a full program for students in their second year. We encourage Dartmouth to undertake a thorough review of its pre-major advising program with a view toward making it function based on the way students today think about their experience, holistically.

### *Sense of Community*

One of the consistent themes in conversations with students, faculty and staff is a concern that students do not have a sufficient sense of community. This concern was expressed despite the fact that student satisfaction has increased by 14 percent between 2000 and 2008. Data from the CHAS 2009 climate study indicate that students of color are somewhat less likely to be satisfied with the sense of campus community compared to white and Asian students.

While activities are open to all students, the strong influence of the CFS system on social life creates concerns among students and administrators that those students who do not choose to participate in such organizations are not the norm and have a significantly different experience. Some women students report feeling uncomfortable in an institution they describe as being “male-centered” and identify participation in sororities as a key method of creating safe “female-centered” communities. Members of the LGBT community report feeling marginalized in a CFS dominated environment, although the fact that two fraternities recently had openly gay presidents may be an indication that behaviors and acceptance of this community in the CFS system is improving.

Faculty, students and staff often expressed the view that continuity of sustained interaction in appropriate space are important elements for students to live in community, forming friendships and affinity across each class. The Dartmouth plan and the lack of sufficient housing stock on campus inhibited students ability to create and sustain community during their academic careers.

The Dartmouth plan is an innovative year-round program that allows students to choose which terms to be in residence, off campus or on leave. Because of year-round opportunities to take classes, students can shape their academic program to take advantage of off-campus study, internships, and other opportunities at any point in the calendar year. While all students spend the first three terms of the first year together and the majority of students spend the summer between their first and second year in residence (known as “sophomore summer”), faculty, students and staff reported that the individualization of residency for the remainder of students’ academic year did not fully support long-term and consistent interaction with their peers. Moreover, the lack of sufficient residence halls to house all students during the more traditional academic year meant that housing policies and practices often prevent students from returning to the same residences they left and encourage them to live off campus.

It is largely Dartmouth’s traditions and intense culture that bind the student body together. In order to further improve student satisfaction and further enhance the sense of community among students, the institution will need to review these issues and make changes.

### *Student Support Services*

The full committee had an opportunity to meet with students at an open forum. One of the most consistent concerns raised by students at the forum was about issues of access to and the quality of health services at Dartmouth. We did not have the opportunity to review health services during our visit but there appears to be a need for Dartmouth to work to identify and address student concerns in this area.

In addition, we heard from many students, staff and some faculty a concern that the budget cuts may have eroded Dartmouth's ability to continue to provide programs and services that benefit the student body. For example, staff cuts in the OPAL have increased each staff member's load and staff and students worry that cuts have put undue stress on this vital service. The committee encourages Dartmouth to continue to monitor the impact of the budget cuts on its ability to provide necessary student support services to achieve its larger goals and mission.

## **7. Library and Other Information Resources**

Dartmouth has had a tradition of deep, rich library and information technology resources necessary to meet the curricular and research needs of the institution. Dartmouth's libraries and computing services are well regarded by students, faculty, and staff. At a time of budget constraints and financial uncertainty, careful attention to planning and assessment has provided the means for the libraries and computing services to continue to provide excellent resources and services. The overall library budget for FY2011 was reduced by 2.6 percent from the previous year at \$22.34 million.

The libraries have developed a flexible, dynamic administrative and organizational structure. Existing units have been restructured, such as information management, and new groups have been created to address such important topics as digital projects and infrastructure, diversity, a next generation catalog, sustainability, and assessment. Self-reflection and strategic planning are encouraged throughout the library by Dartmouth's expectation of five-year external reviews and associated self-studies. Appropriately ambitious annual library-wide goals and objectives are then developed. Both departmental and individual goal setting are part of the process. Good decisions are made within a staff culture that places the highest value on providing exemplary service to library users.

The characterization of "operating on the thinnest of margins" in the most recent library annual report seems appropriate. The decline in staffing by ten FTEs (six percent) has made it challenging to support the required development of digital and education programs given Dartmouth's ambitions. The rapidly evolving world of scholarship means that the library will need to support a hybrid print and digital information environment. Serials hyperinflation has hampered Dartmouth's ability to develop its monograph collections compared to its self-selected peer group (Brown, Duke, Johns Hopkins, Princeton, and Yale) as well as to the larger Association of Research Libraries (ARL). The percentage of collections funds devoted to monographs in 2007 was lamented at 25 percent; in 2010 it dropped to 22 percent at \$2,052,833. The library has wisely chosen to increase access to collections by heavily investing in licensed digital collections, selectively digitizing its own holdings in support of faculty research and teaching requests, investigation of collaborative approaches on digital projects with other institutions, and providing improved access to monographs through the much lauded "borrow direct," strong interlibrary loan service and membership in the Center for Research Libraries.

The libraries are an important component of the fabric of Dartmouth. Even at a time of growing availability of digital resources, the libraries are much valued by faculty and students as places where study, research, collaboration, and contemplation occur and where

community exists. Ten thousand users enter Baker-Berry library daily during peak times. Circulation of books has remained steady over the past eight years. Students use the libraries and have consistently commented that more quiet and group study spaces are desired in all campus libraries. Baker-Berry was so successful as a library and gathering space that soon after completion collections began to be compacted to respond to increased student demand for study space. The thoughtful evolution of this flexible building continues and will soon see a second important community space appear in the main hall of historic Baker. Rauner special collections is an award winning gem, both for its magnificent internal redesign and repurposing as well as its remarkable collections. The centrality and heavy use of the thoughtfully renovated Feldberg and Kresge libraries attest to their importance for their community of users. The Dana library serves the DMS and the life sciences. It will only see those roles expand within its growing precinct of teaching, learning, research, health care delivery science, and residence halls. Systems-wide, two areas demanding attention are improved building security systems to protect collections and users as well as continued exploration of collaborative off-site storage of less-used collections.

The libraries have used a variety of approaches to improve access to the growing array of resources and services they offer. Students in the self-service web 2.0 environment consistently state their strong preference for identifying, finding and using information on their own. Users have appreciated the recently updated library and the computing services websites, the new Summon next-generation catalog that provides a single search across multiple databases, and the availability of licensed resources while away from campus through the virtual private network.

The library has been very engaged in supporting Dartmouth's academic mission. Liaison librarians work closely with faculty members on collections and library instruction; across the libraries over 650 instruction sessions are offered annually. Librarians also provide one-on-one research sessions to students and faculty and are heavily involved with the DCAL, the IWR, and research, writing and technology. The emphasis on education and outreach are clear and result in close ties with students, faculty and staff on many levels.

### *Computing Services*

Computing services has been under budgetary pressures similar to the rest of the campus and 20 staff positions have been vacant although ten will be filled. Thoughtful, bold planning and organizational changes have led to operating efficiencies and cost reductions at the same time that users report progressively higher levels of satisfaction according to annual user surveys.

Several of the issues raised in the 2005 computing services review have been resolved. The improved connection between computing leadership and the senior administration was addressed by the elevation of the chief information officer to the vice presidential level. Concerns about management and communication, too, seem to have been addressed. Planning takes place throughout the organization. One major organizational change is the new IT support center that handles calls, office visits, developing training and consultation plans for departments, documentation and web-based training. Two units that supported educational technology were consolidated. The main campus website had more than 25.5

million visitors in 2009-2010, of whom 20.4 million or 73 percent were from off-campus. A major enhancement occurred with the implementation of Google site search to improve the usefulness of the Dartmouth website.

Computing services are central to the whole campus and several coordinated initiatives speak well of the success of collaborations. Three media support operations were centralized in the library's Jones media center. The educational technologies group (formerly academic computing), the library, the DCAL, and research computing are planning discipline-specific support teams to support the faculty. Computing has also partnered with the DCAL on other projects and with the student center for research, writing and information technology, a student support service. An important new joint initiative in digital asset management with the library and the provost's office is under consideration. This project has included an Andrew W. Mellon Foundation grant to work with Duke and others to identify best practices on digital asset management; the need to develop a system that meets campus academic and administrative needs has become more pressing due to an impending National Institutes of Health and National Science Foundation requirement that grantees provide data management plans.

One of the major challenges facing computing is the change from a proprietary e-mail and calendar to Microsoft online service, which will provide those functions plus collaboration tools. Given the vital importance of such services to campus plus the loss of the beloved blitzmail system, the careful planning and preparation of computing staff in creating sufficient expert assistance and upgraded web documentation should go a long way toward successful implementation. Information security is also a top priority, signaled by the creation of a chief information security officer who has begun training staff across campus as information security representatives.

Computing services faces significant challenges in the future that are included in its strategic thinking. A transition in data center planning is a short term requirement while coordination of research computing support and obtaining sufficient staff to meet the next wave of faculty and researcher demands for new technologies are longer term issues that need to be addressed.

### *Institutional Effectiveness*

Both the libraries and computing services have created a culture of user assessment. The libraries established an internal library-wide assessment committee, used the well-regarded LibQual+ academic library assessment instrument developed by ARL in 2004 and 2008, and receive student feedback through annual student surveys. Computing services has used an annual user survey in each of the past five years. Though technically not assessment, both organizations have advisory councils of faculty and staff that provide useful advice and serve as sounding boards; both organizations also recently created a student advisory group. Both organizations get high marks about staff and services and look carefully at user feedback in their planning and goal setting. Dartmouth is well positioned with its libraries and information technology although both will find it challenging to meet future demands in a campus climate of reduced resources.



## **8. Physical and Technological Resources**

Dartmouth has sufficient and appropriate physical and technological resources to achieve its mission and purpose. Over the past ten years, the institution pursued a well-conceived master plan focused on expanding and renewing its campus facilities. The almost-completed plan will have addressed the most critical needs: academic space (offices and classrooms), lab and research space, residence halls, athletics facilities, infrastructure and code compliance. The recently concluded \$1.3 billion campaign was successful in raising a substantial portion—\$375 million—of the funds required. The difference was supported with debt (Dartmouth maintained \$611 million in debt for facilities projects as of June 30, 2010), departmental reserves and current budget allocations.

Over the same period, Dartmouth ensured that the IT infrastructure continued to support both administrative and academic needs. As a consequence, the current condition of the physical and technological resources—while not without areas in need of renovation, as on any campus—is commendable.

Within the last two years Dartmouth completed its comprehensive fundraising campaign, underwent a presidential transition and had to develop a set of responses to the significant financial impact of the economic downturn. Fortunately, the major investments in the plant were close to completion. In the last 18 months there has been substantial organizational change in the facilities operation. The change has brought with it an opportunity to review and assess the physical facilities, energy consumption and sustainability plans, unmet student needs and future academic needs. In addition, the change has brought together under one vice president all of the planning, design, construction, operations and environmental health and safety activities. The previous organizational structure benefited from familiarity, leadership by the provost and an institutional master plan. The new structure should benefit from better coordination and collaboration. The new structure will also benefit from a renewed attention to business processes, policies and practices.

To date, the new team has been informed by a number of studies concerning space utilization, deferred maintenance (estimated at \$342 million in 2007), energy utilization/sustainability and accessibility. The team has also pulled together a comprehensive five-year capital plan totaling more than \$413 million, which identifies all the major capital projects currently being considered as well as their sources of funding. The plan includes a section for IT capital investments totaling \$10.5 million in addition to what is budgeted for projects in computer services. As currently conceived, the plan is a starting point. It has been shared with the facilities committee of the board and has been found to be a useful communications and planning tool. Our understanding is that the plan will be amended and enhanced as the strategic planning process develops a set of programmatic priorities for Dartmouth. At this early stage in the planning process it is not clear which projects will ultimately be pursued. We were impressed, however, by the proactive approach being taken with regard to considering ways to ensure Dartmouth's sustainability in the future and encourage the college to consider the recommendations seriously. We also recommend that the capital plan be amended to include a section which clarifies the operating budget impact of any capital investments. We applaud the work done to pull the plan together and its anticipated use going forward.

An assessment of Dartmouth's IT infrastructure, controls, resources and governance revealed an organization well aware of its strengths, weaknesses and opportunities. The network infrastructure is strong, the enterprise administrative systems seem to be operating effectively, there have been recent successes in consolidating data-center operations and resources and the chief information security officer has made significant inroads in developing and implementing new policies and practices around information integrity and security as well as privacy. Nearly all central classroom spaces are wired and have projection. Faculty using these spaces can phone if they encounter problems; if problems cannot be diagnosed and solved remotely by IT, a technician is sent to the classroom.

At the same time the team is working to enhance system administration practices, storage management, research administrative systems, the high performance computing operation, and the e-mail system. In addition, we heard consistently that department webpage updating has become more problematic with the staffing reductions of the past few years. As in many higher education institutions, the institutional governance system has not always been attuned to the importance of and need for attention to information technology. We were encouraged to hear that the vice president for IT and chief information officer has been working with the vice president for facilities on a five-year capital plan, that she has presented new policies to the reconstituted budget committee for approval and that she will be presenting a report on the enterprise IT risks to the audit committee of the board at the next meeting. Greater awareness by and support from the governing bodies with regard to the critical role of IT will serve Dartmouth well in the future.

The facilities and IT management teams are both well positioned to benefit from a strategic plan. They should, in turn, develop operating, staffing and capital plans that will ensure that the physical plant and the IT infrastructure support and enable the strategic plan. In particular, we would expect to see pressure on IT staffing as Dartmouth moves forward with a new strategic plan.

We would expect that the IT team will need to work with the new health care delivery science program on the development of online learning systems. We would also expect the continued need to invest in technology to streamline administrative systems. With regard to the physical plant, the need for well-conceived student social spaces is clear as is the need for graduate student space, attention to accessibility, energy efficiency and a sustainability plan. In addition, the inconsistent condition of some of the student housing was raised by some as a concern. With the recent budget cuts, we note a decreased budget allocation to renewal. The budget and projections for FY2011-FY2013 reflect a reduction in planned contributions to the capital renovations reserve of approximately \$7.7 million in the aggregate over the three-year period. Rather than sustaining a large balance in the reserve, Dartmouth has decided to spend the reserve down to a level that can address any facility emergencies (\$3 million), while making the clear commitment to providing the operating funds (\$8.175 million) necessary to meet the institution's maintenance, repair and small-projects needs. We strongly encourage continued attention to renewal going forward.

Finally, the magnitude of the changes that Dartmouth has endured in the last few years has stressed internal communications. A well defined engagement and communications approach to both physical and IT planning and implementation would be well received by the Dartmouth community.

## **9. Financial Resources**

Dartmouth has sufficient financial resources to sustain the achievement of its educational objectives and further institutional improvement in the foreseeable future.

The unprecedented turmoil in the economy coincided with the change in leadership at Dartmouth. In his first year, president Kim took it upon himself not only to understand the implications of the crisis for Dartmouth but also to develop and implement a plan to align the institution's reduced resources to its mission. In a normal reaccreditation review, attention to financial resources is, hopefully, relatively routine. But these are anything but normal times. As a consequence, almost every part of the reaccreditation review has been informed by the budget and the organizational changes that have been made to date as well as the economic assumptions that are being used for future planning.

The president has gathered a strong and trusted team of senior academic and administrative leaders. The team has worked intensively over the last year and a half to understand the details of the operating budget (currently \$820 million), capital budget, debt portfolio (currently totaling \$945 million), benefit plans, compensation plans, business processes, procurement practices, endowment management, payout policies and practices and the fundraising capacity and prospects. The team also developed a set of financial projections using a range of assumptions with regard to growth of the endowment (currently \$3.1 billion), fundraising, tuition, financial aid, gifts, sponsored support, compensation, and inflation about the future. Finally, the team made sure that the situation is fully transparent to the board. The changes that have been made have not been easy and are not without some controversy. On the other hand, they have been necessary.

We commend the team for the very difficult choices that they have made. We also commend the Dartmouth community for their commitment to ensuring that the students continue to receive the very best that Dartmouth has to offer in these difficult times. As with any significant change, there will need to be adjustments going forward. We encourage the senior team to continue to seek means for effective community input to ensure that any adjustments are optimized. Among the changes that have been required to preserve and enhance the available resources were: a significant decrease in the endowment payout from \$204 million in FY2009 to a projected \$157 million in FY2011; a revised cost-sharing structure, increased co-pays and higher deductibles for employee health benefits; a revised scale for institutional retirement contributions; compensation freezes; staff reductions through a combination of retirements, position eliminations and layoffs; organizational changes; business process redesign; and consolidated purchasing. The changes have been vetted through a process involving a budget committee co-chaired by the provost and the executive vice president and chief financial officer.

During the same time, the financial staff developed and introduced new financial reporting and planning standard templates that will enable the governing bodies to look at the institution as a whole as well as the individual schools.

While an extraordinary amount has been accomplished, it is clear from the newly developed planning templates that the anticipated growth in resources is not yet fully aligned to the anticipated growth in operating expenses. Dartmouth's financial projections for FY2012-FY2014 show shortfalls of \$7 million, \$22 million, and \$23 million, respectively. As a result, the team and a budget committee representing all divisions and schools are continuing to—and must continue to—refine their planning assumptions and explore both revenue enhancements and expense reduction opportunities. Among the possibilities: debt restructuring, health and wellness programs, post-retirement health benefit refinements, energy conservation, and new revenue generating programs. These measures are worth considering, but only in light of a long-term plan to ensure fiscal responsibility.

It was evident that the board of trustees both understands the financial assumptions and challenges and is in full support of the leadership team. With this in mind, we found the endowment return expectations reasonable if not slightly optimistic. On the other hand, we recognized that Dartmouth benefits from a very strong network of investment experts, a well-structured and focused investment committee and a well-managed back office with strong internal control/conflict of interest policies and practices. The staff will be joined by a new chief investment officer this winter.

All of these changes are designed to make sure Dartmouth can support its existing commitments. At the same time, president Kim is already focused on ways in which to further Dartmouth's reach and impact. The strategic planning process that is now in its initial stages will be critical to the overall success. It will be essential for the strategic plan to be supported by a financial plan that anticipates both targeted investments and clear sources of funding: including net tuition income, endowment income, current use gifts and sponsored support. The management team understands the need to think strategically about each of these revenue sources.

We were encouraged to learn about Dartmouth's fundraising capacity as well as the experience of its advancement team. Given the fundraising capacity, we would expect Dartmouth to have seen some larger gifts from alumni in the recent \$1.3 billion campaign. Hopefully, alumni, parents and friends of the college will be further inspired to support Dartmouth's mission in coming years. We also believe that president Kim's initiatives will be attractive to non-alumni donors, such as corporations, foundations and government funding sources. While we did not have an opportunity to talk specifically about the capacity to increase sponsored support, we believe the president's experience and interest in this area will be extremely helpful.

The turmoil of the past few years has made most governing bodies much more aware of the need for a comprehensive approach to risk management. Institutions of higher education need to be attuned to everything from liquidity risks to investment manager risks, from data-center risks to risks of hurricanes and from life-safety risks to human subject risks. We understand that the board's audit committee will be looking more broadly at overall attention to risk management. While our very limited review did not allow us to explore this area deeply, we were pleased to note the change in the audit committee focus. With this in mind,

we do recommend a close look at research compliance. The surge in funding from the ARRA program has stressed many research administrations. Dartmouth's research reputation depends on strong research compliance systems.

Dartmouth is in many ways well positioned for a very exciting future: there is new and inspiring leadership; the board has been reconstituted and expanded; the most difficult budget adjustments have been made; the physical facilities are for the most part in good shape; the alumni are engaged and excited. At the same time, we recognize that recent changes have been unsettling to a number of committed and caring employees. Members of the Dartmouth community have a lot to say and deserve to be heard; we encourage the administration to use the next year to engage the broader campus as it develops options for the future.

## **10. Public Disclosure**

In most instances, Dartmouth provides accurate, clear, detailed, and sufficient information about the college for internal and external users to make informed decisions about the institution. With many recent organizational changes at Dartmouth, transparency in internal communication is of course vital. The anticipated appointment of a new vice president for communication will ensure continuity in this regard.

Efforts to improve the usefulness of the website resulted in a redesign and improved search capability that are considered improvements to the user experience. The dynamic and diverse nature of Dartmouth is clear in the rapidly updated, attractive web news and features about teaching, research, and campus events on the main campus page. In addition to print and digital publishing of information about Dartmouth, routine use is also being made of Facebook, YouTube, and Flickr. The print publication *Organization, Regulations, and Courses* is comprehensive and informative although the degree-granting institutions of faculty are omitted.

Dartmouth will be examining its publishing and communication program as part of the strategic planning initiative. While online dissemination of information is increasingly popular, early thinking is that a mix of formats may continue to be the most appropriate way to communicate about the various aspects of the institution and its programs and services. The increased reliance on a reinvigorated website as a major communication venue was significantly facilitated by the work of the now disbanded web strategy group. Since the web will certainly remain an important component of Dartmouth's new communication strategy, it seems important to have the web group's breadth and depth of content, creative, organizational and technical expertise involved to assure that the website continues to serve the needs of internal and external audiences.

As noted elsewhere in this report, challenges exist regarding departmental websites. Faculty and former web strategy group members note that such pages are difficult to keep current due to a decrease in administrative staff. Because the responsibility for sites is distributed to schools and departments, coordination of content across units is disjointed. This lack of coordination requires faculty and students to consult several sites to get information which

may or may not be consistent in content, format, or navigation. This distributed model also results in menus and lower-level pages that are relatively difficult to navigate compared to comparable sites at other institutions. The global search function is not optimized since page creators are inconsistent in assigning retrievable tags. Consequently, one needs to know what one is looking for to start a search. Drop-down menus of common search items could mitigate this problem. The site is optimized for Internet Explorer, so that external users without that browser can have difficulty with site speed and navigation. One additional challenge the team heard about from faculty, staff and students that is worth repeating is the lack of an institution-wide shared calendar, which makes it difficult to coordinate meetings and events across departments and units.

## **11. Integrity**

The institution must manage its affairs and dealings with internal and external constituencies with a high degree of integrity. Institutional integrity is demonstrated by a clear mission statement and a series of policies and practices that define expectations for ethical standards in a variety of areas. Dissemination of expectations, policies and procedures is key.

Dartmouth has a well-articulated mission statement that has been revisited by the entire community within the last ten years. The mission statement is well publicized to the community on its website and in publications. In addition, the institution has promulgated a number of policies in key areas, including academic integrity, academic freedom, intellectual property rights, non-discrimination, conflicts of interest, and privacy rights. Like the mission statement, these policies are widely disseminated to and reviewed by appropriate constituencies. For example, expectations about academic dishonesty are identified in the academic honor principle which is given to students and discussed during relevant orientation activities. Faculty are also informed of the principle and advised of how best to respond should they encounter a violation. Policies related to academic freedom are included in the faculty and student handbooks. Staff are advised of all relevant policies related to issues of integrity during the orientation program provided by human resources, which each staff member must attend. The office of the legal counsel distributes conflict-of-interest forms to be reviewed and executed by deans, officers, faculty and other high-level staff to ensure awareness and compliance.

Finally, the institution has established grievance procedures for faculty, students and staff to address violations of any institutional policy. An ombudsperson, reporting directly to the president, is available to members of the community for reporting and resolution of issues.

## **Summary of Institutional Effectiveness**

Dartmouth is an extraordinary learning community dedicated to realizing an ambitious educational mission that is a living document, regularly reviewed and refined to meet the challenges of a rapidly evolving world. Strategic planning and evaluation are becoming increasingly sophisticated and more frequently and purposefully employed in units across campus, with regular reviews of academic and administrative departments and better systems

for collecting, analyzing and sharing data on issues ranging from student recruitment and retention to financial planning and the effectiveness of student support and other administrative services. Key administrative and governance structures have also been evaluated and enhanced based on information gathered about best practices and input from the community. Robust procedures are in place for the evaluation, tenure and promotion of faculty colleagues, and these procedures are perceived to be transparent and fair. Dartmouth has begun to make important advances in its ability to assess learning outcomes for its current students and adapt pedagogies and curricula based on the results of that assessment. The college has appropriate policies governing its institutional integrity in place, and maintains detailed, accurate and accessible information about its operations.

## **General Summary**

The team was impressed and inspired by what we observed at Dartmouth: outstanding teaching; innovative scholarship and creative work; strong leadership; a renewed sense of purpose in fulfilling its historic mission; an institution that embodies at once the best qualities of the undergraduate college and the research university; and a cohesive learning community marked by a love of place, a pervasive ethic of service and notable concern for the welfare of its students. Among its many remarkable qualities and accomplishments, we wished to call particular attention to the following:

### *Strengths*

- The quality of the liberal arts education Dartmouth provides is truly exceptional. This quality arises from the excellence and diversity of Dartmouth's faculty and students, the inspired leadership of its president and senior administration, and the dedicated support of its valued staff.
- Dartmouth responded promptly and nimbly to the economic downturn and employed an inclusive and deliberative process to navigate the necessary realignment of its operating budget with its reduced resources. This is indicative of a campus culture that is admirably open to change and increasingly adroit at strategic planning for the short and long term. These qualities will continue to stand Dartmouth in good stead through the evolving economic climate and will enable it to even more fully build on its strengths in years to come.
- The last several years have seen great progress in better integrating Dartmouth's individually impressive components to enhance the educational experience for all students, enrich opportunities for faculty scholarship and creative work, develop innovative new programs, and find efficiencies that will serve Dartmouth well in the future.
- Institutional governance has arrived at a welcome moment of excellent balance. Challenging issues of board composition and structure have been resolved to the satisfaction of the institution and the overwhelming majority of its alumni. Dartmouth's shared faculty governance is robust and healthy, resulting in a faculty that has a strong and appropriate voice in many areas but is not unnecessarily burdened with minor administrative responsibilities.

### *Opportunities for Improvement*

- The Faculty of Arts and Sciences is ready to undertake a thoughtful review of the undergraduate curriculum. We hope that this review will include not only a re-examination of the breadth and depth of the curriculum and the appropriateness of distribution and other requirements for graduation, but also of writing instruction at Dartmouth, of the benefits and challenges of the quarter system and the Dartmouth plan, and of the role and scope of culminating projects. Such a review should also incorporate a serious exploration of strategies that will enhance pre-major academic advising at Dartmouth.
- The quality of the work we do in higher education rests on our ability to continually assess its effectiveness and incorporate best practices in our pedagogy and other services that improve student learning outcomes. Dartmouth has made progress in creating structures to support innovative pedagogies and developing tools for assessment, and should continue this crucial work with renewed vigor in the years ahead.
- To strengthen further the sense of community for students and bridge perceived divides among various groups of students, Dartmouth should explore the options for using additional neutral social space on campus and engage the student body in helping to develop other community-building strategies that will enhance the Dartmouth experience for all students, undergraduate and graduate.
- We applaud the efforts many across the institution are making to create “one Dartmouth.” With its outstanding liberal arts college and excellent professional schools, Dartmouth is uniquely positioned to offer its undergraduates an unparalleled educational experience, to train the world’s future scholars, research scientists and leaders of industry, and to pioneer new fields of study, such as health care delivery science. We encourage Dartmouth to press forward to forge ever more synergies among its divisions and schools.
- We heard from faculty, staff, and students that each constituency strongly desires more communication—formal and informal—from and with the administration. Efforts at cross-departmental and cross-constituency collaboration are also hampered by the lack of a common Dartmouth calendar and confusing websites that are unevenly maintained.
- Having weathered a test of its governance structures and emerged a stronger body, Dartmouth’s board of trustees has an important opportunity over the next several years to assess the effectiveness of these changes and to continue to strengthen its work by expanding the reach and diversity of ideas and perspectives among its members.