Geisel Policy on Compensation and Research Support

The following policy and appendices apply to Traditional Line Faculty.

Since re-establishment of tenure in the 1990’s, the policy of the Medical School has stipulated that at the time of hire, each faculty member who has Dartmouth College as her/his paymaster is provided an offer letter that sets out expectations for coverage of his/her associated salary and benefits (compensation) from defined “qualified” sources that are external to central or department funds of the Medical School [see Appendix 1]. Faculty members may also be provided with Program Development Funds (PDFs). Allowable use of these funds is described in Appendix 2. A separate tenure policy approved by the Board of Trustees of Dartmouth College was approved in 1993. This policy [Appendix 3] describes the minimum compensation expectations for faculty who have been granted tenure at Dartmouth. Although expectations for recovery of compensation are established at the time of hire, a formal policy outlining a mechanism to assess if expectations are being met and conditions governing compensation support during a shortfall had not heretofore been established. This policy (implemented January 2015) formalizes these conditions and mechanisms.

Implementation of Shortfall Policy

The Fiscal Office of the Geisel School of Medicine will perform quarterly assessments to determine whether faculty members are meeting their compensation expectations. Based on information obtained from the Geisel Fiscal Office and following a review of that information with Department Chair(s)1 for tenured/tenure-track individuals who, based on this quarterly assessment, are not meeting the criteria for qualified support enumerated in their offer letters (or as subsequently amended through agreements with the Dean’s Office), the following shall apply:

At the time that a shortfall in qualified funds (currently defined as monies not held in personal reserves, in department reserves or that derive from Geisel Central) is evident through records in the Fiscal Office, the Dean’s Office will consult with the Chair to affirm that there is a genuine shortfall in the expected extramural support of compensation (as assessed by a four (4)-quarter rolling average), and to discount any perceived shortfalls that may reflect transient budgeting processes or non-conventional, but approved, funding sources that are being used to meet compensation expectations.

Initial Actions Upon Determination of a Shortfall:

1) The faculty member will be expected to cover the shortfall from his/her personal reserves if such reserves exist.

2) The Dean’s Office will also determine in cooperation with the Chair(s) the amount of funds that the faculty member has in her/his personal reserve accounts and the expected time period for which those personal reserves may cover that shortfall.

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1 Chairs refers to Department Chairs, Institute and Center Directors who hold financial responsibility for the ongoing compensation support of the faculty member.
3) The Chair(s) shall meet with the faculty member both to inform him/her of the shortfall and to put into place a plan for re-establishing the expected level of extramural support.

Mechanisms of Shortfall Support

As noted above, faculty members will use personal reserves to offset a shortfall for compensation from qualified sources. If personal reserves are not adequate to support the faculty member’s compensation during the shortfall, the following are options that may be pursued:

1) **Departmental Reserves**: Sponsoring departments(s) upon approval of the Chair(s) and the Dean’s Office may provide support to the faculty member for up to twelve (12) months. Any level of shortfall support that is provided through department [but not central] reserves requires notification to and approval from the Dean’s Office, but does not necessitate approval through the Dean’s Academic Board (DAB).
   
2) **Request for Central Support**: When departmental funds are not sufficient to make up the shortfall [without imposing substantive negative outcomes on other commitments deemed critical by the Chair(s) and the Dean], and/or the Chair(s) and the Dean’s Office agree that it is in the best interest of the institution to share in the shortfall, support may be provided for twelve (12) months according to the policies for bridging support outlined below:
   
   a. a request for bridging support [see Appendix 4] must be presented to and approved by the DAB;
   
   b. prior to a request being submitted to the DAB, the Chair and the Senior Associate Dean of the Faculty/Senior Associate Dean for Research should work with the mentoring committee [Appendix 5] to ascertain that the metrics presented to the DAB in the bridge funding request are both feasible and will optimize the probability of restoration of funding for the faculty member.
   
   c. central monies must be used in accordance with the approved plan; and
   
   d. on-going support for the faculty member during the bridging period will be dependent upon the faculty member meeting milestones set out in that agreement [Appendix 5].
   
   NOTE: If the faculty member does not meet milestones, support provided through this bridging mechanism may be withdrawn before end of the approved duration of bridging agreement.

Change in Effort Expectations:

In some circumstances, the Chair(s) and the Dean’s Office may agree that the faculty member has an important role with the institution that warrants support even if the faculty member is not meeting expectations for qualified compensation recovery. In such cases, a new agreement (letter) will be made outlining the expected duties of that faculty member in exchange for a specified fractional FTE of continued support of compensation from non-qualified sources.
**Notification of Changes in the Level of Central Compensation Support**

1) For individuals who are not meeting compensation expectations and for whom no alternative allocation of effort has been assigned, at the time that the faculty member experiences a shortfall in providing the expected level of support and he/she needs to draw on departmental or central funds to cover compensation expectations (without prior exemption of the use of such funds), a letter [Appendix 6] will be provided to the faculty member co-signed by the Chair(s) and the Dean that indicates:
   a. **For non-tenured faculty members who receive subvention**
      Central support of compensation for the faculty member will terminate in twelve (12) months from the time that the faculty member exhausts personal reserves and must draw on departmental and/or central reserves to address the funding shortfall [unless funding levels are restored; Appendix 6]. The faculty member’s department may provide partial compensation support from departmental reserves beyond this period if both the Chair(s) and the Dean support such an agreement.
   b. **For tenured faculty**
      Provisions of the tenure document will go into effect in twelve (12) months from the time that the faculty member exhausts personal reserves and is required to draw on departmental or central funds to cover the compensation shortfall [Appendix 7].

2) In either case, for the 12-month clock to terminate, faculty members will need to obtain funding from qualified sources at the level expected prior to the onset of the shortfall or as established by criteria in the Geisel tenure document for a period of at least two (2) full years, and that the faculty member’s research program will need to operate independently of supplemental departmental/central funds (unless such funds were designated for specific program objectives that are independent of the shortfall).

3) These provisions relate only to the obligation to provide shortfall in compensation for the individual faculty member. Support for students, employees (e.g., research associates, research scientists and fellows), supplies and other costs of the faculty member’s scientific enterprise must derive from qualified sources or, in the case of shortfall, upon resources available from sponsoring graduate programs (for students) and in accordance to the specific parameters set out in the Bridge Funding document [Appendix 4] with respect to lab personnel, supplies and other costs.

4) Exceptions to this policy may be made upon agreement by the Dean’s Office (e.g., individuals who supplement compensation above the cap from personal reserves; an individual has been supporting her/himself well above expected levels, but due to department policies, has not been able to accrue personal reserves; the individual’s research program is deemed critical to larger efforts that have been identified as key priorities of Geisel).

5) Assistant Professors who have not secured funding within their first three (3)-year appointment are not entitled to the 12-month period of compensation support if they are not reappointed for a second term.

6) The Dean may declare a moratorium on providing the 12-month coverage of compensation shortfall if the shortfall cannot be supported by non-central reserves, and the President and Board of Trustees of Dartmouth College will not support the financial
obligation required to provide this 12-month support, if the medical school is unable to do so.

The provisions of this policy do not apply to those who are separated for cause or those who voluntarily accept employment elsewhere.
APPENDIX 1: QUALIFIED VS. UNQUALIFIED SOURCES OF SUPPORT FOR COMPENSATION

Qualified

- Funding for research or other academic activities provided by an external sponsor
- Funding provided by any division of the College outside of Geisel
- Funding provided by D-H, VA or other clinical affiliate for professional services
- Funding provided from other external entities (e.g. salary and fringe reimbursement paid to Dartmouth through agreements with affiliates, where such reimbursement specifically provides support for the faculty member’s compensation).
- Funding provided from designated gifts and endowments restricted by the donor for that faculty member’s use
- Certain endowed chair funds that provide direct salary support to the incumbent
- PDF funding during defined initial support period (see Appendix 2)

Unqualified

- Subvention\(^2\)
- Supplemental subvention
- Department reserves
- Unrestricted gifts
- Restricted gifts and endowments not designated by the donor specifically for that faculty member’s use
- Ad-hoc service centers and recharge centers
- Funding provided from an individual’s personal reserve\(^3\)
- PDFs after defined initial support period
- “Cost share”/service centers\(^4\)

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\(^2\) Qualified support may include certain teaching funds from specific Geisel departments/institutions (e.g., TDI; IQBS). Questions as to whether specific teaching support is considered “qualified” should be raised with the Dean’s office and resolved in advance of any departmental/programmatic commitment to faculty.

\(^3\) Support for compensation from individual faculty reserve accounts (FRIAs) is not considered a qualified source of support in terms of meeting expectations for external funding for a faculty member’s salary/fringe. Individual faculty reserve accounts may be used to make up identified shortfalls in support without activating the provisions of the shortfall policy.

\(^4\) The Dean’s Office shall have the discretion to consider certain institutional cost share funds and/or certain service center activities as qualified. Questions as to whether specific accounts are qualified should be raised with the Dean’s office in advance of any commitment to faculty.
Appendix 2: Use of Program Development Funds

A. Program Development Funds

Faculty members hired by the Geisel School of Medicine and current faculty members charged with building programs may be provided with Program Development Funds (PDFs). These institutional funds are intended to:

- facilitate the establishment of initial research programs of junior faculty members
- to further develop existing research programs of senior faculty members recruited to Geisel
- to spearhead development of new research initiatives and programs for current members of the Geisel faculty

Except if otherwise stipulated [in offer letters, MOUs or other supporting documents], the faculty member’s use of PDFs is generally not prescribed by the School and may be used at the discretion of the faculty member as long as those uses are commensurate with advancing her/his research program and consistent with the expectations set forth by Dartmouth College for the use of research funds.

If milestones or specific uses are set forth as part of such documents, discretionary use of PDFs must adhere to these milestones.

In providing these funds, it is the intent of the Geisel School of Medicine to support the investigator in the development of a research program and therefore the expectation is that PDFs will be used within a three (3)-year period unless a longer period of time is specified in an offer letter or MOU. Notwithstanding this expectation and unless otherwise articulated in such documents or by decision of the Dean’s Office, the commitment of any unused PDF support will extend to faculty members beyond the initial 3-year period and investigators may continue to use these resources at later times to pursue novel research avenues.

As noted above (see Appendix 1), faculty members may draw on PDFs to meet salary compensation shortfalls (much as they might FRIAs), but these funds are not considered a source of qualified support beyond the initial period set out in the offer letter/MOU. In the absence of a specific term set forth in the offer letter/MOU for use of the PDF funds, a three (3) year limit shall apply. Faculty members are not permitted to allocate any PDF funds to FRIA accounts.

C. Program Development Funds for Multi-investigator Research Programs

PIs who are expected to develop large multi-investigator research programs may be provided PDFs which may be used to support compensation for research line faculty, research associates, research assistants and research scientists in their programs. However, offer letters or MOUs provided to PIs charged with developing these large programs will specify that PDFs may only be used to support compensation for these individuals for a specified period of time (e.g., 3 years). Following this period, individuals who are members of this research team will be expected to recover compensation commensurate with their own individual conditions of hire (e.g., research scientists, research line faculty members will need to be covered 100% from qualified sources;
traditional line faculty members will be expected to meet compensation metrics set out in their individual offer letters). As above, although PDFs may be used to support personnel within a multi-PI research group, funds derived from qualified sources for these PIs are not eligible for FRIAs until the expectations for compensation recovery are fully met from such qualified sources.

D. Salary Cap

Unless otherwise stated, individuals who use PDFs beyond the period specified in offer letters/MOU, including providing monies to fund compensation which is in excess of the NIH cap, will not be considered as being compliant with the provisions of the compensation shortfall and tenure policies.

E. Use of PDFs Provided to Individuals who Leave Geisel

If an individual who has been provided PDFs leaves the institution before the PDFs have been exhausted, those funds return to central accounts.

If an individual who has PDFs that derive secondarily from a larger PDF given from Geisel to a Center Director or Chair leaves before those funds are expended, those funds revert to that Center Director or Chair.
Appendix 3: Faculty Tenure at The Geisel School of Medicine

Pursuant to the proposal approved by the Dartmouth College Board of Trustees in April of 1993, the guidelines governing tenure for the faculty of The Geisel School of Medicine shall be as follows:

1. All tenure commitments in existence prior to April 1993 will remain in force. There will be no change in the terms of the institution's obligation to those faculty members to whom tenure had been granted previous to the acceptance of this plan.

2. Eligibility for Geisel tenure, will be limited to full-time faculty whose paymaster is Dartmouth College. For any such individual deriving partial compensation from a DHMC entity other than Geisel, eligibility will depend on the willingness of Geisel to accept the potential responsibility of full support, or on the assurance of continued partial support from the other entity.

3. Tenure may also be awarded to eligible individuals with the rank of professor who join the Geisel faculty or are appointed as departmental chairs, as named chairs, or as the Dean. In all cases the awarding of rank (professor) and the awarding of tenure are separable actions and require separate review and approval by the Appointments, Promotions and Titles Committee, the Dean, the Dean’s Academic Board, the Provost of Dartmouth College, and, for awarding of tenure, the Dartmouth College Board of Trustees. The Dean will include a status report on the tenure program in his/her annual report to the President, Vice-President and Treasurer, and the Provost.

4. Faculty with tenure will be entitled to retain their academic appointments until resignation, retirement or death. They will not be subject to dismissal except for specific cause, as described in Organization of the Faculty of Dartmouth College.

5. The number of tenured positions granted will be determined by the rolling three year average of the sum of [(1) tuition paid by enrolled students (less internally funded scholarships), plus (2) the annual income from Geisel unrestricted endowment, plus (3) income from endowed chairs], divided by the average of potential tenure derived compensation for all tenured senior faculty at that time.

6. Tenured faculty will ordinarily be expected to derive their compensation from a mixture of internal and external sources. To be fully compensated, a tenured faculty member is expected to derive at least 40% of compensation from extramural sources. External sources may include payments for research, teaching, consulting, clinical practice, or other sources designated as "extramural" by the Dean. In the absence of external compensation support, tenured faculty members are guaranteed at least 60% of their previously determined full compensation from internal funds.
7. For a faculty member who does not derive at least 40% of full compensation from external sources, the Dean in consultation with the departmental Chair may provide up to 40% of additional compensation as an internal supplement to the 60% that is guaranteed in recognition of continued effort in teaching, scholarly activity and other valued institutional service.

8. In the event of loss of expected support from external sources adequate to assure full compensation, the downward transition from full compensation to a reduced level will not exceed 10% per year.

9. External support for faculty compensation in the aggregate is essential to the long-term health of the medical school. To the extent possible, tenured faculty members are expected to derive compensation at a level determined at the time of hire (unless subsequently modified by policies of the school) from external sources. The Dean may declare a moratorium on the awarding of tenure if external support of compensation as a percentage of full compensation for all tenured Geisel faculty falls by more than 20% in one year (compared to the rolling average of the three previous years), or falls by that amount over a period of more than one year following the onset of a decline. If the number of tenured faculty meets or exceeds 95% of the institutional support available for those positions, the Dean may also declare a moratorium on the awarding of tenure.

10. In the event of a moratorium on the granting of new tenure/tenure-track positions, the awarding of tenure will be reinstated by the Dean once external support for faculty compensation again becomes adequate. Faculty members promoted to the rank of Professor during the period of the moratorium will be eligible for the award of tenure in order of the time of their promotion.

11. Revisions re-defining the financial obligations to faculty members must be approved by the Board of Trustees of Dartmouth College. Other revisions that change the intent of the document must be reviewed by the Faculty Council of the Geisel School of Medicine. Minor revisions and specific clarifications (e.g., re-naming of the medical school) that do not alter the meaning of the document may be made by the Dean.
APPENDIX 4: MECHANISM TO REQUEST AND OVERSEE BRIDGE FUNDING
FOR TRADITIONAL LINE FACULTY MEMBERS

Requests for bridge funding from Geisel Central will be reviewed by the Dean’s Academic Board (DAB) based on the Bridge Funding Ranking provided by the Chair.

**Bridge Funding Ranking by Chair/Center Director**

**AS THE CHAIR/CENTER DIRECTOR REQUESTING BRIDGE FUNDING, PLEASE BE PREPARED TO USE THIS OUTLINE TO DESCRIBE YOUR SUPPORT OF THIS CANDIDATE IN A DISCUSSION WITH OTHER MEMBERS OF THE DAB**

As Chair, I have requested ____number____ of bridge requests for my faculty (total) in the last four years (20XX-20XX)

As Chair, I anticipate ____number____ potential bridge requests this year (20XX)

I would rank this request compared to requests made in the past four years and anticipated requests as ____ out of ____

Name ________________________ and rank (including secondary/tertiary appointments) ________________________ of the faculty member for whom bridge funding is being requested:

Anticipated date of onset for funding shortfall ______
Anticipated length of time support needed ______
Requested amount $ ______ and duration of shortfall funding __________________
Matching departmental funds $ ______

**Current and past funding history of candidate (time of hire----10 years):**

<table>
<thead>
<tr>
<th>DATES (start and stop)</th>
<th>PROJECT (title/award #)</th>
<th>ROLE (PI/co-I)</th>
<th>%EFFORT</th>
<th>SPONSOR</th>
<th>ANNUAL DIRECT COSTS</th>
</tr>
</thead>
</table>

Most recent two-year history of grant submission:

<table>
<thead>
<tr>
<th>DATE (title)</th>
<th>PROJECT (PI/co-I)</th>
<th>ROLE %EFFORT</th>
<th>SPONSOR AWARDED (Y/N)</th>
<th>SCORE</th>
<th>PAYLINE</th>
<th>ANNUAL DIRECT COSTS</th>
</tr>
</thead>
</table>

*Include proposals preparation or anticipated for submission (with expected submission dates)*

Please be prepared to discuss the research area of the PI and how it relates to your department, contributes to other departments, or adds value to the medical school community.
### Teaching activity of candidate:

<table>
<thead>
<tr>
<th>DATES</th>
<th>INSTITUTION</th>
<th>COURSE TITLE</th>
<th>ROLE</th>
<th>HOURS/YEAR</th>
</tr>
</thead>
</table>

### Service activity of candidate:

<table>
<thead>
<tr>
<th>DATES</th>
<th>COMMITTEE</th>
<th>ROLE</th>
<th>INSTITUTION (e.g., Geisel, DC, DH)</th>
</tr>
</thead>
</table>

### Scholarship of candidate (print or other media) in the past three years:

(peer-reviewed publications in print or other media; use a standard format that includes list of ALL authors, date, title, journal/book name, volume and pages or appropriate web address)

### Entrepreneurial activities of candidate:

(list any patents, licenses or other entrepreneurial activities)

Overall, considering all of the above as the chair of the department/center/institute, I would rank this faculty member in terms of potential with other peers in his/her department as:

RANK _____ out of _________(# of peers in the dept. group)
Appendix 5: Milestones and Mentoring for Bridge Funding Recipients

Dear XXXX,

Outlined below is my plan for providing bridge funding support for you.

- **Term of support:** [month, day], 20XX through [month, day], 20XX.

Your current funding expires in [Month], 20XX, but the Department of [XXXX] has begun to support your laboratory at [at levels specified by Chair and Geisel Administration] levels this month [specify salaries and/or supplies].

- **Request for financial support from Geisel**

I am proposing a sharing of costs with approximately XX% funding from the Department of [XXXX] and XX% funding from central funds of the Geisel School of Medicine:

<table>
<thead>
<tr>
<th>Dept. of [XXXX]</th>
<th>Geisel</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>$XXX,000</td>
<td>$XXX,000</td>
<td>$XXX,000</td>
</tr>
</tbody>
</table>

(XX%)  

(XX%)  

(100%)

The total funding is calculated as the sum of supply funding from [month, day], 20XX, to [month, day], 20XX, plus supplies and compensation from [month], 20XX through [month], 20XX. These costs are proportional by X to the current level of monthly lab expenditures.

- **Mentoring Committee**

A Mentoring Committee shall be arranged to help guide and advise you in advancing your program. The specific functions shall include:
  - provide feedback on the terms of this bridge plan;
  - help you prioritize your plan for grant proposals and publications;
  - pre-review your grant proposals;
  - help you select the most appropriate journals for your publications;
  - pre-review your publication drafts; and
  - provide other general advice and suggestions.

The Mentoring Committee will consist of two to three individuals with broad experience and success in grant writing. XXXX, YYYY and [ZZZ] (list investigators) have graciously consented to serve on this committee. If it would be deemed advantageous, the mentoring committee may be expanded in the future.

I propose that your mentoring committee will meet once a month with you, but one member on a rotating basis will touch base in person with you midway between the monthly meetings.

The committee will communicate monthly with the Chair of [XXXX] to review your progress and prospects.
Milestones and stipulations for continuation of funding:

You must understand that, to justify the department’s and institution’s investment and confidence in you, you must demonstrate a relentless effort to succeed in securing independent funding. To that end, you need to meet the following milestones in order to continue to receive gap funding:

- Grant submissions ADC/OSP/Submission Deadlines

Progress on your [science type] paper submissions will be monitored, and if positive, the following grant submissions will also be expected:

- Outline expectations for paper submissions
- Outline expectations for proposals (mechanism, e.g., R01), expected submission dates and proposed direct costs. The mentoring plan for submitting proposal may be predicated on the acceptance of submitted papers.
- Outline time frame for expected feedback from Mentoring Committee. Positive feedback from the Mentoring Committee regarding your progress, focus, collegiality, responsiveness, and overall commitment to these goals will be necessary for continuation of funding, even if other milestones are met.

A final decision on these additional submission deadlines will be made by [month, day], 20XX, in consultation with the mentoring committee, the Chair of [XXXX], and the Dean’s Office.

- Other requirements

In order for the mentoring function to work optimally, you must present your grant requests for pre-review by the Mentoring Committee at least two weeks in advance of the submission deadline. Similarly, publication drafts must be available for pre-review at least several weeks prior to a desired submission date.

You will meet with the Chair of [XXXX] every month to review your activities and progress in meeting your goals.

In consultation with the Chair of [XXXX], you will review your teaching duties and other internal and external committee assignments with the aim to reduce temporarily as many such responsibilities as practicable, in order to devote as much time as possible to your obligations in your lab.

- Termination of bridge funding

If you fail to meet any of the milestones outlined above by the deadlines listed or if you have negative mentoring reviews, then there will be need to meet immediately to revisit the continuation of support, in consultation with your Mentoring Committee, the Dean’s Office, and the Chair of [XXXX].

If you fail to reach your objectives as outlined in this agreement or you receive negative reviews, the Department of [XXX] and the Geisel School of Medicine may terminate the bridge funding.
APPENDIX 6: TEMPLATE FOR A LETTER FORMALLY
GIVING TRADITIONAL LINE AND CENTRALLY-SUBVENED NON-TENURED FACULTY
MEMBERS NOTICE OF END
OF GEISEL COMPENSATION OBLIGATION AND BRIDGE FUNDING

To: (Faculty member’s name)

From: (Department chair’s name)

Date:

Re: Impending termination of compensation commitment and bridge funding

As we have discussed, each faculty member has a different mixture of teaching, research, clinical, and administrative activities that in the aggregate support his/her employment. When significant components of a faculty member’s time are not funded by specific internal or external sources, it becomes a financial problem for the department, and ultimately for the medical school. Such shortfalls do occur from time to time, and short lapses in funding can be buffered by funds from various sources. Yet if the lack of compensation support persists for extended periods with little chance of reversal, it is not sustainable indefinitely by either the department’s or medical school’s reserves.

The department chair should insert text specifically to cover the following three points:
(1) A summary of the faculty member’s current financial status and the availability to the faculty member of reserve funds, additional service work or other support mechanisms that might be invoked to support compensation;
(2) The budgeted sources of his/her compensation and the support expectations that are associated with their position (this can be found in the faculty member’s offer letter and/or the “Form-A” for the search number under which they were hired);
(3) A summary of any recent conversation(s) between the chair and/or section chief and the faculty member regarding expectations, their status and plans for the future.

In light of the information noted above, I must inform you that neither the [Department] nor The Geisel School of Medicine at Dartmouth can continue to support your compensation or any bridge funds to your laboratory after [date set by the Chair and the Dean of the Geisel School of Medicine in alignment with the 12-month date that shortfall funding is confirmed]. Moreover, after this date, use of your current laboratory space will be reviewed according to the Space Utilization Policy of the Geisel School of Medicine. You should make your professional and career plans based upon this information. Needless to say, if your current circumstances in this department change significantly in the coming months, then this decision can be revisited. In particular, if you secure funding that will restore support for a period of at least two years to those levels set out in your offer letter, then departmental/central bridge funding will terminate and support from the school will also revert to those terms set forth at the time of your hire.

Should we both document in writing a change in your current distribution of effort with a new plan that provides for full funding of each of your new activities that I can support, then we can
alter this established schedule. If part of such a new plan requires continued financial support from the medical school, then the Dean would need to approve such a new plan as well. If nothing essential changes, and we have not formalized an agreement on a new distribution of effort with full funding for each activity, then the above plan will play out. At the date set out above, you will be obliged to find alternative opportunities, or cover your own compensation by alternative means. Please keep me informed of your plans and requirements. We will do our best to assist you in whatever plan you choose to implement whether here or at another institution.

We are most hopeful that this plan will maximize your chances for success and wish you the best of luck.

If you have additional questions, I encourage you to contact Leslie Henderson, Senior Associate Dean for Faculty Affairs, at 650-1751. Dr. Henderson is available to answer questions you may have regarding this action. The Faculty/Employee Assistance Program (F/EAP) is another resource that is available to you should you wish to discuss work-related matters, this service is confidential and free. Their number is 646-1165.

Please provide us with written confirmation that you have received this letter.

Sincerely,

XXXX
Department Chair

Duane A. Compton
Interim Dean,
The Geisel School of Medicine
Appendix 7: Conditions and Notification of Subvention Termination

Non-tenured and Subvened Members of the Faculty:

Faculty members employed by Dartmouth College who were hired into the Traditional Line may also be provided central subvention for salary and benefits (compensation). Such individuals who have not been awarded tenure and who are not meeting expectations for recovering compensation from qualified sources are entitled to notification of that central support being terminated [Appendix 4].

It is important to note that meeting financial expectations is a criterion for academic reappointment and advancement, but it is not the sole criterion for reappointment or promotion and is not a guarantee of reappointment or promotion as per the document entitled Faculty Appointments, Promotions and Titles at the Geisel School of Medicine at Dartmouth.

Tenured Members of the Faculty:

Provisions for awarding tenure and compensation obligations for tenured faculty (pursuant to policies approved by the Dartmouth College Board of Trustees in 1993) are outlined in the document entitled Faculty Appointments, Promotions and Titles at the Geisel School of Medicine at Dartmouth.

In the event of loss of expected support from qualified sources (as assessed over a one (1)-year rolling average), tenured faculty members shall be notified by letter that they will be afforded a twelve (12)-month period to restore qualified support to requisite levels (sufficient going forward for a minimum of two (2) years). If funding levels have not been restored, there will be a reduction from full compensation to a reduced level. This transition will not exceed 10% per year (to no lower than the guaranteed 60% of salary). Exemptions from this policy may be granted based on approval by both the Department Chair and the Dean of the Geisel School of Medicine.

Other Members of the Faculty:

Faculty members employed by other institutions, including Dartmouth Hitchcock and the White River Junction VAMC, will be held to personnel policies of those institutions.

Individuals in any other faculty line who do not meet criteria outlined in their hire (e.g., Research Line faculty who are expected to derive all compensation support from non-Geisel Central sources) are subject to the standard 30 days minimum notice of termination of compensation as determined by Dartmouth College HR policies.

No period of notification needs to be provided to either Traditional Line (subvened) non-tenured faculty members or to tenured faculty members if they are dismissed for cause or if they themselves terminate their employment.
Faculty appointments in any line may be retained independent of compensation support by agreement of the sponsoring department and Geisel Administration. Specifically, for faculty members in the Research Faculty Line, although such individuals are required to attain 100% compensation from non-central Geisel (primarily extramural) sources, it is recognized that faculty members who make valuable contributions to our research endeavors may suffer a break in their funding. While the institution has no obligation to provide compensation support to individuals in the Research Faculty Line at any time, the School shall acknowledge the accomplishments of those that reach the rank of Associate Professor in this line by granting a three (3)-year reappointment of their faculty title at the time of a funding lapse. This extension of faculty status permits these valued investigators the opportunity to re-secure their funding source.