

**Academic Appointments, Promotions and Titles at**

**Geisel School of Medicine at Dartmouth**



**GEISEL**  
— SCHOOL OF —  
**MEDICINE**  
AT DARTMOUTH

**The information contained in this document is accurate as of the date of publication. However, Dartmouth College reserves the right to make from time to time such changes in its rules, policies, operations, programs, and activities as the Trustees, faculty, and officers consider appropriate and in the best interests of the Dartmouth community. Unless otherwise specified, substantive changes to the processes noted herein shall be made following review and recommendations of the faculty or their representatives to the Dean. Minor revisions and specific clarifications that do not substantively alter the meaning of the document may be made by the Dean without advance notice. Such changes/clarifications will be annotated in Appendix 11.**

## Table of Contents

<b>Part I.....</b>	<b>4</b>
<b>Mission of Geisel.....</b>	<b>4</b>
<b>Part II.....</b>	<b>5</b>
<b>Structure and Organization of the Faculty at Geisel School of Medicine.....</b>	<b>5</b>
Faculty Definitions and Titles.....	5
Full Voting Members of the Professoriate.....	5
Tenure-track/Tenure Line.....	5
Non-tenure Line.....	6
Participation in Outside Activities.....	6
Limited Voting Members of the Professoriate.....	6
Academic Medical System (AMS) Line.....	6
Restricted-/Non-voting Members of the Professoriate.....	7
Instructors.....	8
Lecturers.....	8
Clinical Faculty Line.....	9
Adjunct Faculty Line.....	9
Emeritus/a Faculty Line.....	10
Honorary Faculty Line.....	10
Visiting Faculty Line.....	11
Oversight/Responsibility for Academic Appointments/Appointment Term.....	11
Offer Letters and Terms of Appointment Statements.....	12
Initial Appointments.....	13
Tenure-track/Tenure Line.....	13
Non-tenure Line.....	16
AMS Line.....	18
Senior Ranks (Tenure-track/Tenure, Non-tenure, AMS Faculty Lines).....	20
Restricted-/Non-voting Lines.....	21
Standard Appointment Terms.....	26
Reappointments.....	28
Tenure-track/Tenure Line.....	28
Non-tenure Line.....	32
AMS Line.....	34
Restricted-/Non-voting Lines.....	35
Indefinite Term Appointments.....	35
Termination of Appointments.....	36
<b>Part III: Academic Progression and Promotion For</b>	
<b>Tenure-track/Tenure, Non-tenure, and AMS Faculty.....</b>	<b>38</b>
Departmental Oversight.....	38
Areas of Academic Endeavor.....	40
Teaching.....	41
Research.....	43
Clinical care.....	45
Engagement.....	47
Progression to Promotion.....	49

Tenure-track/Tenure Line.....	49
Tenure.....	52
Non-tenure Line.....	53
AMS Line.....	55
Clinical Faculty Line.....	58
Adjunct Faculty Line.....	61
<b>Appendices.....</b>	<b>62</b>
Appendix 1: Tenure.....	62
Appendix 2: Protocols for Faculty Hiring and for Search Committees.....	64
Appendix 3: Policy on Compensation and Research Support.....	77
Appendix 4: Subvention Guidelines.....	95
Appendix 5: Guidelines for Faculty Promotion Procedures.....	99
Appendix 6: Documents needed for Provost’s Review Appointments.....	117
Appendix 7: Faculty Review Process for Provisional Reappointments for Non-tenured Individuals in the Tenure-track/Tenured and Non-tenure Faculty Lines..	119
Appendix 8: Active Emeritus(a)/Post-FRO Appointments.....	121
Appendix 9: Non-/Restricted-voting Faculty Appointments and Promotions.....	123
Appendix 10: Non-Faculty Academic.....	128
Appendix 11: Log of Minor Changes and/or Clarifications.....	132

## Part I: Introduction

### Mission of Geisel School of Medicine at Dartmouth

*The mission of Geisel School of Medicine (Geisel), as part of Dartmouth College and Dartmouth-Hitchcock Medical Center (DHMC)<sup>1</sup>, is to improve the lives of the people we serve—our students, faculty and staff, patients, residents, alumni, and our community. Our vision is to be the Medical School that sets the standard for educating physician/providers, scientists, and teachers to be leaders of change in creating a healthier, better world. We advance our mission by providing an inclusive forum that supports the expression, consideration, and evaluation of diverse ideas, and that empowers each member of our community to reach his or her full potential. Geisel is committed to an environment where there are no barriers between research and education or between innovation and implementation. We strive to disseminate our discoveries readily and to translate our accomplishments into better health for those we serve. Our goals are advanced by a community of scholars whose success is intertwined with the success of our academic and clinical partners and that is guided by the principles of integrity, service, and compassion.*

Our mission rests on our ability to appoint and advance faculty members who excel in teaching, research, scholarship, engagement, and patient care. Geisel grants faculty appointments to qualified health science professionals in recognition of the diverse contributions they make to the mission of the school as educators of students of many types, as scientists who create an environment of discovery, as clinicians who excel in patient care, and as professionals who implement change that advances academic medicine and biomedical research. Faculty titles are awarded on the basis of qualifications, experience, and achievement. Promotion in rank is given to those faculty members who achieve distinction for themselves and for the school, as determined by criteria that are consistent with specific titles and professional responsibilities. Without exception, appointments, titles, and promotions are granted by Geisel to those who have shown they merit such recognition or advancement.

The expectations for how each faculty member will commit his/her time and the criteria he/she will need to fulfill for academic advancement will depend on the faculty line, the track, and the rank of each faculty member. However, scholarship in its broadest definition to “think, communicate and learn”<sup>2</sup> is fundamental to the endeavors of all faculty members of our Medical School, and both appointments and promotions are granted in recognition of excellence in scholarship.

The specific criteria for excellence may vary, but key elements relate to intellectual productivity; to the development and dissemination of new knowledge; and to advances in one’s field or discipline leading to recognition by peers, students, patients, and the broader community. The appointments and promotions process also recognizes excellence in other areas essential to the academic medical system mission, such as leadership roles at Geisel, its clinical partners, Dartmouth College, and the society they serve.

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<sup>1</sup> DHMC comprises Geisel School of Medicine (Dartmouth College), Dartmouth-Hitchcock Clinic (D-HC), Mary Hitchcock Memorial Hospital (MHMH), and Veterans’ Affairs Hospital in White River Junction (WRJ VAMC).

<sup>2</sup> Boyer, Ernest L. *Scholarship Reconsidered: Priorities of the Professoriate*. The Carnegie Foundation for the Advancement of Teaching, 1990.

## Part II: Structure and Organization of the Faculty at Geisel School of Medicine

### A. Faculty Definitions and Titles

All faculty titles at Geisel School of Medicine are provided by Dartmouth College for the express purpose of supporting the academic missions of the Medical School. Faculty titles shall not be granted for purposes outside of those that support the educational, service, and research missions of the Medical School.

At the time of their hire, all faculty members shall receive information (e.g., through an offer letter or terms of appointment statement) that delineates the Line (and Track) to which they are being appointed and both the expectations and obligations of that Line/Track.

#### 1. Full Voting Members of the Professoriate:

##### a. Tenure-track/Tenure Line:

###### Tracks:

- Investigator-Scholar Track
- Educator-Scholar Track

###### Ranks:

- Assistant Professor
- Associate Professor
- Professor

Faculty Members in the Tenure-track/Tenure Line shall include members of the Professoriate who are employees of Dartmouth College at the rank of Assistant Professor, Associate Professor, and Professor in either the Investigator-Scholar or the Educator-Scholar Track. All faculty members appointed to the Tenure-track/Tenure Line and only faculty members within this line shall be considered eligible for tenure (Appendix 1: Faculty Tenure at The Geisel School of Medicine).

Faculty members employed at  $\geq 0.5$  FTE in the Tenure-track/Tenure Line have voting rights as members of the Faculty of the Geisel School of Medicine and of the General Faculty of Dartmouth College.

The qualifier Tenure-track/Tenure Line will be defined in all offer letters and reappointment letters, and in all Geisel databases. Individuals appointed in the Tenure-track/Tenure Line shall identify their positions on all external documents (e.g., grant applications) as Assistant Professor, Associate Professor, or Professor of [Department] (tenured/tenured-track). The qualifier Tenure-track/Tenure Line does not need to be used on internal documents (e.g., letterhead) or personal business cards (e.g., John Doe, Assistant Professor of The Dartmouth Institute).

**b. Non-tenure Line:**

**Ranks:**

- Assistant Professor
- Associate Professor
- Professor

Faculty Members in the Non-tenure Line include members of the Professoriate who are employees of Dartmouth College at the rank of Assistant Professor, Associate Professor, and Professor.

Faculty members employed at  $\geq 0.5$  FTE in the Non-tenure Line Faculty have voting rights as members of the Faculty of the Geisel School of Medicine and of the General Faculty of Dartmouth College.

The qualifier Non-tenure Line will be defined in all offer letters and reappointment letters, and in all Geisel databases, but does not need to be used on internal (e.g., letterhead) or external (e.g., grant application) documents, or on personal business cards (e.g., John Doe, Assistant Professor of Microbiology & Immunology).

**Participation in outside professional activities for Faculty:**

All full time faculty members at Geisel (Tenure-track/Tenure and Non-tenure Lines) who are employed by Dartmouth College may engage in outside professional activities (e.g., consulting or teaching at summer institutes in which fees for services are paid to the individual, rather than as a contract/grant through the College). Consistent with policies for [the College](#) more broadly, such activities should be consistent with their professional duties and should be carried out at the equivalent of no more than one day per week (7 days). In no case should consulting or other outside activities interfere with the teaching, research, service, or other obligations and responsibilities of the faculty member to the medical school.

Faculty members of Geisel School of Medicine who are employed by other entities are obligated to follow professional guidelines of those institutions with respect to participation in outside professional activities.

**2. Limited Voting Members of the Professoriate:**

**a. Academic Medical System (AMS) Faculty Line:**

**Tracks:**

- Clinician-Investigator Track
- Clinician-Educator Track
- Investigator Track
- Educator-Scholar Track

**Ranks:**

- Assistant Professor
- Associate Professor

- Professor

Faculty Members in the AMS Faculty Line include members of the Professoriate at the rank of Assistant Professor, Associate Professor, and Professor in the Clinician-Educator, Clinician-Investigator, or Investigator Track. Faculty members in the AMS Line may be employees of Dartmouth-Hitchcock (D-H; Dartmouth-Hitchcock Clinic, and Mary Hitchcock Memorial Hospital), White River Junction Veterans Affairs Medical Center (WRJ VAMC), or California Pacific Medical Center (CPMC).

Faculty members in the AMS Line ( $\geq 0.5$  FTE) are voting members of the faculty of the Geisel School of Medicine and may be voting members on College committees where they are selected by the Dean to serve as representatives of the Medical School (e.g., the Committee on Conflict of Interest or the Committee for the Protection of Human Subjects), but are not voting members of the General Faculty of Dartmouth College.

The qualifier AMS Faculty Line will be defined in all offer letters (Terms of Appointment Statements), and reappointment letters, and in all Geisel databases, but does not need to be used on internal (e.g., letterhead) or external (e.g., grant application) documents, or on personal business cards (e.g., Jane Doe, Assistant Professor of Pathology).

### **3. Restricted-/Non-voting Members of the Professoriate:**

- a. Instructors**
- b. Lecturers**
- c. Clinical Faculty Line**
- d. Adjunct Faculty Line**
- e. Emeritus/a (and special cases of post-retirement faculty)**
- f. Honorary Faculty**
- g. Visiting Faculty**

- Instructor titles may be provided to individuals who are employees of Dartmouth College or its primary clinical affiliates (D-H, WRJ VAMC, CPMC) who make contributions to the educational and/or research missions of the Medical School
- Lecturer titles will be provided with (rare exception as approved by the Dean) to Dartmouth College employees who are engaged in teaching.
- Adjunct titles will be provided to individuals who are employees of Dartmouth College and hold primary appointments in non-Geisel Schools; or individuals who are not employees of Dartmouth College, but make substantive contributions to the research and teaching missions of Geisel (*vide infra*). Individuals who hold adjunct faculty titles though Geisel and who are members of the professoriate of Arts & Sciences, Tuck, or Thayer shall hold voting rights as indicated by these schools' policies. They do not hold voting rights at Geisel.
- Clinical titles will be provided to individuals who are employees of D-H, WRJ VAMC, CPMC or other clinical affiliated institutions who make contributions to the clinical educational programs and/or clinical research missions of medical center.

- Emeritus/a faculty members (including active emeritus/a) and special cases of post-retirement faculty members (post-“FRO” [Flexible Retirement Option] and a *highly* limited number of non-College retirees who receive approval from the Dean) may receive continuing faculty appointments either in rank or as active emeritus/a. Such appointments must be approved and reapproved annually by the Dean (see Appendix 8).
- Honorary titles may be provided to a limited number of individuals (usually retired from other institutions) who make substantive contributions to the missions of the medical school.

Unless explicitly approved by the Dean, these appointments are non-voting. In a small number of cases, when approved by the Dean or his/her designee, individuals who hold these titles may be given limited voting privileges (e.g., if they serve on the Faculty Council or the Medical Education Committee). Individuals in these lines are not voting members of the General Faculty of Dartmouth College.

**a. Instructor:**

Individuals employed by Dartmouth College may be appointed as Instructors if they fulfill specific and documented educational objectives (e.g., didactic teaching) or if the title is required for senior trainees to make transitions to independence (e.g., K awards; *vide infra*: Initial Appointments). Instructor titles are not provided to senior research associates/postdoctoral fellows solely based on longevity or standard responsibilities within the laboratory (e.g., training graduate students etc.). Research associates/postdoctoral fellows are trainees expected to be here for a limited period of time. Individuals who are expected to take on a non-trainee, longer-term role should be considered for a position as a research scientist or, in a limited number of cases, as a member of the Non-tenure Line faculty.

Clinicians (physicians or associate providers) employed by D-H, WRJ VAMC, or CPMC may be appointed as Instructors in the AMS Faculty Line if they do not meet the expectations for the rank of Assistant Professor at the time of hire, but are expected to be engaged in academic activities as defined for those in the AMS Faculty Line (*vide infra*) and to meet such expectations within a year or two of their hire date. By-law provisions of clinical affiliates in and of themselves are not justification for providing an academic title as instructor (or any other rank). Individuals must meet scholarly expectations for initial appointments, and renewal of rank will only be made with documentation of specific academic activities after initial hire.

It may be more appropriate for clinicians who are expected to have a more limited engagement with the academic missions of the medical system to be hired (or advanced) in the Clinical Faculty Line. However, specified academic contributions are nonetheless expected for initial appointment and documented contributions necessary for reappointment in this line.

Individuals appointed as Instructor shall identify their positions as Instructor of [Department]. There is no “Line” designation for this title on external or internal documents or personal business cards (e.g., Jane Doe, Instructor of Biomedical Data Science).

**b. Lecturer:**

**Ranks:**



- Lecturer
- Senior Lecturer

Appointments at the rank of Lecturer are offered primarily to persons employed by Dartmouth College (although, in some cases such appointments may be made for individuals hired by D-H, WRJ VAMC, CPMC, or another appropriate entity). Lecturers are hired for the specific purpose of teaching one or more courses without any other implicit obligations to the Medical School. Such individuals must contribute the equivalent of teaching of one full course that is recognized in the Office of the Registrar (ORC) Catalogue Reference of Dartmouth College.

Individuals appointed as Lecturer (Senior Lecturer) shall identify their positions as (Senior) Lecturer of [Department]. There is no “Line” designation for this title on external or internal documents or personal business cards (e.g., John Doe, Lecturer of Medical Education).

**c. Clinical Faculty Line:**

**Ranks:**

- Clinical Instructor
- Clinical Assistant Professor
- Clinical Associate Professor
- Clinical Professor

To help fulfill its academic mission to train the next generation of physicians, scientists, and health care providers, Geisel School of Medicine at Dartmouth depends on the committed participation of community-based physicians and other advanced clinicians who may be employed by the entities that comprise DHMC (Geisel, D-H, or WRJ VAMC) or by other clinical practices. In particular, as inter-professional education assumes an increasing prominence in medical training, health care professionals who do not hold a terminal degree (and therefore will usually not qualify for advancement beyond Instructor in the AMS Faculty Line) play increasingly important roles in the academic missions of the Medical School and as such, should be recognized by academic titles and paths of academic advancement.

In addition, clinicians, including physicians, employed by one of Geisel’s major affiliates (D-H, WRJ VAMC, CPMC) who fulfill important administrative and clinical functions at these sites, but who do not meet the expectations for appointments/promotion in the AMS Line, may be appointed and advance in the Clinical Faculty Line.

Individuals appointed in the Clinical Faculty Line shall identify their positions as being in this line in all instances, and the qualifier “Clinical” must be used on external documents, internal documents, and personal business cards (e.g., Jane Doe, Clinical Assistant Professor of Surgery).

**d. Adjunct Faculty Line:**

**Ranks:**

- Adjunct Instructor
- Adjunct Assistant Professor
- Adjunct Associate Professor
- Adjunct Professor

To help fulfill its academic mission to train the next generation of scientists, educators, and health care providers, Geisel School of Medicine depends on the committed participation of investigators and teachers who may be members of other schools at Dartmouth (A&S, Thayer, or Tuck) or who are not salaried by Dartmouth College or by any entity that employs voting and non-voting members of the Regular Faculty.

Individuals appointed in the Adjunct Faculty Line must identify their positions as being in this line in all instances, and the qualifier “Adjunct” must be used on external documents, internal documents, and personal business cards (e.g., John Doe, Adjunct Assistant Professor of Surgery).

**e. The Emeritus/a Faculty Line:**

**Ranks:**

- Professor

Individuals who have attained the rank of Professor in the Tenure-track/Tenure, AMS, or Non-tenure Faculty Lines, and who are employed by Dartmouth College, D-H, WRJ VAMC, or CPMC may be considered for emeritus/a status at the Geisel School of Medicine at the time of their retirement.

Individuals awarded emeritus/a status shall identify their positions as such in all instances: Emerita Professor of [Department]. The qualifier “Emeritus/a” must be used on external documents, internal documents, and personal business cards (e.g., John Doe, Professor Emeritus of Medicine). It is not necessary to include the qualifier, “active” although faculty members may choose to do so.

**f. Honorary Faculty Line:**

**Ranks:**

- Honorary Instructor
- Honorary Assistant Professor
- Honorary Associate Professor
- Honorary Professor

Faculty members who have retired from Geisel or another academic institution, who actively contribute to our academic mission and who may, under some circumstances, receive compensation for these efforts are eligible for appointment in the Honorary Faculty Line.

Policies for appointment/reappointment for the Honorary Faculty Line are described in Appendix 9: Restricted-/Non-voting Faculty Appointments and Promotions Procedures.

Individuals appointed in the Honorary Faculty Line must identify their positions as being in this line in all instances, and the qualifier “Honorary” must be used on external documents, internal documents, and personal business cards (e.g., Jane Doe, Honorary Assistant Professor of Biochemistry).

**g. Visiting Faculty:**

**Ranks:**

- Visiting Scientist
- Visiting Instructor
- Visiting Assistant Professor
- Visiting Associate Professor
- Visiting Professor

The title of Visiting Faculty may be provided to individuals who hold faculty positions at other institutions who come to Geisel to participate in limited-engagement projects in teaching, clinical care, and/or research.

Individuals appointed in the Visiting Faculty Line (inclusive of the non-faculty designation “Visiting Scientist”) must identify their positions as being in this line in all instances, and the qualifier “Visiting” must be used on external documents, internal documents, and personal business cards (e.g., Jane Doe, Visiting Assistant Professor of Epidemiology).

**B. Oversight and Responsibility for Academic Appointments  
and Appointment Terms**

Individuals who comprise the Faculty of Geisel School of Medicine may be employed by Dartmouth College or other entities; however, all faculty titles are granted solely by Dartmouth College.

We recognize that diversity and inclusion are at the very core of our educational mission and are catalysts for institutional and educational excellence. We are committed to building an excellent academic environment, which includes efforts to build a diverse and inclusive faculty. With this goal in mind, departments and programs are asked to develop strategies that incorporate diversity and inclusion as key parameters in their efforts to recruit and retain faculty.

All appointments to any faculty rank must be put forward to the Dean by the Chair (or Institute Director; hereafter referred to as Chair) of the hiring academic department and must be approved by the Dean of Geisel (or his/her designee: e.g., the Dean of Faculty Affairs at Geisel), the Dean’s Academic Board (DAB), and the Provost of Dartmouth College.

Appointments made at the rank of Associate Professor or Professor in the Tenure-track/Tenure, Non-tenure, or AMS Faculty Lines must be reviewed by the Appointments, Promotions and Titles (APT) Committee and the appointment must be recommended to the Dean prior to subsequent review by the DAB and the Provost.

For faculty members in the Tenure-track/Tenure and Non-tenure Lines (i.e., employees of Dartmouth College), the decision to offer employment and a faculty appointment must be put forward to the Dean by the Chair of the hiring department. The Dean, in consultation with the Chair, the Dean of Faculty Affairs at Geisel, the Executive Dean for Administration and Finance,

and (where appropriate) the Senior Associate Dean for Research or the Senior Associate Dean for Medical Education will construct the terms of the offer and the offer letter to the candidate. The Provost must review and approve portfolios of all hires accepted for Tenure-track/Tenure and Non-tenure Line faculty (see Appendix 6).

For faculty members in the AMS Faculty Line, employment rests with D-H, the WRJ VAMC, or CPMC. Appointment to a faculty rank for those offered employment by one of these clinical partners must be reviewed and approved by the Chair of the hiring department, the Dean or the Dean's designee (the Dean of Faculty Affairs at Geisel), the DAB, and the Provost of Dartmouth College.

Under all but exceptional circumstances, individuals proposed for appointment (or promotion, see Part III) to senior faculty titles will have served at Dartmouth or an equivalent academic institution for at least 5 years at the prior academic rank. Irrespective of faculty line, appointments and promotions to senior ranks are based on an explicit recognition of excellence, both qualitatively and quantitatively, with advancement from Associate Professor to Professor being reserved for our most distinguished faculty. Continued service and performance at the rank of Assistant Professor shall not, in and of itself, constitute grounds for promotion to Associate Professor, nor time in rank at Associate Professor alone qualify for promotion to Professor.

Early appointments or promotions will be rare and, when granted, will signify *exceptional* potential and particularly noteworthy accomplishments. All appointments and promotions to the rank of Associate Professor or Professor must be recommended by the APT Committee of Geisel, and approved by the Dean, the Dean's Academic Board, and the Provost of Dartmouth College.

**Offer Letters and Terms of Appointment Statement:**

- For employees of Dartmouth College (including faculty members in the Tenure-track/Tenure and Non-tenure Lines, Instructors, Lecturers, Research Scientists, Distinguished Fellows, Research Associates, and Research Fellows), obligations, commitments, and resources shall be explicitly delineated in the offer/appointment letter from Geisel School of Medicine, and this document shall guide assessment and review of the faculty member with respect to future reappointments (*vide infra*).

Offer letters will fully delineate the line of the hire, the track of the hire, whether a candidate is eligible for tenure (Tenure-track/Tenure Line only), expectations in terms of research, scholarship, teaching, and service (or engagement), expectations for the level of qualified support for her/his compensation (e.g., 50%), obligations of the School in terms of salary and research support (e.g., program development funds), ability and metrics by which a candidate may contribute to a Faculty Research and Innovation Account (FRIA), and any milestones expected for such support (e.g., submission of specific types of proposals and timeline for these submissions), and expectations for specific administrative roles (e.g., Chair, Center Director).

- For appointments in the AMS Faculty Line and for individuals hired by D-H into the Clinical Faculty Line, expectations related to the faculty appointment will be delineated in documents specific for each employer (e.g., Terms of Appointment Statement for D-H, or

Geisel-specific letter for offers from WRJ VAMC). These documents and their specific terms may be subject to change upon mutual agreement of both Geisel and the employer of the faculty.

Acceptance of the position (signing the offer letter or Terms of Appointment Statement) signifies that the candidate is fully aware of the terms of his/her hire and is in agreement with the expectations set out therein.

- For appointments as Instructor or Lecturer, all faculty members will receive Terms of Appointments Statements or offer letters that delineate the expectations and obligations, as well as the rights and benefits associated with the faculty appointment.

### **Initial Appointments:**

#### **Tenure-track/Tenure and Non-tenure Faculty Lines (Dartmouth College employees)**

Individuals appointed in the Tenure-track/Tenure and Non-tenure Faculty Lines are expected to hold a terminal degree (e.g., MD, PhD, DVM, or DO). In rare cases, individuals who hold non-terminal degrees appropriate for a specific position (e.g., an MBA or M.Ed.) may, upon approval by the Dean or her/his proxy, the DAB and the Provost, be approved for appointment to the Tenure-track/Tenure or Non-tenure Faculty Lines.

All appointments to any rank in the Tenure-track/Tenure or Non-tenure Faculty Lines require evidence of demonstrated scholarly accomplishments (in all but exceptional cases, peer-reviewed).

All appointments in the Tenure-track/Tenure and Non-tenure Faculty Lines will in most cases also require a minimum of two years of postdoctoral training. In a limited number of cases, other advanced degrees (e.g., MD/PhD, MD/MBA or relevant MS/MPH degrees) may substitute for time spent in postdoctoral training.

#### **1. Tenure-track/Tenure Faculty Line:**

Appointment in the Tenure-track/Tenure Faculty Line will be reserved for the most distinguished academicians, and the criteria for this line of appointment are consistent with that expectation of excellence in scholarship. Appointment to The Tenure-track/Tenure Faculty Line and advancement in this line require a commitment to and excellence in research (broadly defined as original inquiry), teaching, service (institutional or engagement), and disseminated scholarship.

All appointments of individuals as faculty members in the Tenure-track/Tenure Faculty Line shall follow Equal Opportunity and Affirmative Action (EO/AA) Guidelines, and individuals hired as members of the Tenure-track/Tenure Faculty Line faculty will be counted in the census of faculty for the Dartmouth College Affirmative Action Plan (AAP). Recruitment/appointment of individuals to these faculty positions must occur through a national search or a waiver from a national search and follow best hiring practices (Appendix 2: Protocols for Faculty Hiring and for Search Committees).

Individuals may be appointed in the Tenure-track/Tenure Faculty Line in two tracks:

- a. The Investigator-Scholar Track:** Individuals appointed in this Track are those for whom documentation (CV, letters of support) indicates the ability to establish and sustain (for Assistant Professor) or a proven record of having established and sustained (Associate Professor/Professor) a rigorous extramurally-supported research program and ongoing excellence in peer-reviewed scholarship. Individuals appointed in this Track will also be expected to teach (the venue of that teaching may be variable) and to excel in teaching and to provide exemplary service/engagement to the Medical School as well as to professional organizations related to their chosen field.

With rare exception and approved by the Dean, individuals appointed to the Investigator-Scholar Track in the Tenure-track/Tenured Line will be provided with central support for compensation (fractional FTE) in recognition of their contributions to all three missions (research, teaching, and service).

- b. The Educator-Scholar Track:** Individuals appointed in this Track are expected to be fully dedicated to innovation and excellence in the delivery of undergraduate medical education (UME). As such, they are provided with central support (subvention) for compensation (fractional FTE) of 0.75. These individuals are expected not only to be excellent teachers, but also to play a key role in the evolution of the health care/Medical School curriculum both here at Geisel and on a national front. Although extramural funding is not required for advancement in this track, original inquiry (research) and scholarship is. Moreover, as with laboratory or data sciences, peer-reviewed extramural support for educational inquiry will be taken as validation of the faculty member's contributions to advancing her/his given field. Individuals in this track are expected to sustain a record of excellence for peer-reviewed work in either the specific scientific discipline or in medical pedagogy. Individuals appointed in this track will also be expected to provide exemplary service/engagement to the Medical School as well as to professional organizations related to their chosen field.

For initial appointment at Assistant Professor, evidence of excellence in teaching should be supported by:

- Recommendations from established senior faculty at other institutions.

Evidence of excellence in teaching may also be provided by:

- Documented teaching obligations,
- Recommendations from students at other institutions,
- Evidence of innovation in teaching/pedagogy as demonstrated by curricular development and disseminated teaching tools.

For initial appointment at Assistant Professor, evidence of excellence in research should be supported by:

- Recommendations from established senior faculty at other institutions;
- Clear capacity for scholarly productivity, as evidenced by authorship and by major contributions of substantive and original peer-reviewed work.

Evidence of excellence in research may also be provided by:

- Evidence of peer-reviewed extramural funding from either federal (e.g., NRSA, K awards) or private sources,
- Development of intellectual property related to the chosen field of study.

All requests for initial appointments made to the Tenure-track/Tenure Faculty Line must be accompanied by a minimum of three (3) letters of recommendation from outside referees and the candidate's curriculum vitae submitted to the Dean of Geisel and, subsequently, to the Provost of Dartmouth College (Appendix 6).

The decision to appoint an individual in the Tenure-track/Tenure Faculty Line; the resources committed to the appointment; and the expectations in research, teaching, and service for the hire shall be made by agreement of the Department Chair, the Dean of Geisel, the Executive Dean for Administration and Finance, the Dean of Faculty Affairs at Geisel and, where applicable, the Senior Associate Dean for Research or the Senior Associate Dean for Medical Education.

Individuals who are appointed at the level of Associate Professor or Professor in the Tenure-track/Tenure Faculty Line are expected to excel in multiple areas of academic endeavor and to be our most renowned faculty members. These candidates shall have attained extramural recognition for significant contributions to their given field(s) of scholarly endeavor, been recognized for excellence in teaching, and been active in disseminating their scholarly efforts.

**Tenure:** Tenure imposes a long-term financial commitment by the Medical School and Dartmouth College. As such, the number of new hires to the Tenure-track/Tenure Faculty Line positions at the Medical School at any one time shall be determined by the Dean in consultation with the Executive Dean for Administration and Finance and the Dean of Faculty Affairs, following input from the faculty and in a manner consistent with the financial well-being of the School.

Tenure-track and Tenured members of the faculty will with rare exception be expected to hold full time positions with Geisel.

**Subvention:** it is the expectation that new hires into the Tenure-track/Tenure Line faculty members will be provided with subvention (i.e., fractional coverage of compensation of the stated FTE). In nearly all cases, the level of subvention will be 50%, with exceptions noted for faculty members in the Educator Scholar Track in the Department of Medical Education and, in specific other cases where specified and agreed upon by the Dean, the Dean for Administration and Finance, the Dean for Faculty Affairs, and the Chair/Institute Director (e.g., TDI). Additional subvention may be provided for administrative responsibilities (e.g., Chairs may receive an additional 20%; directors of graduate programs may receive an additional 10%). Such additional subvention supplements are provided only during the term of the administrative duties.

Faculty members in the Tenure-track/Tenure Line may also be provided with different levels of resources for professional/program development. For each hire/appointment, the commitments, obligations, and expectations shall be agreed upon by the Department Chair and the Dean of Geisel, in consultation with the Dean of Faculty Affairs at Geisel, the Executive Dean for Administration and Finance, and (where appropriate) the Senior Associate Dean for Research or the Senior Associate Dean for Medical Education, and delineated in the candidate's offer letter.

Except in cases i) defined by the policies on Faculty Tenure (Appendix 1) and on Compensation and Research Support (Appendix 3); ii) when an individual is no longer performing assigned roles that were the basis for the subvention (e.g., ceases to be Chair); iii) when an individual moves to a non-tenure-track position; or iv) when programmatic restructuring of the school is mandated by the Dean and/or the President, the defined level of support for compensation shall not be reduced for any single individual. The Dean, following review by the faculty, may modify the policies of the School for setting general subvention levels for a given type of position in the Tenure-track/tenure Line (e.g., faculty members in the Educator-Scholar Track).

## **2. Non-tenure Faculty Line:**

In 2013, Dartmouth College introduced a new category of non-faculty academic appointments that corresponds to different ladder categories of Research Scientist. These individuals are academics with Principal Investigator eligibility who are expected to perform essential roles in the research enterprise of individual laboratories (i.e., under the auspices of a faculty sponsor), in institutional cores, or in providing support for broad-based institutional initiatives through roles in data analysis and assessment (Appendix 10: Non-Faculty Academic Appointments).

With the introduction of the Research Scientist category, it is anticipated that the number of faculty members in the Non-tenure Faculty Line at the Geisel School of Medicine will be limited to those individuals who are both committed to research endeavors and have strong and continued evidence of securing external funding from qualified sources.

In most cases, individuals in the Non-tenure Faculty Line are expected to be predominantly, if not exclusively, engaged in research. As such, individuals hired into this line are not required to perform either teaching or service for the institution, and Department Chairs should not request them to do so.

Non-tenure Line faculty members who are solely engaged in research activities may voluntarily participate in *de minimis* professional opportunities (e.g., an occasional guest lecture or occasional term appointment to a non-standing and limited-engagement committee). Such voluntary activities may not be compensated by the Department or the Medical School, and individuals whose support is fully derived for research activities should not serve on standing/long-term committees nor take on teaching duties of recognized authority (i.e., as course instructor or co-instructor) without a reallocation of FTE to these pursuits.

In some cases Non-tenure Line faculty members may have an identified portion of their FTE dedicated to specific teaching obligations under conditions where the Department/Institute has



funds to cover the compensation obligations to the Non-tenure Line faculty member on a contract basis. Teaching activities on such a contract basis are limited to the period for which the Department/Institute has funds available to support such activities and do not obligate the Medical School to any continued support for Non-tenure Line faculty members (i.e., subvention).

To be in compliance with the [US Government Code of Federal Regulations \(CFR\)](#), faculty members in the Non-tenure Line who are committed at  $\geq 50\%$  effort (6 person-months) as principal investigator (PI) or co-investigator (co-I) on sponsored awards (whether federal or non-federal) will be afforded at a minimum 5% central support for grant writing and other service activities precluded as allowable costs on federal research awards. Non-tenure Line faculty who demonstrate excellence in research as set forth by guidelines in Appendix 4 (Subvention Guidelines) may be provided with additional subvention support (e.g., 25% or 50%), but such subvention is not made in perpetuity and is contingent upon a continued level of maintained support.

Non-tenure Line Faculty may be hired without a national search (or a waiver from a search). No member of the Non-tenure Faculty Line may move to a Tenure-track/Tenure Faculty Line appointment in the absence of a national search or a waiver from a national search.

Initial appointments in the Non-tenure Line require approval of the senior faculty and Chair of the sponsoring department following review of the candidate's CV and of three (3) letters of recommendation (the letters may be internal or external to Dartmouth, but must come from individuals with whom the candidate does not have a conflict of interest; see Appendix 5: Geisel School of Medicine at Dartmouth Guidelines for Faculty Promotion Procedures).

For faculty members in the Non-tenure Faculty Line, continued appointment during any term appointment and continued employment at Dartmouth College are contingent upon availability of qualified funds (see Appendix 3: Geisel Policy on Compensation and Research Support) to the faculty member and her/his research program at Geisel (Dartmouth College). With respect to extramural support for research, such funding may be to the individual as principal investigator or may be derived from larger team-based extramurally-funded research wherein the Non-tenure Line faculty member is key personnel.

If support from qualified sources for the position changes during the appointment period, support for the appointment (i.e., fractional FTE) may be adjusted to be consistent with support levels from these qualified sources. If the Dean determines that there are insufficient funds at Geisel to continue with the faculty appointment and/or the faculty member's specific research program, employment may be terminated following notice of no less than 30 days.

All offer letters to faculty in the Non-tenure Faculty Line shall set forth the expectations delineated above.

For initial appointment at Assistant Professor, evidence of excellence in research should be supported by:

- Recommendations from established senior faculty at Dartmouth and/or other institutions;

- Clear capacity for scholarly productivity, as evidenced by authorship and by major contributions of substantive and original peer-reviewed work.

Evidence of excellence in research may also be provided by:

- Evidence of peer-reviewed extramural funding from either federal (e.g., NRSA, K awards) or private sources,
- Development of intellectual property related to the chosen field of study.

As delineated above for appointment to the Tenure-track/Tenure Line (evidence of excellence in research), individuals who are appointed at the level of Associate Professor or Professor in the Non-tenure Line shall be expected to have a sustained record of scholarship, of extramural funding as key personnel to their own research programs, and of regional/national recognition by peers in their field(s) of endeavor.

### **3. The AMS Faculty Line:**

Appointment of individuals as faculty members in the AMS Faculty Line does not require a national search performed by Dartmouth College or adherence to (EO/AA) Guidelines of Dartmouth College, although it is expected that both D-H and WRJ VAMC will perform national searches for these positions. Individuals in this line who are  $\geq 0.5$  FTE will be accounted for in the Dartmouth College Affirmative Action Plan--but as non-employees and thus distinct from faculty members in the Tenure-track/Tenure and Non-tenure Faculty Lines.

Individuals appointed in the AMS Faculty Line will, in all but rare exceptions, hold a terminal degree (e.g., MD, PhD, DVM, or DO). In rare cases, individuals who hold non-terminal degrees appropriate for a specific position (e.g., an MBA or M.Ed.) may, upon approval by the Dean or her/his designee, the DAB, and the Provost, be approved for appointment to the AMS Faculty Line.

Individuals appointed in the AMS Faculty Line are those who exemplify the clinical academic mission of the School and the Medical System. As such, academics are expected to be deeply imbued within their activities: not only in commitment to training learners, but in expectations that they themselves will be lifelong learners. For clinicians in the AMS Faculty Line, they will be expected to be practitioners who stay at the forefront of advances in their fields through participation in both local venues such as tumor boards, Grand Rounds, Morbidity and Mortality Rounds, and seminars, and also through active participation in professional societies. They will be practitioners who are expected to commit to knowing the research related to their fields and to contribute to that scholarship, most often through peer-reviewed and nationally recognized venues. As clinicians for whom these academic pursuits are integral to all that they do, including patient care, those in the AMS Faculty Line will also be the members of the faculty who will be expected to make the most substantive contributions to the education of others, including medical students, residents, fellows, other health care professionals, and their own colleagues, either as separate activities or in concert with patient care, and to advance their specific fields with colleagues across the country and the globe.

It is this commitment to the full scope of academic medicine that sets apart the AMS Faculty Line clinicians from members of the Clinical Faculty Line who may educate learners (e.g., precepting

students), but whose primary responsibilities are to provide patient care either at D-H, WRJ VAMC, or within our affiliated community-based practices. (Clinically-prefixed faculty members may engage in many of the activities noted above, but at a more restricted level than do faculty members in the AMS Line. They should be engaged in advancing their respective fields through scholarly efforts, but such efforts may be more modest in scope or more regional in nature--e.g., developing policies that advance learners as a group or clinical care at their home practice--but such advances may not necessarily need to be disseminated more broadly).

Although it is not necessary to explicitly delineate the Track (e.g., Clinician-Investigator vs. Clinician-Educator) at the time of hire into the AMS Faculty Line, the expectations for these practitioners with respect to expected contributions to clinical care, research, service, and teaching (and the resources provided for these activities) should be defined by their employers at that time.

Individuals hired in the Investigator Track of the AMS Faculty Line will not be expected to have clinical responsibilities, but to be fully engaged in research and research-related teaching efforts.

Individuals in the Clinician-Investigator and Investigator Tracks in the AMS Faculty Line, shall be expected to demonstrate the same commitment to academic medicine, but their activities will be substantively weighted to research and thus may be partially or completely outside of the realm of direct patient care.

While it is likely that the number of individuals in the Educator-Scholar Track in the AMS Faculty Line will be rare (i.e., individuals who have no clinical responsibilities), there may be a limited number of individuals employed by entities other than Dartmouth College (e.g., The WRJ VAMC or D-H) who provide important contributions to the academic missions of the medical school without providing patient care. Such individuals may be considered for appointment and advancement in the Educator-Scholar Track in the AMS Line.

Except as noted above, all appointments to the rank of Assistant Professor, Associate Professor, or Professor in the AMS Faculty Line require:

- Successful completion of a postgraduate training program and (for clinicians) certification or eligibility for certification by the American Board of Medical Specialties, American Osteopathic Board, equivalent foreign board, or the equivalent for non-M.D. or non-D.O. specialists;
- Evidence of demonstrated scholarly accomplishments (in all but exceptional cases, peer-reviewed);
- Commitment to excellence in clinical care with evidence of a high level of clinical competence, skill, or expertise, as demonstrated by recommendations from the program director and associated faculty; or
- Commitment to excellence in clinical research with evidence of a high level of research competence, skill, or expertise, as demonstrated by recommendations

from the candidate's postdoctoral and/or thesis mentors, and by other faculty who know of the individual or who have the capability to assess her/his work.

Appointments to the AMS Faculty Line will not be restricted by geography. Individuals appointed to this line shall be expected to contribute  $\geq 10\%$  of their effort to academic pursuits related to the mission of the Geisel School of Medicine (such activities may be performed in concert with providing clinical care, but need to be documented). Moreover, as noted above, the expectation is that an academic perspective and commitment to understanding the science and theory of one's practice should be an inseparable part of the clinical care provided by faculty in this line.

Appointment to the AMS Faculty Line requires approval by the Department Chair and subsequent review of the candidate's CV, written delineation by the hiring department of the expected academic responsibilities and proposed academic title, and approval of the proposed title by the Dean (or the Dean's designee).

#### **4. Senior Ranks in the Tenure-track/Tenure, Non-tenure and AMS Faculty Lines:**

Following initial appointment, portfolios of individuals hired at the rank of Associate Professor or Professor in the Tenure-track/Tenure, Non-tenure, or AMS Faculty Line must also be reviewed by the Appointments, Promotions and Titles (APT) Committee of Geisel and approved by the Dean, the DAB, and the Provost within one year of the candidate's hire.

Awarding of tenure (Tenure-track/Tenure Faculty Line only; employees of Dartmouth College) must also be approved by the Board of Trustees of Dartmouth College.

To expedite hires to senior ranks, search committees are strongly encouraged to request letters of reference for candidates that explicitly ask these referees to comment on whether the candidate would be considered appropriate for appointment as Associate Professor/Professor and (where applicable) whether they would be considered eligible for tenure--both at Geisel and at their own institutions. In addition, for such senior hires, search committees should provide referees with the materials normally sent out for the APT review process (Appendix 5: Geisel School of Medicine at Dartmouth Guidelines for Faculty Promotion Procedures). If letters of recommendation sent to the search committee include information required for the APT review, they may be included in the candidate's portfolio to the APT in lieu of solicitation of additional letters once the candidate has been hired. Such letters must be dated no later than one year prior to the APT review. If the necessary components of the APT portfolio can be assembled, the review process may ensue at any time following IDE and Dean's Office approval of the senior hire in order to expedite informing the preferred candidate that he/she has been approved at all levels for such senior ranks.

Administrative titles that may be bestowed in conjunction with faculty titles (e.g., Chair, Director, Vice-Chair, Dean(s)) are distinct from academic appointments and do not fall under the purview of this document.

## **5. Restricted-/Non-voting Voting Faculty Lines:**

- **Instructors**

Individuals appointed at the rank of Instructor may hold a terminal degree (e.g., MD, PhD, DVM, or DO) or an appropriate non-terminal degree (e.g., MS, APRN, PA, RNA, MSW, or BSN).

Appointments at the rank of Instructor may be provided to employees of Dartmouth College who support the educational or programmatic initiatives of the Medical School by:

- i. teaching one or more courses without any other implicit obligations to the Medical School. Such individuals must contribute the equivalent of teaching one full course that is recognized in the Office of the Registrar (ORC) Catalogue Reference of Dartmouth College; or
- ii. holding a role as PI on a sponsored award. In most cases, awarding of an Instructor title for this purpose will be to facilitate the ability of a current trainee to obtain an award (e.g., K award or R award) that will allow a pathway to independence, to facilitate a transition to a ladder faculty position at another institution, or in highly limited cases following a national search, at Dartmouth.

Instructors employed by Dartmouth College are non-promotable members of the Professoriate. No college employee may move from the title of Instructor to Assistant Professor in the absence of a national search or a waiver from a national search. Although promotion is not permissible for employees of Dartmouth College who hold this rank, individuals who hold these titles will be expected to meet criteria for reappointment set out at the time of their hire in terms of teaching performance or sponsored research.

With the exception of applying for research funding for which a faculty title is a requirement, or for meeting specific didactic teaching needs, Research Associates will not be considered eligible for promotion to Instructor status. Research Associates are individuals who are engaged in training with the expectation that they will move on to positions elsewhere (at Dartmouth or other institutions through appropriate search/hiring mechanisms).

Appointments at the rank of Instructor for employees of D-H, WRJ VAMC, or CPMC may be provided to individuals who are:

- i. members of the professional staff of D-H or WRJ VAMC who are engaged in graduate medical education training programs and who hold the title of Chief Resident or Fellow in an identified program who have documented academic responsibilities;
- ii. in limited cases, residents who have clear and documented academic responsibilities in research (e.g., key personnel on grants) or teaching beyond what is the norm for GME programs;
- iii. other clinical providers (both physicians and associate providers) who meet criteria for holding an academic title at this rank, but not at a higher rank.

Instructors employed by D-H, WRJ VAMC, or CPMC may be promoted to Assistant Professor in the AMS Faculty Line if new professional responsibilities and their documented academic

credentials warrant this change in rank. In most cases, promotion from Instructor to Assistant Professor in the AMS Faculty Line arises when individuals in this line have documented and disseminated scholarship.

Policies for appointment/reappointment for Instructors are described in Appendix 9: Restricted-/Non-voting Faculty Appointments and Promotions Procedures.

- **Lecturers**

In nearly all cases, individuals who hold this title will be employees of Dartmouth College. As noted above (page 8), the title of Lecturer may be awarded to individuals hired for the specific purpose of teaching one or more full courses (e.g., as recorded in the ORC) without any other implicit obligations to the Medical School.

Initial hire and/or advancement to Senior Lecturer may be requested by the Chair to the Dean or her/his designee (e.g., Dean of Faculty Affairs at Geisel) for those whose academic accomplishments in teaching and/or scholarship would be comparable to individuals at the rank of Associate Professor or Professor in the Tenure-track/Tenure Faculty Line.

Lecturers may be asked to contribute to service missions of The School; however, service alone is not sufficient qualification to hold a lecturer title.

Policies for appointment/reappointment for Lecturers are described in Appendix 9: Restricted-/Non-voting Faculty Appointments and Promotions Procedures.

Requests for advancement to Senior Lecturer should follow protocols for advancement of Research Scientists (Appendix 10: Non-Faculty Academic Titles).

- **Clinical Faculty Line**

To help fulfill its academic mission to train the next generation of physicians, scientists, and health care providers, Geisel School of Medicine at Dartmouth depends on the committed participation of community-based physicians and other advanced clinicians who may be employed by the entities that comprise DHMC (Geisel, D-H, or WRJ VAMC) or by other clinical practices. In particular, as inter-professional education assumes increasing prominence in medical training, health care professionals who do not hold a terminal degree (and therefore will usually not qualify for advancement beyond Instructor in the AMS Faculty Line) play increasingly important roles in the academic missions of the Medical School and as such, should be recognized by academic titles and paths of academic advancement.

Initial appointments in the absence of documented scholarship or a record of commitment to the educational mission of the Medical School through teaching and/or service should be made at the rank of Clinical Instructor. Policies for appointment/reappointment for the Clinical Faculty Line are described in Appendix 9: Restricted-/Non-voting Faculty Appointments and Promotions Procedures.

Individuals appointed to the Clinical Faculty Line may hold a doctoral level degree (e.g., MD, PhD, DVM, DO, or equivalent) or non-doctoral degree (e.g., APRN, PA, RNA, MSW, or BSN). In most instances, individuals in the Clinical Faculty Line who fulfill these roles through their work as community-based preceptors, as associate providers, or as physicians at the medical center in Lebanon or at WRJ VAMC have fewer expectations for academic commitment than those in the AMS Faculty Line. As noted, clinically-prefixed faculty members may engage in many of the activities noted above, but may do so at a more restricted level. They should be engaged in advancing their respective fields through scholarly efforts, but such efforts may be more modest in scope or more regional in nature (e.g., developing policies that advance learners as a group or clinical care at their home practice); such advances do not necessarily need to be disseminated more broadly.

*In toto*, these individuals train our students, residents, fellows, and other health care professionals, but are not expected to engage in the same range of scholarly endeavors or institutional commitments as are members of the AMS Faculty Line. By providing these individuals with faculty appointments, Geisel recognizes the important contribution that they make to the academic mission of the School.

All individuals who are awarded faculty appointments in this line because of their commitments to the educational mission of the medical system must contribute to teaching endeavors of the UME/GME/inter-professional curricula at the level of  $\geq 20$  contact hours/year (i.e., the equivalent of taking one On-Doctoring student) for community-based preceptors or  $\geq 5\%$  FTE for clinicians (physicians, psychologists, or associate providers) within the academic medical system (e.g., D-H or WRJ VAMC). These activities may be performed in concert with patient care.

Initial appointments in the absence of documented scholarship or a record of commitment to the educational mission of the Medical School through teaching and/or service should be made at the rank of Clinical Instructor.

Individuals appointed at the rank of Clinical Assistant Professor or higher, must have successfully completed relevant postgraduate training programs and certification or have eligibility for certification by the American Board of Medical Specialties, American Osteopathic Board, equivalent foreign board (or the equivalent for non-MD or DO specialists), or non-doctoral degree.

Policies for appointment/reappointment for the Clinical Faculty Line are described in Appendix 9: Restricted-/Non-voting Faculty Appointments and Promotions Procedures.

- **Adjunct Faculty Line**

Individuals in the Adjunct Faculty Line teach our students, advance our research endeavors, and contribute to the scholarly mission of the Medical School, usually outside the sphere of clinical practice, but are not expected to engage in the same range of scholarly endeavors pertinent to the mission of the Medical School as are members of the Regular Faculty. By providing these individuals with faculty appointments as Adjunct Faculty Line, Geisel recognizes the important contribution that they make to the academic mission of the School. Faculty members may be

appointed as Adjunct Instructor, Adjunct Assistant Professor, Adjunct Associate Professor, or Adjunct Professor.

It is expected that these individuals shall hold doctoral degrees or the highest appropriate professional degree (e.g., MPH or MBA). Appointments (along with reappointments and promotions where appropriate) for the Adjunct Faculty Line shall be put forward by the relevant Chair and require approval by the Dean of Geisel, the Dean's Academic Board and the Provost.

In granting contributing faculty appointments, the main factor to be considered will be the individual's commitment to the Geisel academic mission. Such a commitment requires documented direct contact with medical students, graduate students, residents, fellows, or other learners. Consistent with the requirements for Clinical Faculty Line, those appointed as adjunct faculty members are expected to contribute  $\geq 20$  hours of net teaching per year in a registered course (e.g., one listed in the ORC of Dartmouth College) or to play a documented and substantive role as part of an ongoing research project by members of the non-voluntary (Tenure-track/Tenure, AMS, Non-tenure Faculty Line) Faculty (e.g., as key personnel on a grant held at Dartmouth, D-H, or WRJ VAMC or documented and on-going co-authorship on peer-reviewed publications). Collaboration on publication alone is not a sufficient basis for granting adjunct status to faculty members in other Schools at Dartmouth or other institutions.

Policies for appointment/reappointment for the Adjunct Faculty Line are described in Appendix 9: Restricted-/Non-voting Faculty Appointments and Promotions Procedures.

- **Emeritus Faculty**

These individuals are faculty members who have rendered distinguished service to Dartmouth, normally for a period of at least ten years. This designation is not automatic and attaining the rank of Professor in and of itself does not automatically confer emeritus status upon retirees. The process commences with the departmental and/or program Chair providing written recommendation of emeritus/a status to the Dean of Geisel School of Medicine. This recommendation, supported by the candidate's curriculum vitae, should clearly and specifically document the academic accomplishments and the value the individual has provided to the missions of the Medical School. The Dean should he/she concur will then make his/her own to the Provost. The change to emeritus/a status must be approved by the Provost, the President, and the Dartmouth College Board of Trustees.

When designated an emeritus/a faculty member, the individual retains that designation and the benefits attached to it (as defined by Dartmouth College) until it is voluntarily relinquished or is removed for cause, or the individual dies.

Tenured faculty members relinquish their tenure when they move to emeritus/a status, and awarding of emeritus status does not imply a commitment for tenure (for those not already tenured).

Special circumstance: Active Emeritus/a members of the faculty are individuals who have retired, and who have been awarded emeritus/a status, but who are engaged in activities that are considered by the Dean to be consistent with active status and with the missions of the Medical



School (see also Appendix 8: Active Emeritus/a/Post-FRO Appointments). At the discretion of the Geisel Dean they may be designated as "Active Emeritus/a" for purposes of credentialing in the clinical arena, for continued research activities, and/or for *ad hoc* part time employment at Geisel. This designation is not bestowed independent of normal emeritus/a status, nor is it to be a title of convenience for those not previously associated with Geisel who enter our area on retirement and wish association with Geisel or our partners. Appointments are granted on an annual basis and must be approved by the Dean in recognition that continued activities support the ongoing missions of the Medical School. Prior appointments to the active faculty for those who are post-FRO and/or emeritus/a status does not commit the school to continuing reappointments if the activities of the faculty member are no longer consistent with the goals and missions of the Medical School. This title reverts to the regular "Emeritus/a" designation when the circumstances prompting the "Active Emeritus/a" designation end.

Policies for appointment/reappointment for Active Emeritus/a/Post-FRO members of the faculty are described in Appendix 9: Restricted-/Non-voting Faculty Appointments and Promotions Procedures.

The privileges and benefits of emeritus/a status include discounted tickets to athletic and cultural events, the ability to purchase computer equipment at discount through The Computer Store, access to computer help through the College, the ability to purchase a parking permit, library privileges, access to computing facilities for professional activity, access to athletic facilities on the same basis as active faculty members, and a subscription to some of the College's publications, such as VOX and Dartmouth Life.

- **Honorary Faculty Line**

These faculty members have a wealth of insight and experience to share with both students and current faculty, and Geisel recognizes the value in keeping them actively engaged in our community. Such faculty members may be involved in teaching students both in the classroom and in the laboratory, may produce scholarly works, and may also provide mentorship to current faculty members. Such individuals do not have to have been employed previously at Geisel (and with rare exceptions will not be paid) and do not have to meet criteria for emeritus status. The Honorary Faculty Line title is not a mechanism to reward individuals for past service if, going forward, they no longer have a substantive and active role at the institution.

To qualify for an honorary faculty title, individuals should, on average, have a commitment of  $\geq$  20 hours of ongoing activities at the Medical School, much as described above for Active Emeritus/a, adjunct, and/or clinical faculty.

The privileges and benefits of honorary faculty members are the same as for emeritus/a status and include discounted tickets to athletic and cultural events, the ability to purchase computer equipment at discount through The Computer Store, access to computer help through the College, the ability to purchase a parking permit, library privileges, access to computing facilities for professional activity, access to athletic facilities on the same basis as active faculty members, and a subscription to some of the College's publications, such as VOX and Dartmouth Life.

Policies for appointment/reappointment for the Honorary Faculty Line are described in Appendix 9: Restricted-/Non-voting Faculty Appointments and Promotions Procedures.

- **Visiting Faculty Line**

It is recognized that faculty members from other academic institutions may come to Geisel for periods of time--typically a year or less--for collaborative projects, sabbatical leave, or named lectureships. These individuals usually continue to retain regular appointments at other institutions, but may be granted term appointments (limited to one year, unless an exception is granted by the Dean's Office). Visiting faculty who do not receive compensation that would allow them to receive benefits from Dartmouth need to ensure that benefits from their permanent institution will continue to apply during their tenure as visiting faculty at Dartmouth. Petitions for visiting faculty status will be reviewed by the Dean of Faculty Affairs at Geisel, and such individuals will be granted the title of Visiting Faculty at a rank that is consistent with their appointment (or equivalent) at their home institution. With respect to foreign nationals, it is the obligation of the Chair or Institute Director to provide complete background information for the candidates for whom a petition for status as a visiting faculty member is being made. Upon receipt of this information, the Dean's Office will consult with the Office of Visa and Immigration Service (OVIS) to determine if the candidate is eligible for employment in accordance with applicable Dartmouth College policies. Information on the regulations of U.S. Citizenship and Immigration Services (USCIS) that govern the appointment of foreign nationals to academic positions may be found on the USCIS website, at <http://www.uscis.gov/portal/site/uscis>.

Visiting faculty titles are for a one-year term. In only a limited number of cases will an appointment as Visiting Faculty be extended for more than one one-year term.

Policies for appointment/reappointment for the Visiting Faculty Line are described in Appendix 9: Restricted-/Non-voting Faculty Appointments and Promotions Procedures.

**Standard Appointment Terms:**

All faculty members are provided academic appointments of defined and often renewable terms. Faculty members in the Tenure-track/Tenure Faculty Line who are awarded tenure at the rank of Professor and those who are awarded emeritus/a (non-active) status do not hold term-limited appointments (*vide infra*).

1. **One (1)-year terms**, which may be renewed, will be provided to individuals approved for appointment as  
Adjunct Faculty Line<sup>3</sup>;  
Instructor;  
Lecturer;  
Active Emeritus;

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<sup>3</sup> Faculty members who are appointed as adjunct faculty for a given term in order to teach a course in A&S, Tuck, or Thayer that is cross-listed at Geisel (or in which Geisel students enroll) will be provided with a corresponding single term appointment that will begin and end concurrent with their primary adjunct responsibility.

- Visiting faculty;  
Active, post-FRO (individuals who maintain active commitments to the Medical School but have completed the Flexible Retirement Option; FRO).
2. **Two (2)-year terms**, which may be renewed, will be provided to individuals approved for faculty appointment in the Clinical Faculty Line; Honorary Faculty Line.
  3. **Three (3)-year terms**, which may be renewed (with some restrictions for tenure-track faculty) will be provided for faculty at the rank of Assistant Professor in the Tenure-track/Tenure, AMS, or Non-tenure Faculty Lines.
  4. **Six (6)-year terms**, which may be renewed, will be provided to individuals approved for appointment as Associate Professor or Professor in the Tenure-track/Tenure (when non-tenured), AMS, and Non-tenure Faculty Lines.

Candidates hired at senior ranks (Associate Professor, Professor) in the Tenure-track/Tenure, AMS, or Non-tenure Faculty Lines will be appointed for an initial period of one (1) year (except under conditions where APT review and administration approval occur prior to employment). For candidates hired at senior ranks, full portfolios must be reviewed by the APT Committee within one year of the candidate's appointment start date. (See Appendix 5: Geisel School of Medicine at Dartmouth Guidelines for Faculty Promotion Procedures.) If the APT Committee recommends appointment at the rank offered and that rank is subsequently approved by the Dean, the DAB, and the Provost, the appointment term shall be extended to the full six (6)-year period (*vide supra*).

For faculty members who are recruited from other Institutions having time served in rank, initial appointment terms will normally be pro-rated such that they conform to expected standard time in rank at Geisel. For example, an individual who has been in rank at Associate Professor for two years would be appointed at Geisel for an initial one-year term, which would then be extended an additional three (3) years (for a total initial appointment of four years) following APT review and endorsement of the appointment as described above.

5. **Variable-year terms:** *vide infra*.

#### **Secondary, Tertiary, Joint and Non-Dartmouth Appointments:**

All faculty members must hold a primary appointment with a recognized department/institute of the Geisel School of Medicine. Unless otherwise specified, the primary department holds responsibility for the financial, academic, and professional oversight of its faculty members. In some cases institutes that do not hold the ability to grant faculty titles (e.g., the Norris Cotton Cancer Center), when approved by the Dean, may share in financial oversight/responsibility for specific faculty members.

Faculty members who make substantive contributions to departments outside of their primary departments may be awarded secondary and tertiary affiliations. Such secondary and tertiary

affiliations will be made upon agreement by the Chair of each participating department and the Dean.

As contributions to non-primary departments may change over time, such secondary and tertiary affiliations may be changed (with different activities) or eliminated if the faculty member no longer has responsibilities to that department. The Geisel School of Medicine does not recognize more than three departmental affiliations within Geisel.

If the Chair of a secondary or tertiary department does not wish to reappoint a faculty member, she/he must inform the Chair of the primary department that her/his sponsorship has been revoked. In the absence of such active action to end an additional affiliation, reappointment by the primary Chair will automatically assume continued sponsorship of reappointed faculty members in these secondary/tertiary roles and any obligations therein.

Faculty members at Geisel may also hold adjunct affiliations with other schools at Dartmouth (i.e., Arts & Sciences, Tuck or Thayer) or other institutions, and in a very limited number of cases, faculty members may have true joint (non-adjunct) appointments across more than one school at Dartmouth. In these cases, financial and academic responsibility for the faculty member will be memorialized in writing and agreed upon by the faculty member her/himself, the appropriate Chairs, and the appropriate Deans of the participating schools at Dartmouth.

As is policy more broadly at Dartmouth, individuals who hold full time faculty appointments at Geisel, unless otherwise approved by the Dean, may not hold non-adjunct faculty appointments at other institutions. Moreover, as with Dartmouth more broadly, an individual holding a tenured position at another institution will be expected to resign that position when accepting one at Dartmouth College and with all but very rare exceptions (to be approved by the Dean and the Provost), an individual will be expected to resign a Dartmouth tenured position if one is accepted elsewhere.

All full-time faculty members have the expectation of a primary commitment to their academic responsibilities at Geisel and its primary clinical partners. It is recognized that with internet connectivity, many of the activities that are core to scholarly work may be done in a multitude of locations. Nonetheless, we also hold that interaction with the rest of the Geisel community is critical to our functions as teachers, scholars, and practitioners of academic medicine. Therefore, it is the expectation that all full-time faculty members maintain a regular physical presence within the major campuses affiliated with Geisel during any quarter in which they are active (e.g., not on family leave etc.). It is recognized that faculty members will engage in activities associated with their professional responsibilities (e.g., study section, attending professional meetings, giving seminars, or teaching in invited academic programs offsite) that may take them off campus. However, outside of such normal academic obligations, prolonged periods in which they are absent must have prior approval by the Chair of the Department and the Dean.

### **Reappointments:**

#### **1. Tenure-track/Tenure Faculty Line**

##### **a. Assistant Professor:**

Individuals appointed to the Tenure-track Faculty Line will be appointed for a three (3)-year term that may be renewed (*vide infra*), with the expectation that such faculty members will be brought before the APT Committee by the end of their sixth year (second term) for consideration for advancement to Associate Professor.

**Process for reappointment to a second term as Assistant Professor:**

The Chair of the faculty member's primary department, the Dean of Faculty Affairs, and the Dean for Administration and Finance will meet two and a half (2.5) years from the faculty member's date of hire to review her/his academic performance to date. This review shall consist of an assessment of:

- Scholarly productivity: Assessment shall consider publications, invited talks, and engagement (e.g., grant reviews), moderating this assessment by the limited amount of time that the faculty member has held the position, the lag time inherent in establishing a research program at Dartmouth, and the fact that different fields have different community norms and metrics for gauging productivity (e.g., developmental biologists vs. statisticians);
- Qualified support: Assessment shall consider the expectations set forth in the faculty member's offer letter for securing compensation support from qualified sources, the efforts expended (e.g. grant proposals submitted) and relative success in meeting those expectations, the impact of securing funding from qualified sources (e.g., the faculty member having received highly competitive funding versus meeting compensation expectations from internal grants), and the likelihood of meeting expectations in the near future if they have not been fully met (e.g., a 15% on a grant when funding levels were 14%);
- Performance critiques: Assessments to date from full professors in the department and (if relevant) from secondary/tertiary Chairs or other individuals who may have specific expertise to comment on the performance of the faculty member to date;
- Teaching: Assessment shall consider the expected teaching obligations and a review of the faculty member's performance to date.
- Service: Assessment shall consider institutional and external service roles.

Assessment of teaching and service shall be tempered by the fact that most faculty members are allowed minimal teaching and service obligations during their first one to two years, in order to establish a successful research program.

In nearly all cases, it is expected that following this assessment, the faculty member's appointment will be renewed for a second standard three (3)-year term, and the reappointment would be put forward for the normal process of review and approval by the Dean, the DAB, and the Provost.

In cases where the faculty member was hired mid-year, the date of the second term will be extended to June 30<sup>th</sup> of that third year (e.g., if the hire date was January 21, 2016, the second-term appointment would be extended to June 30, 2019).

In a limited number of cases the Chair and the Dean's Office may recommend a shorter second-term appointment of one to two (1-2) years. Such a shortened reappointment term may be predicated on extenuating personal or professional difficulties or on deficiencies in academic performance that would not lead to non-renewal, but also would not warrant a full term reappointment. Both instances are expected to be rare.

If there are academic deficiencies, and those deficiencies are remedied during this provisional period, the appointment will be extended to the full duration of the second term, approximately three (3) years, but bringing the end date to June 30<sup>th</sup>. As above, the appointment must follow the normal process of approval by the Dean, the DAB, and the Provost.

If potential deficiencies are not remedied, and if the Chair, the Dean of Faculty Affairs, and the Executive Dean for Administration and Finance are in agreement that the faculty member should not receive a second term of appointment, as noted the faculty member shall be provided, in writing, a letter indicating a one-year terminal appointment from the date of notification by the Dean and the Chair, at the current level of compensation and subvention support. Terminations must follow the normal process of approval by the Dean, the DAB and the Provost.

If the Chair, the Dean of Faculty Affairs, and the Executive Dean for Administration do not agree on a course for reappointment for the faculty member, a review process must be instated, as outlined in Appendix 7: Faculty Review Process for Provisional Reappointments for Non-tenured Individuals in the Tenure-track and Non-tenure Faculty Lines.

**Process following reappointment to second term as Assistant Professor (Tenure-track/Tenure Faculty Line):**

Beginning with the second-term appointment, the Chair(s) of the Department(s) should annually review the progress of each Assistant Professor with her/his senior faculty (or Promotions Committee) according to policies outlined in Appendix 5: Geisel School of Medicine at Dartmouth Guidelines for Faculty Promotion Procedures.

It is the expectation that, with rare exceptions, each Assistant Professor in the Tenure-track/Tenure Faculty Line will be put forward after no more than six (6) years in rank for review by the APT Committee (see Part III), for consideration for promotion to Associate Professor. Promotion earlier than five years is allowable, but such promotions will be viewed as exceptional.

If the Department does not plan to advance the faculty member's portfolio for consideration by the APT Committee prior to the end of the second term, the Chair will notify the Dean's Office no later than six (6) months prior to the end of the second term, and the Chair, with the Dean of Faculty Affairs and the Dean for Administration and Finance will review the faculty member's performance to date (see Appendix 7: Faculty Review Process for Provisional Reappointments for Non-tenured Individuals in the Tenure-track and Non-tenure Faculty Lines).

Following this review, the Chair and the Dean's Office may recommend a term appointment of reduced duration (one to two years). As described above (reappointment for a second term), such a shortened reappointment term may be predicated on extenuating personal or

professional difficulties or on deficiencies in academic performance that would not lead to non-renewal, but also would not warrant a full term reappointment. Both instances are expected to be rare.

If the Chair, the Dean of Faculty Affairs, and the Executive Dean for Administration and Finance do not agree on a course of action (provisional reappointment or forwarding to the APT Committee), the procedures for granting a reduced-duration additional term, as well as for review, are outlined in Appendix 7: Faculty Review Process for Provisional Reappointments for Non-tenured Individuals in the Tenure-track and Non-tenure Faculty Lines.

If there are academic deficiencies, and if such deficiencies are remedied during this provisional period, the faculty member's portfolio will be advanced to the APT Committee for review.

No later than one (1) year prior to the end of this provisional term, the faculty member must receive a letter stating that:

- she/he must be promoted; or
- she/he must be moved to a different line (e.g., Non-tenure or Research Scientist); or
- her/his employment and appointment at Geisel will be terminated (date specified).

**b. Associate Professors:**

The Chair(s) of the Department(s) should review the progress of each Associate Professor with her/his senior faculty (or Promotions Committee).

It is the expectation that, with rare exceptions, each Associate Professor in the Tenure-track/Tenure Faculty Line will be put forward for review by the APT Committee for consideration for promotion to Professor after no more than six (6) years in rank as Associate Professor (Part III). Promotion earlier than five years is allowable, but such promotions will be viewed as exceptional.

If the Department does not plan to advance the faculty member's portfolio for consideration by the APT Committee by the end of the six (6) -year term as Associate Professor, the Chair will notify the Dean's Office no later than six (6) months prior to the end of the second term, and the Chair, with the Dean of Faculty Affairs and the Dean for Administration and Finance will review the member's performance to date as noted above for second-term Assistant Professors.

Procedures for provisional reappointment and review also follow the guidelines indicated above for second-term Assistant Professors.

Provost review of reappointments:

All requests for reappointments in the Tenure-track/Tenure Line at rank (rather than a request for consideration for promotion) must be accompanied by:

- an assessment from the Chair of the faculty member's performance to date based on the faculty member's fulfillment of expectations as outlined in her/his offer letter and criteria relevant to Line/Rank as outlined in this document, as well as in relevant appendices; and
- a justification for continued appointment at rank and the faculty member's curriculum vitae, which shall be submitted to the Dean of Geisel and the Provost of Dartmouth College.

## **2. Non-tenure Line**

Individuals appointed to the Non-tenure Line will be provided renewable three (3)-year appointments with the expectation that such faculty members will be brought before the APT Committee by the end of their sixth (6<sup>th</sup>) year (second term) for consideration for advancement to Associate Professor.

### **a. Assistant Professor:**

Renewal of first term: The Chair of the faculty member's primary department, the Dean of Faculty Affairs, and the Dean for Administration and Finance will meet two and a half (2.5) years from the faculty member's date of hire to review her/his academic performance to date. This review shall consist of an assessment of

- Scholarly productivity: Assessment shall consider publications, invited talks, and engagement (e.g., grant reviews), moderating this assessment by the limited amount of time that the faculty member has held the position, the lag time inherent in establishing a research program at Dartmouth, and the fact that different fields have different community norms and metrics for gauging productivity (e.g., developmental biologists vs. statisticians);
- Qualified support: Assessment shall consider the expectations set forth in the faculty member's offer letter for securing compensation support from qualified sources, the efforts expended (e.g. grant proposals submitted) and relative success in meeting those expectations, impact of securing funding from qualified sources (e.g., the faculty member having received highly competitive funding versus meeting compensation expectations from internal grants), and likelihood of meeting expectations in the near future if they have not yet been fully met (e.g., a 15% on a grant when funding levels were 14%);
- Critiques of performance to date from full professors in the department and (if relevant) from secondary/tertiary Chairs or other individuals who may have specific expertise to comment on the performance of the faculty member to date;
- Teaching and Service: as relevant to the conditions of the hire.

Reappointment after three (3) years: It is the expectation that individuals at the rank of Assistant Professor will be presented to the APT Committee for consideration for promotion to Associate Professor by the end of their sixth (6<sup>th</sup>) year in rank. As outlined for Tenure-track/Tenure Line faculty, extenuating personal or professional circumstances may warrant reappointment in rank at Assistant Professor. Under conditions where both the Chair and the Dean agree that reappointment in rank is warranted, the academic appointment can be extended, and the faculty member may be reappointed for a variable and potentially renewable terms of one to three (3) years until that time when:



- She/he is promoted; or
- She/he moves to a different Line (e.g., Research Scientist); or
- Her/his employment and appointment at Geisel is terminated.

Individuals in the Non-tenure Line may be expected to adjust their fractional FTE in accordance with support from qualified sources (see Appendix 3 on Compensation and Qualified Support). In cases where effort has been reduced to be commensurate with qualified support, continued appointment during a term and/or reappointment to a new term may be granted at that fractional FTE with the understanding that effort could be restored to higher levels if support from qualified sources is restored during the appointment period.

**b. Associate Professor:**

For all faculty members in the Non-tenure Line, it is expected that Chairs and senior faculty members of the Department shall foster their academic development with the expectation that they will advance in rank along the expected timeline (i.e., six (6) years in rank). However, it is also recognized that individuals in this faculty line who continue to make valuable contributions to the academic missions of the Medical School may not meet the necessary expectations for review for promotion, especially if partial loss of extramural support requires a concomitant decrease in fractional FTE.

As with Assistant Professors, individuals at the rank of Associate Professor may have personal or professional considerations (including loss of extramural support that may mandate decreasing one's FTE) that would warrant reappointment in rank for a full (six (6)-year) or a variable (one- to six year; 1-6 year) term. Such reappointments should follow a review as outlined above for Assistant Professor and must be agreed upon by the Chair and the Dean.

Renewal of appointment shall require a review of the faculty member's academic performance to date by the Chair of the faculty member's primary department, the Dean of Faculty Affairs, and the Dean for Administration and Finance. As described above for Assistant Professors, Associate Professors may be:

- Promoted;
- Reappointed for a partial or full additional term (*vide infra*);
- Moved to a different Line (e.g., Research Scientist); or
- Have employment and appointment at Geisel terminated.

**c. Professor:**

Individuals promoted to Professor in the Non-tenure Line may be reappointed for additional six-(6) year terms. Renewal of term appointments for Professors in the Non-tenure Line shall require a review of the faculty member's academic performance to date by the Chair of the faculty member's primary department, the Dean of Faculty Affairs, and the Dean for Administration and Finance (as described above), and is contingent upon meeting expectations with respect to recovery of compensation from qualified sources, continued ability to support a robust

extramurally-funded research program that falls within the identified goals and mission of the Medical School, and continuing to meet expectations for scholarship.

Professors in the Non-tenure Line may be:

- a. reappointed to renewable full terms (range of FTE);
- b. reappointed as a research scientist; or
- c. terminated with appropriate notice (usually 30 days).

It is recognized that faculty members in the Non-tenure Line at the rank of Associate Professor or Professor who have made valuable contributions to the research endeavors of the Medical School may suffer a complete break in their funding. While the institution shall have no obligation to provide continued compensation support to individuals in the Non-tenure Line beyond the stated notice (usually 30 days), if funding for the position is not adequate, the Dean may wish to acknowledge their accomplishments at the time of a funding lapse by continuing their faculty appointment on a one (1)-year renewable reappointment term in the absence of qualified support. This extension of faculty status does not indicate provision of support for compensation but, when granted by the Dean, may permit these valued investigators the opportunity to re-secure their funding source.

Termination of appointment: As for initial appointments, continued appointment and employment in the Non-tenure Line is contingent upon availability of funds to the Medical School as determined by the Dean. If funding for the position changes during the course of an appointment term, the Dean may terminate the appointment and the individual's employment, irrespective of the end date of the appointment term.

Individuals must be provided a minimum of 30 days' notice prior to termination of employment.

Provost review of reappointments:

All requests for reappointment of tenure-track or non-tenure faculty (Dartmouth College employees) must be accompanied by documentation as specified in Appendix 6: Documents needed for Provost's Review.

## **2. AMS Line**

### **a. Assistant Professor**

In the absence of unforeseen professional or personal circumstances, individuals appointed to the AMS Line are expected to meet academic criteria such that their portfolios will be brought before the APT Committee by the end of their sixth (6<sup>th</sup>) year (second term) for consideration for advancement to Associate Professor. However, the Dean or his designee (The Dean of Faculty Affairs) and the Chair may extend more than one reappointment term (each three (3) years) at the rank of Assistant Professor, if the faculty member is making expected contributions to the academic mission of the medical system but would not be considered likely to move forward with promotion.

Reappointment terms may therefore be granted in the AMS Line at ranks of Assistant and Associate Professor with the understanding that:

- there should be adequate faculty development support from the department for them to reach consideration for promotion within a period that does not exceed two standard appointment terms;
- requests for reappointment will be made to the Dean's Office with a documented assessment of the past contributions of the faculty member to the academic missions of the medical system and a plan for future efforts that will allow them to be considered for promotion within this time frame.

#### **b. Senior ranks (Associate and Professor):**

As above, individuals appointed to the AMS Line are expected to meet academic criteria such that their portfolios will be brought before the APT Committee by the end of their sixth (6<sup>th</sup>) year in rank as Associate Professor for consideration for advancement to Professor. However, the Dean or his designee (The Dean of Faculty Affairs) and the Chair may extend more than one reappointment term (one to six years; 1-6 years) at the rank of Associate Professor if the faculty member is making expected contributions to the academic mission of the medical system, but would not be considered likely to move forward with promotion.

Reappointment at the rank of Professor will be required for faculty members in the AMS Line.

For AMS Line faculty members, all reappointments must be reviewed, approved, and requested by the Chair of the primary department (not Service Line Leader or other administrative official).

Renewal of appointments for faculty members in the AMS Line at any rank is contingent upon demonstrated commitment to the academic missions of the Medical School and the medical system. Departments will be required to provide documentation of specific commitments (e.g., name of clerkship, hours committed) in which the faculty member has participated during the prior appointment term with accompanying requests for reappointment for such reappointments to be granted. Status at Dartmouth-Hitchcock alone (e.g., active hospital) is not a basis for renewed appointments of an academic title at Geisel (Dartmouth College).

#### **4. Restricted-/Non-voting Faculty Lines:**

Reappointments at rank for Instructors, Lecturers, and faculty members in the Clinical, Adjunct, and Honorary Faculty Lines will be based on a recommendation by the Chair and demonstrated past and continued commitment to excellence to the teaching, research, or service missions of Geisel.

Requests for reappointments follow procedures outlined in Appendix 9: Restricted-/Non-voting Faculty Appointments and Promotions Procedures.

Requests for reappointment as Active Emeritus/Post-FRO follow procedures outlined in Appendix 8.

#### **Indefinite Term Appointments:**

Appointment terms for tenured professors in the Tenure-track/Tenure Faculty Line and Emeritus/a faculty (non-active) are indefinite until resignation of appointment/employment at Dartmouth (inclusive of leaving for a different position or completing FRO), moving to emeritus/a status, or death, or if the title is revoked following procedures delineated under the Agreement Concerning Academic Freedom, Tenure, and Responsibility of Faculty Members at Dartmouth College.

### **Termination of appointments:**

#### **1. Tenure-track/Tenure Faculty Line (defined terms):**

Voting members of the faculty in the Tenure-track/Tenure Faculty Line (Assistant Professor, Associate Professor, and Professor) must be provided with a minimum of one (1)-year's notice of impending non-reappointment/end of employment or of termination during an appointment term.

#### **2. Non-tenure Line Faculty and Research Scientists:**

Faculty members of the Non-tenure Faculty Line (Assistant Professor, Associate Professor, and Professor) and non-faculty academics (Distinguished Fellows, Research Scientists, and Research Associates; Appendix 10) will be expected to derive compensation support from qualified sources (Appendix 3). For faculty in the Non-tenure Line, the percentage of compensation recovery from qualified sources may vary according to policies enumerated in Appendix 4. Central support for subvention to Non-tenure Line faculty is however, dependent upon the research portfolios of the individual faculty members and continued approval of support for their programs by the Medical School. Since no long-term commitment of central support is inherent for Non-tenure Line Faculty (or Research Scientists, who are expected to derive 100% of their compensation from qualified funds), these positions (both academic appointment and employment) are dependent upon the availability of funds to the Medical School as determined by the Dean. As such, they are subject to a minimum notice of 30 days prior to termination of appointment/employment if such funds are not available.

#### **3. AMS Faculty Line:**

Faculty members employed by other institutions, including D-H and WRJ VAMC, are subject to the personnel policies and contractual arrangements of those institutions. If faculty members employed by entities other than Dartmouth College resign or are terminated from the other institution, their Dartmouth faculty appointments will terminate the same date, unless otherwise agreed upon by the Dean. Faculty titles may also be terminated for cause, independent of employment by other organizations.

If an individual no longer holds a faculty position with the Medical School, all benefits that are associated with that position (e.g., a DND account and access to Dartmouth's libraries) shall also terminate.

#### **4. Non-voting or Restricted Voting Faculty Lines:**

Paid assignments of Instructors/Lecturers/Visiting Faculty: Continued employment for faculty members who hold a paid assignment at these ranks is dependent upon both performance and availability of funds to the Medical School, as determined by the Dean. Faculty members appointed at these ranks must be given a minimum of thirty (30)-days' notice prior to termination of employment.

Faculty appointments shall terminate effective the employment termination date (irrespective of the end date of the appointment term), unless otherwise agreed upon in writing by the Dean of Geisel School of Medicine. New appointments in a different line (e.g., adjunct) may be granted to those who continue to fulfill criteria to hold such titles.

### **5. Termination for Cause:**

Faculty appointments and employment for individuals in the Tenure-track/Tenure and Non-tenure Faculty Lines may be terminated for cause according to policies set forth in the document [Organization of the Faculty of Dartmouth College](#). Faculty appointments for individuals in other lines may also be terminated for cause according to these policies, independent of employment.

### **6. Obligations of Faculty and Non-Faculty Members of the Dartmouth Academic Community:**

Irrespective of employer, individuals who are members of the Dartmouth academic community may be expected to know and comply with broader rules and policies of Dartmouth College including, but not limited to, those outlined in the College's Dartmouth Employment Policies and Procedures Manual. Among these are policies on patent, copyright, conflict of interest, and Institutional Diversity and Equity (including Sexual Respect and Title IX policies). These policies, as well as specific policies on Standards of Conduct for Teacher-learner Relationships for Geisel faculty may also be found at the link for the [Geisel Faculty Handbook](#). In addition, during the course of your faculty appointment, you may receive or become aware of confidential material, including employment information, financial data, medical information, trade secrets, and other non-public or proprietary information concerning Dartmouth College, its employees, its students, and its donors. Please be aware that the College's Confidentiality Policy prohibits the use and disclosure of this information, except as necessary to perform the requirements of your employment. For individuals who carry out professional activities at our clinical affiliates (e.g., DH, the WRJ VAMC or CPMC), they may also be held responsible for compliance related to policies governing professional responsibilities and behavior at those institutions.

## **Part III: Academic Progression and Promotion**

It is the responsibility of the faculty member and the departmental Chair to establish a clear understanding of the faculty member's goals and the Medical School's expectations to achieve those goals in order to develop plans to advance his or her academic career. This process leads to the generation of an academic portfolio that is consistent with the mission of Geisel, tailored to the particular talents, interests, and responsibilities of the individual faculty member, and guided by criteria that define accomplishment along specific career paths. The portfolio is a framework for academic development.

## **A. Departmental Oversight**

### **1. Non-promotable faculty appointments:**

The Chair (and/or his/her designee as academic advisor) shall meet annually with Instructors, lecturers, and those at the rank of full Professor (in any line) at least annually to ascertain that they are meeting expectations for teaching, research, and service to Geisel, and to assure that they can convey to the Chair needs that they may have to meet those professional obligations.

### **2. Promotable faculty appointments:**

#### Tenure-track/Tenure, Non-tenure and AMS Faculty Lines:

The Chair (and/or his/her designee as academic advisor) shall meet with each faculty member at the rank of Assistant Professor or Associate Professor on a regular basis (which, at a minimum is annually, but which is expected to be more than once per year) in order to assure that each faculty member below the rank of Professor is meeting expectations for teaching, research, and service to Dartmouth.

Each department should work to establish a template for gathering appropriate information such that the Chair (or Chair designee) should be able to assess the accomplishments and shortfalls of each faculty member with respect to the expectations in his/her academic line. Templates may vary from department to department, but each department is encouraged to use a similar template and mechanism of assessment for all of its faculty members within a specific line. Chairs (or their designees) need to identify accomplishments, shortfalls and trajectory for advancement well in advance of an expected date for promotion review.

To this end, it is also the obligation of each department to designate a senior mentor or (ideally) a senior faculty mentoring committee to each faculty member below the rank of Professor to assure that she/he is provided ongoing and appropriate guidance to develop to the best of her or his ability with the goal of advancement in rank within a period of six (6) years. Promotion criteria for faculty members will differ depending on the line, track, and rank; however, advances for all academic titles shall be predicated upon common elements of excellence in scholarship, reflecting contributions of each faculty member to her/his academic field of endeavor and to the community that includes Dartmouth but also extends beyond its borders.

For faculty members in the Tenure-track/Tenure, Non-tenure and AMS Lines, the Chair should insure that there is an academic plan that will be consistent with promotion within the expected timeframe of six (6) years in rank (except when circumstances support either an accelerated or prolonged timeframe). Moreover, faculty members should convey to Chairs at these meetings information related not only on their status with respect to their scholarship, teaching, research, engagement and service, but also information as to what resources are needed and, conversely what barriers they believe exist, towards maximizing their academic potential.

Recommendations to advance a candidate to the APT Committee for consideration for academic advancement are to be made following review and recommendation by a committee of senior faculty at Geisel with expertise in the candidate's field of endeavor to the candidate's Chair(s). This committee may be composed of solely of members of the candidate's home department or,

for departments that have smaller numbers of senior faculty members, of members from the home department and other departments with appropriate expertise.

#### Clinical Faculty Line:

Historically, appointment to the Clinical Faculty Line was in recognition of community-based clinicians who contributed to the academic mission of teaching undergraduate medical students or residents. Geisel continues to recognize the highly valued contributions of such preceptors with an academic appointment, but also fully recognizes that academic advancement may not be something to which such preceptors aspire in all cases. Expectations for promotion in the Clinical Faculty Line are outlined in Section 4; below; promotion procedures for those community-based preceptors that do seek such advancement are outlined in Appendix 9.

With revisions to this document approved in 2016, practitioners (including individuals for whom D-H or the WRJ VAMC is their primary site of work) and whose academic responsibilities may encompass not only teaching of learners, but also a broader scope of academic endeavors (research, engagement and service), may also be appointed to the Clinical Faculty Line. For these faculty members in the Clinical Faculty whose contributions merit such acknowledgment, it is the responsibility of the Chair or the Chair's designee to provide comparable guidance and mentorship to promote academic advancement as they do for the AMS Faculty Line. As above, expectations for promotion in the Clinical Faculty Line are outlined in Section 4; below; promotion procedures for those community-based preceptors that do seek such advancement are outlined in Appendix 9.

Recommendations to advance a candidate to the Clinical Promotions Committee for consideration for academic advancement are to be made following review and recommendation by a committee of senior faculty at Geisel with expertise in the candidate's field of endeavor to the candidate's Chair(s). This committee may be composed of solely of members of the candidate's home department or, for departments that have smaller numbers of senior faculty members, of members from the home department and other departments with appropriate expertise.

### **3. Efforts to advance diversity and inclusion at Geisel:**

The Geisel School of Medicine believes a diverse and inclusive community of students, residents, fellows, staff, and faculty enhances our mission of providing exceptional education, advances biomedical discovery, and fosters innovation to help tackle the most vexing challenges in health care. Building a diverse and inclusive community is an institutional goal to which the Geisel community as a whole must contribute. Therefore, it is also expected that during these annual meetings that Chairs will assess how their faculty members have advanced the school's mission to build a diverse and inclusive organization. Such efforts may include, but are not limited to:

- Self-education or professional development opportunities that have increased your own awareness, empathy and ability to be inclusive.

- Committee membership, leadership or other service opportunities that have advanced institutional initiatives for diversity and inclusion.
- Mentoring, counseling or advising. This may be student organizations or individual students. It may include mentoring of students who are themselves members of under-represented groups or mentoring majority students in order to enhance their understanding of key issues in diversity and inclusion.
- Incorporation of material in courses, lectures etc. that enhances presentation/understanding of diverse groups. This may include (but not limited to) discussions of both biomedical/health issues that have impact on different under-represented groups, highlighting the accomplishments of non-majority clinicians/scientists who have historically contributed to our knowledge of a biomedical subject, inclusion of issues related to biomedical ethics/or subjects that would be included in medical humanities that encompass greater cultural competence).
- Presentations that you have made to groups within the academic/medical community or the community at large that have enhanced understanding of diversity and inclusion.
- Specific efforts in which you have been engaged that have led to enhanced recruitment or retention of under-represented faculty, staff or students (e.g., service on a search committee that hired a non-majority candidate; hiring a non-majority individual for your laboratory (staff or postdoc); service on admissions committees [med or grad] that augment recruitment of non-majority students; participation in summer programs that have as part of their mission enhancement of non-majority students in the biomedical community.
- Participation in pipeline programs or engagement in efforts to enhance recruitment at meetings (e.g., professional societies, AAMC) or in conjunction with other professional visits (e.g., when giving a seminar at other institutions).
- Participation/membership in local, regional, national, or international organizations whose missions are to enhance diversity and inclusion.
- Other efforts that you may want to report that would meet our diversity and inclusion goals.

## **B. Areas of Academic Endeavor**

For all faculty lines, it is critical to note that time in rank alone is not sufficient to warrant promotion. To merit reappointment or promotion, the faculty member must provide strong evidence of achievement according to the criteria appropriate to a particular portfolio of academic activities.

Scholarly activity within an academic medical system is recognized in the areas of teaching, investigation, and patient care. Each of these three areas has traditionally been an integral part of academic medicine, and what constitutes scholarship in these arenas is usually well defined. Contemporary academic communities also recognize the value and the contributions of a fourth component: engagement. To emphasize, we define scholarship as the *creation* and *dissemination* of *new* knowledge. Activities in all four areas (teaching, research, clinical care, and engagement) must meet this definition to be considered scholarly work.

The descriptions below provide professional models and related indicators of excellence for academic contributions within each arena. These criteria are neither completely inclusive nor



absolute. Moreover, there is a rich interdependency among these areas, each informing aspects of the others. In particular the area of engagement is interwoven into each of the other three areas of investigation, teaching, and patient care. Appointments to specific titles and advancement along specific lines will depend on the ability of the faculty member to make substantive contributions in more than one of these domains of scholarly activity, but the weighting of each contribution may vary with each individual's professional record of accomplishment. Finally, because notable accomplishments may vary not only among individuals, but also with time as innovations shape the academic sphere, the following descriptions are intended to be suggestive of appropriate criteria, but do not provide a rigid checklist of items that must be met.

**1. Teaching:** Teaching is a core mission of Geisel School of Medicine at Dartmouth and a fundamental expectation of all members of the Geisel faculty. While Geisel has historically been primarily dedicated to the teaching of medical and graduate students, Geisel faculty now participate in the education of many other learners in our academic medical system, within our region, and beyond (e.g., residents and interns, students in the other professional schools and in Arts and Sciences at Dartmouth, students in summer courses, and students in Dartmouth Community Medical School). The goal of all scholarship is to inform those inside and outside our own sphere. An informed and diverse body of learners becomes a critical legacy of our faculty and institution, and we are committed to excellence in their education. Indeed, some members of the faculty may devote the majority of their professional energy to teaching and to the area of scholarship that is the development and dissemination of novel pedagogy.

We expect our faculty to be dedicated to our learners and to aspire to excellence in teaching. We recognize and reward our teachers for their ability to inspire these learners to achieve a sound mastery of the subject, a critical manner of thinking, a healthy skepticism of dogma, and a clear notion of what is both known and unknown in their field. In addition, we expect our faculty to instill in those they teach these same skills and values so that they, in turn, will excel in teaching others. Our faculty members should teach rather than train, serve as role models rather than simply instruct, and inspire students to expand the horizons of knowledge.

### **Criteria Related to Teaching**

The candidate's contribution to teaching and its impact on learners should be documented through syllabi showing participation in didactic courses, evidence of membership on thesis and qualifying examination committees, and documentation of training of individual students, including both identification of mentees and service on student committees. The criteria for teaching excellence include:

- Recognition by peers and students as a key and/or outstanding individual in training, teaching, and advising of undergraduate, medical, and graduate students; residents, clinical, and postdoctoral research fellows; and allied medical personnel and peers. Such recognition of excellence is supported by:
  - Surveys, evaluations, and institutional ratings by students at all training levels;

- Assessments of the candidate's teaching contribution from department Chairs or by other institutional officials (e.g., course directors) that provide a judgment based on a significant sample of the individual's teaching;
  - Documentation of the faculty member's mentoring of a substantial number of students and of the outcomes of teaching (e.g., the mentees who have gone on to obtain positions of their own in biomedical or academic institutions);
  - Formal acknowledgement of outstanding teaching (e.g., selection as Class Day speaker; Teacher of the Year award; membership in AOA, HHMI, and Teaching Professorships).
- Leadership and major participation in departmental or institutional courses or educational programs (e.g., clinical clerkship directorship), development of novel graduate curricula or novel programs that extend across the institution (e.g., development or substantive contributions to MD/MSE, MD/MBA, MS/MD, MD/PhD, or AB/MD curricula).
  - Scholarship in the area of education and teaching methodologies, including textbooks, videotapes, and training manuals, as well as the development, dissemination, and effective implementation (documented) of new courses, curricular content, or novel teaching materials--syllabi, web-based and/or computer-assisted instruction, films, or videotapes. Developments that are peer-reviewed and/or exported on a national or international level shall be heavily weighted.
  - Directorship or development of major courses or other curricular offerings and/or development of significant new teaching materials. Service in a major teaching responsibility (e.g., course director with major teaching responsibility) shall constitute a heavily weighted achievement when coupled with substantive effort commitment to other activities (e.g., clinical care or research).
  - Measures of student achievement (e.g., scores on local or national board and in-service examinations, publication of students' work).
  - Effective leadership or major participation in Continuing Medical Education (CME) at the local, regional, or national level; design of courses; and/or participation therein.
  - Effective leadership or major participation in Graduate Medical Education (GME) at the local, regional, or national level; design of curricula; and/or participation therein.

- Frequent invitations to serve as a visiting Professor or outside speaker, especially in endowed visiting Professorships or lectureships.
- Letters of commendation for exceptional educational contributions to other institutions and organizations.
- Evaluations and ratings arising from participation in other teaching programs.
- Peer-reviewed research that involves the development or evaluation of teaching methods, material (e.g., national board questions), and/or new programs, or that defines important, innovative, and effective (documented) changes in medical education.
- Editorship or authorship of textbooks, reviews, or other scholarly contributions.
- Development of important curriculum offerings or teaching materials (including text books, web-based training modules, clinical handbooks) adopted by Geisel and/or other institutions.

**2. Research:** The mission of the investigator is research, encompassing the discovery, production, and dissemination of new knowledge. Productive scholarship at all levels, from the molecular basis of living systems and human disease to health services and public policy, is an essential characteristic of an academic medical system. The biomedical research of today informs and transforms clinical practice and the health care policies of tomorrow. Results of research can have exponential influence well beyond Geisel by enhancing our understanding of the fundamentals of biological processes, developing new drugs and devices, and advancing healthcare delivery. Accomplished, active investigators imbue their teaching with the rigor of the scientific method and the excitement of discoveries that transform their fields. Investigators nurture an atmosphere of inquiry that permeates all phases of biomedical training and, in turn, promotes the development of researchers under their tutelage who have the ability to ask critical questions. This skill is at the heart of academic medicine, and individuals who understand the fundamental mechanisms of health, disease, and health care delivery will be those best equipped to advance the frontiers of biomedical knowledge and patient care.

The Geisel School of Medicine also recognizes that research may encompass a broad range of academic inquiry. Specifically, we recognize that as with laboratory or data sciences, peer-reviewed extramural support for educational inquiry and scholarship in this area of endeavor will be viewed as contributing to the research community and will be taken as validation of the faculty member's contributions to advancing her/his given field.

### **Criteria Relating to Research**

The candidate should be recognized by peers as an investigator whose work has been instrumental in promoting significant advances in her/his field of inquiry, inclusive of basic research, clinical research, pedagogy, and health care delivery science. Hallmarks of recognition

include both those made as an individual and those made as part of a larger, cooperative team. Recognition of excellence in investigation is made evident by:

- Documentation of the ability to create new knowledge or manners of thought, as made evident by continued publication of substantive, original studies (basic, clinical, pedagogical, or translational science) in peer-reviewed, high-quality journals. Assessment through publications and peers that one has had a substantive impact in driving advances in her/his chosen field of endeavor.
- Recognition by peers for independent and original investigation as shown by external funding of competitive peer-reviewed projects, in individual investigator awards, and/or in multi-investigator/institutional projects (biomedical or educational/pedagogical).
- Entrepreneurial advances. The transfer of knowledge and technology is integral to the educational mission. Research excellence may be recognized by intellectual property (patents, licenses, rights granted under copyright) and the transfer of technological advances to industries that provide for the improvement of society.
- Substantive, non-peer reviewed contributions to the biomedical literature (e.g., authorship or editorship of textbooks, monographs, reviews, or journals). Such contributions may also be relevant to a faculty member's contributions as an educator and/or clinician.
- National or international prizes or awards.
- Invitation to hold endowed lectureships.
- Invited lectures, particularly at major scientific meetings.
- Impact of scholarly output (through a variety of media, including opinion pieces and white papers) on scientific debate, policy, and health care practice.
- Participation on editorial boards, associate editorships, and editorships of journals.
- A strong record of departmental/institutional participation in scientific training.
- Leadership of or active participation in development of research programs (institutional, extramural, and those that link research efforts of Geisel with other organizations).
- Active participation in research-related administrative or committee activity.
- Leadership of or active participation in program projects, training grants, graduate programs, or postdoctoral training programs that advance scientific content in concert with the teaching of science.

- Substantive and significant contributions in biomedical research. These are often achieved by individuals as part of a complex and distributed team of investigators and clinicians. The scholarly importance of these team-science activities is recognized even when individuals are not accorded conventional indications, such as first or last authorship on collaborative projects. While team science is to be recognized and rewarded, to achieve academic advancement as part of collaborative efforts, individuals must provide intellectual input that is *critical* to the scholarship. Contributions must be substantive, not simply supportive, and essential to the efforts of the team to move forward the particular field of inquiry. Service participation (e.g., registering patients in a database), however useful to for the collaborative effort, does not meet the criteria for advancement if it is bereft of analysis and interpretation, which are the cornerstones of scholarship.
- Leadership roles in institutional activities that are critical for broad-based discovery and scholarship. While service work is expected of all faculty members, it is recognized that leadership roles associated with specific activities are fundamental to the scholarly output of large sectors of the institution, even if that individual is not identified by named investigator status on specific grants or published work arising from those efforts. Such efforts may include *leadership* roles with the Clinical Trials Office or in major initiatives such as establishment of institution-wide electronic health record (EHR), etc. Administrative support of such efforts in the absence of evidence of leadership capacity, while valued, is not a criterion for academic advancement.

**3. Clinical Care:** Excellence in clinical practice is an essential characteristic of an academic medical system. The scholarly clinician brings both superior performance and a clear academic dimension to the care of patients, evidenced by breadth and depth of knowledge, awareness of the fundamentals of basic science, pathophysiology and current clinical concepts, extensive use of the biomedical resources available to assist and improve clinical care, excellent judgment, humility, and an exemplary willingness to both teach and learn from professional colleagues. As embodied in the Oath of Hippocrates, the clinician demonstrates a consistent and deeply held dedication to human welfare, the promotion of good health, and the relief of human suffering.

Excellence in clinical practice can be assessed by a number of indicators, including recognition by peers and patients, clinical scholarship, practice of evidence-based medicine, quality of clinical service, whether as an individual or a team, and contributions to the profession and institution. In each instance, these are by-products of the individual's dedication to the highest principles of medical practice.

#### **Criteria Relating to Clinical Care**

Recognition by peers and patients--a reputation within and outside of DHMC for excellence in medical practice as made evident by:

- Development and maintenance of clinical skills and/or programs that have been demonstrated to significantly improve patient outcomes, clinical innovation, and elected or invited service to the profession, taking into account the impact of the program, based on regional health care need, patient volumes, program quality, and sustainability.

- Excellence in metrics of quality of care (e.g., patient satisfaction, peer and support team evaluations).
- Regional to national (for Associate Professor) or national/international (for Professor) recognition by peers and patients as an excellent clinician and consultant; evidence of unusual competence and accomplishment in clinical service.
- Invitation to lead, organize or participate as faculty in regional or national CME courses or other programs that disseminate medical knowledge.
- Evidence of a leadership role in local or regional clinical affairs by service (e.g., as Section Chief, Clerkship Director, Departmental Vice Chair, Departmental Chair, Center Director, or Service Line Director) and/or active and ongoing participation in committee, program, and/or governing boards.
- Design and/or participation in workshops that promote and improve patient care.
- Patient referrals or professional recommendations from other health care providers and patients, taking into account percentage of referrals/consultations that are requested by other peer providers rather than assigned and number and complexity of patients referred.
- Recognition by key partners of excellence in care that arises from the concerted efforts of a team of practitioners. It is recognized that referrals may not be common for certain disciplines (radiology, anesthesiology, emergency medicine, pathology). In these fields, the recommendations of colleagues who can attest to the importance of the skills and contributions of the candidate in promoting the well being of his/her patients will be weighed.
- Consulting activities, documented acknowledgement by peers as a premier consultant, and requested involvement in complex clinical problems.
- Introduction of novel and innovative skills or techniques locally, regionally, nationally, or internationally.
- Special competencies that improve or extend other clinical or training programs.
- Participation in clinical and translational research including questions relating basic biomedical science to patient care, clinical trials, comparative effectiveness research, and quality improvement and translating education research and innovation into standard teaching practice. In assessing such participation, prime consideration should be given to the role of the individual in concept, design, oversight, and conduct of the research activity, as well as membership on key project committees and authorship.

**4. Engagement:** Engagement has been defined as “a highly positive step towards reestablishing what higher education is intended to be: a community of scholars, serving both internal and external audiences in addition to the academic and the public good.”<sup>4</sup> As such, engagement recognizes that service to both intra- and extramural communities fulfills not only an operational function, but is also fundamental to scholarship. Engagement is an alliance of university scholars, lay people, and individual knowledge-creating institutions in the local, regional, national and international community. Engagement promotes the public good and produces “projects that create knowledge and understanding that we cannot obtain anywhere else, while strengthening culture, community, and democracy.”<sup>5</sup> While committee membership is recognized as a valuable contribution to the academic community and is considered in the evaluation for appointment or promotion, engagement goes beyond service work. Engagement is one of the key endpoints of scholarship: extending academic efforts beyond one's own clinical, laboratory or classroom responsibilities to have a broader impact on the biomedical community within the institution and on society and its environs at large.

#### **Representative Criteria Related to Engagement**

- Regional/national (Associate Professor) or national/international (Professor) recognition by peers for original teaching or investigative accomplishments as made evident by invited presentations, lectures, and symposia, requested publications; and formal awards. It is expected that national/international invitations will be more prevalent for those being considered at the rank of Professor than Associate Professor.
- Distinctive recognition through formal awards, invited and named lectures, and participation in symposia, professional society programs, and invitations to lead or participate in notable regional, national, or international courses. It is expected that named lectureships and national/international awards will be more prevalent for those being considered for the rank of Professor than Associate Professor.
- Membership on editorial boards, study sections, and/or advisory groups.
- Leadership roles on editorial boards, study sections, and/or advisory groups.
- Appointed or elected membership/leadership roles in major societies; committee/program, national professional organizations; governing boards and organizations for major professional meetings. It is expected that such elections will be more prevalent for those being considered for the rank of Professor than Associate Professor.
- Membership (elected) and/or leadership roles in societies and/or governing boards related to the candidate's area of endeavor. Participation from local/regional to national/international level is expected to increase from Associate Professor to Professor.

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<sup>4</sup> Ward, K. *Faculty Service Roles and the Scholarship of Engagement*, 2003.

<sup>5</sup> Ellison, J. and Eatman, T.K. *Scholarship in Public: Knowledge Creation and Tenure Policy in the Engaged University*, 2008

Progression from membership to leadership roles is also expected to increase from Associate Professor to Professor.

- Leadership roles in institutional activities that are critical for broad-based scholarship and/or transformative programs at Dartmouth. While service work is expected of all faculty members, it is recognized that leadership roles associated with specific activities are fundamental to the missions of large sectors of the institution, even when that individual may not be identified by named investigator status on specific grants or published work arising from those efforts. Such efforts may include leadership roles with major programs (e.g., Senior Administration, Dartmouth/Geisel Centers; NSF ADVANCE grants; COBRE or INBRE awards) or in major institutional initiatives. Administrative support of such efforts in the absence of evidence of leadership capacity, while valued, is not a criterion for academic advancement.
- Membership (elected) and leadership on state, national, and federal advisory committees.
- Involvement in activities such as position papers and reviews that shape the direction of medicine and science through local, state, and federal government agencies.
- Consultancy participation in or institutional reviews of major external programs.
- Appointed or elected service and leadership on Geisel/DH/Dartmouth College Advisory Committees.
- Contributions to entrepreneurial efforts that create new products or implement advances in product design and instrumentation relative to biomedical science and/or biomedical education.
- Contributions to non-conventional scholarship (e.g., opinion pieces, white papers) that can be shown (e.g., page view, citations) to have a substantive impact on scientific debate, policy, and health care practice.
- Contributions to advances in computation and computing infrastructure and to development and implementation of large databases and/or networks.
- Participation in community-based research organizations.
- Contributions to education communities of practice and/or education collaborations.
- Design and participation in workshops that advance key areas of academic medicine.
- Contributions with respect to departmental and institutional service related to the mission of the Medical School.
- Leadership of or major participation in community engagement venues (e.g., Geisel Community Medical School, HHMI-sponsored outreach programs).



- Development and implementation of curricula associated with regional K-12 outreach.
- Community science cafes and other initiatives that disseminate advances in science and healthcare through media for the general public.
- Community mentoring activities including efforts to enhance the skills of students entering STEM fields and efforts to enhance the diversity of student and faculty representation at Geisel.
- *Pro bono* service at organizations (regional, national, and international) that further health care and biomedical teaching/science (e.g., The Good Neighbor Clinic, Headrest, Listen, WISE, Second Growth, Dar-Dar, the WHO, After School Enrichment Programs).
- Involvement in initiatives that advance science and medical education at academic and non-academic institutions outside of Dartmouth.

### **C. Progression to Promotion**

#### **1. Tenure-track/Tenure Faculty Line:**

As noted above, appointment to The Tenure-track/Tenure Faculty Line and advancement in this line require a commitment to and excellence in research (broadly defined as original inquiry), teaching, service (institutional or engagement), and disseminated scholarship. Excellence in these areas is predicated on recognition by both internal and external peers (*vide infra*). The APT Committee shall consider the following in their determining whether to recommend promotion (or initial appointment) to the rank of Associate Professor or Professor in the Tenure-track/Tenure Faculty Line.

For those in the Investigator-Scholar versus the Educator-Scholar Tracks, the weighting of specific accomplishments may vary, but for promotion in either track, individuals must demonstrate excellence in teaching, investigation, scholarship, and a substantive commitment to service/engagement, either at the level of the institution or more broadly within the professional community. In a limited number of cases, excellence in clinical care may also be a key part of the candidate's portfolio, but this is not expected for most faculty members in this line.

A commitment to and demonstrated excellence in teaching may be predominantly in either graduate education (PhD or Masters programs) or in medical education (e.g., small groups). Teaching in venues outside of Geisel (e.g., Dartmouth undergraduates or summer courses associated with other organizations) may also be considered when assessing a candidate's teaching accomplishments, but should not be the sole teaching activity.

All members of the Tenure-track/Tenure Faculty Line are also expected to have substantive activities in service to the institution (e.g., serve on Geisel or Dartmouth College committees) and to have recognition from their external peers in areas of service/engagement (e.g., study section, editorial boards).

Criteria relevant to each of these areas are defined in Part 3B above.

**a. Assistant Professor to Associate Professor:**

The Chair(s) of the Department(s) should review the progress of each Assistant Professor with her/his senior faculty (or Promotions Committee) according to policies outlined in Appendix 5: Geisel School of Medicine at Dartmouth Guidelines for Faculty Promotion Procedures, with the expectation that each Assistant Professor in the Tenure-track/Tenure Faculty Line will be put forward for review by the APT Committee for promotion to Associate Professor by six (6) years in rank<sup>6</sup> as Assistant Professor.

Those being considered for promotion to Associate Professor in the Tenure-track/Tenure Faculty Line shall have garnered substantive extramural recognition at the regional level and a burgeoning reputation at the national level in areas of teaching, scholarship, investigation, engagement, and, if applicable, patient care. Note, as mentioned above, that the weighting of these individual components in contributing to a regional or national reputation may vary with each individual's professional record of accomplishment.

For example, with respect to research:

Individuals being considered for promotion to Associate Professor should have a regional to burgeoning national reputation in their area of research as made evident by the number and quality of peer-reviewed publications (especially those on which they have an identified key role, e.g., first or last author); their ability to secure peer-reviewed extramural funds as key personnel (e.g., PI, multiple-PI, or co-I/biostatistician at a substantive fractional effort); their recognition by those in their field as made evident by invited presentations; and their elected/invited membership on review panels, study sections, and societies.

As with other faculty lines, the Geisel School of Medicine recognizes and values team-based as well as individual research efforts for Non-tenure Line faculty. However, advancement requires recognition and the development of a national/international reputation as leader in a field, even when work is performed in the context of a team, not simply acknowledgement that one is contributing member to a program.

If the candidate has not been approved for promotion at all levels (APT Committee, Dean, DAB, Provost), she/he may be reappointed for a variable non-renewable term, move to a Non-tenure Line faculty or Research Scientist position, or be provided with a one-year notice of the end of appointment/termination of employment as set forth in Section II on reappointments.

**b. Associate Professor to Professor:**

The Chair(s) of the Department(s) should review the progress of each Associate Professor with her/his senior faculty (or Promotions Committee), with the expectation that each Associate

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<sup>6</sup> *Subject to the review process and to the considerations that may provide faculty members with an additional one to three (1-3) year term; both outlined above under Section II: Reappointments.*

Professor in the Tenure-track/Tenure Line will be put forward for review by the APT Committee for promotion to Professor within six (6) years in rank as Associate Professor.<sup>7</sup>

Criteria for promotion (or initial appointment) to the rank of Professor in the Tenure-track/Tenure Faculty Line follow from those established for appointment/promotion to Associate Professor, with the expectation that both quantitative and qualitative advances in research, education, engagement, and, if applicable, patient care (Section 3B, above) will have been made in order for this rank to be bestowed. While accomplishments may vary with the individual, those promoted to Professor in the Tenure-track/Tenure Faculty Line must have a sustained record of excellence in teaching and will have garnered extramural recognition at the national and/or international level for their scholarship, research, engagement, and, if applicable, clinical care.

For example, for research:

Individuals being considered for promotion to Professor will be expected to have a national to international reputation. These individuals will be programmatic leaders and have a sustained history of excellence in peer-reviewed scholarship and in their ability to secure peer-reviewed, extramural funding as PI/multiple-PI, as well as in roles as co-I/biostatistician at a substantive fractional effort. Those being considered for Professor should have national to international recognition as made evident by invited presentations, permanent membership on study sections and editorial boards, awards, and honors.

If, at the end of the six (6)-year term as Associate Professor, the APT Committee has not recommended promotion to Professor, the Dean, following consultation with the Chair of the Department, may recommend that the academic appointment be extended, and the faculty member may be reappointed for a term of one to six (1-6) years until that time when:

- i. She/he is promoted; or
- ii. She/he moves to a different line (e.g., Non-tenure track or Research Scientist); or
- iii. Her/his employment and appointment at Geisel is terminated.

Recommendations to extend an appointment, and the length of term of that reappointment, shall take into account both professional considerations and considerations outside of professional criteria (see Appendix 7: Faculty Review Process for Provisional Reappointments for Non-tenured Individuals in the Tenure-track/Tenured and Non-tenure Faculty Lines). Moreover, if the Dean and the Chair do not agree as to the duration of the variable appointment provided, the Chair and/or the Dean may request that the APT Committee convene a special session for review and recommendation for the term of the appointment, as described above.

For faculty members in the Tenure-track/Tenure Faculty Line, it is expected that all individuals will demonstrate progress in their academic accomplishments consistent with their ability to attain promotion to the rank of Professor. That is, except in rare cases and only as approved by the Dean, indefinite and continued appointment at the rank of Assistant Professor or Associate

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<sup>7</sup> *Subject to the review process and to the considerations that may provide faculty members with an additional one to three (1-3) year term; both outlined above under Section II: Reappointments.*

Professor for those in this line is neither consistent with the expectations for Tenure-track/Tenure Faculty Line nor with the mission of the Medical School.

It is also the expectation for individuals in the Tenure-track/Tenure Line that they will meet criteria that will be consistent with the awarding of tenure at the time that they are promoted to Professor. As elaborated in Appendix 5 (Guidelines for Faculty Promotion Procedures), the APT committee will make two separate recommendations to the Dean during review of a Tenure-track/Tenure Line candidate being considered for promotion to Professor: the first for advancement in rank and the second whether to recommend tenure. In a limited number of cases, the Dean may recommend promotion to Professor without tenure. If the faculty member is approved for promotion to Professor, but tenure is not approved, the Dean, in consultation with the Chair, may

1. approve a reappointment period of one to six (6) years until tenure is reassessed (such one- to six year (1-6 year) terms are renewable); or
2. recommend that the faculty member move to the Non-tenure Faculty Line.

### **c. Tenure:**

Tenure at Geisel School of Medicine (Appendix 1) may be granted at the rank of Professor to those in either the Investigator-Scholar or the Educator-Scholar Tracks. For tenure to be awarded in either track, as stated in the Dartmouth College Faculty Handbook, tenure appointments will be made only when there is clear evidence of outstanding accomplishment and demonstrated potential for distinction in scholarship and teaching. Those individuals who are recommended for tenure need not only to meet criteria for advancement to Professor, but also to excel in those areas, such that the School is justified in making the long-term commitment to them that tenure provides. In brief, individuals who are recommended for tenure should demonstrate a sustained excellence in teaching and scholarship, a long-standing record of successful research endeavors (broadly defined as discovery supported through external mechanisms), and national and/or international prominence in their respective fields. With tenure, Geisel and Dartmouth College indicate that the individual's accomplishments and her/his future anticipated contributions warrant a continued, non-term commitment. Thus, only those individuals whose academic records fully support the assumption that their performance in teaching, research, scholarship, and service shall continue at a level of national/international excellence will be recommended to the Board of Trustees for granting of tenure.

The tenure document (Appendix 1), as approved in 1993, stipulates that to be fully compensated, a tenured faculty member is expected to derive *at least* 40% of compensation from extramural (qualified) sources, and that in the absence of external compensation support, tenured faculty members are guaranteed at least 60% of their previously determined full compensation from internal funds. The provision to provide full compensation to a tenured member of the faculty if she/he derives at least 40% of compensation from qualified sources is not equivalent to stating that a tenured member of the faculty is expected to obtain only 40% of compensation from such sources. To be considered meeting expectations (as set out in Appendix 3), all tenured members of the faculty must continue to meet those metrics delineated in their offer letters or any subsequent document approved by the Dean that supersedes the original letter (e.g., a letter of retention). The Dean has also approved an expansion of acceptable avenues of support from

those that are strictly external to include a broader definition of qualified sources (Appendix 3; Subappendix A).

The tenure policy established by the Board of Trustees in 1993 is for full time faculty, however, tenured faculty members who voluntarily reduce their FTE from 1.0 in order to address compensation shortfall and who remain solely Dartmouth College employees do not jeopardize their tenure status by this FTE reduction.

## **2. Non-Tenure Faculty Line:**

Individuals who contribute to research endeavors at Geisel through collaborative team-based contributions as part of a larger team supported by a Tenure-track/Tenure Faculty Line faculty member will in nearly all cases be provided academic, but non-faculty, appointments as Research Associates (trainees) or Research Scientists (long-term non-trainee appointments). In limited cases, it may benefit the Medical School to provide a faculty title to an individual who is research-intensive, but would not meet the criteria for a Tenure-track/Tenure Faculty Line appointment. The number of such Non-tenure appointments is expected to be limited.

Non-tenure Line faculty at Geisel School of Medicine at Dartmouth exists to support the specific programmatic needs of departments and research units within the departments. Although individuals appointed or promoted in the Non-tenure Faculty Line may participate in multi-investigator, team-based research initiatives, they are expected to also be recognized as independent, self-directed, and extramurally funded researchers, engaged exclusively or predominantly in investigative efforts.

As for other faculty lines, the Geisel School of Medicine recognizes and values team-based as well as individual research efforts for Non-tenure Line faculty. However, advancement requires recognition and the development of a national/international reputation as leader in a field, even when work is performed in the context of a team, not simply acknowledgement that one is a contributing member to a program.

For members of the Non-tenure Line faculty who are required to derive 95% of their support from non-central Geisel (primarily extramural) sources, they may not have more than *de minimis* teaching, administrative, or clinical duties unless such activities are accounted for by FTE assigned and supported by appropriate funding sources.

For individuals whose support is derived from research activities (i.e., grants), teaching may be an integral part of the research (i.e., training of graduate students, research associates, residents, and/or fellows). These activities may be considered at the time of review for promotion. However it is not required that Non-tenure Line faculty members provide training to others, and individuals in this line may be recommended for promotion based on their scholarship and record of extramural support without having engaged in such activities.

For individuals who have an approved and identified FTE dedicated to departmental teaching activities or administrative duties, such activities may also be considered at the time of consideration for promotion, but, as above, neither teaching nor service is required for

advancement in this line. Moreover, in the absence of identified qualified support for such activities, it may not be allowed and therefore should not be considered at the time of consideration for promotion.

**a. Assistant Professor to Associate Professor:**

The Chair(s) of the Department(s) should review the progress of each Assistant Professor with her/his senior faculty (or Promotions Committee) according to policies outlined in Appendix 5: Geisel School of Medicine at Dartmouth Guidelines for Faculty Promotion Procedures, with the expectation that each Assistant Professor in the Non-tenure Faculty Line will be put forward for review by the APT Committee for promotion to Associate Professor by six (6) years in rank as Assistant Professor.

Individuals being considered for promotion to Associate Professor should have a regional to burgeoning national reputation in their area of research, as made evident by the number and quality of peer-reviewed publications (especially those on which they have an identified key role, e.g., first or last author); their ability to secure peer-reviewed extramural funds as key personnel (e.g., PI, multiple PI, or co-I/biostatistician at a substantive fractional effort); their recognition by those in their field as made evident by invited presentations; and elected/invited membership on review panels, study sections, and societies.

If the candidate has not been reviewed by the APT Committee or has not recommended promotion to Associate Professor at the end of the six (6)-year term as Assistant Professor in the Non-tenure Faculty Line, the Dean, following consultation with the Chair of the Department, may

- recommend that the faculty member be reappointed according to criteria set forth in Part IIB, Section 3c (Reappointments in the Non-tenure Faculty Line) until promotion is reassessed. Such reappointments may be renewed;
- recommend that the faculty member move to a non-faculty academic position (Research Scientist; Appendix 10); or
- end the appointment/employment at the stated termination date, but no sooner than 30 days after notification.

Under no circumstances may a faculty member in the Non-tenure Faculty Line move to the Tenure-track/tenured Faculty Line in the absence of a search or a waiver from a search. Individuals who have been hired through a search or a waiver from a search for a Non-tenure Line position may move to a Tenure-track/Tenure Line position upon review and agreement by the Dean and the Chair.

**b. Associate Professor to Professor:**

The Chair(s) of the Department(s) should review the progress of each Associate Professor with her/his senior faculty (or Promotions Committee) according to policies outlined in Appendix 5: Geisel School of Medicine at Dartmouth Guidelines for Faculty Promotion Procedures, with the expectation that each Associate Professor in the Non-tenure Faculty Line will be put forward for review by the APT Committee for promotion to Professor by six (6) years in rank as Associate Professor.

Criteria for promotion (or initial appointment) to the rank of Professor in the Non-tenure Faculty Line follow those established for appointment/promotion to Associate Professor, with the expectation that both quantitative and qualitative advances in research and scholarship (and, if applicable, education, or patient care) will have been garnered to produce extramural recognition at the national and/or international level in order for this rank to be bestowed.

For example, for research: Individuals being considered for promotion to Professor will be expected to have a national to international reputation. These individuals will be programmatic leaders (i.e., PI, multiple-PI or co-I) and have a sustained history of excellence in peer-reviewed scholarship and in their ability to secure peer-reviewed, extramural funding (e.g., PI, multiple-PI, or co-I/biostatistician at a substantive fractional effort). Those being considered for Professor should have national to international recognition as made evident by invited presentations, permanent membership on study sections and editorial boards, awards, and honors.

If the candidate has not been reviewed by the APT Committee or has not recommended promotion to Professor at the end of the six (6)-year term as Associate Professor in the Non-tenure Faculty Line, the Dean, following consultation with the Chair of the Department, may

- recommend that the faculty member be reappointed according to criteria set forth in Part IIB, Section 3c (Reappointments in the Non-tenure Faculty Line) until promotion is reassessed;
- recommend that the faculty member move to a non-faculty academic position (Research Scientist; Appendix 10); or
- end the appointment/employment at the stated termination date, but no sooner than 30 days after notification.

### **3. AMS Faculty Line**

As an institution charged with educating health care providers and enhancing the knowledge of medical science and medical practices, Geisel relies on clinical institutions to provide educational and research opportunities in the clinical setting that are essential to the mission of the Medical School. We recognize that the clinicians who provide access to patients and teaching for medical students and house staff are foundational to our mission. We also recognize that such clinical faculty may be engaged in research that fulfills core missions of our Medical School. Finally, we recognize that, through research and/or patient care, these clinicians educate the leading physicians/providers and biomedical scientists of tomorrow.

As noted above, individuals appointed in the AMS Faculty Line are those who exemplify the academic mission within the clinical environments of the School and the Medical System. As such, academic attributes are expected to be deeply embedded in all of their activities.

The majority of individuals in the AMS Faculty Line will be predominantly engaged in teaching associated with patient care (Clinician-Educator Track), although a select cadre may also excel at research (Clinician-Investigator Track) or be non-clinicians dedicated to research outside of the delivery of care (Investigator Track). An even smaller cadre may be expected to be Educator scholars; dedicated to advancing clinical pedagogical programs, but not have direct patient care or substantive supported research activity.

Advancement in the AMS Faculty Line is predicated on meeting criteria for excellence in patient care, education, scholarship, engagement, and, in some instances, research. The weight of the components for advancement will vary with the different track and with individuals within each track.

**a. Assistant Professor to Associate Professor:**

The Chair(s) (and or his/her designee) of the Department(s) should review the progress of each Assistant Professor with her/his senior faculty (or Promotions Committee) according to policies outlined in Appendix 5: Geisel School of Medicine at Dartmouth Guidelines for Faculty Promotion Procedures, with the expectation that each Assistant Professor in the AMS Faculty Line will be put forward for review by the APT Committee for promotion to Associate Professor by six (6) years in rank as Assistant Professor. Although advancement to Associate Professor within six (6) years in rank is the expectation, multiple renewals of three (3)-year terms as Assistant Professor are allowable in the AMS Faculty Line.

**Clinician-Educator and Clinician-Investigator (AMS Faculty Line):**

All individuals being considered for promotion (or initial appointment) to Associate Professor in the Clinician-Educator and Clinician-Investigator Tracks of the AMS Faculty Line must have demonstrated excellence in:

- teaching (may be at multiple levels: UME, GME, CME, associate providers, undergraduates); and
- engagement at the institutional (e.g., the entities that comprise DHMC: D-HC, MHMH, WRJ VAMC) and extramural (e.g., professional societies) levels; and
- scholarship;

and must have garnered a substantive extramural recognition at a regional level and a burgeoning reputation at the national level.

Individuals being considered for promotion (or initial appointment) to Associate Professor in the Clinician-Investigator Track will be expected to meet criteria for regionally to nationally recognized excellence in:

- clinical care, as set forth in Part 3B;
- research, as set forth in Part 3B;
- teaching (may be at multiple levels: UME, GME, CME, associate providers, undergraduates);
- engagement at the institutional (e.g., the entities that comprise DHMC: D-HC, MHMH, WRJ VAMC) and extramural (e.g., professional societies) levels; and
- scholarship.



The extent to which to which faculty members in the Clinician-Investigator Track meet the specific criteria for research shall be weighted in consideration of the concomitant commitment to clinical care. Specifically, if an individual in the Clinician-Investigator Track has the preponderance of effort dedicated to research (e.g., 80-90%) she/he shall be expected to adhere to the same level of accomplishment as set forth for those in the Tenure-track/Tenure Faculty Line. However, if a faculty member has substantive effort devoted to clinical care (e.g., 50%), expectations for research and scholarly accomplishments shall be adjusted accordingly.

Teaching, either in concert with patient care or in association with research/service activities, may constitute a non-majority component of the responsibilities of those in the Clinician-Investigator Track. Nonetheless, both Clinician-Educators and Clinician-Investigators in the AMS Faculty Line are expected to teach a defined set of learners to some extent.

**Investigator Track (AMS Line):**

Individuals being considered for promotion (or initial appointment) to Associate Professor in the Investigator Track are not required to participate in activities outside of their research endeavors (teaching by those in the research “team” may be considered part of their responsibilities while recognizing that not all of those in this line will have access to graduate students or postdoctoral scholars and as such, teaching is not an obligatory part of this track). They will be expected to meet criteria for regionally to nationally recognized excellence in research as set forth in Part 3B (and to standards comparable to those for individuals in the Non-tenure Line).

As for Non-tenure Line faculty members, teaching (outside of the research team) is not required for individuals in the Investigator Track of the AMS Faculty Line. However, if teaching within the context of research activities (i.e., training of graduate students, research associates, residents, and/or fellows) *is* part of the activities for those in this track, it may be considered at the time of review for promotion, although it is not required.

**Educator-Scholar (AMS Line):**

As with individuals in the Educator-Scholar Track in the Tenure-track/Tenure Line, these faculty members will be expected to be fully dedicated to innovation and excellence in the delivery of medical education (at multiple levels, e.g., UME, GME, CME) and are expected not only to be excellent teachers, but also to play a key role in the evolution of the health care curriculum both here at Geisel and on a national front. Although extramural funding is not required for advancement in this track, original inquiry (research) and scholarship is.

Moreover, as with laboratory or data sciences, peer-reviewed extramural support for educational inquiry will be taken as validation of the faculty member’s contributions to advancing her/his given field.

Individuals in this track are expected to sustain a record of excellence for peer-reviewed work in either the specific scientific discipline or in medical pedagogy. Individuals appointed in this track will also be expected to provide exemplary service/engagement to the Medical School as well as to professional organizations related to their chosen field.

While scholarship in the Educator-Scholar Track in the AMS Line may take different forms, for non-traditional scholarship, for advancement in rank, candidates must be able to show that their innovations in pedagogy have been adopted by other institutions and provide reviewable data that the adoption of new approaches (as designed and/or implemented by the candidate) have had a measurable impact on specific outcomes (for example, but not limited to: learner scores on USMLE Step 1; enhanced residency or fellowship placement, improved patient outcomes, increased success of submitted grants).

**b. Associate Professor to Professor:**

The Chair(s) (and or his/her designee) of the Department(s) should review the progress of each Associate Professor with her/his senior faculty (or Promotions Committee) according to policies outlined in Appendix 5: Geisel School of Medicine at Dartmouth Guidelines for Faculty Promotion Procedures, with the expectation that each Associate Professor in the AMS Faculty Line will be put forward for review by the APT Committee for promotion to Professor by six (6) years in rank as Associate Professor. Although advancement to Professor by six (6) years in rank is the expectation, multiple renewals of six (6)-year terms as Professor are allowable in the AMS Faculty Line (see Part IIB, section 3c).

Faculty members promoted to Professor in the AMS Faculty Line must have garnered extramural recognition at the national and/or international level and must be recognized for their accomplishments in teaching, scholarship, engagement, and (where applicable to the individual tracks) in clinical care and research. Criteria for appointment or promotion to the rank of Professor follow from those established for appointment/promotion to Associate Professor in the AMS Faculty Line, with the expectation that both quantitative and qualitative advances in education, engagement, patient care, research, and scholarship will have been made in order for this rank to be bestowed.

**Professor** (reappointment): The Chair(s) (and or his/her designee) of the Department(s) should review the performance of each Professor to ascertain that she/he continues to meet expectations for achievements in teaching, service, and scholarship and, (where applicable) engagement and/or research.

**4. Clinical Faculty Line**

There are no required/standard time periods for advancement in the Clinical Faculty Line, although Chairs are encouraged to work with their faculty in this line to promote academic advancement along a trajectory that parallels that for the AMS Faculty Line.

As with initial appointments and reappointments, individuals promoted in the Clinical Faculty Line shall be expected to demonstrate a substantive and sustained contribution to a required component of training for students, fellows, residents, or associate provider students (e.g., nursing or PA students at DHMC), to research efforts, or through substantive leadership contributions.

Promotion for faculty members in the Clinical Faculty Line shall be reviewed by processes outlined in Appendix 9: Restricted-/Non-voting Faculty Appointments and Promotions Procedures.

### ***Clinical Instructor***

Individuals appointed to the rank of Clinical Instructor may be promoted in this line.

### ***Clinical Assistant Professor***

Promotion to the rank of Clinical Assistant Professor shall be based on demonstrated excellence in teaching and/or scholarly endeavors in that realm. Recommendation for promotion shall be based on attainment of some (not necessarily all) of the metrics below. Recommendation may also be made on the basis of other metrics not listed below (i.e., it is not mandatory to meet all of these metrics nor is this list all-inclusive of achievements that may be considered when recommending promotion).

- A commitment to provide high quality instruction or service to UME education at Geisel and GME/CME education at DH. Examples: precepting one “On Doctoring” student in clinic per year, taking one clerkship student in clinic for one month, or leading an On Doctoring small group at  $\geq 20$  hrs. of net teaching per year; training;
- Recognition by peers and students for excellence in teaching and training, as made evident by student assessments and awards;
- Recognition that the faculty member serves as a role model, advisor, or mentor to multiple students throughout his/her years at Geisel (e.g., On Doctoring through Year 4 Electives);
- Membership on major Geisel committees, such as the Geisel Diversity Council or the Medical Education Committee;
- Participation in the development and implementation of new courses, electives or curricular content, or important teaching materials;
- Leadership of or major participation in design of courses, and/or participation therein;
- Leadership of or major participation in programs to improve/lead clinical practice;
- Participation in local, regional, or national educational meetings and regular invitations to serve as an outside speaker;
- Participation as a speaker in CME and other faculty development activities;

- Demonstration of an ongoing commitment toward improving teaching skills (e.g., professional societies' faculty development workshops or workshops through the Dartmouth Center for Advancement of Learning, (DCAL).
- Scholarship, either through conventional peer-reviewed publications or dissemination of academic work through other media;
- Engagement in public activities, policy-making bodies etc., at the local, regional, or national level that advance missions of the individual's profession and the Medical School.

### ***Clinical Associate Professor***

Recommendation for promotion to Clinical Associate Professor shall be advanced by the Chair and reviewed by the Clinical/Adjunct Faculty Promotions Committee based on criteria consistent with this rank as outlined below. As with advancement to Clinical Assistant Professor, promotion to Clinical Associate Professor shall be based on attainment of some (not necessarily all) of these criteria, and factors other than those listed here may be considered in the promotions process:

- Service as a Clinical Assistant Professor at Geisel, or an equivalent institution for five to seven years, with a consistent record of excellence and participation in teaching (Note: As with voting Geisel appointments, continued service and performance at the rank of Assistant Professor shall not, in itself, constitute grounds for promotion to Clinical Associate Professor);
- Evidence of continued excellence in teaching, with demonstrably greater responsibility for teaching, development of curricula or syllabi, and/or course leadership;
- Demonstration of an ongoing commitment to improving teaching skills (e.g., through The Dartmouth Center for the Advancement of Learning, DCAL) or through conferences and online training;
- Active and ongoing participation in Geisel educational committees and activities, such as active membership on the Medical Education Committee, or being a presenter in Geisel faculty development activities;
- Active and ongoing participation in clinical research, as evidenced by the academic portfolio, external funding of competitive peer-reviewed research or education projects, and manuscript development at a level appropriate for involvement;
- Active involvement in the leadership and oversight of the clinical missions at one of the major clinical partners of Geisel (D-H, WRJ-VAMC; CPMC);
- Substantive professional recognition, as evidenced by some of the following: elected membership in local, regional, and national medical societies; recognition through formal awards; local and regional invited lectures; participation in symposia, professional society programs, etc.;

- Peer-reviewed publications or dissemination of scholarly work through other media.

### ***Clinical Professor***

Promotion to the rank of Clinical Professor will be granted only in recognition of exemplary and distinctive achievement. Recommendation for promotion to Clinical Professor shall be advanced by the Chair and reviewed by the Clinical/Adjunct Faculty Promotions Committee. Criteria for this title may include:

- Service as a Clinical Associate Professor at Geisel, or an equivalent institution, typically for at least five years, with a consistent record of outstanding performance in teaching, and usually investigation as well. Continued service and performance at the rank of Clinical Associate Professor shall not, in itself, constitute grounds for promotion to Clinical Professor.
- Continued substantial involvement in teaching ( $\geq 20$  net teaching hours per year, *vide supra*), with strong evidence of sustained excellence as evidenced by formal evaluations and awards;
- Continued contribution and leadership in development of curricula or syllabi for students or preceptors, and/or course and educational committee leadership.
- Continued publication of important and innovative clinical/educational studies in peer-reviewed journals;
- Recognition by peers as a premier physician/provider who is advancing the training/performance of other practitioners through his/her clinical work;
- Continued productive participation in investigation, as evidenced by a contributing role to sustained external funding of competitive peer-reviewed research projects;
- Recognition for leadership and outstanding performance as an administrator whose activities advance the academic missions of the medical center.
- Faculty members promoted to the rank of Clinical Professor also may have achieved substantive professional recognition as evidenced by some of the following:
  - Authorship or editorship of textbooks, monographs, or journals;
  - Membership on editorial boards, study review sections, and/or advisory groups;
  - Elected leadership and membership in local, regional, and national medical societies;
  - Distinctive national recognition, as evidenced by invited memberships, participation in major committees and programs, formal awards, and major invited lectures;
  - National recognition, as evidenced by awards or participation in regional/national symposia, courses, and teaching programs;
  - Directorship or development of major courses or other curricular offerings and/or development of significant new teaching materials;
  - Exceptional leadership or administrative performance, as evidenced by major roles in local or regional clinical affairs or national professional organizations, and by active and ongoing participation in committee, program, and/or governing boards;

- Distinctive advances in teaching skills (e.g., through The Dartmouth Center for the Advancement of Learning; DCAL) or through conferences and online opportunities.

## **5. Adjunct Faculty Line**

With few exceptions, faculty members who hold adjunct titles are non-voluntary faculty members in other Schools at Dartmouth (i.e., A&S, Thayer or Tuck) or hold regular faculty titles at other academic institutions. It is expected that members of the adjunct faculty hold regular faculty appointments in other departments at Dartmouth or at other academic institutions. Unless there is evidence to the contrary, if these individuals are promoted in their home departments, they will be awarded a comparable advancement in the Adjunct Faculty Line at Geisel as well.

For those faculty members in the adjunct faculty line who do not hold primary appointments elsewhere, the Chair should consult with the Dean for Faculty Affairs for an appropriate academic title. For those rare instances where promotion may be warranted for those who do not hold faculty title except at Geisel, criteria comparable to those set out for advancement in the Clinical Faculty Line may be applicable for those in the Adjunct Faculty Line. In such cases, Chairs should consult with the Dean of Faculty Affairs.

## Appendix 1: Faculty Tenure at 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 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 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, named chairs, or 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 (APT) 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 (3)-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" (i.e., qualified) 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 from external sources at a level determined at the time of hire (unless subsequently modified by policies of the school). 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 (3) 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 redefining 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 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 2: Protocols for Faculty Hiring and for Search Committees

We recognize that diversity and inclusion are at the very core of our educational mission and are catalysts for institutional and educational excellence. We are committed to building an excellent academic environment, which includes efforts to build a diverse and inclusive faculty. With this goal in mind, departments and programs are asked to develop strategies that incorporate [diversity and inclusion](#) as key parameters in their efforts to recruit and retain faculty.

Information on defining minority, veteran, and disabled applicants for Geisel may be found in the document entitled *Faculty Recruitment and Selection: A Guide For the Dartmouth College Arts and Sciences Faculty* on the website for [Dartmouth's Institutional Diversity & Equity](#).

### A. Employees of Dartmouth College:

#### 1. Mechanisms for requesting new faculty hires (see Subappendix E for Checklist):

- All requests for new hires into Tenure-track/Tenure Line or Non-tenure Line positions must be sanctioned by the Dean of the Medical School following review and approval of the rationale for how the hire meets institutional needs following appropriate input from the faculty and review of the business plan by the Executive Dean For Administration and Finance, the Dean of Faculty Affairs at Geisel, and (where applicable) The Senior Associate Dean for Research or The Senior Associate Dean for Medical Education.
- Requests for faculty hires are managed online through the Geisel [Faculty Recruitment Dashboard](#):
  - Department Administrators are responsible for input of search request and any supplementary materials, including a preliminary business plan.
  - Department Chair reviews/approves search request (electronically).
  - Fiscal Office and Senior Associate/Executive Deans reviews/approves business plan.
  - Geisel Dean's Office reviews/approves search.
  - Administrative Coordinator assigns search number and opens search.
  - Ad is prepared and reviewed in conjunction with the Dean of Faculty Affairs at Geisel and the Dartmouth College Office of Institutional Diversity & Equity (IDE) to ensure language meets fair hiring standards and promotes diversity and inclusivity.
  - Geisel School of Medicine will provide funds to place advertisements in publications of organizations selected to enhance diversity and inclusion. The Director of IDE maintains the list of acceptable locations. Any new locations must be approved by the Dean's Office before the ad is placed if central funds are to be used for support of the ad.
  - Department Administrator inputs new candidate information and updates according to IDE protocol.
  - When final candidate is selected, the business plan needs to be updated, sources of funds identified, and the plan approved by the Fiscal Office and the appropriate Senior Associate/Executive Deans.
  - Department Administrator changes status to "Request to Hire" and includes a comment on why that person is the best qualified candidate.
  - Department Chair reviews/approves request to hire.
  - IDE reviews/approves request to hire.

- Geisel Dean's Office (Senior Associate/Executive Deans) reviews/approves request to hire, inclusive of the business plan.
- Administrative Coordinator alerts IDE and Department of approval, and alerts Department to prepare offer letter.
- Offer letter must be approved by Department Head, Fiscal Office, and Geisel Dean's Office (officers as noted above) prior to being sent to candidate.
- To expedite hires to senior ranks, search committees are strongly encouraged to request letters of reference for candidates that explicitly ask the referees to comment on whether the candidate would be considered appropriate for appointment as Associate Professor/Professor and (where applicable) whether she or he would be considered eligible for tenure--both at Geisel and at her or his own institutions. In addition, for such senior hires, search committees should provide referees with the materials normally sent out for the APT review process (e.g., our APT criteria; see Appendix 5: Geisel School of Medicine at Dartmouth Guidelines for Faculty Promotion Procedures). If letters of recommendation sent to the search committee include information required for the APT review, they may be included in the candidate's portfolio to the APT in lieu of solicitation of additional letters once the candidate has been hired. Such letters must be dated no later than one year prior to the APT review. As such, if the necessary complements of the APT portfolio can be assembled, the review process may ensue at any time following IDE and Dean's Office approval of the senior hire, in order to expedite informing the preferred candidate that she/he has been approved at all levels for such senior ranks (and, where applicable, tenure).
- A copy of the signed offer letter for any successful hire must be sent to Geisel Dean's Office with other necessary paperwork (e.g., DAB form).
- All requests for appointments made to the Tenure-track/Tenure Line must be accompanied by a minimum of five (5) letters of recommendation from outside referees and the candidate's curriculum vitae must be submitted to the Dean of Geisel and the Provost of Dartmouth College.

2. Search Committee Procedures: All faculty members who are employed by Dartmouth College who do not qualify for a waiver from a national search (see Subappendix D) must be hired following protocols established by the Office of Institutional Diversity and Equity (IDE) at Dartmouth College. IDE works with divisional leaders, academic deans, and the office of Human Resources to make certain that recruitment and hiring are conducted in a manner that is consistent with equal opportunity and affirmative action laws and regulations and Dartmouth's institutional mission with regard to diversity.

- All search committees should comprise individuals who are qualified to assess the applicant pool for any identified search and who reflect diverse segments of the academic community with respect to criteria such as racial, gender, and ethnic diversity; disabilities and veteran status; and different academic areas or intellectual approaches relevant to the hire.
- The Dean of Faculty Affairs at Geisel and the Director of Institutional Diversity & Equity meet with all search committees prior to the posting of advertisements and solicitation of applications to approve the search committee composition, to review the advertisement

and its placement, and to advise the committee on the need to undergo unconscious bias training, if it has not been done within the prior year (see Subappendix A below).

#### B. Employees of Academic Partner Institutions (e.g., D-H, WRJ VAMC, CPMC)

As of December 1, 2015, Dartmouth College no longer requires oversight of searches to hire clinicians or other individuals who contribute to the biomedical community of our academic partners, although Geisel (Dartmouth College) strongly encourage our academic partners to continue in their practice of performing national searches to hire individuals who may become members of the Geisel faculty. Both D-H and WRJ VAMC have policies that ensure a commitment to diversity and inclusion and fair hiring practices. Moreover, both the Dean of Faculty Affairs of Geisel and the Director of IDE will continue to advise and inform those who are carrying out such searches in efforts to ensure fair and equitable hiring and to promote diversity and equity of our faculty.

Procedures for requesting new faculty hires:

- All requests for new hires into AMS Line positions must be approved by the appropriate officers of the hiring organization (e.g., The Executive Vice President of Integrated Delivery Service at D-H).
- Approval should be entered onto the Geisel [Faculty Recruitment Dashboard](#).
- Administrative Coordinator assigns search number.
- Partnering Institution will upload CV of candidate, indicate academic obligations and expectations for candidate, and request suggested rank.
- Request to hire must be approved by the Department Chair and the Dean of Faculty Affairs
- Candidate will be asked to sign appropriate Terms of Appointment Statement as part of hire.
- A copy of the signed Statement for any successful hire must be sent to Geisel Dean's Office with other necessary paperwork (e.g., DAB form).
- As with all hires, approval of academic position requires approval by the Dean, the DAB, and the Provost.

## Subappendix A: Protocols for Faculty Hiring and for Search Committees

We recognize that diversity and inclusion are at the very core of our educational mission and are catalysts for institutional and educational excellence. We are committed to building an excellent academic environment, which includes efforts to build a diverse and inclusive faculty. With this goal in mind, departments and programs are asked to develop strategies that incorporate [diversity and inclusion](#) as key parameters in their efforts to recruit and retain faculty.

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

Information on defining minority, veteran, and disabled applicants for Geisel may be found in the document entitled *Faculty Recruitment and Selection: A Guide For the Dartmouth College Arts and Sciences Faculty* on the website for [Dartmouth's Institutional Diversity & Equity](#).

### Search Committee Procedures:

- All search committees should comprise individuals who are qualified to assess the applicant pool for any identified search and who reflect diverse segments of the academic community with respect to criteria such as racial, gender, and ethnic diversity; disabilities and veteran status; and different academic areas or intellectual approaches relevant to the hire.
- Search Committee members for prospective hires by Geisel (Dartmouth College) are **required** to take training on one of the [Project Implicit®](#) implicit association tests (IAT: <http://implicit.harvard.edu/>).
- Search Committees are strongly encouraged to use standard questions for all candidates during interviews, to allow comparable time for all interviews, and to use standardized assessments for all candidates. Evaluative metrics should include those attributes that are relevant to the position.
  - For example, assessments should not be made on a sense that the candidate is a good “fit” as this can be interpreted as the candidate conforming to social norms that might exclude otherwise qualified individuals.
  - Search committees can use metrics such as professionalism, collegiality, ability to work well in teams etc. to define attributes required for the position.
- Search committees should also ensure that adequate time is allowed for vetting of candidates.
- Search committees may not contact individuals who have not been listed as references by the candidates without candidates’ permission. Such inquiries may jeopardize a

candidate's standing at his/her current institution if she/he is not the accepted candidate in the search. This process may also introduce bias in the evaluation (see below).

- If additional referees are contacted for candidates, search committees should make sure that the balance of the number of people contacted is equitable across the candidate pool (i.e., do not contact 10 people for one candidate and 2 for another).
- Search committees should review the list of acceptable and non-acceptable questions below and information on best practices to recruit a diverse and inclusive faculty.
- Search Committees should be informed that written comments on Interfolio or on résumés/CVs need to be maintained for 3 years and are discoverable.
- While not required, we also recommend that search committee members may want to review one of the following:
  1. The AAMC module [Exploring Unconscious Bias in Academic Medicine](https://www.aamc.org/initiatives/diversity/learningseries/346528/howardrossinterview.html) (<https://www.aamc.org/initiatives/diversity/learningseries/346528/howardrossinterview.html>)
  2. The Google unbiased training module: <https://www.gv.com/lib/unconscious-bias-at-work> (*cut and paste this address into your browser-it gets corrupted as a hyperlink*)
  3. Facebook (individual modules on specific topics): <https://managingbias.fb.com> (*cut and paste this address into your browser-it gets corrupted as a hyperlink*)
- Make ALL candidates aware of Dartmouth resources that may be of value to different affinity groups:

Please provide all candidates who come to campus with information to make them aware of resources that may be of interest to them or their families, including The Employee Resource Networks (ERN) and the Experience Dartmouth (ED) Ambassador Program at Dartmouth College:

[http://www.dartmouth.edu/~ide/employee\\_resource\\_networks/](http://www.dartmouth.edu/~ide/employee_resource_networks/)

[http://www.dartmouth.edu/~ide/employee\\_resource\\_networks/edambassador.html](http://www.dartmouth.edu/~ide/employee_resource_networks/edambassador.html)

Both programs provide excellent resources for affinity groups including GLBT, Veterans, Latino Council, Native American Network, International employees, Black Caucus, and Asian Pacific Islander Caucus. These resources are available to faculty and staff for employees of the College, DH, and WRJ VAMC and their families.

## Subappendix B: Best Practices to Recruit a Diverse and Inclusive Faculty

This information is from Northwestern University (2004), with some very minor modifications to their document.

### RECRUITING

- **Be proactive:** Effective searches are proactive searches in which the search committee energetically seeks out promising prospects. Especially in fields in which they are in great demand, excellent female and minority scholars can be confident of good employment and are not likely to be “marketing” themselves energetically. Your institution needs to identify such scholars and persuade them to allow themselves to be considered here.
- **Cultivate promising prospective colleagues:** Effective recruitment is often a multi-year process. Try to identify outstanding graduate students/postdoctoral fellows in the midst of their graduate study – not only when they are “on the market.” This can be accomplished through contact with colleagues at other institutions, participation in targeted conferences, and visits to sister schools for seminars. In some fields there are organizations and conferences that specifically serve women and minorities, and it can be useful for our faculty to participate in them. Invite such graduate students to visit Dartmouth periodically, to attend conferences, etc.
- **Cast a broad net:** Highly qualified scholars can occasionally be found in unexpected places. Do not limit your search to a parochial list of institutions. Advertise or otherwise announce openings in publications or other venues, which might attract the special attention of minority or female scholars.
- **Consult directories of minority and/or female recipients of terminal degrees:** Various such directories are published, including those by the CIC (Committee on Institutional Cooperation) and by scholarly organizations in many disciplines.
- **Consider Dartmouth graduates who have established themselves elsewhere:** Dartmouth does not customarily hire its own graduates (MD or PhD) immediately following their postgraduate training study. However, departments should consider inviting back to the institution female and minority graduates (including undergraduate alumni) who have established themselves at other institutions. Both the Geisel and Dartmouth College Alumni Associations may be helpful in identifying potential candidates.
- **Contact colleagues who have departed Dartmouth:** Former Dartmouth colleagues, now serving other institutions, can be a resource for suggestions of outstanding female and minority graduate students and scholars who should be considered. In some cases, the former colleague may be willing to consider returning to Dartmouth.
- **Be flexible and alert to opportunities:** Define and advertise searches broadly enough so that outstanding female and minority prospects can be fully considered, even though they may not be in the precise sub-discipline envisioned in the search.

Geisel will provide financing for advertisements in approved venues that reach out to specific under-represented minority groups.

- ***Consider post-doctoral or visiting positions as a transition to continuing appointment:*** The offer of an initial year in a non-tenure-track post-doctoral position with reduced teaching expectations may be very attractive to a junior scholar who has completed graduate study with unusual speed. For established scholars, a period as a visiting faculty member at Dartmouth may give him/her an opportunity to discover whether Dartmouth offers a congenial environment.

Geisel has established The K-next Program as part of ongoing initiatives to enhance diversity of the faculty at Geisel School of Medicine. This program seeks senior level postdoctoral scholars and early career scientists or physician/scientists who will be supported through mentored K award mechanisms with the expectation that successful candidates will transition to an Assistant Professor faculty position following completion of the award.

- ***Ensure that on visits prospects meet with female/minority faculty in cognate departments:*** In accepting a position, a faculty member is making a decision based partly on a judgment as to whether (s)he will feel part of a congenial community of scholars. Especially when a potential colleague is recruited into a department thinly populated by women or under-represented minorities, it is important to introduce the prospect to faculty members beyond the hiring department.
- ***Capitalize on Dartmouth's comparative advantages:*** Among the distinctive characteristics of Dartmouth are its tradition of interdisciplinary work, its collaborative culture, and its location in a remote or rural setting that provides many opportunities usually found only in more populous regions. The latter characteristic may be especially attractive for a prospect coming from an institution located in a major metropolitan area.

If you view an aspect of Dartmouth/the Upper Valley as an advantage (e.g., the ease of participating in outdoor activities or artistic offerings at the Hop or in Lebanon), make all candidates aware of such "positives." Do not assume that certain groups will not be interested in a given activity because of factors such as their race, ethnicity, sexual orientation or gender identity.

- ***Enlist the assistance of the administration when necessary:*** The hiring of female and minority faculty is a core responsibility of schools and departments, and in most cases such hiring can take place in the context of available slots, etc. Occasionally, however, such hiring requires creative approaches. Insofar as possible, the central administration will assist in school and departmental efforts to enhance the diversity of the faculty. Please be sure to contact the Associate Dean for Diversity and Inclusion and the Dean of Faculty Affairs at Geisel to explore such options.

One of the primary goals of the Provost's Office at Dartmouth is to enhance recruitment and retention of a diverse faculty at Dartmouth, and resources/creative approaches to make such hires have been and are available to achieve this goal. The Search Committees

should contact the Dean of Faculty Affairs at Geisel to explore potential creative solutions through Geisel or jointly with The College.

- ***Dual Career resources:*** Recruiting and retaining highly qualified faculty and staff is a top priority at Dartmouth College. Increasingly, outstanding applicants may have an accomplished spouse or partner seeking employment. Dartmouth recognizes that meeting the needs of two careers is crucial for a successful recruitment. We encourage prospective candidates and hiring departments to review our current [Arts and Sciences faculty](#) listings, [Geisel School of Medicine](#) faculty listings, and [Dartmouth College Human Resources](#) employment website. Search Committees should feel free to contact the Dean of Faculty Affairs at Geisel to explore such hires.



### Subappendix C: Acceptable and Unacceptable Areas of Inquiry

AREA OF INQUIRY	ACCEPTABLE AREAS OF INQUIRY	UNACCEPTABLE AREAS OF INQUIRY*	LEGISLATION
Military Service	Inquiry into service in the US armed forces, including rank attained, branch of service, or any job-related experience.	To ask type of discharge. To request military service records before hiring. To ask about military service in armed service of any country but the US.	Section 402 of the Vietnam Era Veterans Readjustment Assistance Act of 1974 (Public Law 93-508)
Education	To ask what academic, professional or vocational schools attended. To ask about language skills, such as reading and writing foreign languages.	Specifically ask the nationality, racial, or religious affiliation of schools attended. To ask how foreign language was acquired.	Title VII
References	To ask by whom the candidate was referred for the position. Names of persons willing to provide professional and/or character references for applicant.	To request references specifically from clergy or any other person(s) who might reflect race, color, religion, sex, national origin, or ancestry.	Title VII
Relatives	Name and address of parents or guardian of minor applicant. Name, relationship and address of person to be notified in case of an emergency after hiring.	Names of applicant's relatives other than those already working for the institution.	Title IX
Work Schedule	To ask willingness to work required work schedule. To ask if applicant has military reservist obligations.	To ask willingness to work any particular holidays.	Title VII
Address/Housing	To request place and length of current and previous addresses. To ask for applicant's phone number and how he or she can be reached if a number is not available.	To ask applicants if they own their own home or rent, or if they live in an apartment or house. Specific inquiry into foreign addresses that would indicate national origin. Name or relationship of person with whom applicant resides.	Title VII
Organizations	To ask about organizational membership--professional, social, etc.--so long as affiliation is not used to discriminate on the basis of race, sex, or national origin. Offices held, if any.	To request listing of all organizations, clubs, societies, and lodges to which applicant belongs or has belonged.	Title VII
Photographs	May be required after hiring for identification purposes.	To take pictures of applicants during an interview.	Title VII
Conviction, Arrest, and Court Record	Inquiry into actual convictions that relate reasonably to performing a particular job.	Any inquiry relating to arrests, court, or conviction records not substantially related to job in question.	
Other Qualifications	To inquire about any area that has direct reflection on the job applied for.	Any non-job-related inquiry that may present information permitting unlawful discrimination.	

AREA OF INQUIRY	ACCEPTABLE AREAS OF INQUIRY	UNACCEPTABLE AREAS OF INQUIRY*	LEGISLATION
Name	a. For any purposes, inquiry into whether the applicants work records are under another name.	a. To ask if a woman is a Miss, Mrs., or Ms. b. To request applicant to give maiden name, or any other previous name he/she has used.	Title VII of the Civil Rights Act of 1964, as amended by the EO/AA Act of 1972. Title IX (Higher Education Act)
Age	a. Certificate after hiring.	a. To ask age or age group of applicant. b. To request birth certificate or baptismal record before hiring.	Age Discrimination in Employment Act of 1967.
Birthplace/ National Origin/ Citizenship	a. Ask for birth certificate or other proof of US citizenship after hiring. b. Whether a US citizen. c. If not, whether intends to become one. d. If US residence is legal. e. If spouse is a citizen.	a. To inquire into national origin or birthplace of applicant or applicant's family. b. Date of citizenship.	Title VII
Race/Color	a. To indicate that the institution is an equal opportunity employer. b. To ask race for affirmative action plan statistics, after hiring.	a. Any inquiry that would indicate race or color.	Title VII
Sex	a. Indicate that the institution is an equal opportunity employer.	a. To ask applicant any question which would indicate sex, unless job related. (An example would be a locker room or rest room attendant.)	Title VII and Title IX
Sexual Orientation	a. To indicate that the institution prohibits discrimination on the basis of sexual orientation.	a. To ask an applicant any question that would indicate the applicant's sexual or affectional orientation.	Dartmouth College Policy
Religion	a. To state normal hours and days of work require by the job to avoid possible conflict with religious convictions.	a. To ask an applicant's religion or religious customs or holidays. b. To request recommendations from church officials.	Title VII
Marital/Parental Status	a. Whether applicant can meet work schedules or has activities, commitments or responsibilities that may hinder meeting work attendance requirements. b. Inquiries, made to males and females alike, as to duration of stay on job or anticipated absences.	a. To ask marital status before hiring. b. To ask about the number and age of children, child care arrangements and plans to have more children before hiring for insurance purposes.	Title VII and Title IX
Disability	a. If candidate is able to carry out the essential functions of the job. b. After a conditional offer of employment, may inquire whether person has a disability to determine whether person needs a legally required "reasonable accommodation."	a. To ask job applicants general questions about whether they have a disability or about the nature and severity of their disability.	Rehabilitation Act of 1973/Americans with Disabilities Act of 1990

\* There are conversational contexts in which some of these questions may emerge appropriately and at the invitation of the candidate. However, questions along these lines, when initiated by an interviewer or pursued too extensively, can raise inference of improper motivation and can be used as evidence of discrimination.

## **Subappendix D: National Search Requirements and Waivers from These Requirements**

A request for a waiver from affirmative action guidelines for conducting a national search may be appropriate for some positions in certain situations. Waivers are infrequently requested and, typically, infrequently granted. The situations that may be appropriate are listed below. Any other situation should be first discussed with the Dean of Faculty Affairs at Geisel, before requesting a waiver.

*Positions that require a full national search following EO/AA guidelines and thus are eligible for a waiver:*

- 0.5 FTE or more
- rank of Assistant Professor or above in the Tenure-track/Tenure Faculty Line
- rank of Senior/Principal Research Scientist
- tenured, tenure-track, or voting
- paymaster: Dartmouth College

*Positions that do not require a full national search following EO/AA guidelines and thus are not eligible for a waiver:*

- less than 0.5 FTE in the Tenure-track/Tenure Faculty Line
- rank of Assistant Professor or above in the AMS, Non-tenure, Clinical, or Adjunct Faculty Lines (any fractional FTE)
- rank of Active Emeritus, Adjunct, Instructor, Lecturer, or Visiting

*Possible EO/AA considerations for granting a waiver from a full national search for a faculty position at Dartmouth College (Geisel):*

1. Special opportunity 1: Targeted individual is an independent, funded candidate of a very high level of academic achievement.
2. Special opportunity 2: Targeted individual's specialty or qualifications are unique, highly limited, distinctive, or novel, and are identified as vital to the institution.
3. Targeted individual belongs to a team that would accompany someone selected through a full, national search.
4. Targeted individual is the spouse or partner of someone deemed desirable to recruit or retain at Dartmouth College/Geisel.
5. Targeted individual is a minority being recruited into a unit that is underutilized in the aggregate for minorities, or underutilized for the minority group to which the appointee belongs.

*Procedure for requesting a waiver:*

1. The Chair of the appropriate department sends a letter requesting the waiver to the Director of Equal Opportunity & Affirmative Action in the Office of Institutional Diversity & Equity (IDE), outlining the reasons why the waiver is requested, with as many pertinent details as necessary. A CV of the targeted individual should accompany the memo.
2. The Chair sends a copy of the request and the candidate's CV to the Dean of Faculty Affairs at Geisel.
3. The Dean of Faculty Affairs at Geisel and the Director of IDE confer on the decision.
4. The IDE representative responds in writing to the Chair requesting the waiver.
5. The Chair's department provides the necessary request (DAB form) to the Dean's Office.

### Subappendix E: Checklist for Faculty and NFA Searches at Dartmouth College

- All requests for new hires into Tenure-track/Tenure Line or Non-tenure Line positions must be approved by the Dean of the Medical School or the Dean's designate (The Dean of Faculty Affairs).
- Requests for faculty hires are managed online through the Geisel [Faculty Recruitment Dashboard](#):
  - Department Administrators are responsible for input of search request and any supplementary materials.
    - The Fiscal Office will send a preliminary business plan to the departments based on long-range plan for recruitment.
  - Department Chair reviews/approves search request (electronically).
  - Fiscal Office and Dean's Office review/approve business plan.
  - Geisel Dean's Office reviews/approves search on Dashboard (search number assigned).
  - Ad is prepared and reviewed in conjunction with the Dean of Faculty Affairs at Geisel and the Dartmouth College Office of Institutional Diversity & Equity (IDE).
    - EO/AA Statement: Dartmouth College is an equal opportunity/affirmative action employer with a strong commitment to diversity and inclusion. We prohibit discrimination on the basis of race, color, religion, sex, age, national origin, sexual orientation, gender identity or expression, disability, veteran status, marital status, or any other legally protected status. Applications by members of all underrepresented groups are encouraged.
  - Search committee composition is approved by IDE. IDE Director and Associate Dean for Diversity and Inclusion/Dean of Faculty Affairs meet with search committee

*As many of the search committee members as possible should attend this meeting in order to inform them of guidelines and necessary training for fair and equitable hiring;*

*Committee members will be informed that written comments on Interfolio or on résumés/CVs need to be maintained for 3 years and are discoverable.*

- Geisel School of Medicine will provide funds to place advertisements in publications of organizations selected to enhance diversity and inclusion. The Director of IDE maintains the list of acceptable locations. Any new locations must be approved by the Dean's Office before the ad is placed if central funds are to be used for support of the ad.
- Once a position has been approved and assigned a search number, the ad and position details can be uploaded into [Interfolio](#).
  - Department Administrator enters the new position in Interfolio.
  - Final approval to post is granted by the Dean's Office.
- Applications are submitted through Interfolio by the candidate.
- Each Search Committee Administrator will manage the search initially through Interfolio
  - The Administrator will have access to EO/AA data from applicants
  - The Dean's Office recommends not using interfolio for comments on individual applications. Note, by law, comments on CVs/résumés must be retained for 3 years and are discoverable
  - Committee is free to use/not use rating system as they prefer
  - Dean's Office requests that administrator indicates short list of candidates invited to campus and final list of candidates invited for 2<sup>nd</sup> visit with appropriate tags
  - Information in an Excel document must be posted to the Dashboard at the following timeframes (as indicated):
    - List of all candidates with completed applications (when committee closes review process)
    - Round 1 interviewed candidates, with updated reason codes (when short list is made)

- Round 2 interviewed candidates, with updated reason codes (when 2<sup>nd</sup> round invitations are made)
  - Request to hire the final candidate, with updated reason codes (when final candidate has been recommended to Chair for hire and this request is transmitted to IDE/Dean).
- When final candidate is selected, approvals are managed again through Geisel [Faculty Recruitment Dashboard](#):
    - The business plan will need to be updated, sources of funds identified, and the plan approved by the Fiscal Office and the appropriate deans.
    - Department Administrator posts CVs for short-listed candidates under “Supporting Documentation” on Dashboard.
    - Department Administrator submits “Request to Hire” documentation as noted above and includes a comment on why that person is the best qualified candidate.
    - Department Chair reviews/approves request to hire.
    - IDE reviews/approves request to hire.
    - Geisel Dean’s Office reviews/approves request to hire, inclusive of the business plan.
  - Administrative Coordinator alerts IDE and Department of approval, and alerts Department to prepare offer letter via email.
  - Offer letter must be approved by Department Head, Fiscal Office, and Geisel Dean’s Office.
  - To expedite hires to senior ranks, search committees are strongly encouraged to request letters of reference for candidates that explicitly ask the referees to comment on whether the candidate would be considered appropriate for appointment as Associate Professor/Professor and (where applicable) whether she or he would be considered eligible for tenure.
  - A copy of the signed offer letter for any successful hire must be sent to Geisel Dean’s Office with other necessary paperwork (e.g., DAB form).
  - All requests for appointments made to the Tenure-track/Tenure Line must be accompanied by a minimum of five (5) letters of recommendation from outside referees and the candidate’s curriculum vitae must be submitted to the Dean of Geisel and the Provost of Dartmouth College.

### Appendix 3: Geisel Policy on Compensation and Research Support

#### Quarterly Review of Compensation and Research Support:

The Fiscal Office of Geisel School of Medicine will perform quarterly assessments to determine whether faculty members are meeting their expectations for securing funding for their compensation from extramural (i.e., qualified) sources. Information obtained from the Geisel Fiscal Office will be reviewed with Department Chair(s).<sup>8</sup> The purpose of these quarterly reviews is to provide an assessment of the standing of individual faculty with respect to meeting compensation obligations and overall support for research activities. The purpose of these meetings is not to provide a full review of the academic progress and standing of each faculty member; a process that includes criteria beyond compensation recovery and sources of qualified support. As noted in the main body of the APT document (*vide supra*), such comprehensive reviews of faculty performance are mandated to occur at least annually and are performed with each faculty member and her/his Chair.

#### **Expectations for Recovery of Compensation Support from Qualified Sources**

Faculty members who are employed by Dartmouth College in the Non-tenure or the Tenure-track/Tenure Faculty Lines have expectations for the percentage of their compensation (salary and benefits) that they are expected to recover from sources that are external to central or department funds of the Medical School. Such sources are termed extramural (qualified) [see Subappendix A].

- 1) Faculty members who are employees of Dartmouth College will receive a letter outlining their expectations for compensation recovery from extramural (qualified) sources, including expectations for sponsored research, at the time of her/his hire.
- 2) The expected fractional compensation recovery (and the complementary level of subvention support for compensation offered by the School) will be scaled to the individual's fractional FTE: for example, if a faculty member who is expected to derive 50% of compensation from qualified sources decreases her/his FTE from 1.0 to 0.8, she/he will be expected to recover 50% of the new compensation base ( $0.8 \times$  annual compensation set for a 1.0 FTE) from extramural (qualified) sources and the subvention shall be correspondingly decreased to 50% of the new compensation base (@ 0.8 FTE).
- 3) Some individuals hired into Tenure-track/Tenure Faculty Line have offer letters that did not codify the expected level of compensation recovery. In addition, prior to 2006, expected levels of compensation recovery varied from department to department for tenure-track/Tenured faculty members. This policy sets forth that unless otherwise specified (e.g., as stipulated in writing from the Dean that expectation is either greater or less than 50% of the fractional FTE), all faculty members in Tenure-track/Tenured Faculty Line will be expected to recover at least 50% of compensation for their fractional FTE from extramural (qualified) sources. [At the current time Tenure-track/Tenure Line faculty in TDI and in the Department of Medical Education are exempt from this stipulation]. This base of expected compensation recovery may be adjusted under

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<sup>8</sup> *Chairs refers to Department Chairs and to Institute and Center Directors who hold financial responsibility for the ongoing compensation support of the faculty member.*

- certain conditions (e.g., department chairs will be expected to recover 30% of their compensation from extramural (qualified) sources and will receive 70% subvention). Such increases in subvention are limited to the period of time that such additional duties are performed, unless otherwise approved by the Dean and stipulated in writing.
- 4) As noted in the main body of this document, except in cases i) defined by the policies on Faculty Tenure (Appendix 1) and on Compensation and Research Support (Appendix 3); ii) when an individual is no longer performing assigned roles that were the basis for the subvention (e.g., ceases to be Chair); iii) when an individual moves to a position not in the Tenure-track/Tenure Faculty Line; or iv) when programmatic restructuring of the school is mandated by the Dean and/or the President, the defined level of subvention support (percentage of fractional FTE) for a Tenure-track/Tenure compensation shall not be reduced for any single individual.
  - 5) The Dean, following review by the faculty, may modify the policies of the Medical School for setting general subvention levels for a given type of position (e.g., faculty members in the Educator-Scholar Track).
  - 6) Nearly all individuals in the Non-tenure Faculty Line will be expected to develop and sustain robust research programs as PI/co-I/biostatistician. As such, faculty members who meet these expectations may be provided with 5 to 50% subvention of their fractional FTE (with concomitant decrease in expected recovery of salary from qualified sources to 95 - 50%) according to guidelines set forth in Appendix 4 (Guidelines for Faculty Subvention Support). Individuals in the Non-tenure faculty who contribute to ongoing programs, but do not meet the criteria above will be expected to derive 100% of their compensation from qualified sources.
  - 7) In addition to faculty members in the Tenure-track/Tenure Faculty Line, faculty members in the Non-Tenure Faculty Line who are successful in obtaining recovery of compensation from qualified sources in excess of expectations set forth at the time of hire and/or according to guidelines in Appendix 4 may now also contribute funds to Faculty Research and Innovation Accounts (FRIAs) according to established policy outlined in that document.
  - 8) Faculty members may also be provided with Program Development Funds (PDFs). Allowable use of these funds is described in Subappendix B.
  - 9) A separate tenure policy approved by the Board of Trustees of Dartmouth College was approved in 1993, describing the minimum compensation expectations for faculty who have been granted tenure at Dartmouth. Specifically, the 1993 tenure policy, as approved by the Trustees, sets forth the minimum expectations for a faculty member's compensation recovery from extramural (qualified) sources, as well as the process by which a tenured faculty member's salary may be decremented and the minimum compensation level that a tenured member of the faculty shall receive when such expectations have not been met.

Although expectations for recovery of compensation are established at the time of hire, a formal policy outlining a mechanism for assessing whether 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.

**Assistant Professors:**

Assistant Professors are expected to first establish and then sustain a robust research program and meet their expected compensation recovery from qualified sources.

*Non-tenure Faculty Line:* Individuals at the rank of Assistant Professor in Non-tenure Faculty Line who (based on the quarterly review of compensation and external support) are not meeting the criteria for qualified support:

- 1) may, if approved by the Dean, opt (following consultation and mutual agreement with their Chair) to voluntarily reduce their fractional FTE to match available levels of qualified funding. Such individuals would not be deemed in shortfall. Restoration of qualified support would permit the faculty member to restore his/her FTE to the prior level.
- 2) If currently being provided subvention, may experience the elimination of, or a reduction in that subvention (See Appendix 4 for related guidelines).
- 3) may be subject to appointment termination as delineated in their offer letters. Individuals must be provided with a minimum of 30 days notice of appointment termination, unless otherwise agreed upon by the Dean.

*Tenure-track/Tenure Faculty Line:* Individuals at the rank of Assistant Professor in the Tenure-track/Tenure Faculty Line will be exempted from the Shortfall Policy during the duration of their appointments.

1. For Assistant Professors appointed with 0 years in rank, offer letters will stipulate:
  - a. Expectations for recovery of fractional compensation from extramural (qualified) sources (e.g., 50%);
  - b. Time frame for establishing support from extramural (qualified) sources; with rare exception, this will be three (3) years for those hired at the rank of Assistant Professor with 0 prior years in rank;
  - c. That if the assistant professor is successful in obtaining support from extramural (qualified) sources prior to the stipulated number of years (with few exceptions, no more than three), then they will be obligated to draw salary support from those sources, but also;
  - d. Any incentives that may be provided (e.g., in terms of support for program or one-time bonus for compensation) if individuals are successful in establishing support for compensation prior to the stipulated number of years.
2. For Assistant Professors appointed with time in rank at a previous institution, the offer letters shall stipulate the period (if any) by which they will be expected to reach compensation expectations, as well as any performance incentives.
3. Assistant Professors who are not successful in meeting their compensation expectations during the initial term as specified in their offer letters may be provided with a second term (of one to three (1-3) years). Under such conditions, the faculty member:



- a. Will continue to receive compensation at the base level indicated in the offer (i.e., if it was for a 1.0 FTE, they will receive 100% support for compensation) until the end of their appointment time as Assistant Professor.
- b. Central subvention support will continue to be provided at the level established in the offer letter and from the original source for that subvention (e.g., if conditions of hire were for 50% subvention, 50% would be provided from central sources).
- c. Funds required to provide for full funding for the faculty member's FTE that is not covered by subvention will be drawn from sources in the following order:
  - i. personal reserves and/or PDFs, if available,
  - ii. department reserves.
- d. With limited exceptions and upon agreement by the Dean, bridge funding may be provided from sources other than i and ii above to supplement subvention to the full level of expected compensation until compensation is obtained from qualified sources or the appointment is terminated.

**Senior Faculty:**

*Non-tenure Faculty Line:* Individuals at the rank of Associate Professor or Professor in Non-tenure Faculty Line who (based on the quarterly review of compensation and external support) are not meeting the criteria for qualified support:

- 1) may, if approved by the Dean, opt (following consultation and mutual agreement with their Chair) to voluntarily reduce their fractional FTE to match available levels of qualified funding. Such individuals would not be deemed in shortfall. Restoration of qualified support would permit the faculty member to restore his/her FTE to the prior level.
- 2) if currently being provided subvention (or other institutional) support for their compensation, may experience the elimination of, or a reduction in that institutional support (See Appendix 4 for related guidelines).
- 3) may be subject to appointment termination as delineated in their offer letters. Individuals must be provided with a minimum of 30 days notice of appointment termination, unless otherwise agreed upon by the Dean.

*Tenure-track/Tenure Faculty Line:* For **non-tenured** faculty members of the Tenure-track/Tenure Faculty Line at the rank of Associate Professor or Professor who (based on the quarterly review of compensation and external support) are not meeting the criteria for qualified support as

- a. enumerated in their offer letters; or
- b. subsequently amended through agreements with the Dean's Office

the following applies:

1. A faculty member shall be deemed to have a shortfall when, based on a rolling four (4) quarter (average) assessment of her/his compensation support, s/he has not met expectations for recovery of salary from qualified funds. At the time this is noted, the Dean's Office will consult with the Chair to affirm that this shortfall is genuine (as

- assessed by a four (4)-quarter rolling average of extramural support and personal reserves as made evident in records of the Fiscal Office) 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.
2. If extramural (qualified) resources are not sufficient to meet expectations for compensation recovery, the faculty member will be expected to draw on funds from designated personal reserve accounts, if such reserves exist. Use of faculty members' personal reserves (inclusive of, but not limited to, Faculty Research and Innovation Accounts--FRIAs) is considered a qualified, but not sustainable, source of support in terms of meeting expectations for external funding for a faculty member's compensation.
  3. Although FRIAs or other designated personal reserve funds are also considered qualified, use of these funds beyond a period of six (6) months to cover expected compensation will also necessitate a documented plan approved by the Chair and the Dean towards re-establishing the necessary level of qualified support for compensation and broader support for the faculty member's research program.
  4. At the time that a faculty member begins to draw on her/his personal reserves to meet compensation expectations, The Dean's Office will 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 the difference between the expected level of support from qualified sources other than personal reserves and what the faculty member is able to currently provide from those sources. As above, when a faculty member can no longer meet compensation expectations from reserves and/or other extramural (qualified) sources, he/she will be informed, in writing, that he/she is "in shortfall" and may be subject to a decrement in salary and a commensurate decrease in fractional FTE.
  5. If agreed upon by the faculty member his/her Chair, and the Dean, a faculty member who is not meeting expectations may choose to *not* draw on personal reserves to meet compensation expectations (e.g., to continue to have funds to run the lab during the shortfall period). In such cases, even if personal reserves are not exhausted, when the individual needs to draw on unqualified sources for her/his compensation, she/he will be said to be "in shortfall" and may be subject to a decrement in salary and a commensurate decrease in fractional FTE.
  6. If senior members of the faculty experience a shortfall and require funds from nonqualified sources to support their expected level of compensation and/or their research programs for a period exceeding twelve (12) months, their level of compensation will be subjected to a decrement in salary as described below.

### **Mechanisms of Shortfall Support**

1. As noted above, except under circumstances agreed upon by the faculty member, the Chair and the Dean, faculty members will be expected to use their personal reserve

- funds to meet compensation expectations if other qualified/extramural sources of funds are insufficient.
2. If the faculty member's own personal reserve funds are not adequate to meet any insufficiency in support from other qualified sources for her/his compensation, departmental or other reserves (including personal reserves of other faculty members) shall be used to cover the shortfall in funding, unless there is agreement by the Dean and/or a Bridging Mechanism that specifically delineates alternatives.
  3. Any level of shortfall support that is provided through department or other (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). Support from the designated (personal) reserves of other faculty members may be considered as a means of shortfall support, but is not considered as qualified funding for the faculty member experiencing a shortfall.
  4. Request for Central Support: When departmental or other reserve 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 when 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 according to the policies for bridging support outlined below:
    - a. A request for bridging support (see Subappendix C) must be presented to and approved by the DAB.
    - b. Prior to a request being submitted to the DAB, the Chair and the Dean of Faculty Affairs, the Executive Dean for Administration and Finance, and the Senior Associate Dean for Research should work with the mentoring committee to ascertain that the metrics presented to the DAB in the bridge funding request are feasible and will optimize the probability of restoration of funding for the faculty member (Subappendix D).
    - c. Central monies must be used in accordance with the approved plan.
    - d. Ongoing support for the faculty member during the bridging period will be dependent upon the faculty member meeting milestones set out in that agreement (Subappendix D).

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 prepared, 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 Associate Professors who are not meeting compensation expectations and for whom no alternative allocation of effort has been agreed to by the Dean and the Department Chair at the time that the faculty member experiences a shortfall in garnering the expected level of qualified support and she/he needs to draw on departmental or central funds to cover compensation or program expenditures (without prior exemption of the use of such funds), a letter (Subappendix E) will be provided to the faculty member co-signed by the Chair(s) and the Dean that indicates that:
  - a. In twelve (12) months, support of compensation for the faculty member will be decremented by 10%, and may continue to be decremented by 10% per year (to no lower than 50% of initial support) until the time that the shortfall is remedied; that the term of the appointment ends; or that the faculty member is required to come before the APT Committee for review (and a decision made on promotion, abbreviated reappointment, or a terminal appointment).
  - b. The faculty member's fractional FTE will be reduced concomitantly with the decrease in compensation.
  - c. Compensation and FTE will be restored to their original base when the shortfall ends, as further denoted in paragraph #3, below.
  
- 2) For tenured faculty, at the time that the faculty member experiences a shortfall in garnering the expected level of qualified support and she/he needs to draw on departmental or central funds to cover compensation expectations (without prior exemption of the use of such funds), a letter (Subappendix E) will be provided to the faculty member co-signed by the Chair(s) and the Dean that indicates that:
  - a. 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 [Subappendix F].
  - b. Compensation and FTE will be restored to their original base when the shortfall ends, as further denoted in paragraph #3, below.
  - c. It is important to note, as indicated in the main body of this document (Tenure), that the tenure policy established by the Board of Trustees in 1993 is for full time faculty, however, tenured faculty members who voluntarily reduce their FTE from 1.0 in order to address compensation shortfall and who remain solely Dartmouth College employees do not jeopardize their tenure status by this FTE reduction.
  
- 3) For non-tenured Associate Professors/Professors in the Tenure-track/Tenure Faculty Line or tenured Professors, faculty members will need to obtain a commitment of funding from qualified sources (e.g., a notice of grant award) 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 to restore compensation to its full level prior to the shortfall, and 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).

- 4) These provisions relate only to the obligation to cover the 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 with the specific parameters set out in the Bridge Funding document (Subappendix D) with respect to lab personnel, supplies, and other costs.
- 5) Exceptions to the provisions of this policy may be made upon agreement by the Dean's Office. Exceptions may be granted for individuals who have been supporting themselves well above expected levels for extended periods, but due to department policies or having to fund the portion of their salary that is over the (NIH) cap, have not been able to accrue personal reserves; individuals whose research programs are deemed critical to larger efforts that have been identified as key priorities of Geisel.
- 6) The Dean may declare a moratorium on providing coverage of compensation shortfalls if such shortfalls cannot be supported by non-central reserves, and if 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.

## Subappendix A: Qualified vs. Unqualified Sources of Support for Compensation

### Qualified

- Funding for research or other academic activities provided by an external sponsor to Dartmouth College;
- 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 is for approved professional activities and is specifically for the support of that 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 Subappendix B);
- Funding provided from an individual's personal reserve account<sup>9</sup>

### Unqualified

- Subvention;<sup>10</sup>
- Supplemental subvention;
- Department reserves;
- Individual faculty reserves attributed to other members of the faculty;
- 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;
- PDFs after defined initial support period;
- "Cost share"/service centers.<sup>11</sup>

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<sup>9</sup> Use of personal reserve funds to meet compensation expectations for a period longer than six months requires establishment of a plan for efforts to restore funding from other qualified/extramural sources.

<sup>10</sup> Qualified support may include certain teaching funds from specific Geisel departments/institutions (e.g., TDI, QBS). Use of departmental funds to support teaching activities of either tenure/tenure-track or non-tenure track faculty members does not commit the institution to any long-term support of these faculty members for such activities. While considered qualified with respect to obligations for compensation recovery, teaching monies derived from Geisel (e.g., TDI or QBS) are not allowable with respect to contributions to Faculty Research and Innovation Accounts.

## Subappendix B: Use of Program Development Funds

### *A. Program Development Funds*

Faculty members hired by 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,
- further develop existing research programs of senior faculty members recruited to Geisel, and
- 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 three (3)-year period, and investigators may continue to use these resources at later times to pursue novel research avenues.

As noted above (see Subappendix A), faculty members may draw on PDFs to meet salary compensation shortfalls (much as they might personal reserves), 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 personal reserve accounts.

### *B. Program Development Funds for Multi-investigator Research Programs*

PIs who are expected to develop large multi-investigator research programs may be provided PDFs that may be used to support compensation for Non-tenure Faculty Line, 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

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<sup>11</sup> *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.*

may be used only to support compensation for these individuals for a specified period of time (e.g., three (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 and Non-tenure Line faculty members will need to be covered 100% from qualified sources; Tenure-track/Tenure 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 qualified sources (exclusive of other personal reserves).

### *C. Salary Cap*

Unless otherwise stated, individuals who use PDFs beyond the period specified in offer letters/MOUs, 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.

### *D. 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.



**Subappendix C: Mechanism to Request and Oversee Bridge Funding  
for Tenure-track/Tenure 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 will be needed \_\_\_\_\_  
 Requested amount \$ \_\_\_\_\_ and duration of shortfall funding \_\_\_\_\_  
 Matching departmental funds \$ \_\_\_\_\_.

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

<u>DATES</u> (start and stop)	<u>PROJECT</u> (title/award #)	<u>ROLE</u> (PI/co-I)	<u>%EFFORT</u>	<u>SPONSOR</u>	<u>ANNUAL</u> <u>DIRECT COSTS</u>
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Most recent two-year history of grant submission:

<u>DATE</u>	<u>PROJECT</u> <u>PAYLINE</u> (title)	<u>ROLE</u> <u>ANNUAL</u> (PI/co-I)	<u>%EFFORT</u>	<u>SPONSOR</u> (Y/N)	<u>AWARDED</u>	<u>SCORE</u> <u>DIRECT COSTS</u>
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*Include proposals in 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:**

<u>DATES</u>	<u>INSTITUTION</u>	<u>COURSE TITLE</u>	<u>ROLE</u>	<u>HOURS/YEAR</u>
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**Service activity of candidate:**

<u>DATES</u>	<u>COMMITTEE</u>	<u>ROLE</u>	<u>INSTITUTION (e.g., Geisel, DC, DH)</u>
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**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)

## Subappendix D: 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 [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:

Dept. of [XXXX]	\$XXX,000	(XX%)
Geisel	\$XXX,000	(XX%)
Total	\$XXX,000	(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

- providing feedback on the terms of this bridge plan,
- helping you prioritize your plan for grant proposals and publications,
- pre-reviewing your grant proposals,
- helping you select the most appropriate journals for your publications,
- pre-reviewing your publication drafts, and
- providing 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, there will be an immediate need 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 Geisel School of Medicine may terminate the bridge funding.

**Subappendix E: Template for a Letter Formally Giving Tenure-track/Tenure Faculty Line 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 her/his 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 his/her 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); and***

***(3) A summary of any recent conversation(s) between the chair and/or section chief and the faculty member regarding expectations, his/her status, and plans for the future.***

In light of the information noted above, I must inform you that neither the [Department] nor 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 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 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, 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, we can alter this established schedule. If part of such a new plan requires continued financial support from

the Medical School, 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, the above plan will go into effect. At the date set out above, you will be obliged to find alternative opportunities or to 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 we wish you the best of luck.

If you have additional questions, I encourage you to contact Leslie Henderson, Dean of Faculty Affairs at Geisel, 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

Dean,  
The Geisel School of Medicine

## **Subappendix F: 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 Tenure-track/Tenure Faculty 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 (Subappendix E).

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 **Academic Appointments, Promotions and Titles at 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 **Academic Appointments, Promotions and Titles at 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 for a minimum of two (2) years (e.g., Notice of Award for a grant that provides  $\geq 2$  years of committed compensation support). 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 Geisel School of Medicine.

No period of notification needs to be provided to either Tenure-track/Tenure Line or Non-Tenure Line faculty members if they are dismissed for cause or if they themselves terminate their employment.

#### **Appendix 4: Guidelines for Faculty Subvention Support**

When Dartmouth Medical School was re-established as a 4-year school in the 1970's, most tenure-track faculty members hired into the basic science departments (e.g., Biochemistry, Pharmacology, Physiology, Microbiology) at Dartmouth Medical School (Geisel) were provided with approximately 50% subvention for compensation.

As the research-intensive faculty expanded, some of the basic science departments moved to a model in which central support for compensation was less than 50%, creating disparities in the level of support among faculty members with similar obligations and expectations. These differences were normalized in the mid-2000's when subvention levels for tenure-track and tenured faculty in Biochemistry, Physiology, Pharmacology & Toxicology and Genetics and Microbiology & Immunology were uniformly adjusted to 50% (exclusive of faculty member who held tenure commitments made prior to 1993). These departments have been operating consistently on this principle of support for tenure-track and tenured faculty since that time.

Dartmouth Medical School also built successful research programs in clinical departments (e.g., Psychiatry and Community and Family Medicine), by expanding the numbers of faculty members who had substantive research, as well as patient care, responsibilities. In most cases, individuals recruited into these Departments were not hired into the tenure-track and most commonly had minimal central subvention for their compensation.

The continued development of robust research programs outside of the basic science departments coupled with the substantial reorganization of the medical school following a) the formation of the Departments of Biomedical Data Science and Epidemiology in 2015, b) the restructuring of the academic enterprise in the clinical departments in 2016, and c) the revision of the Appointments, Promotions and Titles Policies in 2016, led to formulation of guidelines for providing subvention to faculty members in the Tenure-track/Tenured and Non-tenure Faculty Lines.

Budgeting for the increase in support for subvention to faculty members for whom such support had not previously been allocated has been built into the long-range financial plan established during the restructuring in 2015-2016 for the medical school and were implemented on July 1, 2016. The guidelines governing subvention support are enumerated below.

1. The level of compensation support (proportional to FTE) for faculty members (in any department) for whom a defined and ongoing level of subvention support was part of their employment contract (offer letter) or subsequent retention contract will not be reduced except under the conditions set forth in the Geisel Policy on Compensation and Research Support, the Geisel Policy on Tenure or by broad-based institutional changes in policies governing compensation support for faculty as approved by the Dean or, when required, the Board of Trustees of Dartmouth College.
2. At the current time, the guidelines enumerated below do not apply to individuals appointed or recruited to faculty positions in the Department of Medical Education or to faculty members in the Dartmouth Institute (TDI), since faculty members in Med Ed and TDI are provided subvention under different guidelines than set forth below.



3. Enhanced subvention support will be provided for research-intensive faculty who were not originally hired into conventional (e.g., ~50% subvented) faculty lines.

The criteria below are intended to guide discussions between the Dean and the Chair in considering increased subvention support for compensation for faculty members. These criteria are not absolute: The Dean and the Chair will need to be in agreement that a faculty member's contributions warrant an increase in subvention based not only on concrete factors such as Modified Total Direct Costs (MTDC), but other less quantifiable metrics that may also be relevant to a determination for central support.

- Individuals hired in either the Non-tenure or Tenure-track/Tenure Line without a defined level of subvention or a defined subvention level below 50% who hold the ranks of Assistant Professor, Associate Professor or Professor and who have an expectation for/evidence of a sustained ( $\geq 3$  year) history or documented commitment (e.g., Notice of Award) of externally funded support at a level of ~250,000/year in MTDCs from grants or contracts to Dartmouth College for sponsored research in which they are principal investigator (PI) or multiple-PI on those awards may qualify to have their subvention increased to 50%. Upon receipt of this subvention support, these individuals will (unless there are explicit exceptions approved by the Dean) also be expected to demonstrate a sustained commitment to teaching and service comparable to that of Tenure-track/Tenure Line faculty subvented at 50%. Individuals receiving this level of subvention will also be expected to meet scholarship criteria consistent with academic line and rank (as set out in the document [Academic Appointments Promotions and Titles at the Geisel School of Medicine at Dartmouth](#)). Individuals who are responsible for the conception and writing individual projects as project leaders of large grants (e.g., Program Project Grants [PPG]) may qualify if awards are made. Being named internally as a project leader on a PPG or other comparable mechanism (awarded to another PI) following receipt of a grant/award will not qualify. As noted above (Section IIB.2), such subvention is not made in perpetuity and is contingent upon a continued level of maintained support. Unless otherwise noted through a revised letter from the Geisel Administration, renewal is subject to review each fiscal year.
- Individuals hired in either the Non-tenure or Tenure-track/Tenure Line without a defined level of subvention or a subvention level below 25% who hold the ranks of Assistant Professor, Associate Professor and Professor and who have an expectation for/evidence of current and sustained ( $\geq 3$  years; e.g., Notice of Award) history of serving as key personnel (with substantive efforts as PI or co-investigator; co-I), at a minimum level of 150,000 on grants or contracts to Dartmouth College for sponsored research may have their subvention increased to 25%. Such individuals are also expected to perform service and teaching consistent with this level of central support, and to meet scholarship criteria consistent with academic line and rank.

- Individuals whose subvention level is increased beyond the level set out in their offer letter may have the level decreased to that original amount if they do not sustain the level of performance that was the basis for the increase. Decisions regarding any reduction in support shall only occur after consultation with the faculty member's department chair, and the final authority for such decisions shall remain with the Dean.
- Individuals who receive either 25% or 50% subvention are excluded from receiving additional support from Geisel for routine teaching in the undergraduate medical education and graduate programs at Geisel (this does not preclude support for teaching for other entities—e.g., Arts and Sciences [A&S]).

4. *De minimis* subvention support will be provided to research-intensive, Non-tenure Line faculty members who have not established a robust, nationally recognized research program, but who have expectations of serving as PI or co-PI on sponsored programs within the missions of Geisel. Specifically, in order to be in compliance with the [US Government Code of Federal Regulations \(CFR\)](#), faculty members, *de minimis* subvention support for compensation (5%) may be provided to the following faculty members.

- Faculty members at the rank of Assistant Professor, Associate Professor and Professor who were hired with no commitment of subvention and who do not meet the criteria set out in Part I, if they are committed at an aggregate of ~50% effort (6 person-months) as PI or co-PI on sponsored awards (whether federal or non-federal). Such individuals may be important to the efforts of numerous team-based programs that are not necessarily all part of a coherent and unified research program.
- Junior faculty members who may not yet have attained 50% support at PI or co-PI multiple team-based awards, and both the Dean and the Chair are in agreement that such individuals are on the appropriate trajectory to meet this expectation.
- Except under limited circumstances (e.g., specific funding mechanisms), Instructors are not eligible for subvention and must be supported 100% through grants or allowable departmental/core facility, or institutional funds. All exceptions to provide a *de minimis* level of subvention (5%) for Instructors must be approved by the Dean and must be consistent for Geisel's expectations for that individual to develop a robust and recognizable research program in their current role.
- Individuals who receive only 5% subvention shall not be asked to perform more than a *de minimis* level of teaching or service (i.e., no more than 1-2 hours of teaching or a single committee assignment per year) unless specifically contracted for these activities.

- If individuals receiving 5% subvention are contracted to teach in specific Geisel-hosted courses (e.g. TDI, QBS, Med Ed), direct salary support for these teaching efforts will be considered as qualified.

5. Levels of subvention support for Chairs and Endowed Professorships will be provided according to guidelines as given below.

Just as there has been a historical lack of uniformity of subvention support for compensation for research-intensive faculty members, guidelines and uniformity in providing subvention support for compensation to departmental Chairs has also been lacking.

Many Chairs, but also non-chairs, also hold endowed professorships. While historical practice for the awarding of and distribution from endowed professorships has not been changed, as part of the revisions of these documents (2017), guidelines below are memorialized in order to assure uniform support and expectations for faculty members who take on leadership roles as Chairs, and to clarify expectations for distributions from endowed professorships for individuals who hold these professorships (whether departmental chairs or not):

- Unless otherwise stated in their offer letters, departmental chairs will receive 70% subvention for their compensation during the time that they hold the departmental chair position. At the time the departmental chair is relinquished, and except where stipulated otherwise in department chair offer letters or otherwise agreed to by the Dean, subvention support for compensation for former department chairs shall be set at 50%, provided they continue in to engage in academic activities (e.g. research, teaching) commensurate with this level of support (see Section I, bullet #1).

In all cases, levels of subvention support for compensation for individuals stepping down from serving as departmental chairs will not be lower than stipulated in the offer letters except under conditions set forth in the Geisel Policy on Compensation and Research Support, the Geisel Policy on Tenure or by broad-based institutional changes in policies governing compensation support for faculty as approved by the Dean, or when required, the Board of Trustees of Dartmouth College.

- For faculty members who have been awarded an endowed professorship, funds from those professorships will first and foremost be governed by the Statements of Understanding (SOU) that established the funds. For the majority of professorships at Geisel, the distributed income from the endowed professorship is intended to provide a supportive academic environment for the incumbent, and the funds are used wholly by Geisel to support existing subvention commitments to salary and other supports (space, grants management infrastructure, etc.) for the incumbent. The awarding of a professorship, unless otherwise agreed to by the Dean or stipulated explicitly in the SOU, shall not serve to increase the level of subvention provided to the incumbent.

- Distribution for programmatic use beyond compensation for the holder of the professorship varies with each individual fund and is not covered by the guidelines enumerated herein.

**Appendix 5: Geisel School of Medicine at Dartmouth  
Guidelines for Faculty Promotion Procedures  
(Tenure-track/Tenure, Non-tenure, and AMS Faculty Lines)**

The authority to award faculty titles at the Geisel School of Medicine at Dartmouth (Geisel) lies with the Trustees of Dartmouth College. The Trustees, however, act upon recommendations made by the Medical School and the administration of Dartmouth College. These guidelines outline the procedures for the consideration of appointment and/or promotion to senior rank (Associate Professor/Professor). Consideration for tenure at Geisel is made upon appointment or promotion to Professor for those individuals who are employees of Dartmouth College.

These guidelines focus on *procedures* for evaluation of appointments/promotions to senior ranks at Geisel. The *substantive* standards that govern all appointments, promotions and titles are found in the parent document entitled, "Academic Appointments, Promotions and Titles at Geisel School of Medicine at Dartmouth."

**I. Procedures for Promotion Consideration Prior to the Appointments, Promotions and Titles (APT) Committee Review.**

Annual reviews and appropriate mentoring of all faculty members is required by governing principles of the Medical School and by LCME standards for accreditation. Each member of the faculty will receive such reviews from his/her respective Chair or Director<sup>1</sup> (or the Chair's designated official) and mentoring from the Chair and members of the Department's/Institute's<sup>1</sup> Promotions Committee. These individuals are responsible, in conjunction with the faculty member, for guiding her/him along the appropriate trajectory for academic advancement.

The department has the initial responsibility for determining whether or not to recommend a faculty member in the department for promotion based on a thorough and objective review. Considerations about faculty promotions at the departmental level are led by the Departmental Chair with the involvement of the Department Promotions Committee. The Promotions Committee shall comprise all (or representative faculty members, depending on the size of the department) at the rank of Professor who hold voting rights (i.e., not Emeritus/a, voluntary, visiting, adjunct, or clinical). In cases where the number of faculty at the rank of Professor within a single department is limited, more than one department may choose to form a combined review committee.

**Departmental Review:**

The Department Review process should commence so that the candidate's completed portfolio will be presented to the APT Committee at a time when the candidate has been ~six (6) years in

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<sup>1</sup> Directors/Institutes which have Chair/Department standing hereafter are encompassed within the terms Chairs/Departments

rank. Reviews that result in portfolios presented to the APT Committee before the candidate has been in rank at least five years will signify that the candidate is considered exceptionally qualified for advancement. Department Chairs and their Departmental Promotions Committees must provide candidates and their mentors a list of the material required for departmental review at least two months prior to this review, to allow the candidates adequate time to prepare this material.

#### *Extramural Reviewers*

Number of reviewers: During the *departmental* review process, the departmental chair will solicit and receive a minimum of three (3) letters from outside (non-peer) reviewers who are qualified to assess the candidate's academic performance. Outside reviewers must not have an appointment at any institution where the faculty member holds an active appointment (e.g., if the candidate has an adjunct appointment at another institution) and must not have a personal (e.g., is married to) or financial (e.g., shared intellectual property) conflict of interest with the candidate.

Letters solicited for the departmental review, as well as those sent forward to the APT Committee, must come from outside reviewers who hold academic rank at or above the academic rank for which the candidate is being considered.

Selection of reviewers: The candidate may provide the Chair with a list of up to five suggested outside reviewers, together with information about the professional relationship of the suggested reviewers to the candidate, if any, and the basis for their selection as individuals qualified to evaluate the candidate. In selecting the outside reviewers from whom letters will be requested, at least one of the minimum of three (3) letters must be from the list provided by the candidate.

The outside reviewers should be qualified to credibly assess the candidate's performance under the principles outlined in the document entitled, "Academic Appointments, Promotions and Titles at Geisel School of Medicine at Dartmouth". Because these principles vary depending upon the level of promotion under consideration and the nature of the candidate's portfolio, the credentials of the outside reviewers may vary depending on the particular situation. It is recognized that outside reviewers may not necessarily be *personally* familiar with specific aspects of a candidate's portfolio (e.g., teaching or clinical care). The major role of these reviewers is to assess the professional reputation and standing of the candidate in the non-Dartmouth academic community relevant to the candidate's proposed rank and faculty line.

#### *Solicitation of Letters; Departmental Assessment*

To ensure consistency among departments and consistency between the departmental review and review by the APT Committee, the cover letter provided to reviewers should be the template letter provided as Attachment A in this document. Each potential reviewer should receive the solicitation to review (template) letter and a copy of the document "Academic Appointments, Promotions and Titles at Geisel School of Medicine," in which the appropriate criteria for the title for which the candidate is being recommended are *excerpted*. These excerpts are available upon request from the Dean's Office. The cover letter to reviewers

should be agnostic as to whether or not the Chair or the senior members of the faculty support the candidate's promotion.

The candidate should not be informed of the names of the outside reviewers selected by the Chair, and the Chair is responsible for informing the candidate that the candidate should not personally communicate with any of the candidate's suggested outside reviewers about the fact that their opinions may be solicited or the substance of the review.

As indicated below, *all* outside letters received shall be included in the candidate's portfolio that is provided to the Medical School's APT Committee. In assembling this portfolio, the Department will provide a list of a) the reviewers suggested by the candidate and b) the reviewers suggested by the Chair, and will indicate on both lists the reviewers from whom responses were obtained.

#### *Intramural Reviewers*

The Chair will also solicit letters from at least two (2) inside (Geisel) peer reviewers, selected by the Chair without consulting the candidate. The peer reviewers may have a stronger basis than outside reviewers to assess the candidate's teaching abilities, clinical skills, and contributions to the Dartmouth community. Peer reviewers should receive the same information as outside reviewers.

#### *Recommendations*

After considering the candidate's file, including the letters solicited by the Chair, the department's promotions committee will decide to recommend the candidate for promotion or decide not to forward the candidate's file for further consideration for promotion at the present time. In soliciting additional reviewers to meet the number of letters required by the APT Committee, reviewers who are asked for additional letters should not be informed of the deliberations or vote by the department committee (i.e., whether it was unanimous or not).

#### *Transmittal of Recommendation for Promotion*

The Chair will forward recommendations for promotion to the APT Committee, which will perform its own review. The Chair will transmit the following documents to the APT Committee:

1. "Deans" Letter from the Chair: A letter from the Chair to the Dean of the Medical School (Dean's Letter) recommending promotion. The letter will include the following information and assessments:
  - a. The first paragraph of the letter should contain the candidate's proposed rank (primary department listed first, if joint appointment). If the promotion is to the rank of Professor, the first paragraph should also specify whether this is a request for tenure or non-tenure;
  - b. The effective date of the proposed appointment;

c. Identification of the candidate's faculty line and track (see “Academic Appointments, Promotions and Titles at The Geisel School of Medicine at Dartmouth” document);

d. A breakdown of the estimated percentage of effort the candidate spends in clinical activities, research or other forms of scholarship, teaching, and engagement. These numbers are not based on official labor attestation and do not need to be exact; rather they are to provide the APT Committee with guidelines on how much to weight each of the candidate’s activities (teaching, research, clinical care, engagement) when considering his/her accomplishments in meeting criteria for promotion.

e. A precise description of the candidate's field of specialty;

f. A detailed explanation of the basis for the promotion recommendation, including:

- i. The professional and personal qualities of the candidate that merit consideration;
- ii. The candidate's academic role in teaching and research;
- iii. The candidate's contribution to the department and the Medical School;
- iv. Evidence of regional, national, or international recognition, as appropriate for the level of promotion and the portfolio.
- v. The Chair’s letter must address any negative input (e.g., letters that are not supportive; a less than unanimous vote of the departmental committee).

2. A letter of approval from the Chairs of the non-primary departments in the cases of joint appointments. For faculty members in large departments who also report to a Section or Division Chief, a letter of approval from that Chief should also be included.

3. A current Curriculum Vitae of the candidate in the Geisel format: See [Faculty Handbook](#).

4. Data supporting the Chair’s assertion that the candidate has achieved the criteria for promotion, including:

a. Letters from inside reviewers, including, where relevant, letters from colleagues attesting to quality of teaching and, as appropriate, clinical accomplishments;

b. Teaching evaluations: course reviews, eVal and other metrics (required, for those who have teaching responsibilities in any Line);

c. For faculty new to Geisel, a synopsis outlining the candidate’s teaching accomplishments/history/expertise at the candidate’s current institution;



d. Letters solicited from outside reviewers, accompanied by a list letters sent to reviewers framing the request; information indicating whether the reviewers were selected by the Chair or by the candidate; explanation of the professional relationship of the reviewers to the candidate, if any; and the basis for their selection as individuals qualified to evaluate the candidate.

The majority of outside letters/reviewers should come from individuals who:

- have not trained or been trained by the candidate within five years of the date of solicitation of the review;
- have not received joint funding (grants, foundation awards, clinical trials etc.) as PI or co-I with the candidate within the past five years; and,
- have not published with the candidate in the past two years.

Letters should be received within no longer than 1 year prior to review of the candidate by the APT Committee.

It is recognized that under certain and limited conditions, departments may find it difficult to obtain the requisite number of letters from individuals who meet the criteria above (e.g., if the candidate is heavily active in large clinical trials that incorporate comparably large numbers of investigators, it may be difficult to obtain letters from those with sufficient expertise who are not in conflict). If Chairs believe that the inability to obtain outside letters is unduly impeding the review of the faculty member, she/he may petition the Dean of Faculty Affairs at Geisel to see if either criterion 2 or 3, above, may be waived for a limited number of letters;

e. Four (4) to ten (10) publications authored by the candidate that best reflect her/his academic endeavors (one copy) or appropriate internet addresses for web-based materials; and,

f. Material from other academic/non-academic institutions indicating the candidate's accomplishments with respect to engagement where applicable.

5. The list of outside reviewers suggested by the candidate, together with the information provided by the candidate about the suggested reviewers, as described above;

6. Evaluations from 10 individuals who have been taught by the candidate. These evaluations may include a combination of medical students, graduate students, residents and post-doctoral fellows, and undergraduate students or other learners; and,

7. The Departmental Chair's assessment of the candidate's institutional contributions, unique characteristics, and potential for leadership within the institution.

The Departmental Chairs will forward their recommendations for promotion and all supporting material to the APT Committee when all materials required for the portfolio are received.

The complete portfolio (all materials) must be received in the Dean's Office no later than 3 weeks prior to the scheduled date for the APT Committee review.

The APT committee meets monthly during the academic year, with a hiatus in July and August.

## **II. Procedures for Promotion at the APT Committee Level**

The APT Committee reviews candidates for promotion who have been recommended by their respective departments. The Committee represents the interests and perspectives of the Medical School as a whole.

### *Committee Composition*

The APT Committee consists of 11 members: the Dean of Faculty Affairs at Geisel and 10 faculty members that reflect the diversity of faculty in Geisel with regard to clinical care, teaching, and research. The Dean of Faculty Affairs serves as Chair of the Committee. Members of the Committee, other than the Dean of Faculty Affairs, are chosen by the Dean of Faculty Affairs, in consultation with the Department Chairs and the Geisel Faculty Council. Appointments are subject to approval by the Dean. Initial appointments are made for one year, with the ability to extend the term for an additional three to four years. No member of the Committee (other than the Dean of Faculty Affairs) may serve more than two consecutive terms. Faculty members who rejoin the committee after a hiatus may sign up for a three- or four-year term without the initial one-year period. The Vice Chair of the APT Committee is appointed by the Dean or the Dean's designated official (the Dean of Faculty Affairs at Geisel) from among the members of the Committee. The Vice Chair serves as Vice Chair for two years.

The Vice Chair is responsible for chairing the meetings, working with the Administrative Assistant to assure that the Committee stays on schedule, and working with the Dean of Faculty Affairs at Geisel to make sure information regarding APT proceedings is conveyed to the Department Chairs in an accurate, helpful, and timely manner. The Dean for Faculty Affairs may also call on "reserves": former members of the APT Committee identified by the Dean for Faculty Affairs who may be asked to perform reviews when a quorum is in question without their participation.

The Committee is assisted by the Administrative Coordinator for Recruitment and Faculty Affairs in the Geisel Administration, who maintains the promotion files. More specifically, the Administrative Assistant is responsible for:

- a. Ensuring that all necessary documentation has been provided by the Departmental Chairs;
- b. Maintaining correspondence with outside reviewers, inside reviewers, and students;
- c. Keeping the APT member responsible for the file informed of the status of the file;

- d. Maintaining all APT documentation (both hardcopies and electronic documents for the committee's use that are posted on protected internet sites; e.g., SharePoint or Interfolio);
- e. Ensuring that the candidate's file contains at least five letters from outside reviewers in the case of promotions to Associate Professor and at least seven letters from outside reviewers in the case of promotions to Professor. The majority of the letters in the file should be solicited from outside reviewers who are not drawn from the list of suggested reviewers provided by the candidate and must not have a conflict of interest with the candidate;
- f. Providing administrative support to the APT committee and taking minutes at the meetings;
- g. Ensuring that copies of the letters to the Chairs from the Dean of Faculty Affairs at Geisel/Vice Chair of the APT Committee that summarize the APT Committee's deliberations, as well as formal letters acknowledging appointments/promotions, are maintained in the candidates' files.

#### *Committee Meetings and Schedule*

The Provost of Dartmouth College approves appointments and promotions at Geisel on a rolling basis (with the exception that promotions/appointments with tenure must be voted upon by the Board of Trustees). The APT Committee, therefore, meets on a year-round basis. The number of portfolios ready for review, the availability of Department Chairs or their designated officials, and the availability of APT Committee members will set schedules. In general, the APT Committee meets once monthly, with fewer meetings in the summer months. Because portfolios are reviewed on a year-round basis, Geisel Administration will not accept portfolios from the Departments until they are complete.

#### *Committee Operations*

The Departments are responsible for obtaining all promotions materials. The Geisel Dean's Office is responsible for assembling materials into portfolios for review by the APT Committee. The APT Committee is responsible for reviewing information regarding the candidates' qualifications for promotion in rank, assuring the objective assessment of the candidates' academic and professional achievements, and putting forward recommendations for advancement.

1. The Dean of Faculty Affairs at Geisel assigns each candidate for promotion to one APT Committee member who will then be responsible for an in-depth review of the candidate's file. This individual must not have a conflict of interest with the candidate (e.g., is in the same primary department, has written a letter for the candidate, has a familial relationship with the candidate, is a colleague with whom the candidate publishes, shares grant support or intellectual property, or is a mentor for the candidate through mechanisms such as PPG, COBREs etc.).

2. While it is the responsibility of the department administrators and Geisel administration to ensure portfolios are complete, APT reviewers should nonetheless double-check to make sure all required letters and other components are assembled. If any document is missing, the reviewer should alert the Director of Administration or the Dean of Faculty Affairs, and the review shall be rescheduled for a later date when the portfolio is complete.
3. The APT Committee member responsible for a candidate may also choose to seek additional reviews from inside reviewers selected by the Committee member.
4. The Committee member responsible for a candidate will make a presentation of the candidate's file to the APT Committee and will participate in the Committee's deliberations. This presentation must be written using the standard APT template. The presenter may include in her/his draft review the expected recommendation for or against advancement, but she/he should not make that recommendation known to the rest of the committee at the time she/he presents the portfolio. Following a discussion and a vote of the committee, the presenter should amend her/his letter to indicate the committee vote and submit the final letter to the Administrative Coordinator for Recruitment and Faculty Affairs (*vide infra*).
5. The Department Chair or her/his designated official is invited to attend the presentation of the candidate and to answer questions from the committee. Other key individuals (e.g., the Director of the Cancer Center or a Chair from a joint department) may also be invited to attend.
6. Faculty members who hold the same primary appointment as the candidate or who have any other recognized conflict of interest shall leave the room during the presentation and subsequent voting. Such conflicts include, but are not limited to: co-authoring papers or grants within the past five years for grants; within the past two years for papers, being a co-holder of intellectual property with the candidate, being a current or former mentor, having written a letter of support for the candidate for his/her current promotion, or familial relationship. Individuals who hold secondary/tertiary appointments may participate in the discussion and the vote as long as they, in good conscience, are not in conflict.
7. After this initial discussion, the Chairs and their designated officials shall be excused. A motion to recommend for promotion/appointment shall be made and seconded. After the motion has been proposed, the Committee shall then discuss and vote on the motion:
  - a. Candidates who receive a "yea" vote to advance from greater than 50 percent of the APT Committee members will be recommended for promotion/appointment. A quorum (six (6) members of the committee who do not have a conflict and can thus vote) must be present and vote for an action to be taken.
  - b. Candidates who receive a "yea" vote to advance from less than 50 percent of the APT Committee members will not be recommended for promotion.
  - c. A secret ballot can be called for by any member of the Committee at any time. Otherwise, voting will be performed by a show of hands.

In some cases, the APT Committee may find that more information is required before coming to a vote. In these cases, the motion shall be tabled, and the Department Chair shall be informed that no decision can be made until the portfolio can be re-reviewed with new information. The revised portfolio can be re-reviewed as soon as the requested information is in hand.

8. The Committee's vote and a brief written summary of the reasons for the vote will be prepared by the Dean of Faculty Affairs at Geisel and the Vice Chair of the APT Committee. This summary shall be sent to the Department Chairs(s) as soon as possible following the APT's decision. Each note on the recommendation of the candidate should delineate the reasons why the recommendation carried or did not carry. If promotion/appointment was recommended, this note should also contain one of the following sentences:

*As you know, our recommendation must be approved by the Dean of Geisel, the Dean's Academic Board (DAB), and the Provost of Dartmouth College. Therefore, we request that you not let Dr. XXX or others know of our decision until the promotion has been approved at all levels.*

*As you know, our recommendation and the award of tenure must be approved by the Dean of Geisel, the Dean's Academic Board (DAB), the Provost of Dartmouth College, and the Dartmouth College Board of Trustees. Therefore, we request that you not let Dr. XXX or others know of our decision until the promotion has been approved at all levels.*

9. The Dean of Faculty Affairs at Geisel will submit to the Dean the recommendations for each candidate reviewed by the APT Committee, the written summaries of the Committee's review, and the vote tabulation for each candidate.

10. Throughout the review process, the APT Committee's procedures are confidential. Committee members shall not disclose any recommendation or any details of the process or discussion outside the APT meetings.

### **III. Procedures for Promotion Following the APT Committee's Recommendation**

#### *Dean's Review*

Upon receiving the APT Committee's recommendation, the Dean will review the recommendation. If the Dean so chooses, the Dean may add to the file his or her own views (positive or negative) on the candidate's promotion. The file of a candidate who has not been recommended for promotion by the APT Committee will receive no further consideration for promotion at that time.

If the Dean or his/her designated officials and the Chair of the Department feel that the candidate can address the deficiencies raised by the APT Committee that led the Committee to deny the recommendation to advance, the candidate may be reconsidered for advancement as soon as those deficiencies have been addressed. If, after consultation with the Chair by the Dean, the deficiencies are deemed to be too great for the candidate to be able to address (with

regard to the *specific* criteria for appointment/advancement within her/his Faculty Line), the appointment of the faculty member shall not be renewed.

#### *DAB Review*

The Dean will inform the voting members of the Dean's Academic Board (DAB) of the names of candidates who have been recommended for appointment and/or promotion by the APT Committee, and will request a vote by the DAB as part of the Personnel Agenda. Any member of the DAB who questions or has concerns about the recommendation may request that the promotion be tabled until further discussion with the Dean and/or the Dean of Faculty Affairs at Geisel.

A vote approving a recommendation to promote a candidate requires that the candidate receive at least 50 percent of the votes of all voting members of the DAB. The voting members of the DAB are the Dean and the Senior Deans of Geisel (the Dean of Faculty Affairs at Geisel, the Executive Dean for Administration and Finance, the Senior Associate Dean for Medical Education, the Senior Associate Dean for Research, and the Senior Associate Dean for Clinical Affairs); the Departmental Chairs and Major Center Directors of the Medical School; the President of Dartmouth-Hitchcock; and the Chief of Staff of the Veterans Affairs Medical Center in White River Junction. DAB members will hold the names of any candidates for promotion and any information they obtain about the candidates in strict confidence.

After all recommendations for promotion from the APT Committee have been voted on by the DAB, the Departmental Chairs have the option of informing the candidates within their departments who have not been recommended for promotion of their status.

Faculty members who present just cause that their academic freedom has been violated have redress with respect to the actions of Department Promotions Committee, the APT Committee, or the DAB through provisions set forth in the "Organization of the Faculty of Dartmouth."

#### *Provost's Review*

The Administrative Coordinator for Recruitment and Faculty Affairs in the Geisel Administration shall transmit the names, titles, and departments of individuals whose promotions/senior appointments have been supported by the APT Committee, the Dean, and the DAB to the Provost's Office.

All initial appointments in the Tenure-track/Tenure Line must be accompanied by the candidate's CV and a minimum of three letters of recommendation from outside referees (from search).

All initial appointments in the Non-tenure Line require the candidate's CV and of three letters of recommendation (the letters may be internal or external to Dartmouth, but must come from individuals with whom the candidate does not have a conflict of interest).

All reappointments in rank must be accompanied by a written assessment from the candidate's Chair delineating the faculty member's accomplishments with respect to expectations during the prior appointment period.

Recommendations for promotion to Professor with tenure will be accompanied by a detailed letter from the Dean that includes a description of the candidate's qualifications and accomplishments, the role of the candidate in the Medical School's academic activities, the reviewers' assessments of the candidate, the basis for the reviewers' credibility and, if the Dean so chooses, the Dean's views of the candidate. For all promotions in the Tenure-track/Tenure Line, the Dean will also provide the Provost with the summary of the discussion and vote from the APT Committee, the vote by the DAB, and all letters from reviewers (inside and outside) with respect to the candidate's consideration.

The Provost and the President of the College, acting on behalf of the Board of Trustees, may accept the APT Committee's recommendation, reject the recommendation, or request the Dean for Faculty Affairs, as Chair of the APT Committee, to provide additional information. The action by the Provost/President should be recorded in the form of a letter to the Dean and become a part of the candidate's confidential file.

*Presentation to the Trustees of Dartmouth College*

For those candidates whose recommendations for promotion or appointment to Professor with tenure are accepted by the Provost and the President, the Provost will present the candidates to the Trustees of Dartmouth College who are empowered to offer faculty promotion.

#### **IV. Normal Schedule of Procedures**

- The DAB meets monthly (with a hiatus in July and August). Complete portfolios must be submitted to the Dean's Office no less than one-month prior to the meeting date. All candidates recommended for promotion/appointment shall be included on the next DAB Personnel agenda unless unusual circumstances prevent this action.
- For non-tenure decisions, the Provost's Office will typically approve appointments within one to two weeks of receiving the DAB Personnel agenda. At this time, the Dean's Office will inform the candidates in writing of their promotion/appointment.
- For tenure decisions, material for consideration must be provided to the Provost's Office at least a month prior to the meetings of the Board of Trustees (February, June and November). Material required for submission to the Provost's Office includes the complete portfolio of the candidate and the APT review committee's synopsis.
- The Dean's Office shall congratulate candidates, in writing, on their promotions, and a copy of each letter shall be retained in the faculty member's file.
- Annually, at the end of the summer, the Dean's Office shall also announce to the Dartmouth Community through public forums (e.g., the Geisel web site, email to the

Geisel community) those candidates who have been promoted or appointed to senior rank so that they may be acknowledged for their accomplishments.

- The following documents provide a checklist of material required for submission to the Dean's Office. This information should be used in conjunction with the parent documents entitled, "Academic Appointments, Promotions and Titles at The Geisel School of Medicine at Dartmouth" and "APT Guidelines and Structure."



**Geisel or New Faculty Member Being Considered for Appointment/Promotion  
to Associate Professor through the APT Committee**

This document should be used in conjunction with documents entitled, “Academic Appointments, Promotions and Titles at The Geisel School of Medicine at Dartmouth” and “APT Guidelines and Structure.”

All documents will be uploaded to a restricted site. Only one copy of each is therefore required.

Candidate’s Name: \_\_\_\_\_

- Chair’s Letter (to Dean):**
  - Original must be on letterhead and signed. An electronic version is acceptable, but the signature should not be electronic, copied or stamped (i.e., a scan of the original letter should be submitted).
  - The first paragraph should indicate the Faculty Line (Tenure-track/Tenure, AMS, or Non-tenure) and track (e.g., Investigator-Educator), if the promotion is being considered with tenure (Tenure-track/Tenure Faculty Line, DC paymaster only), and the fractional FTE committed to each relevant activity (teaching, research, service, administration).
    - Secondary Chair letter, necessary only if there is a joint appointment.
      - Section Chief and Tertiary Chair letters, when applicable (optional).
- Curriculum Vitae (CV):**
  - Must be in the Geisel format, current and dated.
- Career Overview:**
  - This is part of the CV. It must be written by the candidate.
- Research Funding:**
  - This is part of the CV.
    - For grants, list past awards, current awards, and pending proposals, with the information requested. *Do not* provide information on unsuccessful proposals.
    - If no information is provided in CV, it will be assumed that there is no research support.
- Publications:**
  - Provide pdfs of four to ten different publications
- Five (5) Letters from Outside Reviewers:** Departments must provide a list of the external reviewers identified as “Chosen by Chair” and “Chosen by Candidate.” List needs to identify name, institution and rank of reviewer (*vide infra*).
  - The letters must be on letterhead, dated, with original signature and indicating the rank of the reviewer.
  - Unless otherwise approved, letters must be within 1 year of date of APT review.
  - Reviewer must be of the same or higher rank as the candidate’s proposed rank (Associate Professor or equivalent). Must not be a modified title.
  - Letters cannot be from individuals who have a conflict of interest with the candidate (e.g., close relative, business partner, etc.).
  - The majority of the required five letters must come from *individuals* who
    1. have not trained or been trained by the candidate within five years of the date of solicitation of the review;
    2. have not received joint funding (grants, foundation awards, clinical trials, etc.) as PI or co-I with the candidate within the past five years;
    3. have not published with the candidate in the past two years.

It is recognized that under certain and limited conditions departments may find it difficult to obtain the requisite number of letters from individuals who meet the criteria above (e.g., if the candidate is heavily active in large clinical trials that incorporate comparably large numbers of investigator), it may be difficult to obtain letters from those with sufficient expertise who are not in conflict). If Chairs believe that the inability to obtain outside letters is unduly impeding the review of the faculty member, he/she may petition the Dean of Faculty Affairs at Geisel to see if either criterion 2 or 3, above, may be waived for a limited number of letters.

- The majority of the five required outside letters must not come from *institutions* where the candidate has trained in the past five years or holds an adjunct appointment (current or within the past 5 years).
- The majority of the five required outside letters must be from individuals selected by the Chair.
- More than five letters may be solicited; all letters (even if there are more than five) must be submitted with portfolio.

**Lists of Outside Reviewers:**

- For Reviewers selected by the Chair, provide a single page that indicates
  - Reviewers' names, ranks, institutional affiliations, and contact information.
- For Reviewers selected by the Candidate, provide a single page that indicates
  - Reviewers' names, ranks, institutional affiliations, and contact information.

**Two (2) Letters from Peers:**

- Letters should be from current peers (i.e., at the same institution where the candidate holds a position; or for recent senior recruits, their immediately prior institution) and from individuals of comparable or higher rank.

**\*Narrative Evaluations from Learners (Students, Fellows, Residents):**

- Request at least 10 evaluations.

**\*Formal Teaching Evaluations:**

- Reviews and quantitative metrics for all formal (i.e., not individual mentoring) UME, GME, associate provider and graduate student teaching, and undergraduate teaching when applicable. Do not include information on faculty members other than candidate.

**Completed DAB form:**

- Please note, this does not indicate or guarantee recommendation to promote/appoint.

\*Note: Some faculty members in the Non-tenure Faculty Line or the Investigator Track of the AMS Faculty Line may not have interactions with students. These requirements are optional for those who do not have these responsibilities.

**Geisel or New Faculty Member Being Considered for Appointment/Promotion  
to Professor through the APT Committee**

This document should be used in conjunction with documents entitled, “Academic Appointments, Promotions and Titles at Geisel School of Medicine at Dartmouth” and “APT Guidelines and Structure.”

All documents will be uploaded to a restricted site. Only one copy of each is therefore required.

Candidate’s Name: \_\_\_\_\_

- Chair’s Letter (to Dean):**
  - Original must be on letterhead and signed. An electronic version is acceptable, but the signature should not be electronic, copied or stamped (i.e., a scan of the original letter should be submitted).
  - The first paragraph should indicate the Faculty Line (Tenure-track/Tenure, AMS, or Non-tenure) and track (e.g., Investigator-Educator), if the promotion is being considered with tenure (Tenure-track/Tenure Faculty Line, DC paymaster only), and the fractional FTE committed to each relevant activity (teaching, research, service, administration).
    - Secondary Chair letter, necessary only if there is a joint appointment.
    - Section Chief and Tertiary Chair letters, when applicable (optional).
- Curriculum Vitae (CV):**
  - Must be in the Geisel format, current and dated.
- Career Overview:**
  - This is part of the CV. It must be written by the candidate.
- Extramural Support:**
  - This is part of the CV.
    - For grants, list past awards, current awards and pending proposals, with the information requested. *Do not* provide information on unsuccessful proposals.
    - If no information is provided in CV, it will be assumed that there is no research support.
- Publications:**
  - Provide pdfs of four to ten different publications
- Seven (7) Letters from Outside Reviewers:** Departments must provide a list of the external reviewers identified as “Chosen by Chair” and “Chosen by Candidate.” List needs to identify name, institution and rank of reviewer (*vide infra*).
  - The letters must be on letterhead, dated, with original signature and indicating the rank of the reviewer.
  - Unless otherwise approved, letters must be within 1 year of date of APT review.
  - Reviewer must be of the same or higher rank as the candidate’s proposed rank (Professor or equivalent). Must not be a modified title.
  - Letters cannot be from individuals who have a conflict of interest with the candidate (e.g., close relative, business partner etc.).
  - The majority of the seven required letters must come from *individuals* who
    1. have not trained or been trained by the candidate within five years of the date of solicitation of the review;
    2. have not received joint funding (grants, foundation awards, clinical trials etc.) as PI or co-I with the candidate within the past five years;
    3. have not published with the candidate in the past two years.

It is recognized that under certain and limited conditions departments may find it difficult to obtain the requisite number of letters from individuals who meet the criteria above (e.g., if the candidate is

heavily active in large clinical trials that incorporate comparably large numbers of investigators, it may be difficult to obtain letters from those with sufficient expertise who are not in conflict). If Chairs believe that the inability to obtain outside letters is unduly impeding the review of the faculty member, he/she may petition the Dean of Faculty Affairs at Geisel to see if either criterion 2 or 3, above, may be waived for a limited number of letters.

- The majority of the seven required outside letters must come from *institutions* other than those where the candidate has trained in the past five years or holds an adjunct appointment (currently or within the past five years).
- The majority of the seven required outside letters must be from individuals selected by the Chair.
- More than seven letters may be solicited; all letters (even if there are more than seven) must be submitted with portfolio.



**Lists of Outside Reviewers:**

- For Reviewers selected by the Chair, provide a single page that indicates
  - Reviewers' names, ranks, institutional affiliations, and contact information.
- For Reviewers selected by the Candidate, provide a single page that indicates
  - Reviewers' names, ranks, institutional affiliations, and contact information.



**Two (2) Letters from Peers:**

- Letters should be from current peers (i.e., at the same institution where the candidate holds a position; or for recent senior recruits, their immediately prior institution) and from individuals of comparable or higher rank.



**\*Narrative Evaluations from Learners (Students, Fellows, Residents):**

- Request at least 10 evaluations.



**\*Formal Teaching Evaluations:**

- Reviews and quantitative metrics for all formal (i.e., not individual mentoring) UME, GME, associate providers and graduate student teaching, and undergraduate teaching when applicable. Do not include information on faculty members other than candidate.



**Completed DAB form:**

Please note, this does not indicate or guarantee recommendation to promote/appoint.

\*Note: Some faculty members in the Non-tenure Faculty Line or the Investigator Track of the AMS Faculty Line may not have interactions with students. These requirements are optional for those who do not have these responsibilities.

**1. The Chair's letter included for reviewers (below) should only briefly and factually summarize the candidate's portfolio (e.g., to indicate their relative distribution of effort to teaching, clinical care or research, their area of expertise; whether they were hired mid-rank from another institution; or other pertinent factual information). This letter should not provide an assessment or other subjective measures of the candidate or indicate whether or not the candidate has (has not) been unanimously recommended by the departmental committee for promotion.**

**2. The Chair's letter to the APT Committee that accompanies the candidate's full portfolio (Chair's letter to Dean) should provide a full summary of the candidate's contributions, especially noting salient comments by the outside reviewers and aspects of the candidate's professional performance that may not be evident from her/his CV alone and should indicate whether or not the promotion was unanimously supported by the department committee.**

#### **ATTACHMENT A**

##### **Sample letter to outside reviewers**

«today»

«name»

«address»

Dear «ltrname»:

The promotions process of the Geisel School of Medicine at Dartmouth involves review of each nominee's curriculum vitae and other selected material by acknowledged academic leaders outside of the Dartmouth community. Should you provide it, your letter of reference, along with those of other external and internal referees, learner evaluations, and my letter to the Dean in support of the candidate's promotion will be provided to Geisel's Appointments, Promotions and Titles (APT) Committee.

As part of this process, I write to solicit your participation so as to inform our departmental promotions committee. You have identified as an authority in a field related to that of «promo\_name» who is being considered for «appt/promo» «title» along the «faculty line/track» portfolio. Please note that it is not essential for you to know the candidate personally or even by reputation.

What we seek is your opinion of the quality of this individual's accomplishments based upon the enclosed material listed below:

- 1) Dr. «last\_name»'s current curriculum vitae.
- 2) Excerpts from the document entitled, "Academic Appointments Promotions and Titles at the Geisel School of Medicine at Dartmouth", that are relevant to the faculty line/track of the proposed candidate. The document in full may be found at:

[http://geiselmed.dartmouth.edu/faculty/pdf/geisel\\_faculty\\_appt.pdf](http://geiselmed.dartmouth.edu/faculty/pdf/geisel_faculty_appt.pdf)

3) Reprints of selected publications.

Both our departmental committee and the institutional APT Committee would be very grateful for your candid opinion regarding this candidate's suitability for the proposed rank in the indicated faculty line. We would especially value your comments about the candidate's stature at a regional and/or national level for those being proposed for promotion to Associate Professor and at a national and/or international level for those being proposed for promotion to Professor, as well as your evaluation as to whether or not the candidate would be likely to be promoted to the proposed rank in a comparable faculty line at your own institution.

The decision to award tenure at The Geisel School of Medicine is considered at the level of Professor. The decision to award tenure is also a separate decision from that of promotion. If the candidate is also being considered for tenure, we would appreciate your comments on both the suitability of the candidate for the proposed rank and, separately, the suitability of the candidate for tenure.

The APT Committee comprises the Dean of Faculty Affairs and ten faculty members at the rank of Professor whose expertise reflects the distribution of clinical, instructional and research departments at Geisel. Subsequent to APT Committee review, the recommendation to promote must be approved by the Dean, the senior leadership of the medical school (the Dean's Academic Board), the Provost of Dartmouth College, and, in the case of tenure, The Board of Trustees. For this reason, it would be particularly useful if your assessment provided sufficient detail to inform individuals who may be unfamiliar with your field of scholarship.

Against this background, I would ask you to emphasize your detailed assessment of the candidate's scholarly contributions to his/her field and, where you are able to do so, the candidate's clinical accomplishments and his/her pedagogical accomplishments. You have perhaps heard the candidate lecture to a regional or national audience, and you have perhaps observed them on a national panel or study section or the equivalent. Please use such observations where applicable. We encourage your comments about the candidate's teaching skills, but recognize that it would be unusual for an outside reviewer to have intimate exposure to this aspect of a candidate's portfolio. Finally, please comment if you know the applicant through work he or she has done with respect to engagement: those activities of the candidate that incorporate how we put into practice the results of our scholarly enterprise and extend our academic efforts beyond the university to have a direct impact on the way people live.

We would greatly appreciate it if we could receive your response by «date». Needless to say, your comments will be held in the strictest confidence. It would also be helpful if you could give us the names of others who might offer valuable opinions about this candidate.

With many thanks for assisting us in this important process.

Sincerely,

Department Chair

## **Appendix 6: Documents Needed for Provost Review**

### **Provost-Required Documents – Tenure-track/Tenure Line Faculty**

- I. Appointments
  - a. Dean’s Academic Board form
  - b. Faculty member’s CV
  - c. Signed offer letter
  - d. Three letters of recommendation from external reviewers
  
- II. Reappointments
  - a. Dean’s Academic Board form
  - b. Faculty member’s CV
  - c. Letter of Assessment from the Department Chair
    - i. Outline what the faculty member has done since initial appointment:
      1. Teaching
      2. Research
      3. Service
  
- III. Promotions
  - a. Dean’s Academic Board form
  - b. Faculty member’s CV
  - c. Letters of Recommendation from external reviewers
    - i. For promotion to Associate Professor, five are required.
    - ii. For promotion to Professor (with tenure), seven are required.

\*See the APT guidelines for more details on promotion portfolios.

### **Dean of Faculty-Required Documents – Non-tenure Line Faculty**

- I. Appointments
  - a. Dean’s Academic Board form
  - b. Faculty member’s CV
  - c. Signed offer letter
  - d. Letter of Assessment from the Department Chair
    - i. Outline what expertise the new faculty member brings to the institution:
      1. Research
      2. Mentoring
  
- II. Reappointments
  - a. Dean’s Academic Board form
  - b. Faculty member’s CV
  - c. Letter of Assessment from the Department Chair
    - i. Outline what the faculty member has done since initial appointment:
      1. Research

## 2. Mentoring

### III. Promotions

- a. Dean's Academic Board form
- b. Faculty member's CV
- c. Letters of Recommendation from external reviewers
  - i. For promotion to Associate Professor, five are required.
  - ii. For promotion to Professor, seven are required.

\*See the APT guidelines for more details on promotion portfolios.



## **Appendix 7: Faculty Review Process for Provisional Reappointments for Non-tenured Individuals in the Tenure-track/Tenured and Non-tenure Faculty Lines**

It is the expectation that, in all but rare circumstances, faculty members in the Tenure-track/Tenure and Non-Tenure Faculty Lines will be considered for promotion by the APT Committee after six (6) years in rank (at both Assistant Professor, and Associate Professor levels).

In some cases, personal or professional circumstances may warrant an additional variable term in rank prior to APT Committee review. In those cases, the Chair, The Dean of Faculty Affairs, and the Executive Dean for Administration and Finance will meet to review the faculty member's performance according to the following criteria:

- i. Scholarly productivity: As indicated above, but within the context of >five years in rank.
- ii. Qualified support: In considering qualified support as a criterion for reappointment, the following shall be considered:
  - As set forth in Appendix 3: Geisel Policy on Compensation and Research Support, qualified sources are defined as to whether or not they derive from central funds of the Geisel School of Medicine. They are not defined by other parameters, such as indirect cost recovery levels or the fund/foundation/granting agency (unless that entity provides centrally-derived funds).
  - Meeting compensation expectations is not the sole determinant for either reappointment or advancement. Expectations for reappointment and advancement extend to include criteria set forth both above and below (Part III: Areas of Endeavor) that reflect accomplishments recognized both internally and externally with respect to scholarship, advances in research, excellence in teaching, and both intramural and extramural service/engagement as defined for each line.
  - Meeting expectations for compensation recovery is not the determinant by which the institution makes commitments of space or other institutional resources to a faculty member. Allocation of both facilities and administrative support to any faculty member rests on the obligations that the School has set out as part of an offer of employment, the conditions of the award that The School accepts as the grantee for a sponsored award, and factors such as the modified total direct costs (MTDCs) and indirect costs (IDCs) that are provided with such awards.
  - The amount of any award to a faculty member is not in and of itself a criterion for promotion: promotion rests on an assessment of academic accomplishments. In making its deliberations, however, the APT Committee may consider the size of an award as a relevant criterion if it connotes the competitive nature of that award and the external recognition of excellence and achievement that is bestowed upon the faculty member who receives such a highly competitive award.
- iii. Evaluations of performance to date from full professors in the department and (if relevant) from secondary/tertiary Chairs or other individuals who may have specific expertise to comment on the performance of the faculty member to date.
- iv. Teaching: Assessment shall consider the expected teaching obligations and a review of the faculty member's performance to date.

- v. Service: Assessment shall consider institutional and external service roles.
- vi. Mitigating circumstances: These may include significant personal disruptions (e.g., illness or parental leave) or untoward professional disruptions (e.g., a lab fire and loss of key experimental material or data).

It is the expectation that the Chair, the Dean of Faculty Affairs and the Executive Dean for Administration and Finance will be in agreement on extending an additional provisional appointment term when it is warranted.

In those rare circumstances where the Chair, the Dean of Faculty Affairs, and the Executive Dean for Administration and Finance are not in agreement as to whether or not a faculty member should receive a provisional reappointment, the Dean's Office shall convene a panel of five full professors who are not in the faculty member's home department and with whom the faculty member and the Chair do not have a conflict of interest, to review the performance of the faculty member and to make a recommendation to the Dean as to whether or not a second term should be provided and the duration of that second term. This panel must be convened within one (1) month of the time of assessment by the Chair, Dean of Faculty Affairs, and Executive Dean for Administration and Finance.

Unless there are conditions of financial exigency, as determined by the Dean and the Board of Trustees of Dartmouth College, or if there is documentation that the faculty member should be dismissed for cause (see section on Council on Academic Freedom and Responsibility in the document, entitled "Organization of the Faculty of Dartmouth College," OFDC), the Dean will advance the recommendation of this review panel to the DAB and on to the Provost Office.

The Dean may, however, indicate (in writing) to the DAB/Provost that she/he does not support the recommendation of the panel.

If, following this process, a provisional reappointment is not approved, reconsideration of this decision may be made only following considerations outlined under the section on Council on Academic Freedom and Responsibility, in the OFDC document.

If a provisional reappointment term is recommended by the panel, the faculty member shall receive a letter indicating the duration of that term, stating that there shall be continuation of compensation support during that term, providing the date required for review by the APT Committee for promotion, and giving a provisional end date for the appointment if the candidate is not promoted (i.e., is not successfully recommended at all levels—the APT Committee, the Dean, the DAB, and the Provost).

In all cases, awarding a reduced-term additional appointment at any rank also requires establishing a plan to restore the faculty member's academic trajectory to an appropriate level and time frame. While such plans do not always necessitate provision of bridge funding, the templates in Appendices 3C and 3D are appropriate for delineating such a plan.

## Appendix 8: Active Emeritus/Post-FRO Appointments

### CONTINUED ACTIVE INVOLVEMENT OF MEMBERS OF THE FACULTY AT GEISEL SCHOOL OF MEDICINE WHO HAVE COMPLETED THE FLEXIBLE RETIREMENT OPTION (FRO) AND/OR ARE EMERITUS/A

(THESE POLICIES PERTAIN ONLY TO EMPLOYEES OF DARTMOUTH COLLEGE.)

Effective Date: 6/1/15

Office with Primary Responsibility: Geisel Dean's Office

Office with Secondary Responsibility: Human Resources

Members of the faculty of Geisel School of Medicine who are employees of Dartmouth College and who:

- have completed the Flexible Retirement Option (FRO) or
- have been granted emeritus/a status by the Board of Trustees of Dartmouth College

may wish to maintain an active participation with the academic missions of the Medical School, and in many cases the Medical School both welcomes and is greatly appreciative of this continued involvement. This policy outlines the provision under which faculty members who are post-FRO and/or Emeritus/a may remain on the active faculty of Geisel School of Medicine at Dartmouth.

Dartmouth College permits those who have completed the FRO or who have transitioned to emeritus/a status to remain active on the faculty of the Geisel School of Medicine under the following conditions:

- i. Appointments are granted on an annual basis and must be approved by the Dean in recognition that continued activities support the ongoing missions of the Medical School. Prior appointments to the active faculty for those who are post-FRO and/or Emeritus/a does not commit the school to continuing reappointments if the activities of the faculty member are no longer consistent with the goals and missions of the Medical School as determined by the Dean. Nor is the school obligated to support post-FRO or Active Emeritus/a faculty with salaries comparable to those they held prior to retirement as the faculty member's responsibilities and therefore the school's obligations to the faculty member are not equivalent past retirement (although the Dean may choose to do so).
- ii. Individuals who are post-FRO or Emeritus/a will not receive salary support from central sources (e.g., subvention) unless there have been agreements reached by the Chair of the sponsoring department and the Dean of the Medical School that the activities in which the faculty member is engaged warrant such central support. Any agreements to receive central funds must be approved on an annual basis at the time of reappointment.
- iii. Unless there are agreements indicating that the Dean has approved compensation support from central sources, faculty members who are post-FRO and/or Emeritus/a must derive all compensation from qualified (non-central) sources. Fractional FTE must also be commensurate with the level of compensation the faculty member is able to obtain from such sources.

- iv. Faculty members who have made the transition to a retired status (post-FRO or Emeritus/a) and have begun to draw on retiree health benefits may not have active status at an FTE  $\geq$  0.5.
- v. If approved by the Dean of the Medical School and the Chief Human Resources Officer at Dartmouth College, appointment of a retired member of the faculty back to active status ( $\geq$  0.5 FTE) may be granted if the following criteria are met:
  1. that appointment to active status for a faculty appointment at the rank of Assistant Professor, Associate Professor or Professor must occur following a national search or a waiver from a national search;
  2. that the faculty member acknowledges in writing:
    - that he/she relinquishes all accrued retiree health benefits;
    - that appointment to an active status will establish benefits commensurate with a new hire at the time of this transition.
- vi. Post-FRO and/or emeritus/a status does not bestow voting rights to the faculty of Dartmouth College. However, Geisel School of Medicine may grant voting privileges to post-FRO and/or active Emeritus/a members of the faculty for those measures that are specific to the School of Medicine only.
- vii. As with all members of the faculty of Geisel School of Medicine, post-FRO and/or Emeritus/a members are expected to comply with all policies specific to members of the School of Medicine, which may be found electronically at the link for the [Geisel Faculty Handbook](#) and with policies of Dartmouth College including, but not limited to, those outlined in the College's [Employment Policies and Procedures Manual](#).

## **Appendix 9: Restricted-/Nonvoting Faculty Lines – Processes for Appointment and Promotion**

All appointments are term-limited.

Individuals who hold appointments as Adjunct, Honorary, Post-FRO, Visiting, and Active Emeritus Faculty are expected to be voluntary (i.e., do not receive compensation from Dartmouth College) unless:

- Otherwise approved by the Dean (e.g., Active Emeritus or Post-FRO supported on grants);
- Employed by one of the other Schools of Dartmouth College (A&S, Thayer, Tuck).

Appointments at the rank of Instructor/Lecturer or in the Clinical Faculty Line may be provided for employees of Dartmouth College or of D-H, WRJ VAMC, or CPMC.

For all appointments to these lines, all active association with Geisel School of Medicine ends as of the termination of the appointment. There is no obligation of the School to notify individuals that their faculty status ends if the appointment term is not renewed. It is implicit in the granting of faculty titles at Geisel that, in addition to demonstrated accomplishments in the indicated areas of endeavor, all individuals being considered for appointment or promotion at Geisel School of Medicine must meet the criteria of professional codes of conduct as outlined in the policies of Dartmouth College and its academic clinical partners (e.g., D-H, WRJ VAMC, CPMC).

### **Appointment/Reappointment Processes:**

1. For preceptors in the Clinical Faculty Line. All new clinical preceptors will
  - a. Be directed by course coordinators to fill out an online appointment application <https://geiselmed.dartmouth.edu/faculty/adjunct/>, which should define the expected contributions supporting the requests for appointment.
  - b. For first time appointments or reappointments following a break in service, candidates will need to provide an updated CV: Please use the Geisel CV for Clinically-prefixed Faculty Template, which may be found on the [Geisel Faculty Handbook site](#). CVs do not need to be provided for individuals who are requesting reappointments without a break in service.

1. Clinical Faculty Line appointments will be provided to clinicians whose primary responsibilities are to train learners (medical students, residents, and fellows). In nearly all cases, such individuals will not be otherwise affiliated with Geisel or its primary clinical partners (e.g., such individuals are community-based physicians who precept medical students and are not employees of D-H, WRJ VAMC, or CPMC). Faculty appointments in this line will be provided to:

- a. Clinical practitioners (physicians or associate providers) who meet the

requirements with respect to academic qualifications and who are responsible for providing formal evaluations in required courses and clerkships that contribute to a UME student's grade. The LCME elements dictate that these individuals must hold a faculty appointment;

- b. Clinical practitioners who meet the requirements with respect to academic qualification and who are responsible for providing formal evaluations in required rotations that contribute in required programs for resident and fellow training;
- c. Individuals who meet academic requirements for rank may be provided with a faculty appointment in the Clinical Faculty Line if they contribute more than 20 contact hours to an approved (but not necessarily required, e.g., elective) academic course or program at Geisel or participate in other documented academic missions of the medical school;
- d. The Chair of the department may petition the Dean for an exemption to this minimum requirement for individuals who have fewer than 20 contact hours in a non-required course or who are providing instruction in a non-evaluative role in a required course.

Once submitted, the candidate's information (application and CV) is sent to the appropriate sponsoring department.

- The appropriate department or program (e.g., On-Doctoring, third-year clerkship director, specific residency program) reviews and approves of the appointment.
- Department Chair reviews/approves.
- Dean of Faculty Affairs at Geisel reviews/approves (Dean's Office).
- Approved information is entered into Dartmouth's HR system (Dean's Office).
- New appointments are reviewed/approved at the Dean's Academic Board (meets on the third Thursday of each month).
- Letters are sent to preceptors, and copied to chairs, course directors, and coordinators, confirming their new faculty appointments and outlining their rights and responsibilities.

2. Individuals who provide clinical care at D-H, the WRJ VAMC, CPMC and whose primary academic responsibilities are in the context of training learners in the context of that clinical care may also be granted faculty titles in the Clinical Faculty Line.

In requesting faculty appointments for these individuals, the Department Chair should:

- Submit a request via Dashboard for initial appointments following approved protocols;
- Submit via Sharepoint for reappointments.

Requests must include documentation of the specifics of the expected; teaching/research contributions (e.g., third year clerkship) and time commitment (e.g., 5% of clinical time).

Faculty must be provided with the appropriate Terms of Appointment Statement delineating rights and responsibilities.

3. Individuals may be awarded adjunct faculty titles through Geisel if they
  - a. are members of other Schools at Dartmouth (Arts and Science, Tuck, or Thayer) and they contribute to teaching at Geisel in a position of recognized authority (i.e., a course instructor or co-instructor);
  - b. are key personnel (e.g., PI or co-I) on sponsored programs and/or have a demonstrated and ongoing record of collaborative scholarship with non-adjunct faculty members at Geisel School of Medicine;
  - c. for individuals who do not meet these criteria, the Chair of the department may petition the Dean for an exemption. Such exemptions must be based on making a substantive academic contribution to the missions of the Medical School.

All *new* requests should be uploaded to the online appointment application <https://geiselmed.dartmouth.edu/faculty/adjunct/>. Each request should:

- define the expected teaching/research contributions supporting the requests for appointment;
- provide an updated CV. If the individual has a Dartmouth CV from one of the other Schools at Dartmouth or another Institution of higher education, that format is acceptable. If they do not, please use the [Geisel School Community-Based Faculty CV Template](#).

4. With regard to initial requests for appointment to Dartmouth College-paid or unpaid positions (i.e., not employees of D-H, WRJ VAMC, or CPMC) at the rank of Instructor, Lecturer, Visiting Faculty, Active Emeritus/Post-FRO, Honorary Faculty, Research Associates, and Research Scientists:

- Initial requests should be made to the Dean of Faculty Affairs and include
  - a. a CV for the proposed candidate and
  - b. a draft of an offer letter (using appropriate Geisel template) that sets out the terms of the hire/appointment.
- All salaries for individuals hired by Dartmouth College for appointment as Instructor, Lecturer, Visiting Faculty, Active Emeritus/Post-FRO, Honorary Faculty, Research Associates, or Research Scientists must be reviewed and approved by the Dean of Faculty Affairs and the Executive Dean for Administration and Finance.
- Candidates will need to sign offer letters, and a copy of the signed letter should be provided to the Dean's Office.
- Reappointments for Instructor, Lecturer, Active Emeritus/Post-FRO, Honorary Faculty, Research Associates, or Research Scientists should be submitted via Sharepoint with the required documentation.

- Visiting faculty appointments are not renewable unless an exemption is granted by the Dean.
- Faculty members who are appointed as adjunct faculty for a given term in order to teach a course in A&S, Tuck, or Thayer that is cross-listed at Geisel (or in which Geisel students enroll) will be provided with a corresponding single-term appointment that will begin and end concurrently with their primary adjunct responsibility.

### **Promotion Process in the Clinical Faculty Line**

Each Chair should create his or her own appointment/promotion advisory process for his or her department's Clinical Faculty Line. In granting Clinical Faculty Line appointments, the main factor to be considered will be the individual's commitment to Geisel's academic mission. Such a commitment requires documented direct contact with learners, documented efforts in investigation or substantive administrative/leadership roles. Community-based physicians as well as non-physician health professionals and associate providers, including those employed by the primary clinical partners of Geisel School of Medicine, may be eligible for an appointment and promotion in the Clinical Faculty Line if they make a substantial contribution to the Geisel mission.

The Geisel School of Medicine will convene a standing committee (Clinical Promotions Committee) to review requests for promotion in the Clinical Faculty Line. This committee shall consist of one member (who holds the rank of Professor in either the AMS or the Clinical Faculty Line ) of each of the eleven recognized clinical departments at Geisel. Members will be appointed for a term of 4 years, which may, upon approval by the Chair, be extended for an additional 4-year term. The Dean of Faculty Affairs will Chair the Committee as an ex officio member. The Committee will meet at least quarterly to review portfolios.

Community-based preceptors in the Clinical Faculty Line should provide an updated CV and communicate with the appropriate individuals (e.g., Vice Chair for Academics, Clerkship Director) within their department to request consideration for promotion.

If the Director/Vice Chair agrees that the candidate should be considered for promotion, she/he will then request review of the candidate's portfolio by the Department Chair/Department Promotions Committee.

Faculty members in the Clinical Faculty Line who are not community-based preceptors should work (as described above) with their departmental mentoring committees towards advancement and address trajectories/plans with the Department Chair (and/or his/her designee) at annual meetings (ideally more frequently); see Section III (Academic Progression and Promotion) above.

Following input from the departmental review committee, if the Chair agrees that the candidate's portfolio merits consideration for advancement, the department will then assemble other components of the portfolio, which will go to the Clinical Promotions Committee. These components include:



- a. the Chair's letter;
- b. an up-to-date CV
  - i. if for community-based preceptors, in the Geisel format for Clinical/Adjunct faculty (see Faculty Handbook Page: "Geisel CV for Community-based faculty");
  - ii. if for non-community based academic clinicians, in the standard Geisel CV format (see Faculty Handbook Page)
- c. relevant metric teaching evaluations and narrative evaluations from 10 learners from the last five years (when applicable);
- d. Five peer letters of recommendation (may be solicited from colleagues in Geisel or external to Geisel). The majority of the seven required letters must come from individuals who
  - have not trained or been trained by the candidate within five years of the date of solicitation of the review;
  - have not received joint funding (grants, foundation awards, clinical trials etc.) as PI or co-I with the candidate within the past five years;
  - have not published with the candidate in the past two years.
- e. Other supporting documentation that will allow the committee to assess accomplishments in areas of leadership, program development.

Recommendations based on review of the portfolio will then be forwarded to the Dean, the DAB, and the Provost.

## Appendix 10: Non-Faculty Academic Titles

Dartmouth College and the Geisel School of Medicine recognize the important contributions made to our academic community by individuals who are not faculty, but are intimately engaged in the academic (as opposed to administrative) aspects of the School. These non-faculty academics may be trainees (“postdocs”) or longer-term employees (Research Scientists/Distinguished Fellows). They may be employed by either Dartmouth College or by recognized affiliates of Geisel (e.g., D-H or the WRJ VAMC), but in all cases, the titles bestowed are academic titles provided through Dartmouth College.

**Postdoctoral Scholars:** Postdoctoral scholars include both Research Fellows (supported by NRSA or training grant mechanisms) and Research Associates (supported by other intra- and extramural sources). “A postdoctoral scholar is an individual who has received a doctoral (or equivalent) degree and is appointed for a limited period of time of mentored advanced training to enhance the professional skills and research independence needed to pursue his or her chosen career path. The primary purpose of a postdoctoral scholar is to engage in advanced study and training; in some cases teaching may be part of that training. Postdoctoral scholars may be expected to supervise and mentor other trainees (e.g., graduate or undergraduate students involved in research).” (Council on Sponsored Activity, 2012). Salaries are determined by support mechanism and experience.

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

Individuals in doctoral programs may be hired as research associates prior to actual award of their terminal degrees, but in such cases the doctoral institution (not simply the individual) must provide assurance that the candidate has completed all requirements towards the degree.

In some cases, individuals who hold non-terminal Master’s rather than doctoral or terminal Master’s, degrees may be qualified to be hired as research associates.

**b. Research Fellows:** As with Research Associates, Research Fellows are transient members of the Dartmouth Community. Note that the Internal Revenue Service does not consider Research Fellows to be employees since their presence at an institution is to obtain training rather than to provide services. As such, although wages are subject to Federal Income Tax (FIT), they are not subject to The Federal Insurance Contributions Act (FICA; Social Security and Medicare). For payroll convenience and in order to facilitate allocations of benefits, wages are to be reported on a W-2 Form.

### **Research Scientist (unprefixed, Senior, or Principal)**

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

New appointments to the rank of (unprefixed) Research Scientist for those supported from limited (e.g., individual investigator) research programs will not require a national search. National searches are strongly encouraged for new appointments to Senior or Principal Research Scientist positions that reflect broader responsibilities (e.g., directors of institutional cores). Appointments are made by the relevant Dean at the recommendation of a department Chair, to a renewable term.

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

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

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

**Distinguished Fellows** (*of Sponsoring Department, Center, Institute*).

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

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

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

**Benefits:**

Non-faculty academics (NFAs; e.g., individuals who hold titles of Research Associate, Research Scientist, or Distinguished Fellow) employed by Dartmouth College will be considered members of the Staff with respect to benefits provided by Dartmouth College with the following exceptions:

- a. Hiring process does not go through DORR, and annual staff evaluations are not required for NFAs.
- b. Individuals who moved to these positions from other positions at Dartmouth and who previously held benefits currently afforded only to faculty can have these benefits grand-fathered (e.g., 7% benefit credit).

c. Research Associates, Research Scientists, and Distinguished Fellows are afforded family leave according to the [Geisel Policies on Family Leave for Faculty](#).

d. The Dean, at his/her discretion, may set annual salary increases to follow pools set for faculty.

NFAs who are employed by affiliates of Geisel (D-H, the WRJ VAMC) should consult their own Human Resources Offices for information on benefits.

### **Letters of Reference:**

Three letters of reference are required for promotion or appointment to the rank of Senior or Principal Research Scientist. Reviewers should be external to the lab/work group with which the research scientist is engaged and may be external to the institution (although this is not mandatory). It is anticipated that most reviewers will be members of the faculty, but if they are non-faculty academics themselves, they must hold a position at equivalent or higher rank to the candidate. Letters should be solicited by the department chair from individuals who have no conflict of interest with the advancement of the candidate. Specifically, the reviewer may not be the PI or co-I on a grant that provides support to the candidate, although reviewers may include individuals who collaborate with the candidate through large institutional or cross-institutional programs (e.g., program project grants, core grants, IDEA grants).

Criteria for advancement are minimally defined in order to accommodate accomplishments across a wide range of disciplines and roles in which research scientists may be involved. However, all individuals being put forward for promotion/appointment to Senior or Principal Research Scientist should be able to document impact in their given field that extends beyond their own research group and in all but few exceptions beyond Dartmouth as an institution. The mix of accomplishments may vary; impact may be measured in terms of scholarship (e.g., peer-reviewed publications, presentations at regional, national and international meetings), success in garnering extramural support (e.g., role as key personnel; role in writing and/or project planning for major research proposals), intellectual property development (e.g., device development, patents), or engagement (e.g., policy guidelines; assessments that actively alter program mission, goals and performance). Candidates may be engaged in teaching or clinical care, although neither is required.

Chairs who are request letters of reference in support of promotion of Research Scientists should provide the specific guidelines for such promotions as provided by the Dean's Office and the candidate's CV. As with members of the faculty, candidates being considered for promotion/appointment as Senior/Principal Research Scientist are encouraged to use the personal statement section of the Geisel CV template to define the impact of their work in their field such that an informed academician outside of the candidate's specific area would be able to assess their accomplishments.

### Appendix 11: Log of Minor Amendments and/or Clarifications

As noted in forward, unless otherwise specified, substantive changes to this document shall be made following review and recommendation of the faculty or their representatives to the Dean. Minor revisions and specific clarifications may, however, be made by the Dean. This log will note the dates and changes made.

The full version (minus any minor edits noted below) was recommended to the Dean by the Dean's Academic Board February 23, 2017 and by the Faculty Council March 30, 2017.

<u>Date</u>	<u>Author of Change</u>	<u>Change/Clarification Made</u>
1/11/17	LP Henderson	Documented that department promotions committees can include members from other departments if not enough senior faculty in their home one
4/14/17	LP Henderson	APT checklist: letters need to be dated and within 1 year of review.
4/21/17	LP Henderson	Mislabeled Appendix 4 to 5 corrected
5/24/17	LP Henderson	Instructions for letters of rec/promotion for research scientists added to appendix 10
6/8/17	LP Henderson	Minor spelling corrections and clarification that the Dean, as well as Provost----BoT recommend emeritus Status
6/15/17	LP Henderson	Updated title for Director of Administration in Appendix 5
6/29/17	LP Henderson	Updated instructions in Appendix 5
7/8/17	LP Henderson	Minor correction (Line for Track)
7/25/17	LP Henderson	Following discussions with OGC, additional information on salaries for post-FRO/active emeritus/a faculty added (Appendix 8)
8/15/17	LP Henderson	Educator-Scholar Track added as an option for AMS Line
	LP Henderson	Appendix 3: For Senior Faculty/Non-tenure track Faculty Line, text amended to add ( <i>or other institutional support</i> ) in addition to subvention to point 2 (page 82)
8/23/17	LP Henderson	Added expectation for physical presence on site for full-time faculty members (or approval by Dean/Chair for exemption).
9/5/17	LP Henderson	Text from body of document on section about subvention for Non-tenure Line faculty has been repeated from section IIB.2 in Appendix 4 for additional clarity
9/19/17	LP Henderson	Separated out information on appointments for each faculty title under Restricted-/Non-voting Members of the Professoriate

9/21/19 LP Henderson

Further clarification of expectations for Educator-Scholar (AMS Line)