Thayer School of Engineering at Dartmouth Faculty Handbook

(As of November 10, 2025)

FOREWORD

The Thayer School of Engineering Faculty Handbook outlines the policies, procedures, and services of the Thayer School of Engineering, and serves as a point of reference for all faculty members. The Thayer Faculty Handbook applies to tenure-track, tenured, instructional, and research faculty members except where noted. Select sections apply to lecturers and adjunct faculty.

Because of the range of topics covered in this handbook, the source and authority for each varies. Some matters are a result of formal actions by the Thayer faculty or by one of its committees; others are the result of administrative practice and policy, established either in the Dean's Office or other administrative areas.

Thayer tenure track and tenured faculty are considered members of the Faculty of Arts and Sciences. All Thayer core faculty (tenure track, tenured, research, and instructional) are members of the General Faculty of Dartmouth College. The Faculty Handbook of the Dartmouth Faculty of the Arts and Sciences is a common source of Thayer's policies and procedures and may be consulted for guidance on topics not described herein. Where there are conflicts between the Thayer Faculty Handbook and the Faculty Handbook of the Dartmouth Faculty of the Arts and Sciences, the Thayer Faculty Handbook takes precedence. Where there are omissions in the

Thayer Faculty Handbook pertaining to a specific policy or procedure, the Faculty Handbook of the Dartmouth Faculty of the Arts and Sciences applies.

Furthermore, the Provost's policy portal and the Organization of the Faculty of Dartmouth College (OFDC) identify various policies and procedures for all college faculty. These sources take precedence over the Thayer faculty handbook; there should be no conflict between college-wide policies and procedures and those outlined herein. Additionally, the Thayer Faculty Handbook augments but does not substitute for other sources such as the Dartmouth College Student Handbook, the Dartmouth Employee & Procedures Manual,

Changes[1] to the Thayer Faculty Handbook may be made as follows:

- Typos or wording changes may be made by the Dean or an (Senior) Associate Dean at any time in any section, and an announcement of changes must be made at a subsequent Thayer faculty meeting. Any Thayer core faculty member who objects to the change and a compromise cannot be immediately reached may request that the item in question be placed on the agenda of a future faculty meeting for discussion and vote prior to adoption.

- Updates to: the Foreword (excluding the handbook editing process), Section 1 (Vision, Mission, and Values), Section 2 (Board of Advisors), Section 3 (Thayer Organizational Structure and Function), Section 4 (Service Assignments and Functions), Section 5 (Thayer Policy and Procedures), Section 7 (Special Faculty and Staff Appointments), and Section 8 (Faculty Onboarding and Mentoring) may be made by the Dean in consultation with and through unanimous support of the (Senior) Associate Deans. Alternatively, any (Senior) Associate Dean may require that the item in question be brought before the Thayer faculty for a discussion and vote prior to adoption. The Dean also should bring proposed updates to relevant Thayer committees for review and input, as applicable. An announcement of approved updates must be made at a subsequent Thayer faculty meeting. Any Thayer core faculty member who objects to the change and a compromise cannot be immediately reached may request that the item in question be placed on the agenda of a future faculty meeting for discussion and vote prior to adoption.

- Updates to Section 6 (Core Faculty Appointments, Recruiting, and Hiring) and Section 9 (Faculty Reappointment, Promotion, and Tenure) as well as any proposed changes to the handbook editing process specified here must be brought to a Thayer faculty meeting for discussion and vote prior to adoption.

[1] Update tracking document should be used to log proposed and accepted changes

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1. VISION, MISSION, AND VALUES

A. Strategic Planning

Strategic planning at Thayer may take on different forms, depending on the needs and wants of the faculty and Dean. Such plans should engage all members of the Thayer community. The "Thayer 2030 Plan" comprising metrics, goals, and underlying activities can be found on the Thayer Faculty shared drive. Our strategic planning work also led to the one page position statement presented here.

B. Values, Focus and Aspirations

At Thayer School of Engineering at Dartmouth, we value and foster:

- **Human-centered engineering:** We put human well-being and global societal needs and opportunities at the heart of our engineering education, research, and practice.
- **World-class research and innovation:** We make groundbreaking discoveries that advance fundamental understanding and catalyze inventions that enable new applications.
- **Integration, interdisciplinarity, and collaboration:** We creatively and collaboratively fuse disciplines to have impact that extends beyond the academic enterprise.

These values and aspirations are supported by practices and initiatives that are individually distinctive and collectively unique, including:

Engineering without boundaries. Solutions to complex real-world challenges require contributions from multiple disciplines and a fundamentally different approach to engineering education, research, and translation. Our distinct organizational model invites cross-pollination of expertise and enables true integration across disciplines and beyond engineering. We employ Program Areas to plan and implement curriculum, support student and faculty recruitment, and facilitate multi-investigator research, but unlike traditional departments, our boundaries are porous, encouraging individualized intellectual paths.

Our ***undergraduate engineering program*** employs a systems-based, interdisciplinary engineering educational model within the context of a liberal arts degree. With the staggering challenges facing humanity, we need systems-trained engineers who can adapt quickly to address complex problems. Hands-on, project-based, real-world problem-solving is integrated into our human-centered engineering curriculum from the start. In contrast to most other institutions, engineering majors fulfill the same distribution requirements as others on campus, including languages, humanities, and social sciences.

Our ***graduate programs*** enable students to pursue creative, high impact educational and research paths. Individualized plans of study commonly combine elements from multiple Program Areas. Our distinctive approach to research enables us to be and educate leaders who embody the true character of human-centered engineering with shared consideration for technology and society, resulting in "first, best, and only" discoveries and new innovations that improve lives and better our world.

An emphasis on the "ends" as well as the "means." Engineering can progress from two points of origin. We can build from new understanding to achieve societal impact, or identify human and global need first to then propel further understanding. At Thayer, we support both directions, as well as their intersection, but place a particular emphasis on impact-inspired intellectual paths in our research, curriculum, and faculty hiring.

Design-driven methodologies. Design thinking is a catalyst for transformative education, interdisciplinary research and innovation, and entrepreneurial pursuits. We prepare our students to design innovative solutions that address complex challenges. Students are trained to be human-centered and anticipate potential impact on individuals, cultures, and communities.

An entrepreneurial culture. Approximately half of Thayer faculty have started companies, which is unusually high compared to our peers. Additionally, many Thayer students have launched or participated in start-ups. Dartmouth provides streamlined intellectual property policies for faculty, and at Thayer, we explicitly consider entrepreneurial accomplishments in tenure and promotion decisions. Thayer offers graduate degree programs focused at the intersection of technology, management, and innovation. Our PhD Innovation Program, the first-ever of its kind in the nation, provides instruction, projects, and financial support to PhD students to assist them in independently developing innovative, high impact ventures alongside their technical work.

An inclusive community. We offer a personalized education within a collegial and human-centered culture on a campus that evokes a profound sense of place. We are committed to continuing to foster a connected, welcoming and inclusive place to learn, live, and work that attracts a diverse faculty, staff, and student body.

C. Mission Statement

"To prepare the most capable and faithful for the most responsible positions and the most difficult service."
— Sylvanus Thayer, Founder

D. Vision Statements

The strategic planning process held during the 2019-2020 year, resulted in the following vision statements.

- Achieve national prominence in undergraduate engineering education with graduates that have an impact on the world.
- Be a top graduate engineering school recognized for innovative programs, world-class, high-impact research, and an individualized student experience.
- Be a top school of engineering for faculty and student translation, entrepreneurship and innovation.
- Be a diverse, welcoming and inclusive community for all.

E. Diversity and Inclusion Plan

Diversity, equity and inclusion are central to Thayer School's capacity to advance its dual mission of education and research. Broadly, our goals are to build a community that reflects the diversity of the global workforce, and to create a culture in which difference is welcomed, where each individual's contributions and perspectives are heard with respect, and where differences lead to a strengthened identity and learning experience for all. Our aim is to make Thayer School more diverse, equitable, welcoming, and inclusive such that all members of the community feel a sense of belonging and can realize their full potential.

Diversity is reflected in the number of people from varying backgrounds, experiences, identities and perspectives, and includes but is not limited to race, ethnicity, gender identity and expression, sexual orientation, socio-economic background, veteran status, ability, age, nationality, and political and religious views.

A Diversity Equity and Inclusion (DEI) Committee, composed of faculty, staff and student leaders, meets regularly to set goals, identify opportunities and challenges, review best practices, and advance priorities related to diversity, equity and inclusion. They also develop metrics to assess and review progress toward climate, demographic, and programmatic goals.

Annual updates and related news are presented on Thayer's website here.

2. BOARD OF ADVISORS

A. Mission

The mission of the Thayer School Board of Advisors is to provide the Dean of Thayer School with advice and perspective on the strategy, programs, policies and resources of the Thayer School of Engineering. The Advisors provide careful oversight of the School's budget and serve in an advisory capacity to the Dean and, through the Dean, to the Provost and President. Fiduciary responsibility resides with the College's Board of Trustees.

B. Membership

Members of the Board of Advisors are nominated by the Dean and Board with the approval of the Provost and appointed by the Dartmouth College Board of Trustees. The Board will consist of no more than 25 members representing diverse experience and skills relevant to the activities of Thayer School, plus one ex officio (with voting privileges) representative from the Dartmouth Board of Trustees. The President, Provost, and Dean will be honorary members of the Board, with no voting privileges as the Board is advisory to them.

C. Terms of Office

Advisors are appointed for three-year terms. Effective July 1, 2020, members will be limited to no more than three consecutive terms with the exception of ex-officio members and individuals who have demonstrated exceptional commitment and service to Thayer School of Engineering as determined by the Nominations and Governance Committee and with the concurrence of the Thayer Board Chair and Dean of the Thayer School. Such individuals will be eligible for continuing appointment beyond the three-term limit; at no time shall the number of these individuals exceed one-third of Board membership.

D. Member Criteria and Expectations

Each member of the Thayer School Board of Advisors is expected to contribute substantial interest, time, energy, and financial support within their means to the Thayer School. Additionally, Advisors are expected to:

- Understand the mission of the Thayer School and how it relates to Dartmouth College;
- Make a best effort to attend all Board meetings;
- Bring new ideas and fresh viewpoints to the Thayer School and act as a sounding board for the School's leadership on key issues;
- Maintain Dartmouth in their top philanthropic priorities through annual contributions to the Thayer School;
- Be available to aid Dartmouth faculty, students and administrators in their activities, especially with regard to the Thayer School's work;
- Serve as an ambassador to help enhance the Thayer School's and Dartmouth's overall reputations and speak for the Board only when authorized to do so by the Chair and/or Dean;

- Adhere to the highest standards of personal and professional behavior so as to reflect favorable on Dartmouth.

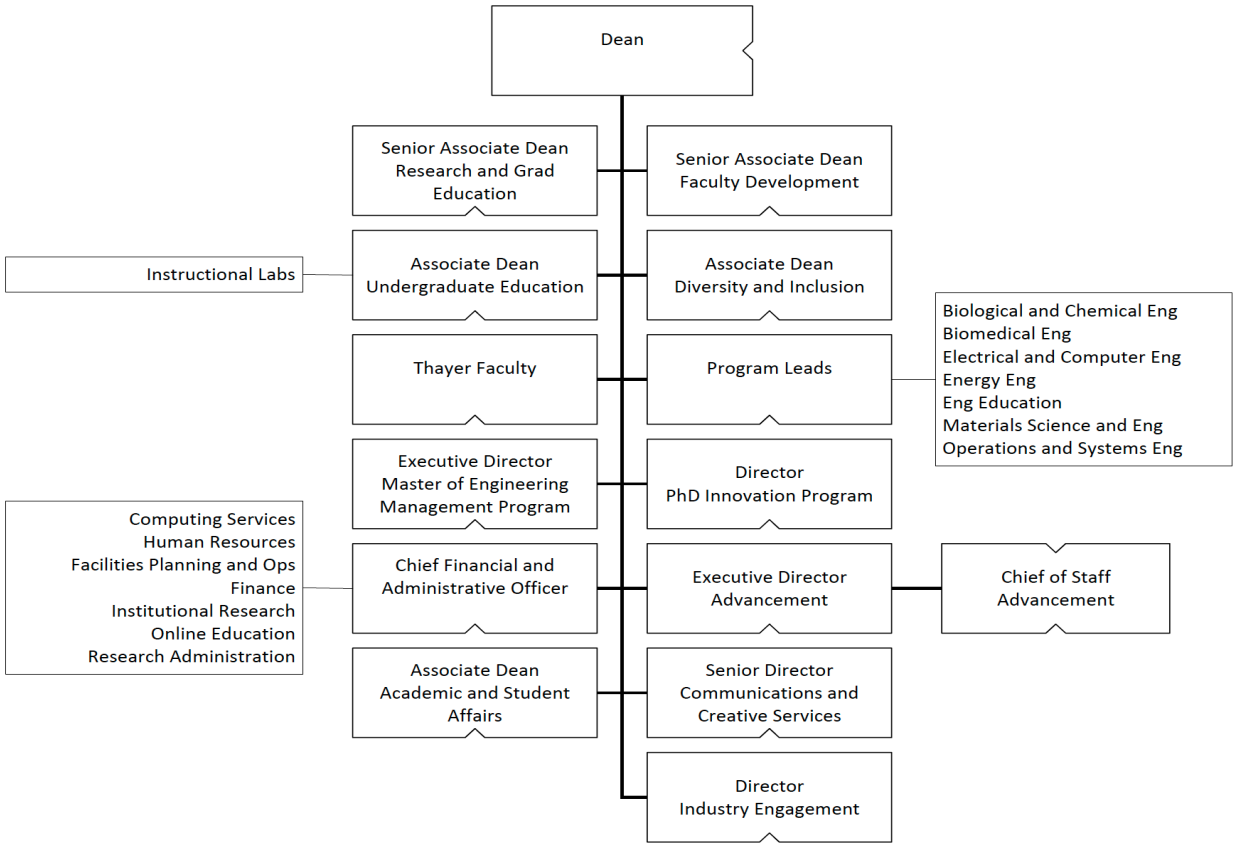
E. Meetings

The Board of Advisors meets at the call of the Chair. Meetings ordinarily take place three times a year, with the fall and spring meetings held in Hanover, and an off-site meeting in winter at a place selected by the Board.

3. THAYER ORGANIZATIONAL STRUCTURE AND FUNCTION

The Dean of the Thayer School of Engineering reports to the Provost and serves as the chief academic and executive officer of the school. The Dean is tasked with providing strategic leadership that supports the school's mission and enhances its academic distinction. Thayer is administered by the Dean and administrators and staff appointed by the Dean. The Dean is empowered to create new and eliminate existing offices and staff positions. The Dean and various Thayer staff also coordinate with those within Arts and Sciences, including the Dean of the College and the Dean of the Faculty and their staff on various matters, particularly those pertaining to undergraduate education and students, as well as the Dean of the Guarini School of Graduate and Advanced Studies and their staff, specifically on matters pertaining to graduate education and students.

The Thayer organizational chart for the faculty and staff follows. Job descriptions for the academic leadership positions can be found on the shared Thayer Faculty drive. Others are available upon request. The core faculty is composed of all tenure-track, tenured, research, and instructional faculty.



Other Dartmouth offices with whom Thayer faculty and staff coordinate include: Campus Services including Environmental Health and Safety, Facilities Operations and Management,

Finance and Administration including Risk and Internal Control Services and Human Resources, Advancement, Undergraduate Admissions, General Counsel's Office and Communications.

Thayer is responsible for overseeing and managing the following degree programs:

- AB for engineering majors/minors (in collaboration with Arts and Sciences)
- Bachelor of Engineering (BE)
- Masters in Engineering Management (MEM)
- Masters of Science in Engineering (MS)
- Masters of Engineering (MEng)
- Ph.D. in Engineering

Detailed information about these programs can be found in the annually published "Guide to Programs and Courses" published annually.

While Thayer is non-departmental, the faculty typically identify with one or more of our program areas. There are six major program areas at Thayer, including:

- Biomedical engineering
- Biological and Chemical Engineering
- Electrical and Computer Engineering
- Energy engineering
- Materials Science and Engineering
- Mechanical, Operations, and Systems Engineering

An appointed Program Area Lead coordinates a group of self-identified faculty in collectively addressing Program Area responsibilities. The program areas function to:

- Foster an accessible, cohesive and stimulating intellectual milieu and community among area students, faculty, and staff
- Articulate, cultivate, and communicate programmatic identity
- Offer, review, and update curriculum and coursework expectations in coordination with Thayer graduate and undergraduate programs
- Recruit graduate students who identify with the respective area
- Recruit new faculty who identify with the respective area
- Coordinate collective area activities such as multi-investigator proposals/projects and interactions with other Thayer areas, broader Dartmouth and the world

The following are descriptions of the various functions of the various Thayer staff teams.

A. Academic and Student Affairs

The Academic and Student Affairs functions include:

- Recruitment, admissions and financial aid
- Registrar and student tracking
- Academic enrichment
- Student support
- Career services

Please reach out with questions or guidance on:

- Setting up visits for prospective graduate students.
- Classroom reservations for TA Sessions, lab meetings, etc.
- Assistance with finding TAs for your course.
- Course scheduling, including meeting time and location.
- Degree requirements for BE, MEM, MEng, MS and PhD students. See Thayer Express for all forms and requirements.
- Course assessment and approvals.
- Undergraduate Major/Minor requirements (12 major variations, 3 minors), advising.
- Dual Degree program.
- DartWorks (student degree audit and major declaration system), Banner course enrollment permissions.
- First Year Research in Engineering projects (FYREE) and Senior Honors Projects (ENGS 88) Dartmouth Emerging Engineers, Exchange Programs, NAE Grand Challenges.
- Academic and other support/resources for graduate students. Please reach out with all BE, MEM, MS and PhD student concerns
- Thayer financial support to student councils and professional groups and for individual co-curricular endeavors.

B. Facilities and Operations

The physical space is integral to the overall quality of the delivery of instruction and student engagement, as well as research which is central to the mission of Thayer School. The need to maintain the plant to a high standard as well as respond to the material and safety needs of the community are priority one for the Facilities and Operations team. A focus on customer service and planning for near term infrastructure and capital needs is necessary for current needs as well as the longer-term expansion projects. The Thayer Office of Facilities and Operations coordinates with Dartmouth Campus Services and Facilities Operations and Management (FO&M) to manage facilities-related questions and concerns. The Thayer Facilities and Operations team also manages lab space assignment, office space assignment, and asset management/procurement. Any questions should be directed to the Director of Facilities Planning and Operations.

C. Finance

The Finance Office is responsible for managing Thayer's financial resources, including financial planning, analysis and reporting for the School. The Finance Office serves as the fiscal liaison to the faculty and directors of all Thayer units, and to the Dartmouth College Finance and Administration division. While the Thayer Finance Office manages and approves financial transactions, they work closely with the Admin and Provost Finance Center (APFC) to process the financial transactions within the Dartmouth administrative systems. Questions should be directed to the Finance Office and Budget Operations Director.

D. Human Resources

Human Resources supports efforts to recruit, develop and retain staff, promotes diversity, equity and inclusion, and ensures compliance with Dartmouth College employment policies and procedures. Human Resources coordinates the hiring of permanent and temporary staff positions and visiting appointments, and works closely with the Dean's office to assist with faculty hiring, promotion and appointment. The Thayer Human Resources Office coordinates with the Dartmouth Human Resources Office on onboarding and offboarding as well as any other issues requiring Central involvement. As needed, Human Resources works with the Dartmouth Office of Visa and Immigration Services (OVIS) on visa processing and related issues. Human Resources should be seen as a resource to faculty managers and called upon to help manage any employee relations issues.

The Thayer Human Resources Director also hires, directs and manages the administrative staff who provide support to the faculty. Faculty should communicate any performance issues to the Director.

E. Computing Services

Thayer School Computing Services supports all computing and information technology (IT) needs of the Thayer School community, including faculty, staff, graduate students, and undergraduates. Thayer Computing Services coordinates with Dartmouth Information Technology and Consulting and serves as the first point of contact for all Thayer related IT needs. Faculty should work directly with the Computing Services team on IT needs and issues.

F. Research Administration

Research Administration coordinates with the Dartmouth Office of Sponsored Projects (OSP) and provides budget development and comprehensive support for all administrative requirements related to proposal submission to both federal and non-federal sponsors. Research Administration also provides post-award management via financial analysis, reporting and spending projections for faculty and principal investigators (PIs). The Office fosters a climate of research compliance through audits of transactions on both research and discretionary accounts as well as management of labor verification reports per OSP policies.

G. Communications

Communications and Creative Services promotes, protects, and advances Thayer School of Engineering's reputation for excellence in teaching and learning, research, and entrepreneurship. The Communications office, in collaboration with Dartmouth's Office of Communications, facilitates faculty engagement with news and science-focused media to place faculty, staff, and students' work and achievements in local, regional, and national outlets. The Communications office manages Thayer's official social media channels, the school's website (engineering.dartmouth.edu), and oversees the design and production of the school's print publications (eg. Dartmouth Engineer magazine, Programs and Courses Guide, recruitment materials). In addition, the Communications office also supports internal and external communications for the Dean, as well as creative and editorial support, including writing,

editing, photography, video, and design services for the Dean, Advancement, Career Services, Student Programs, Formula Hybrid, and other faculty and staff.

H. Advancement

The office of Advancement seeks to raise the maximum dollars for the priorities set by the Thayer School dean and administration and to foster the highest levels of engagement among alumni, parents and friends to advance the mission of the Thayer School of Engineering. We fundraise for capital projects (eg. physical space acquisition and improvement), endowment funds (eg. faculty chairs and financial aid) and both unrestricted current-use (Thayer School Annual Fund) and restricted current-use (eg. project sponsorship) priorities. We engage the Thayer community through regional, on-campus, and virtual events, through regular alumni and parent newsletters, and in collaboration with the office of Communications, through alumni focused content in Dartmouth Engineer magazine. We also recruit and recommend candidates for the Thayer Board of Advisors, Dean's Council, and the MEM Corporate Collaboration Council (in coordination with MEM program directors.)

4. SERVICE ASSIGNMENTS AND FUNCTIONS

Service on Thayer and Dartmouth College faculty committees, councils, and/or working groups beyond instructional and research obligations is expected of all Thayer tenure-track, tenured, and instructional faculty unless special arrangements have been made with the Dean. While committees and councils are considered permanent and charged with relevant standing functions (see below), a working group's purpose is to assemble temporarily to facilitate information gathering on a specific topic and make recommendations. Service assignments also may include administrative or special advisory roles.

Appointments to standing committees and councils outside of Thayer are made according to procedures established in the Organization of the Faculty of Dartmouth College (OFDC) and the Handbook of the Faculty of Arts & Sciences of Dartmouth College. Non-elected service appointments and assignments are made by the Dean, in consultation with Thayer's (Senior) Associate Deans in the spring of each academic year. The Dean or (Senior) Associate Dean assigned to oversee the relevant committee/working group should charge the committee/working group each year as necessary. A document is maintained on the shared Thayer faculty drive with assignments listed by committee and by faculty name.

The creation or dissolution of a Thayer standing committee should come before the Thayer faculty for discussion and vote. The Dean has the authority to establish or dissolve a working group at any time. The Thayer committee structure and functions should be reviewed by the faculty periodically to determine if changes are necessary.

This section outlines the functions of all Thayer standing committees, general meeting frequencies, and obligations of committee members. This section does not include a listing of working groups or other committees with highly specific charges that are still considered "service" but that are not a designated standing committee. For example, the foreign student exchange program committee and the NAE Grand Challenges Scholars Program committee are not described herein, and their creation, dissolution, or adjustment of charge are at the discretion of the Dean.

A. Dartmouth Councils

The faculty of the Thayer School of Engineering is part of the General Faculty of Dartmouth College. The rules and procedures of the General Faculty are in the Organization of the Faculty of Dartmouth College. The councils of the general faculty provide a forum for deliberation on matters of policy affecting the entire institution. They serve in a continuing advisory capacity to the president, the provost, and the board of trustees, and report annually to the general faculty. A Thayer representative serves on the Dartmouth councils and committees when appointed or elected to do so.

B. Research and Adjunct Faculty Appointments Committee

The Research and Adjunct Faculty Appointment Committee is chaired by the Senior Associate Dean for Research and Graduate Programs and comprises five to six faculty members, including the Associate Dean for Undergraduate Education, the Senior Associate Dean for Faculty

Development, and the Director of the MEM Program. The committee considers requests for initial adjunct and research faculty appointments, and renewal of adjunct appointments. The committee meets monthly as needed. Straightforward requests may be circulated by email. Processes for these appointments are described in sections 6 and 7. For research faculty appointments, the committee should consider existing financial support in hand for the candidate and the likelihood of future financial support. Motions for appointments are made by the committee to the full faculty for approval.

C. Combined Undergraduate Curriculum Committee

The combined Undergraduate Curriculum Committee is chaired by the Associate Dean for Undergraduate Education and generally comprises six to eight faculty, the Assistant Dean for Student Affairs, *ex-officio,* a Student Representative (named by Chair), the registrar *ex-officio*, and support staff *ex-officio*. The committee manages all aspects of the AB and BE academic programs, including review of signed BE program plans. The committee meets monthly.

D. Communications Advisory Board

The Communications Advisory Board provides faculty perspective and counsel on Thayer's engineering communications and marketing initiatives as needed and serve as standing members of *Dartmouth Engineer* magazine's editorial board. As members of the magazine's editorial board, faculty meet quarterly to provide input on editorial content and upcoming stories for the Fall and Spring issues of the magazine. The advisory board, comprising five to six faculty appointed by the dean, is chaired by the Sr. Director of Communications and Creative Services, with the magazine's editorial board chaired by the Editor of the Dartmouth Engineer magazine.

E. Cook Center Steering Committee

The Cook Engineering Design Center (CEDC) coordinates industry-sponsored projects for the ENGS 89/90 capstone engineering design course sequence. The Director, appointed by the Dean, is advised by a committee of faculty and staff members who provide feedback and direction regarding administration of the program; relationships with external project sponsors, organizations, or companies; and interactions between the CEDC and curricular activities at Thayer. Membership shall include the Associate Dean for Undergraduate Education, the CEDC Director, and a selection of faculty and staff appointed by the Associate Dean for Undergraduate Education.

F. Diversity, Equity, and Inclusion (DEI) Committee

The Diversity, Equity and Inclusion (DEI) Committee is chaired by the Associate Dean for Diversity and Inclusion and generally comprises six to eight faculty, four to six staff and two student representatives. The committee defines, deploys, evaluates and refines a strategic mission to make Thayer School more diverse, equitable, welcoming, and inclusive such that all members of the community feel a sense of belonging and can realize their full potential. The committee meets frequently, often in the form of subcommittees focused on DEI issues for key constituency groups (undergraduate students, graduate students, staff, faculty).

G. Dual Degree Admissions and Program Committee

The Thayer School of Engineering partners with several liberal arts colleges to offer science majors the opportunity to prepare for a career in engineering. Students in the dual-degree program spend their junior (or senior) year on exchange at Dartmouth College taking engineering science courses not available at their home college. Following graduation, they return to Dartmouth for a second year in the Bachelor of Engineering (B.E.) program at Thayer School. Admission to the Dual Degree Program is limited and competitive. The Dual Degree Admissions and Program Committee maintains the list of schools participating in the program, participates in the recruiting process for new students, advises on the application process, and selects a diverse group of students from the application pool. The committee is composed of a chair and two to three faculty members. The committee meets as needed, with substantial activity during admissions season in the winter term.

H. Instructional Labs Committee

The instructional labs committee oversees resources in all instructional labs. The committee is chaired by the Associate Dean for Undergraduate Education (or their appointee), and membership includes three to four faculty active in teaching laboratory courses, as well as representation from among Thayer's laboratory instructors.

I. Internal Review Committee for Proposals Using Human Subjects

The Committee for the Protection of Human Subjects (CPHS) is the Institutional Review Board (IRB) at Dartmouth College - a federally mandated committee with the charge of overseeing institutional research projects involving human participants. The CPHS serves as the IRB for Dartmouth College. CPHS requires departmental and scientific review of research involving human subjects prior to submitting a protocol for CPHS review. Thayer's Internal Review Committee for Proposals Using Human Subjects performs this task. Dartmouth College's Institutional Animal Care and Use Committee (IACUC) also sometimes requires internal review of protocols and this committee also serves this function for Thayer. The committee meets as needed to review these requests.

J. MEM Program Committee

The MEM program committee is chaired by the director of the MEM program, *ex officio,* and is generally composed of five to six Thayer faculty, the Assistant Dean for Student Affairs, *ex-officio,* two student members, including the Student Chair, MEM Council registrar, and support staff. A Tuck faculty representative may also be assigned to the committee. The committee manages all aspects of the MEM academic program, and faculty members of the committee review admissions applications and MEM program plans. The committee meets monthly in general and more frequently during the January through March admissions season.

K. MS/PhD Program Committee

The M.S./Ph.D. program committee is chaired by the Senior Associate Dean for Research and Graduate Programs. Membership includes a faculty member from each of the six research

designated areas (Energy, Materials, Biological and Chemical, Biomedical, Mechanical and Systems, Electrical and Computer) and includes one to two additional faculty members, up to two student representatives (appointed by the Thayer Grad Council) the Assistant Dean for Student Affairs, the registrar, and support staff. The committee reviews new courses, program plans and petitions from graduate students, including requests for admission to candidacy, and manages all aspects of the M.Eng./M.S./Ph.D. programs.

L. PhD Innovation Program Advisory Committee

The PhD Innovation Program Advisory Committee provides guidance to the Director on requirements, policies, procedures, and other aspects of the academic program. They also serve as the admissions committee for the program. The committee reviews applications in January, and interviews candidates on site (or by Zoom), generally by the end of February during each admissions cycle. The committee is chaired by the director and generally includes five to seven members, and the Senior Associate Dean for Research and Graduate Programs (ex officio).

M. Prize Committee

The prize committee handles matters regarding prizes for students, including the solicitation and collation of nominations, presenting the cases at the faculty meeting, and the overseeing faculty decision making.

N. Safety Committee

The safety committee handles matters pertaining to safety considerations at Thayer associated with facilities, policies, and procedures. They are asked to provide input to the administration on such matters. The committee meets as needed.

O. Thayer Distinguished Speaker Series

Thayer School's Visionaries in Technology series honors engineers and scientists whose insights have benefited humanity through revolutionary engineering solutions, paradigm shifting scientific advances, novel fields of inquiry, or policy shaping debate. The untenured assistant and associate professors constitute the committee who nominates a speaker and organizes the event, generally held annually each fall.

P. Thayer School Committee on Conduct, Standards, and Conflicts of Interest

The Thayer Committee on Conduct, Standards, and Conflict of Interest addresses issues related to conflict of interest, academic freedom and alleged faculty misconduct. Tenured members of the Committee on Conduct, Standards, and Conflict of Interest and/or Academic Directors who are not members of the Committee Advisory to the President or the Council on Academic Freedom and Responsibility may be requested by the Dean to serve on a committee to review allegations of academic freedom or misconduct as per the policies and procedures in the Organization of the Faculty of Dartmouth College.

5. THAYER POLICIES AND PROCEDURES

All Thayer core faculty (tenure line, research, and instructional) are members of the voting faculty of Dartmouth College. Thayer tenure line faculty are considered members of the Faculty of Arts and Sciences. The Handbook of the Dartmouth Faculty of the Arts and Sciences is a common source of Thayer's policies and procedures and may be consulted for guidance on topics not described herein. In the event of a conflict between the Thayer Faculty Handbook and the Faculty Handbook of the Dartmouth Faculty of the Arts and Sciences, the Thayer Faculty Handbook controls. Where there are omissions (intentional or otherwise) in the Thayer Faculty Handbook pertaining to a specific policy or procedure, or where the Thayer Faculty Handbook is otherwise silent on a policy or procedure, the Faculty Handbook of the Dartmouth Faculty of the Arts and Sciences applies.

Furthermore, the Provost's policy portal and the Organization of the General Faculty of Dartmouth College (OGFDC) identify various policies and procedures for all Dartmouth college faculty. These sources take precedence over the Thayer faculty handbook; there should be no conflict between college-wide policies and procedures and those outlined herein. Additionally, the Thayer Faculty Handbook augments but does not substitute other sources such as the Dartmouth College Student Handbook, the Dartmouth Employee & Procedures Manual.

These and other sources provide specific guidance on policies and procedures pertaining to: freedom of expression, academic freedom, the academic honor principle, confidentiality of student records, sexual and gender-based misconduct (including information about the Title IX office, process, and procedures), teaching guidelines, indemnification, the nondiscrimination policy, physical and learning disabilities, employment of partners and family members, sponsored research processes, course credit, college housing, parking, libraries, information technology, copyright, and intellectual property processes that generally apply to faculty at Thayer.

The Thayer School of Engineering and Dartmouth College rely on a shared governance model in which faculty and faculty leadership, assisted by professional staff, administration, governing boards and, sometimes, students and staff, participate in the development of policies and in decision-making that affect the institution. In particular, the core faculty assume a level of shared and individual responsibility to conduct the day-to-day work needed to maintain, improve, and grow our programs. While honoring and fostering these principles, Deans and other academic leaders retain the prerogative to choose the best decision-making model for different situations on a case-by-case basis, anticipating that this will be a mix of delegation and decision following consultation.

The following section provides more specific guidance regarding Thayer policies and procedures on the topics described.

A. Academic Assignments and Compensation

At Thayer, the faculty share responsibilities to provide excellent instruction to our students, make discoveries that impact society, and affect operational excellence using a shared governance model as described above. While the manner of meeting these responsibilities may

vary across faculty members, everyone is expected to fully participate as an active and engaged member of the Thayer community.

Tenured, tenure-track, research, and instructional faculty at Thayer typically are compensated for 9 months base compensation paid by Dartmouth College each fiscal year for three terms of full-time academic year service as articulated in an annual appointment or salary letter. This compensation will normally be paid in 12 monthly installments. Compensation and payment schedules will be adjusted for less than full-time service. Faculty with administrative appointments at Thayer typically will be compensated using a supplement that is added to their base salary for the time they are serving in the administrative position.

Thayer follows the same instructional calendar as Arts and Sciences as detailed in the Faculty Handbook of Arts and Sciences. Similar to expectations of faculty in Arts and Sciences, both tenure line and instructional faculty members on full salary must be in residence on campus (which may include a reasonable level of remote participation), or in a Dartmouth off-campus program during three of the four academic terms in a given year. "In residence" requires a faculty member to be actively engaged and fully available for such school or college-wide responsibilities as may be assigned. During non-teaching "in residence," or R-terms, a faculty member continues to fulfill college and school responsibilities such as undergraduate advising, thesis advising, supervision of student research, the teaching of independent study courses and participation on committees even if courses are not assigned for teaching. When legitimate scholarly pursuits arise that would be aided through extended absence or prolonged remote participation during an R-term, the faculty member must seek approval from the Dean to work off-campus by the end of the prior term.

Research Faculty are subject to different compensation guidelines than tenure line faculty in part because research faculty are expected to generate their own support from research and sponsored sources for their regular compensation. While some faculty on the research track may be compensated for classroom teaching or service assignments, research faculty are primarily compensated through external funding sources.

Individual salaries are established effective July 1 and are paid on the first of each month in arrears in twelve equal installments over the year ending next June 30. Thus, tenure-track faculty who do not teach in the summer receive their first two pay installments after July 1 (on August 1 and September 1) as a partial advance against services to be rendered in the remainder of the academic year. Because of this practice, June 30 is the standard date for resignation from the College. As per the Faculty Handbook of Arts and Sciences, any faculty member who wishes to resign on a date other than June 30 should consult with the Dean regarding compensation adjustments, as applicable.

Guidelines pertaining to: payroll procedures, allowable additional compensation opportunities, benefits, loans, flexible retirement options, and Dartmouth's permanent resident sponsorship policy for faculty are described in the Handbook of the Faculty of Arts and Sciences unless otherwise stated in this handbook.

B. Off-Term Support

An "off-term" is defined as a term in which a faculty member is not teaching nor in residence, and often the "off-term" is the summer term. Faculty may request no greater than three months of off-term support per year for research or other activities if funded by sponsored sources or by Thayer/Dartmouth, as applicable. Requests for more than 2.5 months of summer salary require permission from the Dean. Faculty who have extramural funds from NIH and for whom the 9 month base salary exceeds the annual NIH cap can supply the additional salary needed to meet their full effort using salary eligible discretionary accounts or gift funds (see salary credit guidelines*).* Limited off-term support may be applied to periods in between terms (eg. winter break) if prior permission is granted by the Dean. Vacation time typically is not allowed during paid off-term periods.

C. Immigration Support

The Dean advises tenure line faculty who are foreign nationals to consider applying for lawful permanent residence sponsorship at the beginning of their Dartmouth faculty appointment. By law, the employer must pay the costs of the labor certification application process. In addition, Thayer will cover reasonable costs (legal and filing fees) of the permanent residence process. Faculty are responsible for the legal and filing fees for dependent family member applications. Specific details may be reflected in the faculty member's offer letter.

The Office of Visa and Immigration Services at Dartmouth (OVIS) will review the US permanent residence process during the initial check-in appointment at the start of the appointment of a foreign national. OVIS will work with approved outside immigration counsel to determine the appropriate employment-based process and to prepare and file the permanent residence petition. For a College-sponsored petition, only approved outside immigration counsel referred by OVIS may be used.

Given application processing backlogs and delays caused by lengthy security clearance checks with the Department of Homeland Security, the permanent residence process can sometimes take in excess of two or three years. If the processing of an application is subject to either visa backlogs or unavoidable security delays, and as a result a candidate is subject to additional attorney and filing fees for temporary work cards and temporary travel documents, the candidate may also apply for an additional hardship reimbursement not to exceed $1,000 (a taxable benefit under US tax withholding laws). This additional reimbursement will only be considered if the processing time for the adjustment of status application (Form I-485) exceeds 18 months. When a faculty member has an underlying employment-based nonimmigrant status, Dartmouth will file nonimmigrant extension petitions while the permanent residence case is pending. Thayer will cover the filing fees and miscellaneous expenses for these petitions.

D. Academic Year Load Distribution

The guidelines presented below detail the expected distribution of faculty responsibilities in the areas of research, teaching, and service. Special circumstances that require consideration outside these guidelines may be discussed with the Dean. The distributions of newly hired faculty or part-time faculty, for example, may be different than those outlined below.

These guidelines help ensure a fair and equitable distribution of responsibilities across faculty. They also provide a clearer path for accommodating requests to take advantage of special teaching, research, or service opportunities. Generally, the expected estimated breakdown of annual academic year effort for a typical faculty member is:

	Tenured/Tenure-Track Faculty	***Instructional Faculty***	***Research Faculty***
Teaching:	~20% per course = 3 courses/year	~20% per course	~20% per course
Research:	~30%	0-10%	100% or less
Service:	~10%	0-10%	0%

On average, 20% effort per course should be an appropriate estimate, particularly if faculty are teaching one core undergraduate course, one elective course, and one graduate level course. Nonetheless, the effort spent on teaching a single course may vary based on enrollment, presence/absence of a lab, subject matter, number of guest lectures, etc. and is tracked by the Associate Deans. Consequently, certain courses may "count" for more or less than 20% (eg. ENGS 89/90), and the annual teaching load will be fairly distributed accordingly for each faculty member. Teaching assignments are made by the Associate Deans. Occasionally, a faculty member may be asked to teach an "overload," which could bring them to a total load greater than 100%. In such circumstances, faculty will be additionally compensated accordingly. Unusually high student advising loads also may count toward fulfilling one's teaching responsibilities.

To count toward the teaching effort guideline, a course will normally have at least five students enrolled. Courses with fewer than five students may still be taught at the discretion of the faculty member in consultation with the Associate Dean, but a faculty member who fails to achieve sufficient enrollment may be responsible for "making up" some or all of the teaching credit with a course later in the academic year or in the next academic year.

Thayer tenured/tenure-track faculty are expected to use research grant support to cover at least 10% of their academic year salary and associated fringe. If a faculty member has a particularly active research portfolio at a given time, they may reduce their teaching load by one or two courses by covering an additional 20% or 40%, respectively, of their academic year salary (plus fringe) through grant funds. A tenured/tenure-track faculty member cannot reduce teaching load to 0 courses without taking a leave of absence or under very special circumstances. This opportunity for a course reduction is an alternative to Thayer's practice to provide special discretionary funds to faculty that exceed the 10% academic year salary coverage threshold. Eligible course reduction requests must be made at least two terms prior and should be discussed with and approved by the relevant Associate Dean in consultation with the CFAO to ensure conditions are met. Additionally, approval is conditional on identifying a substitute to teach the course, as applicable.

As described above, Thayer tenured/tenure-track faculty are expected to serve Dartmouth College and their external community at a level of approximately 10% effort per year. This equates to 4-5 hours per week. Routine academic advising, committee work or other types of service activity should fulfill this requirement. All faculty are expected to supervise at least one course project per year when called upon, which also counts toward service. Under certain circumstances, a faculty member may be asked to serve in a role that increases one's commitment to service (eg. an Associate Dean position), and teaching and/or research responsibilities may be reduced accordingly for the relevant time period.

E. Sabbaticals

Full-time tenure-track, tenured, and instructional faculty accrue sabbatical leave. Part-time and research faculty also may accrue sabbatical leave under special circumstances and with permission from the Dean. A sabbatical leave is intended to provide a faculty member with an uninterrupted opportunity for research and intellectual refreshment. Even more, sabbatical leaves are granted on the assumption that colleagues and students will benefit from the enlarged perspectives of the faculty members upon their return. Granting of sabbatical leave is at the discretion of the Dean who will assess: the intention of the sabbatical (i.e., activities to be conducted); whether the faculty member has been meeting the expectations for research, teaching, and service; and the current needs of Thayer (eg. if teaching can be covered).

The sabbatical leave is considered part of the faculty member's service; therefore all benefits continue during the sabbatical leave. Since the sabbatical leave is intended to provide a faculty member with an uninterrupted opportunity for research and intellectual refreshment, no faculty member may accept a formal teaching appointment, a visiting professorship, or any other employment during such a leave. This restriction does not apply to an unpaid research post at another institution. Accordingly, acceptance of a sabbatical leave carries with it a commitment to return to the faculty for no less than one year. An individual approaching retirement from the faculty will be eligible for a leave of one or two terms if at least one year of service remains before retirement. A leave of three terms may be granted if at least two years of service remain before retirement. Sabbatical leaves are not granted to persons who have elected the Dartmouth Flexible Retirement Option (FRO), to persons in a period of terminal appointment, or to those with the intention to terminate employment at Dartmouth following the sabbatical.

For the purposes of determining sabbatical leave accrual, in residence (R-terms) or teaching (T-terms) are designated and recorded. Nine total terms of R-terms and T-terms accrue to the equivalence of one term of sabbatical. Research, off, and leave or partial leave terms do not accrue sabbatical. Less than full-time appointments accrue sabbatical leave in proportion to the terms of appointment. In no case can sabbatical credit accrue beyond three terms of compensation, i.e., 27 terms of credit towards sabbatical.

The following guidelines should be followed to identify teaching responsibilities for years in which sabbaticals are taken:

1-term leave: 2 courses to be taught in the remaining academic year

2-term leave: 1 course to be taught in the remaining academic year

3-term leave: 0 courses to be taught in the remaining academic year

Application for sabbatical leave should be initiated in the fall of the academic year prior to the academic year in which the leave is to take place. By the last day of the fall term in the prior academic year, faculty requests for sabbaticals must be forwarded to:

- The Dean
- The Senior Associate Dean for Faculty Development
- The Associate Dean for Undergraduate Engineering (for teaching scheduling purposes)
- The CFAO (to consider financial implications)

The request should include information pertaining to: timing, location of the sabbatical, purpose of the sabbatical (one paragraph), and evidence that the sabbatical time requested has accrued. The requestor is responsible for:

1. Making sure all parties have received a copy of the request and approve.
2. Retrieving sabbatical accrual confirmation from the Dean's Office.

Once reviewed and if approved internally, the Dean will send a decision letter to the requestor (cc to the Associate Dean for Undergraduate Education and the CFAO) and a memo to the Provost requesting permission.

F. Leaves of Absence

Any policies and procedures pertaining to non-sabbatical leave terms for Thayer faculty that are not described below are covered in the associated section of the Faculty Handbook of the Arts and Sciences.

F.1 Parental and Special Care Leaves

The Thayer School's leave policy for newborn, newly adopted children, or new foster children is described in Dartmouth's Faculty and Parental Leave Policy and is available to all benefits-eligible tenure-track, instructional, and research faculty with no waiting period.

Full-time tenure line, research, and instructional faculty also are eligible for up to one term of leave to provide members of the faculty relief from their academic duties in order to assume responsibility for the unexpected, special care of a family member. The leave is at full compensation for one of the three residence terms without loss of seniority or benefits. The leave includes at least a one-course reduction of the teaching load during the leave term.

Requests for leaves described in F.1 should be sent to the Dean with a copy to the HR Director. The Dean and/or HR Director will request a meeting to jointly create a plan for the faculty member's leave that ensures continuity of responsibilities, as needed, during their absence. The Dean or HR Director also may recommend that the faculty member apply for Family Medical Leave for up to 6 months, if appropriate. For more information about Family Medical Leave, contact the Dartmouth Benefits Office or the Thayer HR Director. The leave terms described in section F.1 do not count toward sabbatical accrual.

F.2 Medical Leaves

Faculty who require short-term medical leave should submit a request to the Dean with a copy to the HR Director by completing the standard Leave Request Form.

Faculty members who are enrolled in the FlexOnLine benefit program and are disabled as a result of injury or illness may apply for long-term disability payments through Dartmouth's Human Resources Office after six months from the date of disability. Before that time, the Dean of Faculty Office will work with disabled faculty or faculty with other medical conditions to provide paid leave for up to 6 months and to cover their commitments to the School/College. Faculty who require such support should contact the Dean. Normally, a statement signed by a medical doctor is required.

The Family and Medical Leave Act (FMLA) of 1993 provides eligible faculty up to twelve work weeks of unpaid leave during any twelve month period for certain medical and family reasons. In order to be eligible to take leave under the MVLA, you must have worked at least 1,250 hours during the 12 months prior to the start of leave. While FMLA leave is unpaid, it must be taken concurrently with other paid leaves such as Medical Leave, Birth-Parent Leave, Parental Leave, or leave for special care of a family member, where eligible. For more information and instructions on how to apply for FMLA leave, please contact the Human Resources Benefits Office.

G. Faculty Discretionary Funds

This section is consistent with the Dartmouth College Discretionary Accounts Associated with Research Policy, approved March 9, 2010.

Discretionary funds are associated with individual faculty members and research programs and are established and maintained as designated accounts for the purpose of supporting scholarly activities and promoting research. Even though an individual may be granted decision-making authority over the expenditure of discretionary funds, such funds are assets of Dartmouth and as such, must be used to further the missions of the institution.

Anyone to whom oversight of discretionary funds is assigned and the designated financial administrator must ensure that expenses charged to discretionary accounts represent legitimate Dartmouth business-related expenses (see "Examples of Eligible Discretionary Account Expenditures" below). If there is any question about the propriety of paying an expense from a discretionary fund, the individual and/or the budget administrator must seek approval from the Thayer CFAO in advance of incurring the expense. If further clarification is needed, the matter will be referred to the Dean. Institutionally supported research (eg. which is supported by discretionary funds) must follow Dartmouth policies for the conduct of organized research (for example, IRB review for work that involves human subjects) and all environmental laws and regulations.

Discretionary funds are derived from a variety of sources, including internal Dartmouth accounts and unrestricted external sources. Sources may include, but are not limited to:

- Unrestricted or designated funds allocated by the Dean or other Dartmouth officer. When budgets allow, annual discretionary allotments will be provided to full time faculty, which may be adjusted accordingly for part-time or partial year employment.
- Residual funds from fixed-price research agreements, provided the funds are treated in accordance with Dartmouth policies and procedures.
- Residual funds from clinical trials, provided the funds are treated in accordance with Dartmouth policies and procedures.
- Royalty or licensing revenues, as distributed in accordance with Dartmouth policy.

G.1 Examples of Eligible Discretionary Fund Expenditures

Only Dartmouth business-related expenses can be paid with discretionary funds. In addition, any expenditures must comply with all other relevant policies of Dartmouth and Thayer. Common examples of expenses include, but are not limited to:

- Salary/compensation for faculty or staff.
    - At Thayer, if the discretionary fund is not salary-eligible, a faculty member cannot fund their own salary/compensation from the account.
- Support for students and/or trainees enrolled in Dartmouth programs/activities.
- Business related travel expenses, for example, to meetings of professional associations or for research activities; and business-related meals or hosted professional functions.
- Support for external academic partners/trainees to visit Dartmouth to participate in research or educational activities and associated business expenses.
- Professional license or certification fees, where the license or certification is necessary for the individual to perform their Dartmouth-related work
- Membership and/or subscriptions to professional organizations and periodicals related to the individual's scholarly/academic activities.
- Books, journals and other scholarly materials.
- Manuscript submission fees.
- Specialized software, computer peripherals, and specialized databases and data collection costs.
- Business-related postal or shipping charges.
- Capital equipment, research equipment, materials and supplies.
- Moving or relocation expenses.

G.2 Additional Terms

- Discretionary fund accounts may not be overspent.
- Any assets (eg. equipment) purchased with discretionary funds are the property of Dartmouth.
- When the holder of discretionary funds leaves Dartmouth employment, use of the funds remaining in the account and disposition of property purchased with discretionary funds is subject to individual school policies.

H. Startup Funds

Thayer provides startup funds to tenured and tenure track faculty to assist with scholarly and research related expenses. Startup funding is specified in a faculty member's offer letter and is allocated to specific categories, including: Off-Term Support; General Expenses; Relocation Stipend; Graduate Student Support (Tuition and Stipend); and Postdocs.

The startup funding is deposited into designated accounts when the faculty member is beginning employment at Thayer with the exception of graduate student tuition funding and relocation stipends. Graduate student tuition funding will be made available from Thayer subvention funding when it is needed. Relocation stipends are generally paid directly to the faculty member in the first month of employment.

Unless specified in the offer letter, Thayer CFAO approval may be needed when transferring funding between certain startup funding categories.

- Off-term funding: When Off-term funds are remaining, they can be used to support graduate students, post-docs, research staff, and undergraduate students. Thayer CFAO approval is not required.
- Graduate Student Support: When graduate student support funds have been depleted, graduate student costs may be directly charged to Off-term, Postdoc Support and/or General Expenses. CFAO approval is not required.
- Postdoc funding - When postdoc support funds have been depleted, postdoc costs may be directly charged to Off-term or General Expenses. CFAO does not need to approve.
- General Expense funding is generally used for non-compensation expenses, including capital equipment purchases. Compensation support for faculty cannot be supported from the General Expense category. Non-compensation expenses do not need to adhere to the categories listed in the offer letter except if funds are designated to a specific piece of equipment. If total equipment expenses are less than anticipated, the CFAO will determine the future use of the remaining funds. If the remaining amount is less than $50,000, the funds may be used in support of other General Expenses without CFAO approval.

Anyone to whom oversight of startup funds is assigned and the designated financial administrator must ensure that expenses charged to startup funds represent legitimate Dartmouth business-related expenses. If there is any question about the propriety of paying an expense from startup funds, the individual and/or the budget administrator must seek approval from the Thayer CFAO in advance of incurring the expense. If further clarification is needed, the matter will be referred to the Dean. Institutionally supported research that is supported by startup funds must follow Dartmouth policies for the conduct of organized research. For example, IRB review is needed for work that involves human subjects and all environmental laws and regulations should be followed.

H.1 Additional Terms

- All purchases made with startup funds must be in accordance with Dartmouth policies.
- Startup funds should generally be spent within the first six years.
- Startup funds may be leveraged as cost share on research proposals.

- Startup accounts may not be overspent.
- Any assets (eg. equipment) purchased with startup funds are the property of Dartmouth.
- When the holder of startup funds leaves Dartmouth employment, use of the funds remaining in the account and disposition of property purchased with startup funds is subject to Dartmouth and Thayer policies.

I. Faculty Offices and Laboratories

All space at Thayer is under the purview of the Dean and the Provost. Following are the guidelines for assignment of office space:

1. Office space is assigned to all current core faculty. Faculty on leave may be asked to temporarily relinquish space, if necessary.
2. If there is additional space, emeriti as well as special faculty may be assigned offices. This may require the sharing of offices. Allocation will be determined by the Dean in consultation with the CFAO and the Thayer Director of Facilities and Operations.
3. Space assignments will be reviewed annually with reallocation accommodated, as necessary.
4. Faculty offices are provided with ordinary office supplies, telephone service, and office furniture. Bookcases, filing cabinets, and additional items of office equipment must be requested through the CFAO and will be accommodated as budgets allow. Our philosophy is to acquire and maintain, in a fiscally responsible manner, office furniture that is durable and of good quality. Issues related to ergonomic concerns or other extenuating circumstances will be dealt with on a case-by-case basis.
5. Generally, full-time faculty are provided with new computers every four years, funded through the Computing Services budget.

Following are the guidelines for assignment of laboratory space:

1. Laboratory space is assigned to faculty with active research programs as evidenced by sponsored research support and/or the advising of graduate students. Faculty on leave may be asked to temporarily relinquish space, if necessary.
2. Laboratory space is assigned by accounting for the needs of the research program, the level of sponsored research support, and equity across faculty.
3. Allocation will be determined by the Dean in consultation with the Senior Associate Dean for Research and Graduate Programs, the CFAO and the Thayer Director of Facilities and Operations.
4. Space assignments will be reviewed annually with reallocation accommodated, as necessary.
5. Faculty laboratories are provided with basic laboratory furniture (eg. benches and fume hoods), as applicable. Laboratory equipment and supplies required to support specific research should be purchased with sponsored or internal (eg. start up) research funds. Requests for additional internal support of research equipment and supplies such as for cost share on proposals should be made via an email to the Dean, the Senior Associate Dean for Research and Graduate Programs, and the CFAO.
6. General maintenance of laboratories and select shared equipment is the responsibility of Thayer. Maintenance of specific project-based equipment is the responsibility of the

faculty member associated with the laboratory unless other arrangements have been made with the Dean or Senior Associate Dean for Research and Graduate Programs. Faculty are responsible for adhering to environmental, health, and safety guidelines.

J. Cell Phone Policy

In accordance with the Dartmouth policy, certain Thayer personnel that are required to be fully accessible during emergencies, or during non-business hours, to the public, faculty, staff, students or alumni are eligible for reimbursement of cell phone-related expenses. Employees who are required to travel frequently or spend significant time away from the office may be eligible. A faculty member with typical academic responsibilities likely is not eligible. Ultimately, eligibility is determined by the Dean.

Eligible faculty who commonly use their cell phone for business purposes may receive a monthly $50 cell phone stipend, and a hardware reimbursement of up to $500 every 3 years. Unless activities fall outside typical academic responsibilities, faculty members seeking reimbursements must use discretionary funds. The cell phone stipend is considered taxable income and is added to one's monthly pay total and taxed accordingly.

K. Travel and Entertainment Expenses

Faculty members traveling on Dartmouth-related business are encouraged to work with the College Travel Office for all travel arrangements, except when travel and/or lodging arrangements have been obtained at group rates by the sponsor of a conference or other such event. Dartmouth-related business is defined to include scholarly activities undertaken at professional meetings and in connection with sponsored research projects. Instructional activities, such as recruitment, field trips, and off-campus programs, likewise are construed to be Dartmouth-related business. The College Travel Office can assist with all aspects of travel including arrangements for ground transportation, airline reservations, hotel reservations, and vehicle rental. The Travel Office provides 24-hour service, a travel portal, and an 800-telephone number. The cost of air and rail tickets for business travel booked through the Travel Office will be billed directly to a Dartmouth Corporate Card or posted to the school account specified by the traveler. Dartmouth will accept no agent fees for travel from any agency other than the College Travel Office. It is the responsibility of the traveler to use their Dartmouth Corporate Card or a personal credit card when making travel arrangements outside the College Travel Office. Important information on Dartmouth College travel policies can be found at the requisite site online. International travelers have access to the services of International SOS at internationalsos.com.

Reasonable and actual costs of travel incurred while on Dartmouth-related business are expensed by faculty and staff in accordance with policies and limits described in the Dartmouth Business Expense Policy. Faculty are encouraged to obtain and utilize the Dartmouth Corporate Card to pay for travel expenses. The accounting of expenses is made in the Dartmouth Oracle iExpense system. The iExpense report must be submitted by the traveler and approved by the Finance Office or Research Administration, if grant funded. A portion of iExpense reports are selected for review and audit by the Admin Provost Finance Center.

Entertainment costs resulting from recruitment activities, visiting speakers, and other Dartmouth-related business as authorized by the Dean or CFAO are expensed via iExpense. Submitters should be prepared to show cost, date of entertainment, participants, place of entertainment, and purpose served. Itemized meal receipts are required for entertainment and/or non-travel local business meals. Special restrictions may be in effect for travel and entertainment under federally-supported grants and other sponsored projects. Information on such restrictions can be obtained from Research Administration. Direct payment to restaurants can be for banquets or catering services only. Other meal expenses should be paid for with a Dartmouth Corporate Card or charged directly to a Thayer account, if utilizing a Dartmouth entity (eg. Hanover Inn or Dining Services).

Additional guidelines regarding cash advances and Corporate Cards can be found in the Faculty Handbook of Arts and Sciences.

L. Faculty Supplement and Annual Review

In the spring of each year, faculty members submit an annual supplement to the Dean for review. The annual faculty supplement is a comprehensive summary of the faculty member's productivity over the past year across a broad spectrum of activities including, but not limited to, sponsored activity (proposals granted and those in progress), patents granted and in progress, scholarly contributions and creative productions (which includes but is not limited to published articles), presentations, teaching, advising and mentoring, professional memberships, diversity and inclusion, technology transfer activities, service to Thayer and Dartmouth, other service, and awards. The Faculty Activity Report software that pulls data from a variety of sources (Web of Science, Banner, etc.) is used to facilitate creation of the supplement. The Dean determines the individual annual salary increase for faculty, effective July 1 of the next fiscal year, in part based on the supplement. Salary increases are based on a baseline cost-of-living adjustment and a merit increase, as applicable, and may be affected by necessary equity adjustments across the faculty.

M. Consulting and Outside Employment

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

Appointments to another institution while a faculty member carries a full-time faculty appointment at Dartmouth should not be undertaken without prior discussion and approval of the Dean.

N. Translation and Entrepreneurship

Thayer faculty are encouraged to pursue opportunities to translate their research into application for greatest impact. A faculty member with a potential invention or interest in company formation should contact the Dartmouth Technology Transfer Office (TTO) to discuss their situation. Invention disclosure forms, sample agreements, and information on various policies also are available on the TTO web site.

Dartmouth's Company Activities Policy describes how Dartmouth facilities may be used for start-up (for-profit) activities. Note that Dartmouth resources may not be used for company activities unless written approval by the responsible Dean or the Provost is obtained in advance. Any such use is considered a privilege and will only be permitted for compelling reasons that do not conflict with Dartmouth's primary mission as an institution of research and higher education and applicable law.

O. Conflict of Interest

Thayer faculty are expected to follow Dartmouth policies on conflicts of interest. A conflict of interest (COI) occurs when an individual's outside interests, financial or otherwise, might reasonably lead an independent observer to question whether the individual's actions or decisions in connection with their Dartmouth College-related professional activities are influenced by considerations of such outside interests.

Conflicts of interest are often inherent in collaborations between Dartmouth and companies in which a Dartmouth community member has a Significant Financial Interest (SFI). In particular, COIs easily arise when a Dartmouth community member with an SFI in a company engages simultaneously in the company and the Dartmouth side of research which is related to company interests. According to Dartmouth policy, it is each investigator's responsibility to submit an annual COI disclosure in a timely fashion through the Dartmouth COI online disclosure system, to disclose fully any and all equity interests in non-publicly traded entities, such as start-up companies, as well as to disclose any other financial interests meeting the disclosure threshold for SFIs. Equity interests in non-publicly traded entities, even if worth nothing or of unknown value, must be disclosed. The Dartmouth Conflict of Interest Committee (COIC) will determine whether a COI is present and whether COI management is warranted. If this is the case, the COIC will establish a COI management plan. See the Company Activities Policy for additional information.

P. Faculty and Committee Meetings

Regular Thayer faculty meetings occur monthly, typically excluding July and August. Special faculty meetings also may be called, as needed. Multiple faculty meetings in June are often necessary for approval of various student-related awards and degrees. All core faculty (tenure line, instructional, and research professors) are expected to attend along with invited senior staff members and other guests, as appropriate. The Dean is the presiding officer of the faculty; in the absence of the Dean, a designee may be appointed.

Preparation and distribution of the agenda and the call of the faculty meetings is the responsibility of the Dean in consultation with the (Senior) Associate Deans. Faculty also may

propose agenda items to the Dean at least one week in advance of the meeting. Materials that require an in-depth review should be provided at least one week in advance of the meeting. A staff member may be appointed to take minutes at each faculty meeting and will distribute these minutes prior to the following faculty meeting for review. The distributed minutes will be approved or amended by the faculty at the next faculty meeting. Approved meeting minutes are official records and should be appropriately archived.

Faculty meetings are conducted according to *Robert's Rules of Order.*

Generally, a faculty meeting includes an open session where all members of the core faculty, senior staff, and other invited guests may participate in discussions although senior staff and invited guests may not vote. The open session may be followed by a session open only to the core faculty or portion of the core faculty (eg. on matters related to students or matters related to reappointment, promotion, and tenure).

All members of the core faculty are eligible to discuss issues and vote on all matters, except those pertaining to reappointment, promotion, and tenure may require the presence of only certain eligible faculty as noted in this handbook. For general items, there is no regular provision for absentee or proxy voting. However, except for hiring, reappointment, promotion, and tenure decisions, absentee or proxy voting can be authorized for any particular vote by a two-thirds assent of those present and voting at the meeting in question.

A quorum for the transaction of business (other than reappointment, promotion, and tenure decisions, which is addressed in Section 9) at a faculty meeting is met when the number of those required to attend, eligible to vote, and present at the meeting (either in-person or remotely) is greater than one-half of the number of core faculty who are not on leave, nor participating in Dartmouth-related off-campus activities, nor teaching during the time of the meeting. Faculty on leave or otherwise absent for Dartmouth-related off-campus activities or teaching in a regularly scheduled period are not required to attend, but retain the privilege of attendance (either in-person or remotely) and vote, as appropriate; if faculty members on leave or otherwise absent for Dartmouth-related off-campus activities or teaching in a regularly scheduled period attend a meeting of the faculty, they will be counted when constituting a quorum. Final action on all business shall be taken by a majority vote of those members present minus abstentions; however, greater than one-half of those present must cast a non-abstaining vote for a decision or action to stand.

If a quorum is not present, the above additional conditions are not met, or a decision on business needs to be made prior to the next faculty meeting, the Dean may decide to present the information electronically to all core faculty and conduct the vote electronically. For electronically-conducted business, final action on all business shall be taken by a majority vote of all core faculty minus abstentions; however, greater than one-half of the core faculty must cast a non-abstaining vote for the decision or action to stand. An uncast ballot from an eligible faculty member is considered an abstention.

Final action on any business not included in the agenda, or upon any business ruled by the presiding officer to involve a substantial change of policy, may be taken at the meeting to which it is first submitted only by consent of two-thirds of the members present and voting. Otherwise, final action upon such business shall be postponed to the next meeting of the faculty.

Voting rules of Thayer committees may be set by each group. Normally, all appointed or elected committee members have the right to vote in meetings.

Q. Finance-Related Policies

Thayer follows Dartmouth College financial policies and procedures. These policies provide specific requirements for procurement of goods and services and provide guidelines for travel, entertainment and other business expenses. An allowable business expense is defined as a necessary, reasonable, appropriate non-compensation expense incurred for a valid business purpose to fulfill the mission of Dartmouth College. The business expense policies also identify the documentation required to substantiate requests for expense reports. These policies are necessary to ensure the proper use of Dartmouth resources and compliance with federal and other external regulations. The Thayer Finance Office and CFAO are available to assist faculty with questions regarding policy interpretation and adherence. In addition, the Dartmouth College Finance website provides details of all financial policies and procedures associated with business expenses and reimbursement.

R. Research-Related policies

Thayer faculty are expected to follow Dartmouth policies on sponsored research designated by the Office of Sponsored Projects.

R.1 Environmental Health and Safety

At Thayer, safety is a collaborative effort which encompasses many different facets and potential hazards. Some hazards include radiation, chemicals, biological agents, temperature, pressure, vacuum, high voltage or current, lasers, flammable materials, equipment and machinery to name a few. In simple terms, the goals are to understand the associated risks of our work, minimize the hazards involved and be aware of those hazards that cannot be eliminated. By doing these things we can aim to conduct our work safely. The faculty and staff members leading laboratory courses, as well as the PI for research labs, are responsible for developing or finding expertise on safety issues relevant to their work. Students and researchers in the lab should protect themselves and those around by anticipating problems and working to prevent them. Thayer's Safety Officer will be available to help locate such resources. Ultimately, the lead instructor of lab courses, or the PI for research labs, are held responsible for safety conditions in the laboratory and ensuring appropriate training in, and practice of safety by their students and staff. Thayer faculty are responsible for complying with Dartmouth EHS Policies and Procedures.

Dartmouth EHS provides overall guidance and compliance support and adherence to all federal, state, and local requirements. EHS provides general laboratory inspections and biosafety audits across campus. Their mandate covers biosafety (including COVID-19), laboratory safety, radiation safety, laser safety, occupational safety, laboratory waste minimization and management and emergency planning. Online training modules, Machine Shop safety guidelines, and other resources are available on the EHS website.

Dartmouth College has a comprehensive Hazardous Waste Management, Minimization and Disposal Program committed to meeting all federal, state and local regulations. "Hazardous Waste" is any material that exhibits hazardous characteristics, is unusable or unwanted in

anyway and poses a potential hazard to individuals, the environment or public health. **The improper disposal of hazardous materials is strictly forbidden.** Detailed information and assistance on hazardous waste disposal is provided by EHS.

The Director of Facilities Planning and Operations serves as Thayer's Safety Officer. Please reach out to them for more information.

R.2 Human Subjects Research

Faculty who are principal investigators on any potential project that involves human subjects research are required to obtain local institutional review board (IRB) approval prior to starting the project. Investigators intending to submit protocols to either the Dartmouth Committee for the Protection of Human Subjects (CPHS) IRB or the Dartmouth-Hitchcock Health (D-HH) IRB must first submit the appropriate paperwork to the Thayer Human Subjects Research (HSR) Committee for departmental and scientific review. Approval by the Thayer HSR Committee is required prior to applying for full, expedited, and exempt protocols to the IRB. The only application type that does not require Thayer HSR Committee review is the non-human subjects research application. The departmental and scientific review form for CPHS can be found at Forms and Templates. The relevant form for D-HH can be found at General Templates and Forms.

R.3 Equipment Transfers

As a faculty member contemplates a transition from Thayer, the assets they have access to in their laboratory will be under review for final disposition. Dartmouth defines capital equipment as having an acquisition cost of $5,000 or more.

No assets will be released from Dartmouth (Thayer) until a decision has been made to allow the transfer or sale. If the principal investigator wants to move non-federally purchased equipment to the new institution, the new institution will have to purchase the equipment. If the equipment is purchased through a federally sponsored award, the agency will need to approve the transfer which will be handled through the Office of Sponsored Projects (OSP). The OSP website outlines additional information relevant to equipment transfers.

The following procedure should be followed to submit a request for equipment transfer, sell equipment, or dispose of equipment:

1. The faculty member must compile a list of equipment proposed for transfer, disposal, or sale (see example below). This list must include a description of the equipment, funding source account number, Dartmouth College equipment tag number, agency and grant for which the equipment was purchased, and purchase order number. Equipment should not be removed from the premises until the process has been completed and all necessary approvals obtained. This should be submitted to the Associate Dean for Research and Graduate Programs.
2. The Associate Dean for Research and Graduate Programs will review this list to determine whether the research equipment is unique to the Principal Investigator's current research, and whether Thayer School does not need the equipment.

3. If the Principal Investigator requires the equipment for further research from the same agency that originally funded the equipment, the equipment, even if it is not unique, may be transferred; with agency approval when required.
    a. "Further research" does not necessarily mean that the specific contract on which the equipment was purchased, or a continuation of that contract must still be active. Nor does there have to be any funded research in the specific area at the precise moment of transfer. The Associate Dean's certification means that the Principal Investigator is actively engaged in research in the area in which the equipment is uniquely necessary, and that they are likely to obtain future sponsorship for additional research in that area.
    b. A standard personal computer would not be defined as "unique to the specific research." On the other hand, a particular scientific instrument, with a variety of uses in a variety of fields, may be classified as "unique."
    c. The only equipment that may be considered for transfer is that acquired for a contract or grant by the Principal Investigator on that contract or grant. (On large grants with multiple projects, a researcher heading a subproject may be considered a Principal Investigator.)
4. If the above requirements are not met and the equipment is not uniquely used by the transitioning faculty member, then the equipment may be retained by Thayer. The Dean and Associate Dean are responsible for reassignment of equipment to other faculty or departments as needed within the college.
5. A letter is required from the recipient institution agreeing to accept title, with the understanding that the equipment is for the initial use of the new faculty member. The recipient institution must indemnify and hold harmless Dartmouth College from all loss, damage, or liability arising from the said transfer.

Example table below must be completed by the faculty member, with support from the Director of Facilities, asset manager (Instrument Room) and Research Administrator and must be signed by the Associate Dean.

Asset name	Dartmouth Asset Tag #	Serial #	Lab location	Original source of funding (start up, grant, contract, gift)	Chart String	Other applicable users at Thayer	Disposition (sell, transfer, retain)
WIDGET #1				Start Up		Jon Doe	RETAIN

S. Curriculum related policies

S.1 Program Creation and Changes

For new graduate degree programs, Thayer follows the Process of Approval of New Degree Programs outlined by the Guarini School of Graduate and Advanced Studies. Undergraduate program creation and changes must follow the approval steps detailed by the Dartmouth registrar.

S.2 Course Creation/Deletion and Changes

For undergraduate (AB) course creation, deletion, and changes, Thayer follows the Dartmouth Course Approval Routing System following approval at the committee and Thayer Faculty levels. This process is coordinated by the Associate Dean for Undergraduate Education in conjunction with the Thayer School Registrar.

Graduate (MS/MEng/MEM/PhD) courses are reviewed by the appropriate program director prior to introduction at the corresponding graduate committee level and a vote at the Thayer Faculty level. No further approval is necessary by other College Committees.

S.3 Class Schedules

Thayer courses follow the class schedule set by the Dartmouth registrar, which may be altered periodically. Information about the block scheduling can be found on the registrar's website. With prior approval and justification, some graduate courses may be offered according to schedules complementing other Dartmouth graduate programs (eg. Tuck School).

S.4 Course Expenditures

Courses are not provided with a budget a priori, and part of the approval process of the new course includes resource planning and allocation. Course expenditures above a specified threshold should be discussed with the Associate Dean for Undergraduate Education and the CFAO to seek approval. The threshold for approval will be established each year.

T. Faculty Grievance Process

The process for resolving grievances against members of the faculty is outlined in the Handbook of the Faculty of Arts & Sciences.

6. CORE FACULTY APPOINTMENTS, RECRUITING, HIRING

At Thayer, we recruit and hire in three different categories of faculty: tenure line, research, and instructional.

The distinctions between these categories are described below and in other sections of this handbook. It is the policy of Dartmouth that all appointments, promotions, terminations, and conditions of employment will be made on the basis of merit, and will be consistent with Dartmouth's Notice of Nondiscrimination. Faculty recruitment is conducted following Dartmouth's Equal Opportunity Employment Policy/Affirmative Action Statement and its annually-updated affirmative action plan which sets forth procedures and objectives for equal employment opportunity. The Thayer Dean and Senior Associate Dean for Faculty Development share responsibility to ensure the integrity of the faculty searches. The Office of Institutional Diversity & Equity (ID&E) is responsible for monitoring procedures and can provide assistance in developing recruitment and advertising strategies. All provisions of Dartmouth's Diversity Statement are applicable. While the guidelines for hiring and appointments presented in this section generally align with those in the Dartmouth Faculty Handbook of the Arts and Sciences, there is enough distinction between the schools that a separate section is necessary.

In accordance with requirements of the U.S. Bureau of Citizenship and Immigration Services (BCIS), any appointment is contingent upon verification of eligibility to accept employment in the United States by completing the BCIS Form I-9. An I-9 form must be completed prior to placing any employee on the Dartmouth's payroll. All new faculty are subject to approval by the Provost of Dartmouth College and contingent upon consent to a pre-employment background check with results acceptable under Dartmouth policy.

The integrity and the fairness of the hiring process depend on confidentiality. Every participant in the assessment of a candidate agrees to practice and uphold this core principle. Participants must never disclose or discuss the contents of any confidential written evaluation of a candidate with the candidate or with anyone else not authorized to access that evaluation. Similarly, participants in committee deliberations about a candidate may not disclose or discuss the contents of those deliberations with the candidate or with anyone else not authorized to receive a report of those deliberations. The practice of confidentiality is crucial to maintain professionalism, collegiality, and intellectual community at Dartmouth, as well as our reputation in the wider world.

A. Tenure-Track/Tenured Faculty

Tenure-track faculty are those faculty at the rank of Assistant, Associate or Full Professor who are hired as faculty at Thayer with the intention to be considered for tenure within the requisite time described in an offer letter and/or within this handbook. Tenured faculty may hold the rank of Associate or Full Professor.

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

A.1 Rank of Tenure-Track/Tenured Faculty

Initial appointment at the rank of tenure-track Assistant Professor is made for individuals who have completed the Ph.D., or an equivalent doctoral degree such as a Sc.D. Normally appointment as Assistant Professor is for a three-year term followed by reappointment for another three-year term. Consideration for promotion to Associate Professor with tenure takes place in the sixth year. Earlier action requires truly exceptional scholarly achievement (normally including service in rank at another institution or as a research faculty member) and must be approved by the Dean who may consult with the Senior Associate Dean for Faculty Development and other faculty in the school. Extensions are granted to faculty members with an approved birth parent/parental leave, medical leave, special care of a family member, or extenuating circumstances as described in Section 9.B.

Initial appointment at the rank of tenure-track Associate Professor (without tenure) is made for individuals who have completed the Ph.D., or an equivalent doctoral degree such as a Sc.D. Additionally, these individuals have demonstrated a significant level of activity in their field to meet or nearly meet the "expectations of performance" criteria for an Associate Professor described in Chapter 9 of this handbook. Typically, this appointment category is reserved for candidates who have demonstrated excellence in research (and perhaps teaching) for at least six years over their professional career but have not yet met the criteria to be considered for tenure. Normally, appointment as Associate Professor (without tenure) is for a three-year term followed by reappointment for another three-year term unless otherwise specified in the faculty member's offer letter. Consideration for promotion to Associate Professor with tenure takes place in the sixth year. Earlier action is common at this rank but not a requirement and must be approved by the Dean who may consult with the Senior Associate Dean for Faculty Development and other faculty in the school.

Initial appointment at the rank of Associate Professor or Full Professor with tenure is made for individuals who have completed the Ph.D., or an equivalent doctoral degree such as a Sc.D. Additionally, these individuals have demonstrated a significant level of activity in their field to meet or exceed the criteria described for these ranks in Chapter 9 of this handbook. A faculty candidate being considered for the rank of Associate Professor of Full Professor with tenure must be considered through the Thayer and Dartmouth tenure process used for all faculty. Occasionally, a faculty appointment may be made at the level of tenure-track full professor with a negotiated time to tenure decision. In these cases, the procedure for tenure follows that described below for promotion to full professor with tenure.

A.2 Hiring and Initial Appointment of Tenure-Track/Tenured Faculty

In order to build diverse candidate pools, Thayer will generally launch tenure-track/tenured faculty searches in the spring and encourage the search committee to build the candidate pool in the summer and fall although alternative timelines will be considered. Responsibilities of the search committee/search committee chair include: identification of current postdoctoral fellows in relevant fields of the search, making contact with potential candidates through email and phone calls, and using recruiting visits and seminar invitations to generate interest. Additionally, especially qualified candidates, partner hires, and special opportunities that arise may be considered through ongoing open searches. Any questions related to such opportunities will be vetted with ID&E.

To initiate a faculty search, the Dean seeks approval from the Provost, who authorizes the search, and the Senior Associate Dean for Faculty Development then appoints a search committee in consultation with the Dean. The search committee normally comprises at least three members of the faculty and may include research and instructional faculty and/or members of the Arts and Sciences faculty. The Senior Associate Dean for Faculty Development and the search committee Chair (and possibly the full committee) meet to establish search guidelines. All members of the search committee must participate in the ID&E training on fair hiring practices. A Faculty Recruitment Authorization containing a brief job description is forwarded to ID&E to initiate the search once it is authorized. The search committee then drafts the position description, which is reviewed by the Senior Associate Dean for Faculty Development prior to submission to ID&E for approval. Once ID&E approves the position description, the Dean grants the final approval to post the position, and the position can be advertised.

Candidates are identified through notices in professional publications, academic job websites, and liaisons with graduate schools, professional organizations, professional minority group organizations, and direct contact by members of the search committee. Advertisements must include a minimum of one ad that specifically reaches underrepresented populations. The committee works with the administrative staff to place the ads. ID&E monitors the candidate pool through Interfolio.

At minimum, the search ad should request a curriculum vitae, research statement, teaching statement, and names of references. Additionally, the ad must include an equal opportunity statement. It is required that the ad contain language related to the candidate's commitment to diversity, such as "We seek candidates who commit to contributing to and maintaining a culture of inclusion and invite candidates to provide a statement of their experiences and contributions to inclusion."

The committee establishes criteria for evaluation of search pool applicants and must abide by fair hiring practices that avoid bias in the initial and subsequent review of applicants. When possible, a member of the faculty (eg. the Senior Associate Dean for Faculty Development or the Associate Dean for Diversity and Inclusion) may serve as a bias officer. Generally, each application should be read by at least two members of the committee, although the committee may choose each to read all applications. The committee should establish criteria, and each member of the committee should follow these criteria for ranking applicants and should rate candidates independently. Criteria should be established in advance of review of applications.

Example criteria include:

- Academic preparation and experience, including but not limited to: training, mentoring experience, grant writing experience relative to stage of career, and potential for future success.
- Scholarship impact as measured by number and impact of publications relative to stage of career, including journals in which candidate publishes and contribution/seniority on publications.
- Alignment with Thayer's research foci and priorities
- Teaching experience relative to stage of career
- Creativity of proposed ideas, methodologies, and discoveries, and funding potential thereof.

After the first round of review, the committee usually identifies 10-15 candidates for telephone/web conferences. The committee may also choose to screen candidates through a brief 20-minute research pre-recorded or live presentation, with live presentations followed by Q&A. Letters should be solicited for these candidates, although remote screening interviews can proceed prior to receiving letters so as not to delay progress. This list of candidates for remote interviews, termed the long list, must be submitted to ID&E for approval prior to commencing these interviews with a copy to the Senior Associate Dean for Faculty Development. These interviews may be conducted by the entire committee, in pairs, or the pool can be divided among committee members. Other faculty members in the candidate's area may be invited to brief research presentations should the committee choose to screen candidates using this approach.

Questions for each candidate during the first round of review should be identical to the extent possible. Based on remote interviews, the committee selects 2-4 finalists for on-site interviews, with the final number dependent on the number of hires. ID&E, the Senior Associate Dean for Faculty Development, and the Dean must approve the finalist list, termed the short list, prior to extending invitations. Variation from this general search committee process must be approved by the Senior Associate Dean for Faculty Development who may seek input from other sources.

On-site interviews are extended to each candidate using a form letter, which invites the candidate to provide a list of faculty both within and outside of Thayer that the candidate wishes to meet. If the candidate does not identify such faculty, the committee chair should provide a list of potential faculty, both within and outside of Thayer, for the candidate to meet, including off-site personnel. The committee chair will work with administrative staff to assure a balanced schedule that includes meetings with faculty members at all ranks and that strives to include potential collaborators of the candidate on the schedule. Additionally, the schedule should include a lunch with graduate students from the research area of the candidate. The committee chair should provide a list of potential students in consultation with other members of the search committee. All individuals who review the candidate's materials, meet with a candidate, or attend the candidate's research seminar are invited to provide feedback via a form in which they rate the candidate and provide supporting comments.

Individuals who review the candidate's material in advance of meeting with the candidate may include Thayer School faculty and Dartmouth faculty from other departments. Candidate materials that may be shared with these individuals include cover letter, CV, research statement, teaching statement, DEI statement, and other materials supplied by the candidate, if provided. Confidential letters of recommendation will not be shared until the candidate is presented for a faculty discussion and vote.

The candidate's research seminar will be announced on the Thayer website as an upcoming event, but after the seminar, neither recordings nor record of their presentation will be posted publicly. Links to seminar recordings on a secure drive will continue to be distributed to faculty upon request or with materials prior to a vote.

The Interview Protocol and Schedule document provides further details.

Once the on-site interviews are complete, the Search Committee meets to discuss final evaluations and provide feedback on each of the candidates. They share this information with the Dean and Senior Associate Dean for Faculty Development, and with the Dean's approval, they

report at a faculty meeting and make recommendations to the core faculty. A closed-ballot faculty hiring vote (yes/no/abstain) follows. The vote is advisory to the Dean who makes the final hiring decision, including rank, and negotiates offers. If a rank above assistant professor is offered, eligible faculty participate in a separate rank vote. If a tenured faculty position is negotiated, the candidate must be considered for tenure as described in section 9, and eligible faculty participate in a separate tenure vote.

B. Research Faculty

Revised/approved by Thayer faculty vote March 5, 2015; edited, as needed, to further clarify for inclusion in the faculty handbook in August 2020

B.1 Rank and Responsibilities of Research Faculty

Initial appointment of research faculty is made for individuals who have completed the Ph.D., or an equivalent doctoral degree such as a Sc.D, or in special cases, an M.D. The titles of Research Assistant Professor, Research Associate Professor, and Research Professor, with the rank determined by seniority, are awarded to persons who are carrying out their own independent research at Thayer. Appointments at these ranks are made in order to increase the school's intellectual base and research capability beyond the limits allowed by tenure line appointments, either in research areas that are already established in the school or in new areas judged likely to become important in the future. Such appointments may help create critical mass in an area or may help bring important expertise in developing fields to the school.

Appointments in the research faculty track are appointments within the Thayer School of Engineering. They do not convey tenure or concurrent membership in the Faculty of Arts and Sciences but may in many cases lead to long-term affiliation of an individual with Thayer. Appointments in the research faculty ranks bear similar requirements of independence, excellence and productivity in research, and enjoy the same prestige, as those in the tenure track. Research faculty should also have the ability and interest to teach, both in the context of formal and informal supervision and guidance of graduate students and, when an educational need exists or develops, in a formal classroom setting. Research faculty are expected to adhere to the same standards of professional and personal conduct as tenure line faculty.

The initial appointment of a research faculty member is for three years (Assistant Professor) or four years (Associate and Full Professor) and may occur as a result of the school creating and advertising a well-defined position or in response to an unanticipated opportunity. For example, a recent Ph.D. degree recipient or post-doctoral researcher (at Thayer or elsewhere) who shows promise of developing into a successful independent researcher and PI may be appointed to an Assistant Research Professorship with initial financial support coming from a funded research program already in existence at Thayer. Such appointments are not intended to replace regular post-doctoral or research associate appointments: only individuals of unusual achievement, who appear to have the capability of becoming self-sustaining within the initial appointment period, would be considered. Most senior individuals, who have already established themselves as successful PIs and who have produced a significant body of high-quality research, may be appointed directly as Research Associate Professor or Research Professor. Generally, research faculty appointments are at least 50% FTE appointments.

Research faculty granted a rolling appointment following promotion or an in-depth review remain on the faculty continuously until the individual elects retirement, contingent on the ability to identify salary support from sponsored sources. There are two exceptions: A rolling appointment may be converted to a one-year terminal appointment if poor performance is confirmed following the completion of a review process that mimics the internal review process used for reappointment of research Assistant Professors and following a period during which the faculty member has an opportunity to rectify any identified performance issues. The Dean must be the initiator of this process, if warranted. The second exception arises if a research faculty member moves to permanent part-time status (eg. not just to accommodate a temporary circumstance). In this case, the rolling appointment is converted to an at-will appointment and will be evaluated annually by the Dean to determine reappointment status.

Details concerning regular Research Faculty positions are as follows:

1. Section 9 describes the process for reappointment and promotion.

2. Faculty in the research track are equal with other faculty in terms of negotiating directly with the Dean for resources.

3. Faculty in the research track are expected to serve as Principal Investigators (PIs) on externally funded grants and contracts awarded to Thayer (research faculty are expected to support their salary through such sources). Although sponsored research of the highest quality is the primary responsibility of research faculty, they may occasionally be asked to teach an existing course, for which Thayer provides 20% of the academic year salary unless determined otherwise by the Dean. Any course that is taught must meet the minimum enrollment of 5 students unless an exception is specifically negotiated with the Dean.

4. Research faculty are normally expected to supervise and support graduate students as part of their research load and to serve on thesis committees, as needed.

5. Research faculty may be asked to contribute to service or serve on Thayer committees or committees serving the General Faculty of Dartmouth College, if doing so aligns with their obligation as research faculty member. For special service assignments, the research faculty may be compensated a portion of their salary as determined by the Dean.
6. Research professors at all ranks are expected to participate and vote in faculty meetings at Thayer, except on promotion and/or tenure cases for which they are ineligible, and in general meetings of the Dartmouth faculty, except where such participation would be contrary to the rules of the Faculty of Arts and Sciences. Even if ineligible to vote, research faculty may request or be asked to participate in discussions related to tenure or promotion of tenure line faculty who are at a rank equal to or lesser than their own rank.

B.2 Hiring and Initial Appointment of Research Faculty

The initial appointment at any rank occurs upon recommendation to the faculty and the Dean by the Research and Adjunct Appointments Committee, who will collect an appointment file that should contain the curriculum vita, a complete publication list, at least three letters of recommendation, and a statement from the candidate concerning their view of the job and plans

for research at Thayer, including how external funds may be attracted to support their research program. Applicants will be encouraged to include names of references from at least two different institutions in their application. A closed-ballot faculty vote (yes/no/abstain) follows. All Thayer faculty (research, instructional and tenure line), regardless of rank, are eligible to vote on all initial appointments. The vote is advisory to the Dean who makes the final hiring decision, including rank, and negotiates offers. If a rank above assistant professor is offered, eligible faculty participate in a separate rank vote.

C. Instructional Faculty

Revised/approved by faculty vote November 8, 2018; edited, as needed, to further clarify for inclusion in the faculty handbook in August 2020

C.1 Rank and Responsibilities of Instructional Faculty

Initial appointment of instructional faculty is made for individuals who have completed the Ph.D., an equivalent doctoral degree such as a Sc.D, a terminal degree in their field, and/or an educational and/or professional background of high distinction. The titles of Instructional Assistant Professor, Instructional Associate Professor, or Instructional Professor are awarded to persons whose primary responsibility is teaching at Thayer. This track and these positions are intended for individuals who make the choice of a teaching-focused academic career. Appointments of instructional faculty are made in order to increase Thayer's teaching capacity and enrich our ability to support the educational mission of the institution.

Appointments in the instructional faculty track are appointments within the Thayer School of Engineering. They do not convey tenure or concurrent membership in the Faculty of Arts and Sciences but may in many cases lead to long-term affiliation of an individual with Thayer. Appointments in these faculty ranks bear similar requirements to achieve teaching excellence and enjoy the same prestige as those in the tenure track. Instructional faculty should also have the ability and interest to pursue scholarly and/or external work that demonstrate broader reach and impact. Instructional faculty are expected to adhere to the same standards of professional and personal conduct as tenure line faculty.

The initial appointment of an instructional faculty member is for three years (Assistant Professor) or four years (Associate and Full Professor) and may occur as a result of the school creating and advertising a well-defined position or in response to an unanticipated opportunity. Most senior individuals, who have already established themselves as successful educators and/or leaders in their field, may be appointed directly as Instructional Associate Professor or Instructional Professor.

Instructional faculty granted a rolling appointment following promotion or an in-depth review remain on faculty continuously until the individual elects retirement. There are two exceptions: A rolling appointment may be converted to a one-year terminal appointment if performance concerns are confirmed following the completion of an internal review process that mimics the reappointment process used for Instructional Assistant Professors and following a period during which the faculty member has an opportunity to rectify any identified performance issues. The Dean must be the initiator of this process, if warranted. The second exception arises if an instructional faculty member moves to permanent part-time status (eg. not just to accommodate a

temporary circumstance). In this case, the rolling appointment is converted to an at-will appointment and will be evaluated annually by the Dean to determine reappointment status.

Details concerning Instructional Faculty positions are as follows:

1. Section 9 describes the processes for reappointment and promotion.
2. Faculty in the instructional track are equal with other faculty in terms of negotiating directly with the Dean for resources.
3. The teaching responsibilities can be negotiated up or down on a year-by-year basis, depending on teaching needs and other responsibilities assigned. Specific load distribution expectations are specified in Section 5.
4. Instructional faculty are not required to supervise and support graduate students or to serve on thesis committees, although they may do so.
5. Instructional faculty may be asked to contribute to service or serve on Thayer committees or committees serving the General Faculty of Dartmouth College, as part of their obligation as a faculty member and as accounted for in their expected annual year load distribution.
6. Instructional faculty at all ranks are expected to participate and vote in faculty meetings at Thayer, except on promotion and/or tenure cases for which they are ineligible, and in general meetings of the Dartmouth faculty, except where such participation would be contrary to the rules of the Faculty of Arts and Sciences. Even if ineligible to vote, instructional faculty may request or be asked to participate in discussions related to tenure or promotion of tenure line faculty who are at a rank equal to or lesser than their own rank.

C.2 Hiring and Initial Appointment of Instructional Faculty

Individuals being considered for initial appointment as an instructional faculty member will prepare an appointment file, which should contain the curriculum vita, accomplishments in teaching, at least three letters of recommendation, and a statement from the candidate concerning their view of the job and plans for teaching at Thayer. Applicants will be encouraged to include names of references from at least two different institutions in their application. The file will be reviewed by an ad-hoc committee of three tenure line faculty or a combination of tenure line and instructional faculty, as appointed by the Senior Associate Dean for Faculty Development. The committee will present the file to the Thayer faculty for discussion. A closed-ballot faculty vote (yes/no/abstain) follows. All Thayer faculty (research, instructional and tenure line), regardless of rank, are eligible to vote on all initial appointments. The vote is advisory to the Dean who makes the final hiring decision, including rank, and negotiates offers. If a rank above assistant professor is offered, eligible faculty participate in a separate rank vote.

D. Voting to Hire a Faculty Member

All core faculty are eligible to discuss and vote on initial appointments. Rank typically is not included on the ballot unless it is known that a rank of Assistant Professor will be offered. Faculty should vote only if they have:

1. completed a thorough review of the candidate's file, and
2. participated in the faculty discussion when materials are presented.

All faculty are strongly encouraged to additionally attend the seminar presentation or review a recording (as applicable).

If negotiations between the candidate and the Dean result in an offer at a rank of Associate or Full Professor, then a second vote of the eligible faculty is held. A closed-ballot vote on rank and tenure, if applicable, follows (yes/no/abstain). The vote tally will be revealed to any voting eligible faculty member who inquires, and the Dean may choose to reveal the vote tally at a subsequent meeting of the voting eligible faculty (although the tally will not be detailed in the meeting minutes). To help preserve confidentiality, the vote tally will not be shared electronically in an email.

Voting eligibility is described in the table below. For tenure cases, the materials and voting outcome are then presented to the Committee Advisory to the President (CAP) following the normal tenure process.

Discussion/Voting Eligibility Guidelines for Initial Hiring

Category/rank	Vote to hire	Vote for rank and with tenure (if applicable)
Tenure-track Assistant Professor	All core faculty	N/A
Tenure-track Associate Professor	All core faculty	Tenure-track and tenured Associate and Full Professors
Tenure-track Full Professor	All core faculty	Tenure-track and tenured Full Professors
Tenured Associate Professor	All core faculty	Tenured Associate and Full Professors
Tenured Professor	All core faculty	Tenured Full Professors
Instructional/ Research Assistant Professor	All core faculty	N/A
Instructional/ Research Associate Professor	All core faculty	Tenure line, instructional, and research Associate and Full Professors
Instructional/ Research Full Professor	All core faculty	Tenure line, instructional, and research Full Professors

E. Named Professorships/Endowed Chairs

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

7. SPECIAL FACULTY AND STAFF APPOINTMENTS

For special faculty and staff appointments, Thayer generally follows its own guidelines but in consideration for those set forth in the Faculty Handbook of the Arts and Sciences. The Dean is authorized to directly appoint special faculty and staff at Thayer following the processes and procedures described in this section.

A. Lecturer Appointments

Revised and approved by faculty vote 11/8/2018; new wording in 2020.

Lecturer or Senior Lecturer appointments are required for any person who does not hold a Dartmouth Arts and Sciences faculty position and who teaches ENGS or ENGG courses without any other implicit obligations to Dartmouth. As with tenure-line faculty, these contingent faculty are expected to conform to the highest standards of Dartmouth's teaching mission. These appointments may be part-time with the level of responsibility to be determined annually.

A Lecturer appointment typically is a one-year appointment. A Senior Lecturer appointment is generally reserved for any person who teaches a course for more than one term, is more senior, and may be involved in a continuing professional relationship with the school. Senior Lecturer typically is a three-year appointment. Current Instructional or Research faculty who serve regularly as instructors and already have an approved appointment as Lecturer or Senior Lecturer are automatically reappointed annually in their current lecturer rank.

Appointments and reappointments for Lecturer or Senior Lecturer are generated through the Dean. A CV is required for the review, and if the candidate is not a Thayer research/instructional faculty member, evidence of a successful teaching record (eg. course evaluations) should be included. Appointments are made by vote of the faculty. Once approved by the Thayer Faculty and Dean, a notice is sent to the Provost as an FYI. An appointment letter is generated by the Dean's Office that describes the term of the appointment, the responsibilities, and the remuneration.

Guidelines for the evaluation and promotion of faculty at the rank of Lecturer and Senior Lecturer are described in the Faculty Handbook of Arts and Sciences.

B. Emerit Appointments

The Arts and Sciences Faculty Handbook describes the policy and procedures of designating emerit status of a retiring voting member of the faculty, which is granted by the Board of Trustees upon the recommendation of the Dean of Thayer. Emeritus/a status is awarded to select faculty upon their retirement in recognition of their dedicated service to Thayer and its mission. The Board of Trustees may grant emerit status to individuals holding the rank of Assistant, Associate, or Full Professor who have rendered distinguished service to Dartmouth, normally for a period of at least ten years.

The Emerit process at Thayer is as follows:

1. A faculty member notifies the Dean about their desire to retire and makes a request to be

considered for emerit status.
2. The faculty member submits:
    - A curriculum vitae
    - 2-3 page summary of career accomplishments that highlights research, teaching, and service (as applicable)
    - Copy of 3 publications (if research or tenure line) or additional evidence of educational impact (instructional)

The candidate will be presented to the faculty for consideration for emerit appointment. All core faculty are eligible to vote, and if positive, the Dean will convey the recommendation to the Provost for a vote by the Board of Trustees. Faculty who are appointed to emerit status may decide on their title (emeritus, emerita, or emerit).

C. Adjunct Faculty

Revised by Thayer School Faculty vote 6/14/2007; wording changes made in 2020

Adjunct faculty are qualified professionals external to Thayer who participate in our educational and/or research programs, thereby expanding our capabilities, enhancing collaboration, and increasing our visibility. They are not purely honorary nor based on only past contributions. To qualify for an adjunct appointment, there should be evidence that an individual has professional qualifications commensurate with appointment to a professional rank and that they will contribute in a significant and sustained way to at least one of the school's educational and/or research programs over the entire term of the appointment. Qualifying activities include:

- Repeated teaching of a full course, or a substantial fraction ($\geq$ 30%, say) of a full course. The course should be listed in the Thayer catalog or, for a new course, steps should be taken to have it listed in the catalog. In other words, the planned offering of a course on one single occasion would not be sufficient for appointment to adjunct professorship; appointment to a visiting professor or lecturer would suffice. Also Thayer courses that are co-listed with other departments in Arts and Sciences, Tuck or Geisel, and are taught or partially taught by a member of that department or school normally would not qualify that individual for an adjunct appointment. Reading courses (200 level course) would qualify only if they are or will be offered regularly and involve more than one student.
- Sustained and substantial service as the principal research advisor to at least one Thayer graduate student during the term of appointment. Research collaboration with (research or tenure-track) faculty members in Thayer School is in itself an insufficient basis for appointment to an adjunct professorship.
- Sustained service to the school as a distinguished advisor on technical, educational and program matters.
- A combination of services in the areas listed above may also be appropriate.

The term of appointment to an adjunct professorship is normally three years. Requests for initial appointments must come from a Thayer faculty member or from the Dean. Such a proposal should contain the candidate's CV/resume, and a letter should outline the specific services that the candidate would perform in reasonable detail. Initial appointments as well as renewals and promotions are to be reviewed by the Research and Adjunct Appointment Committee, and then,

after consultation with the Dean, forwarded with a positive or negative recommendation for vote by the faculty. All core faculty are eligible to vote for all adjunct appointments.

Renewal of an appointment can be proposed by the individual themself or by the Dean or a faculty member with whom the adjunct professor is associated. Such a request should contain a summary of school-related activities during the past appointment period as well as plans for the new period. Renewal is not automatic; it requires review by the Research and Adjunct Appointment Committee followed by a vote by the core faculty on the basis of an assessment of the quantity and quality of services rendered. In the absence of a request for renewal, the appointment would lapse.

Requests for promotion of an individual in the adjunct ranks would normally come from the Dean or a Thayer faculty member. It should contain the individual's CV/resume as well as a brief summary of their contributions to the School, so that the Research and Adjunct Appointment committee can compare the individual's professional achievements to those of the regular faculty in the proposed rank. Promotion from one rank to another within the category of adjunct professors is to be based on an assessment of an individual's overall technical/scientific achievements and standing in their professional community.

Appointment (and re-appointment) letters should contain a statement of the school's expectations and should have as an attachment a document that outlines guidelines for adjunct faculty.

It is expected that in many cases, adjunct professors will render their services without monetary compensation. In certain cases, such as for teaching, compensation may be provided at the discretion of the Dean in consideration of equity, experience, and seniority. Compensation for teaching by members of the Faculty of Arts and Sciences, Tuck, or Geisel will be in terms of a partial salary remission to the individual's department/school, i.e., the teaching likely would be considered part of the individual's duties as a member of that department/School.

D. Research Scientist and Research Engineer

These titles can be given to individuals who perform essential roles in the research enterprise of individual laboratories (ie. 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 of these individuals may function as managers of individual labs, managers of core services, or analysts of institutional data that is used either internally or externally (eg. in support of major extramural programs). Typically, a research scientist performs hypothesis-based academic research while a research engineer might be focused more on applied projects. Nonetheless, the hiring manager has the flexibility to choose the title they deem most fitting based on their own interpretation of the role.

Research Scientists and Research Engineers (at all levels) 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 supervisor is ultimately responsible for the direction and quality of the research activity, according to universal norms of publication and relevance. The positions must be sustained by external research funding. Research Scientists and Research Engineers (at all levels) may, upon

approval by the Dean, be given eligibility to serve as PI or Co-PI on research grants and proposals.

Both the Research Scientist and the Research Engineer positions are expected to focus on research. They are expected to maintain professional standing in their fields through publication, external activity, and/or professional service. At the Senior or Principal level, they are expected to take on supervisory duties with other Research Scientists or Research Engineers, Research Associates, and/or Research Assistants; and to participate in obtaining funding for research. Senior Research Scientists and Senior Research Engineers may also hold titles such as Director or Technical Director of a Core or Institutional Service. Principal Research Scientists and Principal Research Engineers are additionally expected to carry high external visibility. There are no duties relative to faculty governance, teaching, or curriculum development. Research Scientists and Engineers may serve as Lecturers when qualified and available.

D.1 Initial Appointments and Promotion

Appointments are made by the Dean to a renewable term, normally for 1–3 years. The initial appointment is made on recommendation of the faculty sponsor who will supervise and fund the work, with approval of Thayer's CFAO. The faculty sponsor will be responsible for guiding and evaluating the professional contributions of the Research Scientist or Research Engineer. There is no financial guarantee associated with an appointment.

A curriculum vita, three recommendations, a statement of research intent, and demonstrated funding are required. The initial appointment is brought to the Dean after the recommendations and other material have been collected and the appointment has been vetted by the CFAO. Overall faculty approval is not required.

Annual evaluations are typically performed by the faculty sponsor along with the other staff reviews, at the end of each calendar year. Reappointments are based on funding and performance as judged internally. The faculty sponsor is responsible for assembling and advocating the case. External referees are not required. Approval for reappointment is done on the recommendation of the faculty sponsor and approval of Thayer's CFAO.

Research Scientists and Research Engineers 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 be promoted to Senior Research Scientist or Senior Research Engineer. Promotion (or initial appointment) to Senior Research Scientist or Senior Research Engineer is justified based on the level of responsibilities and competence. For promotion, there is no standard timing, and the recommendation for advancement will be made following an internal review of performance (via presentation of a CV and other materials, as appropriate) and three letters with at least one from an external referee. Promotion is done based on the recommendation of the faculty sponsor and approval of Thayer's CFAO after referee letters have been reviewed.

Senior Research Scientists or Senior Research Engineers who have demonstrated an impressive record of professional leadership and productivity and who have gained external visibility may be promoted to Principal Research Scientist or Principal Research Engineer. Promotion consideration requires an internal review of performance (via presentation of a CV and other materials, as appropriate) and three letters from external referees. Promotion is done based on the

recommendation of the faculty sponsor, and approval from Thayer's CFAO, the Research and Adjunct Appointments Committee, and the Dean

E. Postdoctoral Scholars/Fellows

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 their chosen career path. The primary purpose of a postdoctoral scholar is to engage in advanced study and training; in some cases teaching may be part of that training."

Normally, a postdoctoral scholar will be supported by external awards or fellowships. A typical appointment is for twelve months and can be renewed annually upon recommendation of the Faculty supervisor. Postdoctoral Scholars are not members of the Faculty. Nearly all postdoctoral scholars are classified by Human Resources as Research Associates. Exceptions include: (1) postdoctoral scholars who receive a sponsored training fellowship directly to the fellow are appointed as a Postdoctoral Scholar without compensation; (2) postdoctoral scholars who are funded on certain training grants (such as NRSA and T32) or through specific post-doctoral fellows programs are classified by Human Resources as Fellows; and (3) Research Instructors are also classified as Postdoctoral Scholars.

When the Research Associate title is used, 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. Research Associates are expected to have a transient employment with the College, typically fewer than 6 years. No further delineation of rank (eg. 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, Postdoctoral Scholar, or Fellow positions 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.

F. Visiting Faculty

A visiting faculty member may be given the title of Visiting Professor (Assistant, Associate, or Full) or Visiting Scholar. The Faculty Handbook of the Arts and Sciences provides more detailed descriptions of the differences.

These appointments are made by the Dean and are used for individuals in a similar rank elsewhere who are here, largely full-time, for a fixed period of time. A professor visiting Thayer on sabbatical leave is an obvious and common example. This appointment gives access to Thayer facilities, campus libraries, parking, and email. Paid positions have access to other college facilities, such as the gym, and benefits whereas non-paid positions do not. These positions do not need faculty approval. Positions are normally for one-year or less, but can be up to a maximum of three years. Approval of the Provost is not required, but notice is sent to the Provost.

A Distinguished Visiting Professor (Assistant, Associate, or Full) is an individual holding a chaired professorship at another institution (or the equivalent) that comes to Thayer full-time for at least two terms, but typically no more than four, often on sabbatical leave. Appointment is at the discretion of the Dean and is reserved for senior, distinguished scholars. This is not a separate title, but rather a special category of Visiting Professor. As such, guidelines for visiting faculty apply.

8. ONBOARDING & MENTORING

Faculty are crucial to Dartmouth's mission to educate "the most promising students and prepare them for a lifetime of learning and of responsible leadership, through a faculty dedicated to teaching and the creation of knowledge." Thayer has instituted an onboarding process and mentoring program to better support the transition to our school.

A. Faculty Onboarding

To welcome faculty to Thayer and help with their transition, the Senior Associate Dean for Faculty Development will oversee the following:

- A *New Faculty Welcome* to be held in the summer of each academic year to welcome new faculty and help close the "information gap."
- Joint undergraduate advising sessions for first-year students with a member of the faculty or mentoring team during the fall term of the first year in order to gain familiarity with the advising process.
- A series of workshops and other events for new faculty, approximately monthly, from July through January of the first academic year, introducing new faculty to the resources of Dartmouth and Thayer and enabling them to establish best practices in initiating research, building a research group, developing courses, and teaching and advising undergraduates.
- All faculty may request financial support to attend the ASEE National Effective Teaching Institute I (or an equivalent teacher training workshop) during one of their first three years. The NETI-I workshop is held twice annually and is intended to support new faculty.

B. Faculty Mentoring

Thayer has developed a mentoring program that provides new faculty with career guidance and support through at least the first six years of their career at Dartmouth. Thayer's mentoring program is a team-based approach that draws upon the knowledge and experience of many faculty and should be considered as a partnership of equals.

The mentoring process extends to junior faculty members at the Assistant Professor (tenure-track and non-tenure-track) and untenured Associate Professor (tenure-track) levels and includes the appointment of a mentoring team composed of at least two faculty members drawn from the tenured faculty at Thayer or Dartmouth. As career goals evolve, a junior faculty member may request that the Senior Associate Dean for Faculty Development make a change in one or more members of the team and may include a faculty member from outside of Thayer. At least one member of the team should have research interests within the junior faculty member's area of interest. At least one member of the team should be willing and able to support professional development in classroom instruction and undergraduate advising.

The mentoring team serves as the point of contact for the junior faculty member for any questions or issues related to career development, teaching, advising, and research. Examples include but are not limited to:

- Development of junior faculty as independent scholars
- Research proposal development
- Classroom instruction and teaching skills
- Advancement within the institution and Thayer School
- Career planning
- Management of career challenges (eg. work-life balance, time management, and challenges specific to women and underrepresented minority faculty)
- Development of professional networks both within the Dartmouth community and outside of Dartmouth necessary to establish recognition as an independent scholar
- Course management
- Graduate student recruiting and mentoring
- Recruiting and mentoring undergraduate researchers
- Undergraduate student advising
- Research collaboration opportunities
- Professional development opportunities

Both the mentors and mentee should be committed to the process and should work towards helping junior faculty establish scholarly independence, teaching skills, and professional relationships/networks both within Dartmouth and beyond. When an issue cannot be resolved by the mentoring team, the primary mentor may refer the issue to the Senior Associate Dean for Faculty Development and/or the Dean.

The mentoring team and faculty member are encouraged to meet *at least* once each term and may choose to meet more often. Thayer will reimburse the cost of a lunch meeting for each mentoring team once per term. The mentee should request these meetings of their mentors. If the mentee does not initiate meetings, the primary mentor should encourage the mentee to schedule the meeting, and/or should take action to schedule the meetings. The discussion should include a review of progress/achievements in research/teaching/service, addressing any questions/issues from the mentee or the team.

The Dean will meet with each junior faculty and untenured associate professor annually before the end of the spring term to discuss progress in research, teaching, service, and professional development, as well as their plans for the next 2-3 years. The review will follow submission of the Thayer Annual Supplement and may include a review of start-up fund expenditures and progress in recruiting and mentoring graduate students. The Dean will provide specific feedback by letter subsequent to this annual review.

9. REAPPOINTMENT, PROMOTION & TENURE

For reappointment, promotion and tenure processes, Thayer generally follows the Faculty Handbook of the Arts and Sciences, with modest exceptions, given the differing organizational and operational structures of Thayer. Thayer's processes are detailed in subsequent sections herein, and candidates additionally are encouraged to read the Faculty Handbook of the Arts and Sciences.

The following performance and evaluation criteria will be used for the purposes of reappointment, promotion, and the awarding of tenure for all categories of appointments at all ranks, as applicable, with notable exceptions or additions explained in the subsequent sections.

A. Expectations of Performance

This subsection supplements the "Expectations of Performance" subsections in the A&S Faculty Handbook. These "expectations of performance" or relevant sub-sections will be provided to any reviewers and the Committee Advisory to the President (CAP), as applicable.

Reappointment, promotion and tenure recommendations are based on demonstrated achievements and the reliable indication of future contributions of the faculty member in research, teaching, and service, as applicable, depending on the category of the appointment and rank. These contributions are evaluated according to the criteria described in the sections below. The decision to reappoint, promote and/or tenure a faculty member involves judgment based on an individual's record at the time of the decision. Candidates for reappointment on the tenure-track or for promotion to Associate or Full Professor with tenure must demonstrate capacity to continue to be a productive and contributing member of the faculty as a teacher-scholar for the duration of their career. Additionally, these candidates should demonstrate a commitment to service within the Thayer and Dartmouth community through committee work and/or special assignments, and by distinguished service to the profession. Candidates for reappointment on the research-track or promotion to Research Associate Professor or Research Full Professor must demonstrate capacity to be a productive and contributing member of the faculty and the profession as a research scholar for the duration of their career. Other activities such as teaching or service may be considered in the promotion of research faculty although not as heavily emphasized. Candidates for reappointment on the instructional-track or promotion to Instructional Associate Professor or Instructional Full Professor must demonstrate capacity to be a productive and contributing member of the faculty as an educator in the classroom and which likely includes participation in service activities. Scholarly research or other activities may be considered for the promotion of instructional faculty, as appropriate. As applicable, candidates for promotion and/or tenure should demonstrate progress that has resulted in recognition by faculty outside of Dartmouth within academia and/or by other professionals in their field of equivalent status to that of an accomplished faculty member.

A.1 Evaluation of Research and Scholarship

Research excellence is demonstrated through quality scholarship (eg. publications), growth of and sustained levels of productivity, success in recruiting and mentoring graduate students and/or postdoctoral fellows, and success in building an externally-funded research program.

Scholarship criteria may include the following:

- Creativity of ideas, methodologies, and discoveries;
- Innovative/quality contributions or approaches to important new or existing problems;
- Reputation, expertise, and recognition in a field;
- Evidence of impact by (a) the translation of scientific discoveries or engineering creations into patents, licenses, and startups; and/or (b) influence on the field such as through the creation of products, including devices, systems, databases, software, and models.

Evaluation of scholarship and impact is largely based on the testimony and judgment of professionals outside of the College, as well as that of Dartmouth colleagues. While the qualitative assessment of scholarship holds more weight than the quantity of work, the quantity of scholarly work must indicate significant progress since joining the faculty and must demonstrate a sustained professional trajectory. External referees in the candidate's field include arm's-length individuals nominated by the candidate, and arm's-length referees nominated by the review committee, as described below. Arm's-length individuals refers to individuals who the candidate has not collaborated with over the past five years nor former advisors (although for research faculty, up to three letters from collaborators are allowed). Examples of collaborators include, but are not limited to, individuals who have served as PI, co-I, or co-PI on a grant with the candidate; co-authors of a journal or conference publication; and/or individuals who have supported the candidate's research as a program manager. Candidates can address questions regarding potential referees to the Senior Associate Dean for Faculty Development. Generally, these external referees are academic peers at the senior level, including chaired professors, although in some instances other equivalent professionals, such as leaders in national laboratories, or medical researchers may be appropriate. Thayer faculty recognize that each field differs in the "quantity" of publications and publication venues, with some fields favoring journal publications, and others placing high value on rigorously peer-reviewed conference proceedings. Thayer faculty therefore considers each candidate as an individual. Nonetheless, the expectation is that candidates will seek to publish and be recognized in the highest quality journals and conference proceedings.

A.2 Evaluation of Teaching and Mentoring/Advising

As leaders in education, candidates for tenure and/or promotion with a requirement to teach must be effective teachers and mentors. Teaching and mentoring may comprise classroom instruction, engagement with undergraduate students through mentored research opportunities, participating in capstone project advising, and/or student advising. All candidates who teach in the classroom must consistently demonstrate strong teaching skills and/or marked improvement from offering to offering.

Tenure line faculty are expected to contribute to teaching and mentoring both at the undergraduate and graduate level, and at the time of tenure review, they are expected to have taught at least one undergraduate core course several times. Additionally, tenure line candidates should be teaching upper-level undergraduate and/or graduate courses within their specialty. In some cases, a candidate may develop new courses or new laboratories for specific courses as part of their teaching, all of which are considered in the teaching evaluation.

Tenure line and research faculty candidates are expected to serve as primary advisor (or have served as primary advisor) to Ph.D. candidates, M.S. candidates, and postdoctoral fellows. While no "formula" applies, it is expected that the candidate is building a research group whose composition and size is consistent with the research funding attracted and similar to their peers in overlapping fields. By the tenure year, generally candidates have graduated at least one Ph.D. student.

Teaching and mentoring/advising criteria may include, but are not limited to:

- Ability to design, organize, and deliver courses that contribute to the learning objectives of the course and the overall goals of the degree program;
- Indicators of ongoing efforts to make teaching decisions based on evidence and to improve teaching and instruction.
- Ability to develop new courses and course materials within an area of specialization;
- Demonstration of innovation in the classroom;
- A demonstrated commitment to all students' learning;
- Ability to engender enthusiasm for the subject;
- Effectiveness as a teacher, mentor, and advisor to students at all levels and from all backgrounds;
- For core courses with multiple sections, ability to coordinate, cooperate, and provide general consistency between offerings.

Teaching and mentoring evaluation is partially based on student testimony derived from both course evaluations and anonymous letters solicited from students (undergraduate, BE, MEM, and graduate students as applicable given courses taught), graduate advisees, and postdoctoral fellow advisees at the promotion/tenure decision time. Additionally, evaluation should include classroom observation, review of self-assessments, course syllabi, and other published course materials. The candidate may also provide an exposition of resources used (eg. use of DCAL resources, attendance in DCAL workshops, attendance in national workshops, such as NETI) and other professional development in teaching.

A.3 Service to Thayer, Dartmouth College, and the Profession

The Thayer School of Engineering and Dartmouth College rely on a shared governance model described in Section 5. Every tenure line and instructional faculty member is expected to serve on Thayer committees and working groups (or the equivalent), and college committees and councils when called upon, with a level of effort consistent with rank and in consideration for their responsibilities to teaching and research. Service assignments for assistant professors are made to engage their talents while not placing an overwhelming burden on their time. As faculty members move through the ranks, service expectations increase over time.

In weighing the performance of a candidate beyond scholarship and teaching in what is traditionally termed service, emphasis will be placed on the nature and quality of the contributions. Service may include but is not limited to: Thayer and Dartmouth committees, program administration, mentoring roles, participation in shared governance, initiatives with students or student groups beyond instructional obligations, and assistance to other colleagues in research and teaching. Meaningful engagement that adheres to high professional standards of behavior and conduct is expected. In addition, a candidate's service to the wider profession is

considered (eg. as a member of and contributor to professional science and engineering societies, acting as journal editor, serving on editorial boards, organizing conferences, and serving as a reviewer for funding agencies).

B. Extension and Postponement of Reappointment, Promotion, or Tenure

This subsection supplements the "Extension and postponement" subsections in the A&S Faculty Handbook.

Faculty members with an approved birth parent or parental leave or leave for special care of a family member are allowed an extension of the reappointment/promotion/tenure clock. Specifically, for each child or family member associated with an approved leave, a faculty member is automatically granted an extension of the reappointment/promotion/tenure clock by one year. Additionally, Thayer's practice has been to allow an extension for faculty members who forego official parental or birth parent leave, although such requests must be approved by the Provost (for tenure-track faculty only). Faculty members who opt to forgo an automatic extension should notify the Senior Associate Dean for Faculty Development in writing.

Faculty members with an approved medical leave are allowed an extension of the reappointment/promotion/tenure clock in a given academic year. For example, a faculty member with an approved one-term medical leave will be granted a one-year extension of the reappointment/promotion/tenure clock. A faculty member with two approved terms of medical leave in a given academic year (July 1 to June 30) will also be granted a one-year extension of the reappointment/promotion/tenure clock. A faculty member with approved medical leaves in two different academic years will be granted a two-year extension of the reappointment/promotion/tenure clock. Like birth parent or parental leave, this extension is automatically granted unless the faculty member requests in writing to forego the extension.

Faculty members with approved parental, birth-parent, or medical leaves in the same academic year will be granted a one-year extension of the reappointment/promotion/tenure clock but may request an additional extension by writing to the Dean who will consult with the Senior Associate Dean for Faculty Development on the request. The Provost grants final approval (for tenure-track faculty only).

Individuals with extenuating circumstances due to health, personal or family matters, or professional exigencies that impose special and arduous burdens or impediments may request a postponement of the tenure review, with a concomitant extension of the existing contract. The individual should present the request to the Dean, in writing. The Dean may elect to consult with the Senior Associate Dean for Faculty Development or other faculty members in deciding to grant the request. For tenure-track faculty, the request must be approved by the CAP. (In contrast to Arts and Sciences, all tenured members do not vote on the request.)

Should an extension be automatically granted or granted by request, the extension can be taken any time prior to the year in which the tenure decision is scheduled. For example, a faculty member with an approved parental leave prior to reappointment may use the one-year extension to delay the reappointment review year, followed by a typical period of three years prior to tenure review. Alternatively, a faculty member may choose to defer the one-year extension to the

period following reappointment but prior to the tenure review, or may opt for no extension of the reappointment/tenure clock.

An extension is effectively a postponement of the review process. If after an extension is granted, the candidate decides to be considered early for reappointment/promotion/tenure, the candidate is then effectively relinquishing the extension such that it cannot be used at a later time.

C. General Reappointment, Promotion, and Tenure Process Guidelines

While these general process guidelines align closely with those outlined in the A&S Faculty Handbook, these guidelines should be considered as a substitute given changes in process except where noted otherwise.

The processes for reappointment, promotion, and/or tenure are outlined in the following sections, beginning with an explanation of relevant nomenclature. Administrative support for these processes is provided by staff within the Dean's Office.

Nomenclature:

- **Review committee:** two faculty (defined below in each sub-section) responsible for collecting information pertaining to a reappointment, tenure, or promotion case. The review committee does not make recommendations to the faculty nor the Dean but simply presents the materials at the relevant faculty meeting. The review committee is responsible for assuring that the information in the package is complete and that ambiguities are minimized. For example, if a CV does not include the dates of research awards, the review committee should bring this to the attention of the candidate and request a revised CV. This communication (eg. email exchanges) should be documented and included in the package reviewed by the faculty.
- **Reappointment committee:** The eligible faculty who discuss and vote on a reappointment decision and make a recommendation to the Dean.
- **Promotion committee:** The eligible faculty who discuss and vote on a promotion decision and make a recommendation to the Dean.
- **Tenure committee:** The eligible faculty who discuss and vote on a tenure decision and make a recommendation to the Dean.
- **CAP:** The Committee Advisory to the President. Only promotion and tenure decisions on tenure line faculty are considered by the CAP.

C.1 External Reviewers

For processes that require external reviewers, proposed reviewers should be qualified to review the candidate's scholarly work (for tenure line and research faculty) and/or educational achievements (for instructional faculty) as described in Section 9A "Expectations of Performance." Normally, the reviewers hold an appointment at the rank of Professor, or its equivalent, at a peer institution or are a recognized leader in the candidate's field. For a tenure-track/tenured case, the reviewer should hold a tenured appointment. For instructional faculty, external reviewers may have a particular focus on engineering education in higher education; for

example, they may hold the equivalent of an instructional professor rank at a college or university.

External reviewers should receive:

Category and Rank	Key Items
Tenure-line	● CV ● A separate list of research awards and proposals under review ● A separate list of theses/dissertations directed, including names of graduated or in-progress students ● 5-10 published papers of significance (identified by the candidate) ● Research statement ● Teaching statement (optional at discretion of the candidate) ● Summary of Expectations of Performance in research and scholarship (Section 9A) ● A list of names of any additional Dartmouth students that the candidate has specially advised or interacted with professionally, eg. as part of an undergraduate research experience, a summer internship, honors thesis, etc. (optional at the discretion of the candidate).
Research	● CV ● A separate list of research awards and proposals under review ● A separate list of theses/dissertations directed, including names of graduated or in-progress students ● 5-10 published papers of significance (identified by the candidate) ● Research statement ● Summary of Expectations of Performance in research and scholarship (Section 9A) ● A list of names of any additional Dartmouth students that the candidate has specially advised or interacted with professionally, eg. as part of an undergraduate research experience, a summer internship, honors thesis, etc. (optional at the discretion of the candidate).
Instructional	● CV ● Teaching statement ● Service statement (if applicable) ● Summary of Expectations of Performance in teaching (Section 9A) ● A list of names of any additional Dartmouth students that the candidate has specially advised or interacted with professionally, eg. as part of an undergraduate research experience, a summer internship, honors thesis, etc. (optional at the discretion of the candidate).

Lists provided by the candidate or review committees should include the prospective reviewers' email addresses, their fields of specialization, and a brief description of why they are particularly qualified to evaluate the dossier. The candidate should consider only arm's-length reviewers and avoid recommending reviewers with a real or perceived conflict of interest (eg. a frequent co-author or former mentor), although for research faculty, up to three letters from collaborators are allowed. Candidates should explicitly identify any potential reviewers with such real or perceived conflicts of interest. The candidate may also indicate one or two individuals whom they prefer not be considered with a brief explanation of why they should be excluded. The

candidate may contact each reviewer to be sure they are available prior to finalizing their list. Subsequent to submitting the list of reviewers, the candidate should refrain from contacting external reviewers regarding any aspect of their case.

The chair of the review committee, in consultation with the other member of the committee, additionally will provide a list of arm's-length reviewers, some of whom will be selected for the final list. Members of the faculty holding the rank of Professor may be consulted to generate this list. The chair of the review committee should contact arm's-length reviewers to be sure they are available prior to finalizing their list.

The names of all reviewers from whom letters are requested from among the lists provided by the candidate and committee, and their evaluations, are confidential and will not be made known to the candidate. Maintaining confidentiality is critical to the process, and the obligation to protect this confidentiality is required of all participants. Note that letters sent to external reviewers, as required by any process, should be constructed using set templates.

C.2 Student Letters

For tenure line and instructional faculty, when letters from students are required as part of the review process, letters should be solicited from students who enrolled in and completed one or more courses taught by the candidate. To generate this list, students are drawn randomly from rosters for classes that the candidate has taught over the past 3-5 years after excluding those who were part of an Honor Code violation in a class that the candidate has taught, a Title IX case reported by the candidate and those whose course grade was below a C+. After drawing a total of 30-50 names randomly from among all class rosters, the list is examined and adjusted for gender balance relative to enrollment and grade balance relative to grade distributions.

Any candidate may identify students who they have specially advised or interacted with professionally (eg. as part of an undergraduate research experience, a summer internship, honor's thesis, or students selected as a Presidential Scholar) or the committee may choose to solicit letters from these students if not named by the candidate. For tenure-line and research faculty, student letters should be solicited from current and former Ph.D., M.S., and postdoctoral scholars for whom the candidate has served as primary advisor. Any student or postdoctoral scholar who has been reported by the candidate for Honor Code, Title IX, or research misconduct violations will be excluded from this solicitation. Candidates should confidentially disclose students who should be excluded due to an Honor Code violation, Title IX reporting, or research misconduct, as such information is not otherwise available to the review committee. Additionally, a candidate may indicate one or two students whom they prefer not be considered with a brief explanation of why they should be excluded as long as the total number of excluded individuals (students or external reviewers) is no more than two.

For instructional and tenure line faculty cases, a total of 10-20 letters from students who have taken a class from the candidate should be included in the package, but the number is highly dependent on rank, courses taught, number of students enrolled, availability of students, etc. Similarly, the number of student letters associated with research advising may vary from ~2-10 (research and tenure line faculty), largely depending on rank and appointment category. For instructional faculty, the candidate also may suggest students who they have advised in research. The Senior Associate Dean for Faculty Development should work with the review committee to

ensure a sufficient number of student letters are solicited and included. Student names are redacted from letters.

The candidate will not be informed of the names of any students who are identified as part of the normal sampling process. Two different template letters should be used to solicit letters. One letter is designated for students who attended a class offered by the candidate and a second letter is designated for graduate students and postdoctoral scholars for whom the candidate has served as primary research advisor. A different letter may also be used for undergraduates whose association with the candidate is primarily as a research advisor.

C.3 Voting

Discussion on a particular reappointment, promotion and/or tenure case and associated voting eligibility are dependent on a faculty member's type of appointment and rank as described:

- Any reappointment, promotion, or tenure case associated with a tenure-track or tenured faculty member can only be voted on by members of the tenured faculty at and above the elevated rank under consideration and after a review of the reappointment, promotion, or tenure dossier.
- Any reappointment or promotion case associated with a research or instructional faculty member can only be voted on by members of the core (tenure line, research, instructional) faculty at and above the rank of the candidate under consideration, after a review of the reappointment or promotion dossier.

Discussion/Voting Eligibility Guidelines for Reappointment, Promotion, and/or Tenure Cases

Category/rank	**Track/rank eligible for discussion and vote**
Reappointment as Tenure-track Assistant Professor	Tenured Associate and Full Professors
Reappointment as Tenure-track Associate Professor	Tenured Associate and Full Professors
Reappointment as Tenure-track Full Professor	Tenured Full Professors
Promotion to and tenure at rank of Associate Professor	Tenured Associate and Full Professors
Tenure at rank of Associate Professor	Tenured Associate and Full Professors
Tenure at rank of Full Professor	Tenured Full Professors
Promotion to rank of Full Professor (previously tenured)	Tenured Full Professors

Reappointment as Instructional/ Research Assistant Professor	Tenured and *post-in-depth review/promotion instructional and research Associate and Full Professors
In-depth review and reappointment of faculty whose initial appointment is Instructional/ Research Associate Professor	Tenured and *post-in-depth review/promotion instructional and research Associate and Full Professors
In-depth review and reappointment of faculty whose initial appointment is Instructional/ Research Full Professor	Tenured and *post-in-depth review/promotion instructional and research Full Professors
Promotion to Instructional/ Research Associate Professor	Tenured and *post-in-depth review/promotion instructional and research Associate and Full Professors
Promotion to Instructional/ Research Full Professor	Tenured and *post-in-depth review/promotion, instructional and research Full Professors

Note: "post-in-depth review/promotion" refers to those instructional/research faculty who have been through an in-depth review subsequent to their initial appointment and are now on a rolling appointment or those instructional/research faculty who have been promoted at Thayer.

For tenure line cases, the materials and voting outcome are then presented to the CAP following the normal tenure and promotion processes.

Faculty should vote only if they have: 1) completed a thorough review of the candidate's file and 2) participated in the faculty discussion when materials are presented. All faculty are strongly encouraged to additionally attend the candidate's seminar presentation or review a recording (as applicable). All reappointment, promotion, and tenure voting is conducted using an anonymous, closed-ballot (yes/no/abstain). A tie vote is effectively a vote against recommending tenure and/or promotion. The vote tally will be revealed to any voting eligible faculty member who inquires, and the Dean may choose to reveal the vote tally at a subsequent meeting of the voting eligible faculty (although the tally will not be detailed in the meeting minutes). To help preserve confidentiality, the vote tally will not be shared electronically in an email.

A quorum for the discussion about the case must include no fewer than four and at least 50% of the eligible voting members who are not on leave, nor participating in Dartmouth-related off-campus activities, nor teaching during the time of the meeting. The Faculty Handbook of the Arts and Science guidelines apply when the voting committee consists of fewer members.

C.4 Confidentiality

The integrity and the fairness of the assessment for reappointment, promotion, and tenure depends on confidentiality. Every participant in the assessment of a candidate agrees to practice and uphold this core principle. Participants must never disclose or discuss the contents of any confidential written evaluation of a candidate with the candidate or with anyone else not authorized to access that evaluation. Similarly, participants in committee deliberations about a candidate may not disclose or discuss the contents of those deliberations with the candidate or

with anyone else not authorized to receive a report of those deliberations. The practice of confidentiality is crucial to maintain professionalism, collegiality, and intellectual community at Dartmouth, as well as our reputation in the wider world.

C.5 Appeals

Thayer follows the appeal process set forth in the Faculty Handbook of the Arts and Sciences and the Organization of the General Faculty of Dartmouth College.

C.6 Overlapping Process Guidelines

Many of the processes used to conduct reviews for reappointment, promotion, and tenure are similar. Here, we outline the general process for all cases. Specific details about each type of review are provided in subsequent sections. Administrative support for this process is provided by staff in the Dean's Office.

1. Several months prior to the initiation of the reappointment, promotion and/or tenure process, the Senior Associate Dean for Faculty Development will meet with the candidate to review the procedures.

2. The Senior Associate Dean for Faculty Development and the Dean will assemble a review committee. The review committee is composed of two faculty members (specific qualifications are described in the following sections). Generally, the Senior Associate Dean for Faculty Development will ask the candidate for a short list of preferred eligible faculty to serve on the review committee. Both members should have knowledge of the candidate's research and/or teaching area, as applicable and if feasible. One member of the committee serves as the chair.

3. The Dean's Office will provide the candidate with a letter detailing the materials required to be included in the package and the timeline of expected due dates of the materials and associated actions. These materials are identified in a template letter sent electronically and copied to the review committee. Although the intent is to distribute materials electronically, certain materials (eg. published books) may be provided in hardcopy. If the candidate is unsure what to include, they should consult with the Senior Associate Dean for Faculty Development.

4. Following the submission deadline, the candidate should make the review committee and the Senior Associate Dean for Faculty Development aware of any significant updates to the portfolio, such as publications, contracts, grants, or awards.

5. For tenure-line and instructional faculty, the Chair of the review committee will arrange visits by at least one Thayer Faculty member to the individual's classes to conduct an assessment of the individual's teaching. For consistency, the review committee will use the Thayer School Summative Peer Observation Form for classroom visits. Course evaluations also will be included for consideration in the review, as applicable.

6. For tenure-line and research faculty, the review committee obtains a citation count from the library and online sources.

7. The research statement should describe the candidate's research program with reference to their most important projects, awards, publications, translational work, and/or other products. The statement should emphasize how research outcomes have had (or are expected to have) impact on the candidate's field and on society. The research statement should contain at least one paragraph that is targeted to non-specialists. More detailed guidance can be found in the template letters.

8. The teaching statement should include a chronological list and summary description of all courses taught since becoming a professor and should describe teaching philosophies and approaches. Additionally, the teaching statement should include a description of teaching materials, laboratories, projects, and/or other innovative pedagogical methods developed and implemented by the candidate. If the candidate has been active in engineering education research and scholarship, activities and outcomes should be presented. The statement also may detail any professional development activities focused on teaching excellence and pedagogy.

9. For promotion and/or tenure cases and at the request of the candidate, the chair of the review committee will solicit confidential letters of evaluation from any department or program Chair; or Director of a Dartmouth center, institute, or organization who could provide information about significant teaching, mentoring, collaborative research, or service by the candidate outside of Thayer. Should the candidate wish to include these letters, names of letter writers should be provided by the due date indicated in their letter. Note that these letters do not take the place of letters from external reviewers. The template letters give guidance for providing such names.

10. By the due date indicated, the review committee will provide a copy of the candidate's portfolio along with the committee's report (without a specific recommendation) to the Senior Associate Dean of Faculty Development. These materials will be made available to the eligible faculty members for review at least one week prior to the faculty meeting at which the case will be discussed.

11. When more than one case at a given rank and in a given category is being considered in the same year, they will normally be considered at the same faculty meeting (ie. they share the same reappointment/promotion/tenure committee), and when possible, all same rank cases will come before the CAP at the same time. Each case, however, receives consideration on its own merits; candidates are not competing for a limited number of positions.

12. The eligible faculty members of Thayer (see voting eligibility in Section 9C) meet to discuss the candidate's record. Those eligible professors who cannot, or choose not to, participate in person (remote participation is allowed) in the committee's deliberations may not vote on the case. At the Dean's discretion, the eligible faculty members who are not present may discuss the case with the Dean, after reviewing materials, and present their vote directly to the Dean; these votes will be considered independently from the votes that follow from the discussion. The Dean also may consider seeking input from non-eligible faculty at this stage, which could include inviting select faculty (such as faculty mentors) to participate in the discussion. For tenure line faculty, the vote of those present in person (including those participating remotely) and those not present are

generally conveyed to the CAP in separate tallies within the Dean's report. The vote tally is confidential as are all individual opinions and statements made at any time during the deliberations.

13. When the review process at Thayer has completed, the candidate will then meet with the Dean to discuss the outcome (positive or negative). The Dean also may choose to inform the faculty of the outcome.

14. Once the faculty candidate submits their materials to the Dean's Office, the process has been formally initiated. Candidates who are submitting their package early or those voluntarily seeking promotion to Full Professor can no longer withdraw their package or stop the process after this time (even if previously granted a tenure/promotion date extension). The Dean, however, may choose to delay or halt the process (if feasible) up until the time when the case is being considered at the relevant Thayer faculty meeting.

15. To aid in their review of candidates for promotion and tenure, eligible faculty, administrators, and external referees may consult and consider any information that is directly relevant to specific aspects of the candidacy or file under consideration, even if that information is not included in the candidate's file, provided that the access to and consideration of such information does not violate applicable law or College policy. External sources should be cited, as applicable.

16. If, at any time, a faculty member would like to discuss a case privately, they may request a private meeting with the Senior Associate Dean for Faculty Development and/or the Dean.

17. If, at any time, the Senior Associate Dean for Faculty Development or the Dean determines that a procedural error that materially affected the review process has occurred, the CAP and/or review committee will delay deliberation until the issues have been resolved.

The summary tables and additional details below provide an overview of key materials and actions required as the review processes proceed. Note that the letters sent to the candidates and the review committee provide a greater level of detail than what is outlined here.

D. Reappointment of Assistant Professors (Tenure-Track, Instructional, Research) & Pre-Tenure Associate Professors

This subsection aligns closely with the "Reappointment of Assistant Professor" subsection in the A&S Faculty Handbook with some minor variation to address Thayer's differences in organizational structure.

Faculty with initial appointments as tenure-track, research, or instructional Assistant Professors are normally considered for reappointment in their third year. Faculty with initial appointments as tenure-track Associate Professors may require a reappointment review prior to a tenure review; indication of a reappointment review should be made in the faculty member's signed offer letter or may be requested by the Dean.

The recommendation for reappointment must provide evidence of performance that demonstrates excellence in research, teaching, and/or service, as applicable, and shows promise of future distinction. Reappointment of tenure-track, instructional, and research faculty to a second three-year term is in the current rank and is contingent upon satisfactory performance (see Section 9A) and the needs of the school.

The key materials and actions required for the reappointment process include:

Category and rank	Key items
Tenure-track Assistant or Associate Professor	**Submitted by the candidate:** ● CV ● A separate summary description of funding awards in-progress and completed as well as any pending proposals ● A separate table or list of all proposals submitted, indicating status ● A separate list of theses/dissertations directed, including names of graduated or in-progress students and postdoctoral fellows ● Published papers ● Teaching statement ● Research statement ● Service statement ● Future work statement ● Other information that may be relevant to the review process (optional) **Arranged/Assembled by the review committee:** ● In-person classroom assessment(s) ● Course evaluations summary ● Copies of email communications regarding any package updates ● Review committee report **Dean's Office responsibility:** ● Letter to the candidate ● Letter to the review committee ● Thayer faculty vote ● Letter to the Provost for approval ● Reappointment letter
Instructional Assistant Professor	**Submitted by the candidate:** ● CV ● Teaching statement ● Service statement (if applicable) ● Future work statement ● Other information that may be relevant to the review process (optional) **Arranged/Assembled by the review committee:** ● In-person classroom assessment(s) ● Course evaluations summary ● Copies of email communications regarding any package updates ● Review committee report **Dean's Office responsibility:** ● Letter to the candidate ● Letter to the review committee ● Thayer faculty vote ● Letter to the Provost for approval ● Reappointment Letter

Research Assistant Professor	**Submitted by the candidate:** ● CV ● A separate summary description of funding awards in-progress and completed as well as any pending proposals ● A separate table or list of all proposals submitted, indicating status ● A separate list of theses/dissertations directed, including names of graduated or in-progress students and postdoctoral fellows ● Published papers ● Research statement ● Future work statement ● Other information that may be relevant to the review process (optional) **Arranged/Assembled by the review committee:** ● Copies of email communications regarding any package updates ● Review committee report **Dean's Office responsibility:** ● Letter to the candidate ● Letter to the review committee ● Thayer faculty vote ● Letter to the Provost for approval ● Reappointment Letter

The reappointment process follows the general process outlined in Section 9C with further detail provided here, including that:

1. The assembled review committee is composed of two faculty members with appointments at the rank of Associate or Full Professor, with at least one holding the rank of Full Professor. For tenure-track candidates, faculty members on the review committee must be tenured and one member oversees gathering of information related to the candidate's scholarship, and the second oversees gathering of information related to teaching. For instructional and research faculty, both members of the review committee must be on a rolling appointment, and at least one member must hold the rank of Full Professor.

2. For tenure-track Assistant and Associate Professors, and research and instructional Assistant Professors:

    - Following the review by the faculty, a reappointment letter is prepared by the Dean and provided to the candidate. Final decision on reappointment rests with the Dean, except that conversion to a terminal appointment requires a majority vote by the eligible faculty.

    - The reappointment letter will be included in the package submitted for review when the candidate is considered for promotion, if applicable.

3. The reappointment letter presented to the candidate must recommend either a reappointment of a specified period (typically three years for candidates at the rank of Assistant Professor) or a one-year terminal appointment at the same rank. The

reappointment recommendation letter must provide evidence of performance that demonstrates excellence in research, teaching, and/or service (as applicable) and that shows promise of future distinction. Expectations of performance (Section 9A) should be referenced, and any specific methods used for evaluation should be stated in the letter. If reappointment proceeds but the case is not strong, the reappointment letter should describe activities, actions, and resources for intervention and identify additional career development resources available to the candidate beyond those provided.

4. The candidate will then meet with the Dean. The purpose of this meeting is to provide constructive recommendations to the candidate to guide their efforts toward promotion and/or tenure, as appropriate.

E. In-depth review of Research/Instructional Associate or Full Professors

These guidelines are exclusively applied at Thayer.

When the initial appointment occurs for Research or Instructional faculty at the rank of Associate or Full Professor, an in-depth review during the fourth year is required. The in-depth review must provide evidence of performance that demonstrates excellence in research, teaching, and/or service, as applicable, and shows promise of future distinction. Reappointment as a result of the in-depth review is in the current rank and is contingent upon satisfactory performance (see "Expectations of Performance" in Section 9A) and the needs of the school.

If reappointment is recommended, then the individual is thereafter typically appointed on a rolling basis (see Section 6B and 6C).

The key materials and actions required for the in-depth review process include:

Category and rank	Key items
Instructional Associate Professor	**Submitted by the candidate:** ● CV ● Teaching statement ● Service statement (if applicable) ● Future work statement ● Other information that may be relevant to the review process (optional) **Arranged/Assembled by the review committee:** ● In-person classroom assessment(s) ● Course evaluations summary ● Student letters ● Copies of email communications regarding any package updates ● Review committee report **Dean's Office responsibility:** ● Letter to the candidate ● Letter to the review committee ● Thayer faculty vote ● Letter to the Provost for approval ● Reappointment letter
Instructional Full Professor	**Submitted/delivered by the candidate:** ● CV ● Teaching statement ● Service statement (if applicable) ● Future work statement ● Reviewer names: 3-6 by candidate ● Seminar ● Other information that may be relevant to the review process (optional) **Arranged/Assembled by the review committee:** ● Reviewer names: 3-6 by review committee ● 6+ external letters ● In-person classroom assessment(s) ● Course evaluations summary ● Student letters ● Copies of email communications regarding any package updates ● Review committee report **Dean's Office responsibility:** ● Letter to the candidate ● Letter to the review committee ● Thayer faculty vote ● Letter to the Provost for approval ● Reappointment letter

Research Associate Professor	**Submitted/delivered by the candidate:** ● CV ● A separate summary description of funding awards in-progress and completed as well as any pending proposals ● A separate table or list of all proposals submitted, indicating status ● A separate list of theses/dissertations directed, including names of graduated or in-progress students and postdoctoral fellows ● 5-10 published papers of significance ● Research statement ● Future work statement ● Reviewer names: 3-6 by candidate ● Research seminar ● Other information that may be relevant to the review process (optional) **Arranged/Assembled by the review committee:** ● Reviewer names: 3-6 by review committee ● 6+ external letters ● Student letters (research) ● Copies of email communications regarding any package updates ● Review committee report **Dean's Office responsibility:** ● Letter to the candidate ● Letter to the review committee ● Thayer faculty vote ● Letter to the Provost for approval ● Reappointment letter

Research Full Professor	**Submitted by the candidate:** • CV • A separate summary description of funding awards in-progress and completed as well as any pending proposals • A separate table or list of all proposals submitted in the prior 4-6 years, indicating status • A separate list of theses/dissertations directed, including names of graduated or in-progress students and postdoctoral fellows • 5-10 published papers of significance • Research statement • Future work statement • Reviewer names: 3-6 by candidate • Research seminar • Other information that may be relevant to the review process (optional) **Arranged/Assembled by the review committee:** • Reviewer names: 3-6 by review committee • 6+ external letters • Student letters (research) • Copies of email communications regarding any package updates • Review committee report **Dean's Office responsibility:** • Letter to the candidate • Letter to the review committee • Thayer faculty vote ● Letter to the Provost for approval • Reappointment letter

The in-depth review process follows the general process outlined in Section 9C with further detail provided here, including that:

1. The review committee is composed of two faculty members with appointments at the rank of the candidate or higher, with at least one holding the rank of Full Professor (either tenured or of the same appointment type as the candidate). For instructional and research faculty, both members of the review committee must be on rolling appointments.

2. Following the review by the faculty, a reappointment letter is prepared by the Dean and provided to the candidate. Final decision on reappointment rests with the Dean, except that conversion to a terminal appointment requires a majority vote by the eligible faculty. The reappointment letter presented to the candidate must recommend either a rolling reappointment (see Section 6B or 6C), reappointment of a specified period, or a one-year terminal appointment at the same rank. The reappointment recommendation letter must provide evidence of performance that demonstrates excellence in research, teaching,

and/or service (as applicable) and that shows promise of future distinction. Expectations of performance (Section 9A) should be referenced, and any specific methods used for evaluation should be stated in the letter. If the reappointment case is not strong, the reappointment letter should describe activities, actions, and resources for intervention and identify additional career development resources available to the candidate beyond those provided.

3. The reappointment letter prepared by the Dean will be included in the package submitted for review when the candidate is considered for promotion, if applicable.

4. The candidate will then meet with the Dean. The purpose of this meeting is to provide constructive recommendations to the candidate to guide their efforts toward future career progression and promotion, as applicable.

F. Promotion to Associate Professor with Tenure

This subsection aligns closely with the "Tenure and Promotion to Associate Professor" subsection in the A&S Faculty Handbook with some minor variation and clarification in the specific Expectations of Performance and the role of the Thayer Dean.

This section applies to both pre-tenure Assistant and Associate Professors, who typically are required to be considered for tenure in their sixth year. In exceptional cases, a pre-tenure Assistant or Associate Professor may request consideration for promotion/tenure prior to the sixth year; permission will be granted on the recommendation of the Dean. The Dean may consult with the Thayer Senior Associate Dean for Faculty Development and other tenured faculty members in considering such a request.

The "Expectations of Performance" section described above (section 9A) provides guidance to faculty members regarding evaluation of research, teaching, and service. Additionally as per the Faculty Handbook of the Arts and Sciences:

> "Promotion to the rank of Associate Professor, when accompanied by a tenure commitment, is the most critical personnel decision made by the faculty and must be handled with the strictest confidentiality. Tenured members of the department or program normally consider promotion of an Assistant Professor to Associate Professor in the sixth year in rank for those holding a full-time, or the ninth year for an individual with less than a full-time appointment.
>
> Specific evidence of outstanding performance in scholarship and teaching is essential. Other contributions to the College and the profession also will be considered. Although the Trustee Executive Committee approves most personnel actions, a summary of the achievements of the candidate and of the evaluation reached by the CAP are presented to the full Board of Trustees. Implied in such appointments is the common interest of the individual and the College in a long-term association. In the final analysis, the tenured members of the [school], the [Dean], the CAP, the President, and the Board of Trustees

must exercise judgment in tenure decisions to provide Dartmouth with the most distinguished faculty possible.[2]"

The Board of Trustees, upon recommendation of the President after consultation with the Committee Advisory to the President (CAP), makes all tenure appointments.

While Thayer generally follows the guidelines for tenure and promotion to Associate Professor with tenure as described in the Handbook of the Faculty of Arts and Sciences, Thayer's practice is distinct largely in the timing of the process and the means by which materials are gathered. Additionally, the "Expectations of Performance" (section 9A) provides specific guidelines that are relevant for engineering professors. The Senior Associate Dean for Faculty Development bears primary responsibility for ensuring that the tenure review process conforms to College policies and is the primary conduit of information about the process to the candidate. Generally, the process will begin in the candidate's sixth year.

The key materials and actions required for the review process include:

[2] The language was altered slightly, as indicated, to reflect the process of Thayer rather than Arts and Sciences.

Category and rank	Key items
Associate Professor with tenure	**Submitted/delivered by the candidate:** ● CV ● A separate summary description of funding awards in-progress and completed as well as any pending proposals ● A separate table or list of all proposals submitted, indicating status ● A separate list of theses/dissertations directed, including names of graduated or in-progress students and postdoctoral fellows ● 5-10 published papers of significance ● Teaching statement ● Research statement ● Service statement ● Future work statement ● Reviewer names: 6-10 by candidate ● Research seminar ● Other information that may be relevant to the review process (optional) **Assembled/Arranged by the review committee:** ● Reviewer names: 6-10 by review committee ● 9+ external letters ● In-person classroom assessment(s) ● Course evaluations summary ● Student letters (research and teaching) ● Copies of email communications regarding any package updates ● Review committee report **Dean's Office responsibility:** ● Letter to the candidate ● Letter to the review committee ● Thayer faculty vote ● Dean's Letter ● Prior reappointment letter, as applicable ● CAP binder ● Letter to the Provost for approval ● Promotion/tenure letter

The review process follows the general process outlined in Section 9C with further detail provided here, including that:

1. The review committee is composed of two tenured faculty members with appointments at the rank of Associate or Full Professor, with at least one holding the rank of Full Professor.

2. The review committee presents a summary report and materials to the tenured Thayer faculty, deemed the tenure committee, during a regularly-scheduled or special faculty meeting at least three weeks prior to the CAP meeting during which the case is heard.

3. After the tenure committee has submitted its recommendation, the Dean will discuss the faculty's recommendation with the candidate (positive or negative). At this time the candidate should raise any procedural questions or concerns.

4. The Dean then will draft a recommendation letter to the CAP that reports the vote and presents in detail the faculty's reasoning based on the evidence of the candidate's scholarship, teaching and mentoring, service, and other contributions. Expectations of performance (see Section 9A) should be referenced, and any specific methods used for evaluation should be stated in the letter. The letter, even as it explains the reasoning of the majority, should ideally reflect all points of view. The Dean will submit the faculty's recommendation, along with the Dean's own assessment, to the CAP. The Dean's recommendation letter to the CAP should report the anonymous vote tally, indicating who was present and who was not present together with a brief explanation of their absence. The vote of those present in person and those not present are generally conveyed to the CAP in separate tallies within the Dean's report to the CAP, as applicable. The Dean's letter must recommend either promotion with tenure (or simply tenure if already at the Associate Professor level) or a one-year terminal appointment at the current rank. The Dean's letter is submitted to the CAP along with the other requisite materials.

5. During CAP deliberations, the Thayer Dean presents background and answers questions, but will not be present during the CAP discussion and vote.

6. After the CAP and the President have communicated their recommendation for promotion/tenure, the Dean will inform the candidate of the recommendation (positive or negative). The Dean also may choose to inform the faculty of the outcome.

G. Promotion to Research Associate Professor or Instructional Associate Professor

Approved by Thayer faculty March 5, 2015; edits made August 2020 to ready for vote

Research/Instructional Assistant Professors typically are required to be considered for promotion to Research/Instructional Associate Professor in their sixth year. In exceptional cases, a Research/Instructional Assistant Professor may request consideration for promotion prior to the sixth year; permission will be granted on the recommendation of the Dean. The Dean may consult with the Thayer School Senior Associate Dean for Faculty Development and other faculty members in considering such a request.

An individual promoted to the rank of Research or Instructional Associate Professor is thereafter typically appointed on a rolling basis (see Section 6B or 6C).

The "Expectations of Performance" described in Section 9A provide guidance to faculty members regarding evaluation of research, teaching, and/or service, as applicable. The Senior Associate Dean for Faculty Development bears primary responsibility for ensuring that the promotion review process conforms to College policies and is the primary conduit of information about the process to the candidate.

The key materials and actions required for the review process include:

Category and rank	Key items
Instructional Associate Professor	**Submitted by the candidate:** ● CV ● Teaching statement ● Service statement (if applicable) ● Future work statement ● Other information that may be relevant to the review process (optional) **Arranged/Assembled by the review committee:** ● In-person classroom assessment(s) ● Course evaluations summary ● Student letters ● Copies of email communications regarding any package updates ● Review committee report **Dean's Office responsibility:** ● Letter to candidate ● Letter to review committee ● Prior reappointment letter, as applicable ● Thayer faculty vote ● Letter to the Provost for approval ● Promotion letter

Research Associate Professor	**Submitted/delivered by the candidate:** ● CV ● A separate summary description of funding awards in-progress and completed as well as any pending proposals ● A separate table or list of all proposals submitted, indicating status ● A separate list of theses/dissertations directed, including names of graduated or in-progress students and postdoctoral fellows ● 5-10 published papers of significance ● Research statement ● Future work statement ● Reviewer names: 3-6 by candidate ● Research seminar ● Other information that may be relevant to the review process (optional) **Assembled/Arranged by review committee:** ● Reviewer names: 3-6 by review committee ● 6+ external letters ● Student letters (research) ● Course evaluations summary (if applicable) ● Copies of email communications regarding any package updates ● Review committee report **Dean's Office responsibility:** ● Letter to candidate ● Letter to review committee ● Prior reappointment letter, as applicable ● Thayer faculty vote ● Letter to the Provost for approval ● Promotion letter

The review process follows the general process outlined in Section 9C with further detail provided here, including that:

1. The review committee is composed of two faculty members with appointments at the rank of Associate or Full Professor, with at least one holding the rank of Full Professor (either tenured or of the same appointment type as the candidate). For instructional and research faculty, both members of the review committee must be on rolling appointments.

2. The outcome of the review process is either promotion or a one-year terminal appointment at the current rank. Final decisions on promotion rests with the Dean, except that the conversion to a terminal appointment must be approved by a majority of the faculty eligible to vote.

H. Promotion to Full Professor (Tenured, Research, or Instructional Appointments)

Associate Professors may present themselves for promotion to Professor in or after their sixth year in the rank of Associate Professor. In exceptional cases, an Associate Professor may request consideration for promotion earlier; permission will be granted on the recommendation of the Dean. The Dean may consult with the Thayer School Senior Associate Dean for Faculty

Development and other tenured faculty members in considering such a request. The decision about when to seek promotion is ultimately the decision of the candidate.

The "Expectations of Performance" described above (section 9A) provides guidance to faculty members regarding evaluation of research, teaching, and/or service, as applicable. Candidates for appointment to the rank of Professor must present an outstanding record since promotion/tenure characterized by continued excellence in scholarship, maintenance of high standards in the classroom, and continued institutional service or other forms of leadership, as applicable. The Board of Trustees, upon recommendation of the President after consultation with the Committee Advisory to the President (CAP), approves all tenure-line full professor appointments.

Following promotion, Research and Instructional Full Professors are thereafter typically appointed on a rolling basis (see Section 6B or 6C).

The key materials and actions required for the review process include:

Category and rank	Key items
Full Professor with tenure	**Submitted/delivered by the candidate:** • CV • A separate summary description of funding awards in-progress and completed as well as any pending proposals • A separate table or list of all proposals submitted since last promotion, indicating status • A separate list of theses/dissertations directed, including names of graduated or in-progress students and postdoctoral fellows • 5-10 published papers of significance since last promotion • Teaching statement • Research statement • Service statement • Future work statement • Reviewer names: 6-10 by candidate • Research seminar • Other information that may be relevant to the review process (optional) **Assembled/Arranged by review committee:** • Reviewer names: 6-10 by review committee • 9+ external letters • In-person classroom assessment(s) • Course evaluations summary • Student letters (research and teaching) • Copies of email communications regarding any package updates • Review committee report **Dean's Office responsibility:** • Letter to the candidate • Letter to the review committee • Thayer faculty vote • Dean's Letter • CAP binder • Letter to the Provost for approval • Promotion letter
Instructional Full Professor	**Submitted/delivered by candidate:** ● CV ● Teaching statement ● Service statement (if applicable) ● Future work statement ● Reviewer names: 3-6 by candidate ● Seminar ● Other information that may be relevant to the review process (optional)

	Assembled/Arranged by review committee: ● Reviewer letters: 3-6 by review committee ● 6+ external letters ● In-person classroom assessment(s) ● Course evaluations summary ● Student letters ● Copies of email communications regarding any package updates ● Review committee report **Dean's Office responsibility:** ● Letter to the candidate ● Letter to the review committee ● Thayer faculty vote ● Letter to the Provost for approval ● Promotion letter
Research Full Professor	**Submitted/delivered by candidate:** ● CV ● A separate summary description of funding awards in-progress and completed as well as any pending proposals ● A separate table or list of all proposals submitted since last promotion, indicating status ● A separate list of theses/dissertations directed, including names of graduated or in-progress students and postdoctoral fellows ● 5-10 published papers of significance since last promotion ● Research statement ● Future work statement ● Reviewer names: 3-6 by candidate ● Research seminar ● Other information that may be relevant to the review process (optional) **Arranged/Assembled by review committee:** ● Reviewer names: 3-6 by review committee ● 6+ external letters ● Student letters (research) ● Copies of email communications regarding any package updates ● Review committee report **Dean's Office responsibility:** ● Letter to the candidate ● Letter to the review committee ● Thayer faculty vote ● Letter to the Provost for approval ● Promotion letter

The review process follows the general process outlined in Section 9C with further detail provided here, including that:

1. Faculty members should notify the Senior Associate Dean for Faculty Development of their intention to be considered for promotion at least 3 months prior to the expected launch date of the review committee. The Senior Associate Dean for Faculty Development then will meet with the candidate to review the procedures. For tenure line

faculty, cases that begin prior to October 15 will be considered by the CAP in the spring of the same academic year. Cases that begin after October 15, may need to be considered by the CAP in the fall of the subsequent academic year.

2. The review committee is composed of two Full Professors. For tenured candidates, both review committee members must be tenured. For instructional and research faculty, both members of the review committee must be on rolling appointments.

3. For research faculty, student letters associated with teaching will not be solicited.

4. The review committee presents a summary report to the eligible Thayer faculty, deemed the promotion committee, during a regularly-scheduled or special faculty meeting. For tenure-line faculty, the faculty meeting must occur at least three weeks prior to the CAP meeting during which the case will be heard.

- For tenure line faculty:
    - After the promotion committee has submitted its recommendation, the Dean will discuss the faculty's recommendation with the candidate (positive or negative). At this time the candidate should raise any procedural questions or concerns.
    - The Dean then will draft a recommendation letter to the CAP that reports the vote and presents in detail the faculty's reasoning based on the evidence of the candidate's scholarship, teaching and mentoring, service, and other contributions. Expectations of performance (see Section 9A) should be referenced, and any specific methods used for evaluation should be stated in the letter. The letter, even as it explains the reasoning of the majority, should ideally reflect all points of view. The Dean will submit the faculty's recommendation, along with the Dean's own assessment, to the CAP. The Dean's recommendation letter to the CAP should report the anonymous vote tally, indicating who was present and who was not present together with a brief explanation of their absence. The vote of those present in person and those not present are generally conveyed to the CAP in separate tallies within the Dean's report to the CAP, as applicable. The Dean's letter must recommend for or against promotion (and tenure, if applicable). The Dean's letter is submitted to the CAP along with the other requisite materials described in the checklist.
    - During CAP deliberations, the Thayer Dean presents background and answers questions, but will not be present during the CAP discussion and vote.
    - After the CAP and the President have communicated their recommendation for promotion, the Dean will inform the candidate of the recommendation (positive or negative).
- For Research/Instructional faculty:
    - The Dean will consider the recommendation of the promotion committee. Final decisions on promotion rests with the Dean, except that the decision not to promote must be approved by a majority of the faculty eligible to vote. After the

Thayer faculty has submitted its vote and a decision regarding promotion has been made, the Dean will inform the candidate of the outcome.