



**Tuck Faculty Handbook
2010-11**

PREFACE

The *Tuck Faculty Handbook* is designed to introduce new faculty to the policies, procedures, and services of the Tuck School and Dartmouth College, and to serve as a point of reference for ongoing faculty members. *The Tuck Faculty Handbook* is meant to augment the information in the *Tuck Student Handbook* and the *Academic Coordinator Policies and Procedures Manual*, which can be found in the MBA Program Office and Tuck Human Resources respectively, and the *Dartmouth College Student Handbook*, the *Dartmouth Employee Handbook*, and the *Dartmouth Faculty Handbook*, which can all be found online at <http://www.dartmouth.edu/~hrs/handbook/>.

I welcome you to contact me should you have questions about anything in this handbook.

Robert Hansen
Senior Associate Dean

TUCK'S GUIDING PRINCIPLES AND VALUES

- Integrity
- Sense of community
- Respect for each person
- Diversity and inclusiveness
- High standards

These principles and values guide our strategic decisions and shape the educational programs we offer. We believe that integrity and accepting responsibility for one's actions are the cornerstones of leadership, and through our policies, actions, and teaching we strive to reinforce these principles. We believe that people work and learn most effectively in groups; therefore, we try hard to foster teamwork and create a sense of community among faculty, students, and staff. We do our best to maintain a culture that supports and reinforces individuality because we believe that each person must be respected and treated as an individual as well as a member of the community. We believe that everyone in our community benefits from diversity of cultures, nationalities, and races, and that diversity is essential to our overall mission of educating future business leaders. We work to create a community in which the value of diversity and inclusiveness is understood and celebrated, and we do not tolerate behavior that is based on prejudice. By setting high standards, as individuals and as an organization, we support excellence in all our endeavors.

DIVERSITY PLAN

As our guiding principles and values make clear, diversity and inclusiveness have been topics of concern at Tuck for many years. Efforts have been in place to increase the number of minority, women, and international students, faculty, and staff and then to create an environment where all can learn, work, and contribute to their full potential. Actions we take to achieve that goal are:

- Articulating the importance of diversity and inclusiveness in the school's overall strategy statement and then continually reaffirming their value throughout the academic year in both words and actions;
- Actively recruiting minorities, women, international, and other students to form a diverse class of MBA students;
- Actively recruiting a diverse group of faculty and staff;
- Promoting opportunities for community members to interact with diverse groups of people;
- Sharing the resources of the Tuck community and larger business community with diverse groups;
- Supporting individuals and particular groups with specific programs and services;
- Continually offering forums for discussion, dialogue, and education on diversity; and
- Seeking continual feedback on our progress in creating an inclusive community.

PRINCIPLE OF COMMUNITY

The life and work of a Dartmouth student should be based on integrity, responsibility, and consideration. In all activities each student is expected to be sensitive to, and respectful of, the rights and interests of others and to be personally honest. He/she should be appreciative of the diversity of the community as providing an opportunity for learning and moral growth.

POLICY CONCERNING EQUAL OPPORTUNITY AND NONDISCRIMINATION

Dartmouth College is committed to the principle of equal opportunity for all its students, faculty, employees, and applicants for admission and employment. For that reason Dartmouth does not discriminate on the basis of race, color, religion, sex, age, sexual orientation, gender identity or expression, national origin, disability, military or veteran status in access to its programs and activities, and in conditions of admission and employment (hiring, promotion, discharge, pay, fringe benefits). (Dartmouth College refers to the entire institution, including the professional schools, graduate programs, and auxiliary activities.) The following regulations, among others, govern Dartmouth's policy.

Executive Order 11246, as amended, prohibits discrimination in employment because of *race, color, religion, sex, or national origin* and requires affirmative action to ensure equality of opportunity in all aspects of employment. Questions or concerns may be directed to Dartmouth's office of Institutional Diversity & Equity (see address below) or to the U.S. Department of Labor Office of Federal Contract Compliance Programs (OFCCP), J.F.K. Federal Building, Room 612C, Boston, MA 02203. A complaint must be filed with OFCCP no later than 180 days from the date of the alleged violation.

Section 503 of the Rehabilitation Act of 1973 prohibits job discrimination on the basis of *disability* and requires affirmative action to employ and advance in employment qualified individuals with *disabilities*. **Section 402 of the Vietnam Era Veterans Readjustment Assistance Act of 1974**, as amended, prohibits job discrimination against *disabled veterans and veterans of the Vietnam era* and requires affirmative action to employ and advance in employment qualified disabled veterans and veterans of the Vietnam era.

Dartmouth has developed an affirmative action plan to carry out the mandate of these federal regulations. This plan is administered by the Director of Equal Opportunity & Affirmative Action. Inquiries may also be addressed to OFCCP (see address above).

The **Equal Pay Act of 1963** prohibits discrimination on the basis of *sex* in rate of pay. **Title VII of the Civil Rights Act of 1964**, as amended, prohibits employment discrimination because of *race, color, religion, sex, or national origin*. The **Age Discrimination in Employment Act of 1967**, as amended, prohibits discrimination in employment on the basis of *age*. Questions or concerns about these laws should be directed to Dartmouth's office of Institutional Diversity & Equity (see address below) or to the Equal Employment Opportunity Commission (EEOC), Boston Area Office, J.F.K. Federal Building, Room 409B, Boston, MA 02203. A complaint under these statutes must be filed with EEOC within 180 calendar days of the date of the alleged discrimination.

Title VI of the Civil Rights Acts of 1964, as amended, prohibits discrimination on the basis of *race, color, or national origin* in programs or activities receiving federal financial assistance. Questions or concerns may be directed to Dartmouth's office of Institutional Diversity & Equity (see address below)

or to the Regional Director, Office for Civil Rights (OCR), U.S. Department of Education, 33 Arch St., Suite 900, Boston, MA 02110. A complaint under Title VI must be filed with OCR within 180 days of the date of the alleged discrimination.

Consistent with the requirements of **Title IX of the Education Amendments of 1972**, as amended, and **34 C.F.R. Part 106**, Dartmouth does not discriminate on the basis of sex in the conduct or operation of its programs or activities (including employment therein and admission thereto). Inquiries concerning the application of Title IX may be referred to Dartmouth's office of Institutional Diversity & Equity (see address below) or to the Office for Civil Rights (see address above). A complaint under Title IX must be filed with OCR within 180 calendar days of the date of the alleged discrimination.

Consistent with the requirement of **Section 504 of the Rehabilitation Act of 1973**, as amended, and **34 C.F.R. Part 104**, Dartmouth does not discriminate on the basis of *disability* in admission or access to, or employment in, its programs or activities.

Dartmouth complies with all applicable sections of the **1990 Americans with Disabilities Act (ADA)**, as amended, which prohibits discrimination against individuals with *disabilities*. Questions or concerns regarding Section 504 or the ADA may be directed to Dartmouth's office of Institutional Diversity & Equity (see address below) or to the Director of Student Accessibility Services, 6173 Collis Center, Suite 301, Hanover, NH 03755-3541, tel. 603-646-9900. Inquiries concerning Section 504 may also be referred to the Office for Civil Rights (see address above). A complaint under Section 504 must be filed with OCR within 180 calendar days of the date of the alleged discrimination. A complaint of employment discrimination on the basis of disability under Title I of the ADA must be filed with EEOC within 180 days of the date of the alleged discrimination.

New Hampshire State law prohibits employment discrimination based on *age, sex, race, color, marital status, physical or mental disability, religious creed, or national origin*. Questions or concerns may be directed to Dartmouth's office of Institutional Diversity & Equity (see address below) or filed with the New Hampshire Commission for Human Rights (NHCHR) at the following address: Intake Department, NH Commission for Human Rights, 2 Chenell Drive, Concord, NH 03301. Complaints under these statutes must be filed with NHCHR within 180 calendar days of the date of the alleged discrimination.

The institution's Director of Equal Opportunity & Affirmative Action has been designated to coordinate and monitor all institutional compliance activities under each of the laws and regulations referred to above. In addition, Dartmouth's office of Institutional Diversity & Equity is charged to hear complaints and grievances concerning violations of any of these laws and regulations. All faculty, exempt, non-exempt, and union employees, students, and applicants for admission and/or employment are protected from discrimination resulting from filing a complaint or assisting in an inquiry under any of the foregoing laws and policies. Faculty, exempt, non-exempt, and union employees, students, and applicants for admission and/or employment are invited to visit the office of Institutional Diversity & Equity to discuss issues related to equal opportunity and affirmative action. In addition, the office is available for confidential consultation regarding the application of these laws and regulations to individual concerns. A copy of Dartmouth's most recent Affirmative Action Plan is available at the reference desk of Dartmouth's Baker Library or in the office of Institutional Diversity & Equity, 6018 McNutt Hall, Room 1, Hanover, NH 03755-3541, tel. 603-646-3197, Monday-Friday, 8:00 a.m. to 4:30 p.m.

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I. TUCK SCHOOL OVERVIEW

A. Tuck School Administration

1. Board of Overseers

The Board of Overseers, appointed by the trustees, is advisory to the dean and the faculty of the Tuck School with respect to the objectives and programs of the school; it is advisory to the president and the trustees with respect to appraisals of Tuck School objectives, programs and administration. The overseers meet twice a year. The board currently consists of 36 leaders from the outside managerial and educational community, many of whom are Tuck alumni. Ex-officio members include the president and the provost of Dartmouth College, and the Tuck dean, the chairman of Tuck Annual Giving (TAG), the president of the alumni association of Tuck's Minority Business Executive Programs, and one representative from the Dartmouth board of trustees.

2. Dean's Office

First Floor, Tuck Hall 646-2460

Paul Danos, Dean 646-2460

Debbie Wilson, Assistant to Dean Danos 646-2460

The dean provides the overall strategic direction and management of the school and establishes policies and goals that are consistent with the strategic direction and philosophy of the school.

Robert Hansen, Senior Associate Dean 646-2801

Deborah Adams, Assistant to Senior Associate Dean Hansen 646-2801

The senior associate dean collaborates with the dean and associate deans in the development of the school's strategies and policies and serves as principal advisor to the dean on matters of faculty promotion and tenure, research programs, and faculty career development.

Matthew Slaughter, Associate Dean for the MBA Program 646-2801

Deborah Adams, Assistant to Associate Dean Slaughter 646-2801

The associate dean for the MBA program manages the MBA program, implements the curriculum, counsels and monitors student performance, and collaborates with the dean and associate deans in the development of the school's strategies and policies.

Steven Lubrano, Assistant Dean for Administration 646-2460

The assistant dean for administration provides overall direction and management of Tuck administrative departments, while working closely with the dean and associate deans in the development of the school's strategies and policies.

Penny Paquette, Assistant Dean for Strategic Initiatives 646-2492

The assistant dean for strategic initiatives serves as a liaison to the independently funded centers and initiatives reporting to the dean, and to Dartmouth College departments and external organizations. The special assistant coordinates the school's sponsored research activities, manages the long-range facilities planning process, and collaborates with the dean on strategic communication efforts.

3. MBA Program Office (MBAPO)

First Floor, Tuck Hall 646-3938

Sally Jaeger, Assistant Dean and Director of the MBA Program 646-2190

The assistant dean and director of the MBA program oversees the operation of the MBAPO and collaborates with the associate dean for the MBA program on all student related policies and strategies.

The MBAPO is dedicated to providing student services ranging from registrarial to academic to social through events, programs, and publications while also serving as an administrative liaison to students, faculty, administrators, and Dartmouth College.

4. Admissions

First Floor, Chase Hall 646-3162

Dawna Clark, Director

The Admissions Office serves as the primary point of contact for MBA applicants and actively promotes the Tuck MBA program to prospective students.

5. Career Development Office (CDO)

First Floor, Murdough Center 646-2461

Richard McNulty, Executive Director

Rebecca Joffrey, Co-Director

Jonathan Masland, Co-Director

The CDO offers a wide array of employment services to Tuck students and alumni through active recruiting, career counseling, development of new opportunities, and career-related events planned in conjunction with constituent departments.

6. Information Technology

Third Floor, Murdough Center 646-1818

Stanley Pyc, Director of Information Technology

Tuck's Office of Information Technology serves students, staff, and faculty in all their hardware and software needs, while maintaining Tuck's state-of-the-art intranet and external website. They oversee technical projects and support students and faculty in their research. Their services can be accessed via walk-in service, email, or phone.

7. Development and Alumni Services

First Floor, Tuck Hall (Development) 646-4087

First Floor, Tuck Hall (Alumni Services and TAG) 646-2837

Andrew Steele, Executive Director

Development and Alumni Services raises major gifts from individuals, corporations, and foundations for the capital needs of the school, and serves as liaison to the board of overseers and the MBA advisory board. The office fosters and maintains strong relationships with Tuck alumni through clubs, reunions, and the Tuck Annual Giving (TAG) program.

8. Events and Facilities

12 Tuck Hall 646-0201

Shelley Wirasnik, Events and Facilities Manager

Tuck Events and Facilities is responsible for the daily operations of the Tuck buildings, maintenance, security, faculty and student mailrooms, Copy Center services, and Byrne Dining Hall meal planning, service, and catering.

9. Executive Education

2nd Floor, Murdough Center 646-2839

Clark Callahan, Executive Director

Tuck Executive Education designs, markets, and delivers a series of open enrollment, custom and consortium programs for corporate executives.

10. Feldberg Library

First Floor, Murdough Center 646-2191

Feldberg Library supports faculty, student, and administrative research and curriculum needs at Tuck and the Thayer School of Engineering. The library, part of the Dartmouth College Library, and its staff provide research assistance and access to electronic and print information in business and engineering.

11. Financial Aid Office

101 Chase Hall 646-0640

Diane Bonin, Director 646-1571

The Financial Aid Office facilitates the school's financial aid program and counsels Tuck students on how best to utilize the various aid options.

12. Fiscal Services Office

108C Tuck Hall

Ann Bunnell, Director of Fiscal and Auxiliary Services 646-3176

1A Chase Hall

Accounting Assistant 646-4055

The Fiscal Services Office exercises budgetary and fiscal authority over all Tuck expenses and billing operations.

13. Human Resources

108H Tuck Hall

Tammy Stebbins, Manager of Human Resources, Training, and Development 646-0796

The Human Resources Office coordinates all non-faculty hiring of temporary, permanent, part-time, full-time, and work-study positions as well as training and professional development.

14. James M. Allwin Initiative for Corporate Citizenship

5 Tuck Hall 646-0109

Robert Hansen, Faculty Director

John Vogel Jr., Associate Faculty Director for Corporate Citizenship

Richard Shreve, Associate Faculty Director for Business Ethics

Patricia Palmiotto, Director

The Allwin Initiative for Corporate Citizenship aims to prepare Tuck students for leadership in this increasingly complex, interconnected world. The initiative works to ensure that the changing issues at the intersection of business and society are a key component of our MBA education and a part of Tuck's broader scholarly activities.

15. Office of Creative Services

2nd Floor, Murdough Center 646-3558

Alicia Green, Senior Associate Director, Web Communications

Ed Winchester, Senior Associate Director, Print Communications

The Office of Creative Services develops and produces all major print publications and marketing materials for the school. They also and direct design and content for the school's websites, including Tuck's main site and satellite websites.

16. Public Relations

4 Tuck Hall 646-1135

Kim Keating, Director

The Office of Public Relations serves several audiences: the Tuck community, members of the public interested in learning more about the school and its activities, as well as journalists who are researching stories, preparing surveys and rankings, or seeking faculty expertise.

17. Research Centers

Tuck's five research centers bring a cross-disciplinary focus to issues that drive today's economy. They leverage the research efforts of faculty and give them greater visibility, enrich the curriculum and learning environment for MBA students, and connect the school more firmly with corporations and practicing managers. Each center sponsors a variety of programs including research projects, conferences, visiting lecturer and speaker series, MBA and research fellows, corporate roundtables, and publications and indices. Interested and qualified students are also invited to serve as center fellows and research associates.

William F. Achtmeyer Center for Global Leadership

Second Floor, Woodbury Hall 646-0898

Vijay Govindarajan, Director
Chris Trimble, Executive Director

The William F. Achtmeyer Center for Global Leadership focuses on how today's global corporations create, grow, and profit from completely new approaches to business while mastering the rigors and nuances of global strategy and organization. To generate insights, the center develops partnerships with corporations, conducts research, and shares its expertise through publications and teaching

Lindenauer Center for Corporate Governance

Second Floor, Woodbury Hall 646-0567

B. Espen Eckbo, Director

The Lindenauer Center for Corporate Governance researches how international differences in capital markets, ownership structures, and legal traditions affect the optimal design of financial contracts and best practices in corporate governance. The center also studies potential conflicts between shareholders and other corporate constituents.

Center for International Business

First Floor, Woodbury Hall 646-0556

Andrew Bernard, Director
John Owens, Director of Tuck Global Consultancy
Lisa Miller, Associate Director

The Center for International Business is dedicated to education and research on international issues facing business and national leaders. The center is a primary resource for Tuck students, faculty, alumni, and others interested in global opportunities and issues facing companies. The center's activities include managing the Tuck Global Consultancy course, bringing speakers to Tuck, and organization on- and off-campus conferences.

Center for Private Equity and Entrepreneurship

First Floor, Woodbury Hall 646-0522

Colin Blaydon, Director
Fred Wainwright, Executive Director

The Center for Private Equity and Entrepreneurship advances the understanding of private equity investing and entrepreneurial ventures. It focuses on fast-growing companies and on the interactions among entrepreneurs and participants in the private equity industry and financial markets. The center provides insights on private equity and entrepreneurship and offers educational materials and programs for a variety of audiences.

Glassmeyer/McNamee Center for Digital Strategies

Second Floor, Woodbury Hall 646-0899

M. Eric Johnson, Director
Hans Brechbühl, Executive Director

The Center for Digital Strategies examines how technology-enabled processes harness an organization's unique competencies, support its business strategy, and create competitive advantage. The center analyzes the impact of technology on management and strategy, conducts research, creates a dialogue between CIOs and their executive colleagues, and drives an understanding of digital strategies in the MBA curriculum. The center also organizes the Tech@Tuck series of half-day events highlighting digital technologies and their personal and business implications.

18. Academic Support Staff

Tuck's academic coordinators act as liaison between faculty and students on course-related matters and perform a wide variety of scholastic and administrative support activities for faculty members and research centers. They play an essential role in ensuring the smooth operation of Tuck's departments and offices.

II. FACULTY STRUCTURE

A. Organization of Dartmouth College Faculty

1. Board of Trustees

The **Board of Trustees** is granted final authority under the original Charter of Dartmouth College to establish such “ordinances, order and laws as may tend to the good and wholesome government of said College...” Other statutory functions of the board include the appointment of faculty and principal administrative officers, the purchase and disposition of real property, the establishment of salary scales, and the awarding of degrees. In short, the board of trustees has ultimate responsibility for the financial, administrative and academic affairs of the college.

The **Board of Trustees** consists of the President of the College, the Governor of New Hampshire (*ex officio*), and twenty-four other trusteeships: sixteen Charter Trustee positions and eight Alumni Trustee positions. Charter Trustees are nominated and elected by the Board itself; Alumni Trustees are nominated by the alumni and elected by the Board. Duties and powers of all the Trustees are the same, and all elected members serve four-year terms. Both Charter Trustees and Alumni Trustees normally serve no more than two terms.

2. Standing Committees of the Board of Trustees

The Trustees have established standing committees to carry on the business of the Board in specific areas that meet regularly. The administrative committees include Finance, Governance, and Master Plan and Facilities, together with two standing subcommittees of the Finance Committee (Investment and Audit). Operations committees include Academic Affairs, Alumni Relations and Student Affairs. The Executive Committee meets as needed and works with the chairs of the Trustees' committees to manage the Board's agenda and work flow. The majority of the Trustees' work is channeled through these major committees and all report to the Board in an advisory capacity.

3. Other Committees

Other trustees' committees include the Audit Subcommittee, the Committee on Medical School, the Nominating Committee, the Personnel Committee, the Committee on Thayer School, the Committee on Trustees, and the Committee on Tuck School.

Members of the Board also serve on boards overseeing the following:

Dartmouth Medical School, Thayer School of Engineering, Tuck School of Business, Hopkins Center for the Arts, Hood Museum of Art, Dartmouth-Hitchcock Medical Center, The Rockefeller Center for Public Policy and the Social Sciences, The John Sloan Dickey Center for International Understanding, and The William Jewett Tucker Foundation.

4. Meetings of the General Faculty

The general faculty shall meet in October of each year to hear the president's report on the state of the college. It shall also meet at such other times as it is called by the president or its own steering committee (See Section II.A.5 below) to consider and take action on matters that may be placed on its agenda. In addition the steering committee shall call a meeting of the general faculty if asked to do so by a vote of two-thirds of those eligible to vote in any of the four constituent faculties, or if petitioned to do so by 75 or more of the members of the general faculty. Such a vote or petition must make clear the purpose of the proposed meeting of the general faculty.

In meetings of the general faculty all members shall have the right to vote. Resolutions passed by the general faculty are advisory to, but not binding on, the four separate faculties. The president shall be the presiding officer of the general faculty; in his or her absence the provost shall preside. The steering committee of the general faculty shall be responsible for the minutes of the meetings of the general faculty. These meetings shall be conducted according to the latest edition of *Robert's Rules of Order*. One hundred and fifty members of the general faculty shall constitute a quorum.

5. Steering Committee

The steering committee shall consist of the president, the provost, the dean of the faculty of arts and sciences, the dean, and one elected representative of each of the faculties of medicine, engineering, and business administration; and six members of the faculty of arts and sciences, two from each division. Three of these six members shall be appointed for three-year terms by the Committee on Organization and Policy, and three shall be selected by the Committee on Organization and Policy from its own membership. The president of the college shall be the chair of the steering committee; in the absence of the president, the provost shall serve as chair. Newly elected and appointed members assume office on the first day of the summer term; those members chosen in a regular election or appointed for full three-year terms shall be ineligible to succeed themselves.

a) Functions

- To call meetings of the general faculty upon its own initiative, or upon petition by members of the general faculty as explained in Section II.A.4 above.
- To set the agenda for all meetings of the general faculty.
- To transmit all communications on behalf of the general faculty.
- To establish and eliminate ad hoc committees of the general faculty and to appoint members thereto, to study and/or make recommendations on any matter of common concern to the faculties of this institution. Reports and recommendation from such ad hoc committees are received by the steering committee, which may then submit them for deliberation and/or action to the general faculty, a council of the general faculty, or the separate faculties.
- To prepare and to distribute the minutes of the meetings of the general faculty.

- To provide a continuous assessment of the organization, membership, functions, and purposes of the general faculty and to propose such modifications as may be in accord with the responsibilities of the general faculty of this institution. Any amendments of the charter of the general faculty will become effective upon ratification by the separate faculties of arts and sciences, medicine, engineering, and business administration.

6. Councils of the General 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. The president will appoint chairs of councils normally from among the members who are not *ex officio*. All faculty members of the councils shall be elected or appointed for a period of three years. Members elected or appointed during the spring assume office on the first day of the summer term; those members elected or appointed to full three-year terms shall be ineligible to succeed themselves. Council meetings shall be conducted according to the latest edition of *Robert's Rules of Order*.

A Tuck representative serves on the following councils.

Steering Committee of the General Faculty
 Council on Graduate Studies
 Council on the Libraries
 Council on Honorary Degrees
 Council on Sponsored Activities
 Council on Computing
 Council on Benefits
 Tucker Council

Additional information on each council may be obtained from the Tuck Dean's Office.

B. Organization of Tuck Faculty

As defined by the board of trustees, the Tuck faculty consists of the president of the college, the provost, the dean of the Tuck School, and all persons appointed by the trustees to any position in the Tuck School with the rank of professor, associate professor, assistant professor, or lecturer and such other persons as may be designated by the board of trustees to be members of the faculty.

1. General Meetings

The faculty meets on the call of the dean or, in his/her absence, of the senior associate dean four times a year. The dean is the presiding officer of the faculty; in his/her absence, the senior associate dean shall preside. At each meeting, a member of the faculty is randomly selected to serve as faculty editor.

Administrators and student board representatives are invited to all general sessions of faculty meetings with the exception of executive sessions. In addition, student members of task forces or committees

are usually invited to faculty meetings when those groups report. The dean may grant or deny any student's request to appear before the faculty.

Preparation and distribution of the agenda and the call of faculty meetings shall be the responsibility of the senior associate dean.

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

2. Voting

The voting members of the Tuck School faculty shall be: the president of the college, the provost, the dean of the Tuck School, and all faculty members who hold the rank of professor, associate professor and assistant professor. Voting privileges may be extended to other individuals while holding appointments at Tuck that include significant teaching and/or research responsibilities. A two-thirds vote is required to extend voting rights. Once extended to an individual, voting rights continue while the person holds such an appointment.

Meetings of the faculty may be attended by other administrative officers of the school, faculty on visiting, adjunct, or lecturer appointments, designated student representatives, and such guests as may from time to time be invited. All of these nonvoting persons will have the right to participate in the faculty's discussions.

There is no regular provision for absentee or proxy voting. However, absentee or proxy balloting can be authorized for any particular vote by a two-thirds assent of those present and voting at the meeting in question.

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

3. Quorum

A quorum shall consist of the majority of the voting members of the faculty.

4. Procedures for Action

Final action on all business shall be taken by a majority vote of those members present and voting. 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.

5. Standing Committees

The work of the faculty is largely performed through its standing committees. These are established by faculty vote or by the dean, with faculty consent. Ad hoc committees, subcommittees, or task

forces may be appointed by the faculty, the dean, or a standing committee. The current standing committees are:

Committee on Academic Freedom, Tenure and Responsibility

This committee functions in certain stages of a disciplinary action brought against a faculty member. The committee consists of the dean and four elected members of the Tuck School faculty, not less than one and not more than three of whom may be tenured. The chairperson is designated from among the four faculty members by a procedure to be determined by the committee itself.

Academic Honor Committee

This committee functions in certain stages of resolving charges under the honor principle. The committee consists of the five members of the judicial board and four faculty members.

Academic Performance Committee

The academic performance committee reviews the overall academic performance of students in the MBA program and recommends actions to the faculty. The committee consists of four faculty members, the director of the MBA program (non-voting), and is chaired by the associate dean of the MBA program. The faculty committee members are elected by the faculty. No fewer than one and no more than three of them should be tenured. They are elected for four-year terms. The terms are staggered. The alternate for any one year will be chosen on the basis of the most recent election result.

Admissions Committee

This committee is responsible for establishing and reviewing the admission policy of the school and for making admissions decisions on applications for which the admissions officers desire faculty input. The chairperson of the committee shall be a member of the faculty.

Curriculum Committee

The curriculum committee is charged with maintaining the excellence of the curriculum. It evaluates and submits to the faculty its recommendations regarding all new course proposals, significant changes in courses, and the retirement of courses which should no longer be offered. Courses that have attracted 10 or fewer students in two consecutive years will automatically be reviewed by the curriculum committee. It assesses the required core—the coordination, integration, and general effectiveness of subject coverage. It makes recommendations for long-range improvement in the MBA program and its supporting activities and resources. It encourages innovation and experimentation and the proper assessment of the results of these processes.

Executive Committee

The executive committee of the faculty consists of the dean (chairperson), the senior associate dean, the associate dean of the MBA program, four elected members of the faculty, the chairperson of the student board, and the president of the first-year class. The executive committee has the following functions:

- To advise the dean on matters of substance which he/she may bring before the committee or which a majority of the committee may wish to bring before the dean.

- To initiate proposals to increase the educational effectiveness of the school and to make recommendations to the faculty or to other committees of the faculty.
- To act for the faculty on questions that need immediate decision or that otherwise may be delegated to the committee by the faculty.
- To act as a *Committee on Diversity and Equity*, to advise the dean on matters related to Tuck's policies and programs of providing access to the full educational experience regardless of a person's race, color, creed, religion, sex, age, sexual orientation, national origin, or disability.
- To act as a *Committee on Independent and Off-Campus Study*, to oversee the program of independent and off-campus study, to decide on student proposals (or delegate this power), and to evaluate results.
- To act as a *Committee on Instruction*, to represent the faculty's continuing concern for the quality of teaching at the Tuck School.

Executive Education Committee

The Executive Education Committee is responsible for reviewing proposals for executive education programs and for making recommendations on policy issues concerning continuing education.

Promotion and Tenure Committee

All tenured professors form this committee, the purposes of which are to set criteria for promotion and tenure decisions at Tuck and recommend specific action to the dean on individual cases. The dean is chairperson of the committee.

Strategy Monitoring Committee

The committee's role is to advise the dean on matters relating to Tuck's strategy.

6. Committee Membership and Other Matters

Faculty members of the Executive Committee shall be elected by the faculty, acting on nominations presented by the dean and/or any other voting member of the faculty. Appointment of faculty members and administrative officers to other standing committees of the faculty shall be voted by the Executive Committee, on recommendations from the dean, unless the bylaws specify otherwise. When students serve on committees, their method of appointment or election shall usually be determined by the student board. Committees are normally appointed for one-year terms, and appointments can be renewed. In some cases, staggered terms of service are used to provide continuity of service. Any standing committee can be recalled, reconstituted, and/or discontinued by a two-thirds vote of the faculty. The reasons for such action must be set forth in writing and the committee must be given adequate time to reply in writing before an item of this sort can be placed on the agenda of a faculty meeting. Other committees or subcommittees can be recalled, reconstituted, and/or discontinued by their appointing authority.

Committee chairs shall be selected by the dean, except in cases where the chairperson is designated in other sections of the bylaws.

7. Bylaw Amendments

The bylaws may be amended by an affirmative vote of two-thirds of those eligible to vote. The amendment must be circulated in writing at least 30 days before any voting takes place.

C. Faculty Appointments

It is the policy of Dartmouth that all appointments, promotions, terminations, and conditions of employment will be made on the basis of merit and commensurate with standards of excellence and without discrimination because of race, color, religion, sex, age, sexual orientation, national origin, disability, or status as a disabled or Vietnam-era veteran.

1. Period of Appointments for Full-Time Faculty

The period governing term appointment for members of the regular faculty and others who serve full time during the academic year runs from July 1 through June 30. This period has been established to conform to the fiscal year, to coincide with practices at other institutions and to eliminate any uncertainties as to the allocation of summer salaries to sponsored projects. It is effective for all faculty members.

2. Compensation

a) Full-time Appointments

In discussing faculty compensation, it is important to define what constitutes an academic-year appointment for purposes of pay. Most regular faculty appointments in the Thayer School of Engineering, the Tuck School, and the faculty of arts and sciences are on a nine-month academic-year basis. The academic calendar at Dartmouth now embraces four terms (quarters) and faculty members on a full-time academic-year appointment (and on full salary) are expected to teach, engage in college activities, and be in residence on campus for three of the four academic terms (nine months) over a twelve-month span of time¹. Some designated positions in the Tuck School, e.g., administrative officers, are for twelve months, the explicit assumption being that one month is paid vacation.

Dartmouth College faculty members and administrative officers, whether on a nine or twelve-month appointment, do not cease to be such while on vacation or during the term, or fraction thereof, when there is no specific obligation to the institution. Normally, office space, library, and other institutional facilities remain available for their use throughout the year.

Individual salaries are established on the basis of the type of appointment involved and are paid at the end of each month in 12 equal installments over the year. Salary adjustments and appointments ordinarily take place effective July 1.

¹ "In residence" is defined as being present on campus (or on a formal off-campus program), fully available for such Tuck or college-wide activities that may be assigned. The working rule defining allowable absences from campus in a residence term free of formal classroom teaching obligations is that a faculty member should maintain the same kind of schedule that he or she keeps in a term in which there are classroom teaching duties. This means that a faculty member cannot be away from campus to any greater extent than when he or she is actually fully responsible for a course.

For faculty members with a checking account at a local bank, arrangements may be made with the Payroll Office to have salary payments deposited directly into the account. In all cases, a monthly statement is furnished to the faculty member indicating the various withholdings and gross and net salary earned. Extra salary and stipends are combined with regular salary in the month paid and are included in the monthly salary figure shown on the employee's salary check stub.

b) Part-Time Appointments

Appointments to the Tuck School faculty may be made on a part-time basis as well as a full-time basis. Part-time teaching appointments are made with certain individuals for the purpose of staffing specific courses in the MBA program. These teaching-only arrangements are typically made for one term and are renewable at the discretion of the dean. They are not considered tenure-track appointments.

Individuals on part-time teaching appointments for only one or two terms may, if desired, be paid in equal installments during the period of their commitment rather than on a nine-month or twelve-month basis.

Tenure and tenure-track appointments to the Tuck School faculty may be made on a part-time as well as a full-time basis. Part-time tenure or tenure-track appointments are not less than half-time. Such appointments are made infrequently and only in those instances where it is to the benefit of both the Tuck School and the individual—for example, a faculty member who desires additional time parenting (but not a faculty member who wishes to hold two part-time jobs simultaneously or who seeks special accommodation in the years surrounding retirement).

Part-time tenure or tenure-track appointments carry an expectation that the appointee will engage in teaching, scholarship, and committee work. Such appointments also entail the same criteria used in full-time appointments; therefore, part-time appointments with tenure are made only in cases where the candidate meets the qualifications for tenure in a full-time position.

D. Promotion and Tenure at The Tuck School

The structures and processes described below represent the results of extensive discussion with the Tuck faculty and between the Tuck School and the Dartmouth administration.

1. Role of the Board of Trustees and President

The responsibility to make legally binding decisions with respect to appointment, promotion, salaries, and tenure of the Tuck faculty resides in the Dartmouth College board of trustees. The board delegates the authority to make recommendations on these matters to the president.

2. Role of the Provost

The president delegates authority to make such recommendations to the dean of the Tuck School. The dean's recommendation must be submitted to the president through the provost, who has the authority to independently review the recommendation, and to either send the recommendation back to the dean

of the Tuck School or endorse it to the president. In the course of this review, the provost may seek additional testimony from inside or outside the institution, and may also form an ad hoc committee for advice prior to reaching a conclusion.

3. The Tuck School Dean

In exercising the responsibility to make recommendations to the president on matters of appointment, promotion and tenure, the dean of Tuck School seeks advice of the Promotion and Tenure Committee on all matters except those related to salary. With respect to terms of appointment and other structures governing the appointment relationship of Tuck faculty to the school, the dean first seeks the advice of the Promotion and Tenure Committee, then sets the terms of appointment and communicates these to the person involved. The terms of appointment for a specific individual are always confirmed by a vote of the trustees on recommendation of the provost and president.

4. Tuck's Promotion and Tenure Committee

The Promotion and Tenure Committee consists of all the full professors at Tuck who hold tenure appointment. Full professors without tenure and associate professors with tenure are not included on the committee. Professors with tenure who are on leave of absence in a given year are consulted by the dean on relevant faculty matters, and if present they may participate in the voting of the committee if they wish. The Promotion and Tenure Committee participates with the dean in setting out the long-range plan for faculty staffing in order to maintain an appropriate amount of flexibility in the future faculty structure while permitting the desired number of tenure appointments in any given time period.

5. Ranks at the Tuck School for Tenure-Track Faculty Appointments

Since 1957, Tuck School has used the following professorial ranks for appointment: assistant professor, associate professor, and professor. At Tuck, the promotion of a faculty member from assistant professor to associate professor has normally been without tenure.

For an assistant professor, the term of an initial appointment is two years. A second two-year term can reasonably be expected if, in the judgment of the Promotion and Tenure Committee and the dean, there is no major deficiency in performance during the first appointment. However, if an appointee has not completed the requirements for a doctoral degree when the Tuck appointment begins, a second term will not be offered unless the degree requirements are completed and certified by the degree-granting institution prior to the end of the initial two-year contract period. The spirit of this policy is to encourage appointees to complete their degree within the first year of their Tuck appointment, but to allow for special circumstances that might cause an unanticipated delay.

During the second two-year term, an assistant professor is considered for promotion to associate professor (without tenure) by the Promotion and Tenure Committee. This review normally occurs during the fourth year in service. For individuals who have held appointments elsewhere, time at other universities as a full-time faculty member in the rank of assistant professor has usually been counted in determining the timing of a promotion review. For individuals on a part-time, tenure-track appointment, promotion is ordinarily considered in the sixth year of part-time service.

For an associate professor without tenure, the term of an appointment is usually three years. The tenure review normally occurs in the seventh year—that is, by the end of the three-year term. If the associate professor appointment is made from outside the school, the term is normally four years, at which time the tenure review occurs.

For an associate professor with tenure, the time in rank may vary. Clearly, it depends upon the professional accomplishments of the faculty member, along with the qualitative judgments that can be made about the faculty member's potential in teaching, research, and service. Furthermore, there has been a preference within the Promotion and Tenure Committee to be conservative about the required time in rank, in order to emphasize that promotion to full professor with tenure represents that final judgment of overall professional and personal maturity which defines the general direction and style of the Tuck School.

6. Other Faculty Appointments

The title of adjunct professor has been used to designate faculty members whose primary appointment is elsewhere within Dartmouth College or who have an occasional counseling and lecturing relationship with the school. The title may also be used for an instructor whose credentials are in professional practice rather than in academic life.

The title of visiting scholar is used infrequently, but can be given to established scholars and others with distinction in their fields whose association with the school and the college will be of mutual benefit. Teaching assignments are normally not required.

7. Timing of Faculty Reviews

The normal timing for personnel reviews is the following: contract renewal in the second year, promotion to associate professor without tenure in the fourth year, promotion to associate professor with tenure in the seventh year, and promotion to professor at some later date when the record warrants professorial rank.

These guidelines are not rigid, and the schedule of reviews can be adapted to the needs of particular candidates. For example, a review might be accelerated for a candidate with an undoubted measure of distinction in teaching and research who warrants promotion at an exceptionally early time. On the other hand, a review might be postponed in cases where the dean approves an individual's request for a contract extension in connection with a leave of absence. Exceptions to the normal timing also include the following:

- a) **Extenuating circumstances:** A faculty member with extenuating circumstances having to do with health or personal relations within his/her family that impose special and arduous burdens and responsibilities may request an extension of the existing contract.
- b) **Primary child care responsibility:** A faculty member with primary child care responsibility is entitled to an extension of the contract by a maximum of one year per dependent child.

- c) Part-time tenure or tenure-track status: The normal timing of a promotion or tenure review is extended by half for faculty members on part-time appointments.

In cases where the contract of a non-tenured faculty member is terminated, one year's notice will be given. For example, if a candidate for promotion is reviewed in the fourth year and if the decision is made not to promote or renew the contract, then the faculty member will receive a one-year terminal contract.

8. Procedures of the Promotion and Tenure Committee

The Promotion and Tenure Committee convenes each year on the call of the dean to review faculty staffing and examine cases that are coming up for review—that is, faculty members in their second, fourth and seventh years in the normal timing. Any individual wishing to accelerate or postpone a review must petition the dean.

When formal consideration of a particular candidate for promotion or tenure is appropriate, the dean asks the candidate to write a personal statement highlighting plans and achievements in teaching, research and service. The dean will also appoint a subcommittee of two or three senior faculty members who will gather all of the relevant material, with the aid of both the dean and outside evaluators, and write a confidential subcommittee report to the full Promotion and Tenure Committee. That report will then be considered by the full committee. If additional evidence is required it will be accumulated. Finally, the Promotion and Tenure Committee will vote on how it wishes to advise the dean with respect to the review. The dean will take such advice into account, make a recommendation to the provost, and communicate that recommendation to the Promotion and Tenure Committee. All of these communications are confidential.

The provost has the responsibility to review the dean's recommendation independently, including but not limited to the entire record previously assessed by the dean and the Promotion and Tenure Committee. In the course of this review, the provost may seek additional testimony from inside or outside the institution, and may also form an ad hoc committee for advice prior to reaching a conclusion. The provost will then make a decision in the case, and either send the dean's recommendation back for further consideration or transmit the dean's recommendation to the president and trustees for the latter's final action.

After the decision has been made by the board of trustees, it will be forwarded to the dean of the Tuck School, who will communicate the result to the faculty member concerned. Following this discussion, the dean will report back to the Promotion and Tenure Committee so that its members will know what has been communicated to the junior faculty member.

9. Promotion and Tenure Decisions

In general, the basis for promotion and tenure decisions at Tuck is the judgment of the dean and the Promotion and Tenure Committee of the likely future quality of contributions of the faculty member to teaching, scholarly research and publication, and service to the Tuck School and Dartmouth College. The principal constraints on such decisions are the size of the Tuck School, the present and future balance of tenured versus non-tenured appointments at Tuck, the desirable balance of

specialties within the Tuck faculty, and whether the appointment is full-time or shared with another part of Dartmouth College.

The standards for appointment or promotion at the Tuck School require that the candidate shall have demonstrated undoubted competence in both teaching and scholarly research. In addition, the faculty member must show an unusual degree of skill and promise in either teaching or research. The candidate for promotion to associate professor, for example, must show those characteristics of overall performance that make it quite likely that he or she will in time be a candidate for tenure and ultimately for the rank of professor. Prominent among such qualities is the capacity to be a successful and productive teacher-scholar for a career-long span. The successful candidate should be developing a reputation outside the school as well as within it. This means a level of contribution and a degree of progress respected by scholars and teachers in other universities and by other members of the professional field. The candidate should also show a willingness and an ability to contribute substantially to the welfare of the Tuck School through committee work, outside contacts, and special assignments.

Another way to state the qualitative criteria is to say that Tuck should appoint, promote, and grant tenure to only those faculty members who appear on balance to possess the highest level of combined talent in relevant areas that can be attracted to the Tuck School at the time of the decision, or in the relevant near future. It would be difficult, for example, to justify giving tenure to a faculty member who had done an excellent job at Tuck but was clearly not as strong in total as an available individual outside the school.

The ethic here is that the dean and the present senior faculty owe it to the future dean, faculty and students to constantly seek for the Tuck School the best resources—human, financial or physical—that can be found. Implicit is the notion that the Tuck School should continuously strive for the highest level of quality available in competition with other similar institutions. It has generally been accepted among the Tuck faculty that this qualitative goal best enhances the morale and productivity of the present faculty, administration, and student body.

10. Evaluation of Teaching

The main task of any professional school is to educate practitioners for the profession. It may do other important things, too, but there is a primacy to the teaching/learning objective.

In no case would a person be promoted or granted tenure at Tuck who was not highly effective in teaching Tuck MBA courses. This means that there are no faculty appointments at Tuck that contain exclusively research or publication assignments. It also means that no faculty member at Tuck will teach only in executive programs, or in doctoral work should a doctoral program be inaugurated.

A faculty member is usually expected to teach effectively in large required courses as well as in small electives. Occasionally there is a specific and careful relaxation of this requirement where the other contributions make this seem desirable. In such a case, it would be necessary for the faculty member to show excellence as a resource for students in elective courses and independent work.

The Promotion and Tenure Committee believes that faculty should be judged on such teaching criteria as:

- Ability to design, organize, and present courses that contribute to the teaching and learning goals of the school as set forth by the faculty;
- Ability to develop new courses and course materials at the cutting edge of a field;
- Commitment to students' learning;
- Expository skill;
- Enthusiasm for the subject matter and related intellectual skills;
- Ability to evoke thoughtful analytical responses from students;
- Capacity to act effectively as a counselor and advisor to students;
- Equity and responsiveness in the administration of courses;
- Ability to relate course content and pedagogy to other work in the MBA program; and
- Effectiveness in teaching active managers, fellow faculty, or other people who from time to time are brought to Tuck for its educational programs.

There are several sources of appropriate evidence about teaching quality. First, there is the testimony of Tuck students. Valid and reliable information from present or past students might come from direct observation, formal surveys, comments to senior faculty and the dean (either formally or informally), and the testimony of such outsiders as administrators of executive programs in which the faculty member has taught. In addition, there is the quality of course planning and the extent of course renewal that is demonstrated in course syllabi or published course materials. Documents of this sort can be evaluated by external referees.

Achieving adequate validity and reliability in judgments about a faculty person's teaching ability is extremely difficult. The purpose of a personnel evaluation in the first place is not to reward past teaching accomplishments, but rather to measure the likely quality of future contributions. While it is clear that students have relevant opinions about an instructor's teaching, it is also apparent that student opinions must be collected and used with care and sophistication. Considerable study and effort have gone into Tuck's present instructional evaluation system.

The testimony of Tuck faculty members about the teaching competence and future potential of a colleague can be very helpful. This kind of testimony is especially important when the review depends upon choices made with respect to course content. In addition, the testimony of external faculty may be helpful.

11. Evaluation of Research and Publication

One of the most important judgments made by the Promotion and Tenure Committee and by the dean is the likelihood of future contributions in research and publication. The dean and the senior faculty have a stewardship that extends beyond their own time at Tuck: stewardship for the quality of the future faculty. Tenure must be reserved only for those who show high potential for career-long scholarly excellence. This is very different from measuring the rate of publication or the total quantity of research. At issue is a more elusive and more important quality—the capacity of an academic to be comfortable on the frontier of a particular field, to stay continuously refreshed, and thus to bring to colleagues and students the best possible knowledge of the field and a sense of the best possible learning experiences. Experience has shown that a faculty member who does not demonstrate a capacity for scholarship beyond teaching per se, according to such evidence as research and publication, may lack the intellectual thrust and momentum to stay at the frontier of knowledge and avoid obsolescence as a teacher.

The Promotion and Tenure Committee has been quite sensitive about the question of quantity versus quality. There has been relatively little use within the committee of the criterion of quantity of publication per se. The only quantity that has ever been considered has been that quantity necessary to produce evidence of quality.

The Promotion and Tenure Committee believes that faculty should be judged on such research criteria as:

- Creativity of ideas, methodologies, findings or insights;
- Innovative contributions, as in new problem areas, perspectives, or approaches;
- Influence on the thinking of other people, particularly researchers;
- Ability to help define the state of the art;
- Reputation for expertise in a particular field;
- Importance of the research questions addressed;
- Contribution commensurate with effort and resources invested;
- Relevance to management and business organizations;
- Ability to achieve visibility and reputation as a scholar; and
- Breadth of knowledge and ability to synthesize insights from different streams of research.

Given the cosmopolitan nature of the best scholarship in American universities, it is not surprising that the dean and the Promotion and Tenure Committee should turn to a faculty member's academic peers to elicit judgments in the realm of scholarship. The considered judgment of Tuck colleagues who are

equipped to assess the scholarship of a particular candidate ranks high as appropriate evidence. In addition, the Promotion and Tenure Committee has followed the practice of involving external referees in the relevant field of research. Tuck's level of achievement has led the Promotion and Tenure Committee to choose as external referees the very best people in the relevant field. Thus the standard of judgment for scholarly work is at the highest level.

The examination of quality in scholarship, research, and publication is usually conducted differently at different stages. With respect to the decision to reappoint an assistant professor for a second two-year term, for example, the Promotion and Tenure Committee does not usually seek external testimony, assuming instead that the candidate has not had sufficient time to warrant formal external evaluations. However, the full system of external refereeing is employed at subsequent reviews. At such times the dean asks the candidate for nominations of external referees. The dean and the Promotion and Tenure Committee then select three or four names from the list provided, and they routinely add other referees nominated by the senior faculty and/or by the dean.

The referees are sent a sample of the materials that the candidate presents for scrutiny, including the personal statement to guide the assessment of the candidate's work. By letter from the dean, the external referee is apprised of the facts of the review process and asked for an evaluation of the material under examination and the judgments that can be inferred about the candidate's future contribution to a field of expertise.

In judging the candidate's choice of study targets the senior faculty must evaluate how germane a particular direction of scholarship is to the total scholarly health of the Tuck School now and in the future. A Tuck assistant professor may be the best researcher in the country in a particular area, but the Promotion and Tenure Committee might conclude that the research topic does not make a proper contribution to Tuck's overall research program, or that the area of interest does not merit the commitment of Tuck resources.

From time to time the faculty may be willing to accept substitutes for publication, that is, working papers of some kind, or the production of computer models or simulations, or some other kind of scholarly accomplishments. However, it is rare and will probably continue to be rare for the Promotion and Tenure Committee to credit a person's scholarly merit if it is not able to examine the production of scholarly written material.

The Promotion and Tenure Committee recognizes that there are often delays in the publication process. There are fields where the professional journals are two or three years behind in publishing articles. However, it is possible to get professional judgments from referees on materials that are not in final form, or at least have not yet been judged for publication. Therefore, work in progress is often included in the materials reviewed.

Normally the Promotion and Tenure Committee draws careful distinctions among the various media of publication. The presumption of quality is much easier to determine if an article has been accepted by a journal with an editorial board noted for its careful scrutiny. Thus, journal quality is one element in the evaluation of a candidate's scholarly competence and future productivity.

No absolute statement of quality necessary for promotion and tenure at Tuck can be made in the area of scholarship any more than it can be made in the area of teaching. In general, a minimum level of achievement must be a demonstration on the candidate's part of an ability to contribute over the long run to a chosen field of scholarship. Beyond that, the Promotion and Tenure Committee has a responsibility to see to it that there is a balance of the best and most appropriate research and teaching competence that the Tuck School can achieve.

12. Service to Tuck School and Dartmouth College

Because of the small size of the Tuck faculty and the many activities that are important to the school, every faculty member must be both competent and willing to serve on committees and in other ways contribute to the welfare of the school. For promotion and tenure decisions, these matters are given third importance, but there is also a minimal level of acceptable contribution that the dean and the Promotion and Tenure Committee will expect in each case. There is no way to precisely define the minimal level, and indeed the line might be set somewhat differently in different situations. In general, however, service in the best interest of the school helps a faculty member attract the confidence of colleagues and advance the purposes of the school. A candidate who cannot serve these interests willingly or effectively will be deemed less valuable as a future member of the community.

E. Faculty Leave

Leaves from teaching duties are provided to permit faculty members to engage in activities that will advance their competence as teachers and scholars at Dartmouth, or to realize opportunities or obligations as consultants or participants in projects of various sorts including those sponsored by the federal government and professional societies. Leaves are also provided for reasons related to medical disability.

Recognizing the importance of such activities, the college grants leaves under two conditions: one under the auspices of the college, such as the sabbatical program, and the other without financial support from the college. The latter represents an interruption of service at Dartmouth during a period when the individual may be contractually obligated to another institution or otherwise detached from college assignment. A leave of absence from the college will be limited to an uninterrupted period of at most two years.

Flexibility in the administration of leave policy is necessary because of the diversity of outside sources of support and the variety of options offered by private foundations and other agencies. The policy covering various leave arrangements is described below.

1. Sabbatical Leave

Sabbatical leave is an investment in the future and is granted to faculty members planning programs of study and scholarship of importance to both the individual and the college. The nature and frequency of other leaves of absence from the college will be taken into account as they bear on the need and appropriateness of the applicant's plan of study.

Faculty members holding appointments as professor, associate professor, or assistant professor are entitled to participate in the sabbatical leave program. Options under this program are listed below.

Number of Terms on Fulltime Assignment Since Last Sabbatical	Length of Leave	Compensation
12	1 term	1/3 annual salary
18	2 or 3 terms ²	1/2 annual salary
21	2 terms	2/3 annual salary
30	3 terms	1 year's salary

Note 1. Only those terms are counted which are part of the annual faculty contract. Terms in which a person is on leave or engaged in extra teaching for additional compensation are not counted toward sabbatical entitlement.

Note 2. Terms spent in teaching and other college activities during the academic year in which one takes a sabbatical leave do not count toward the next sabbatical leave. Thus, it makes no difference in determining future sabbaticals whether one takes a sabbatical in the fall or in the spring.

Note 3. Faculty on part-time tenure or tenure-track appointments earn sabbatical leave on the same schedule as full-time faculty. Their compensation while on sabbatical is on the same pro-rated basis as applies to their part-time appointment.

Note 4. In no case can sabbatical entitlement accrue beyond one year compensation.

All sabbatical awards are contingent on adequate staff to meet department or school requirements. In some situations it may be necessary to defer a sabbatical leave at the convenience of the department or school. Additional terms spent during such postponement may be counted towards the next sabbatical eligibility. An individual approaching retirement from the faculty will be eligible for a sabbatical leave of one or two terms if at least one year of service remains before retirement from the faculty. In the case of a leave of one full year, at least three years must remain. Sabbatical leaves are not granted during a period of terminal appointment.

Application for sabbatical leave should be initiated in the fall of the year prior to that in which the leave is to take place. The applicant should submit to the dean a written statement of the specific plans for the proposed leave. This statement and the dean's recommendation will be forwarded to the provost and then to the board of trustees for action.

The sabbatical leave is considered part of the faculty member's service to the college; therefore all benefits, such as retirement premiums and group insurance contributions, are continued by the college during the sabbatical leave.

² This classical "seventh year" sabbatical has become quite rare, a vestige of an earlier semester system. It is now elected primarily by faculty members who are able to obtain outside funding to cover salary for part of the 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 teaching appointment, a visiting professorship, or any full-time employment during such a leave. (This restriction does not apply to an unpaid research post at another institution.)

The acceptance of a sabbatical leave carries with it a commitment to return to the faculty for no less than one year.

2. Maternity Leave

A pregnant tenure-track faculty member is entitled to a one-term maternity leave at full compensation. The term of this leave is interpreted as occurring in what would otherwise be a teaching term; thus, the leave entails a reduction in teaching load for the year. There may or may not be a nonteaching term following a maternity leave. The details are left to negotiation between the dean and the faculty member involved. Maternity leave, like other leaves of absence, does not count toward sabbatical entitlement.

3. Medical Leave

Faculty members who are disabled as a result of injury or illness are entitled to long-term disability payments after six months. Before that time, the Dean's Office will work with disabled faculty to provide paid leave and to make arrangements to cover their commitments to the school. Normally, a medical statement signed by a medical doctor is required.

4. Leave of Absence on Own Charges (LOC)

Leave of absence from teaching duties without compensation to pursue activities which will enhance one's capabilities as a teacher and scholar may be requested by a faculty member at any time. Requests for leaves of absence should be directed in writing to the dean for endorsement and transmission to the provost. Approval will be based on the ability of the school to meet its obligations in the absence of the faculty member and on the reasonableness of the proposed activity.

Faculty members on leaves without pay may wish to continue their insurance benefits using their own resources. Arrangements may be made with the health benefits administrator in the Dartmouth Office of Human Resources for this purpose.

The acceptance of a leave of absence carries with it a commitment to return to the faculty for no less than one year. Leaves of absence for reasons of health or other personal necessity may be granted by the dean.

F. Faculty Research Support

The faculty has generally agreed that positive and substantive steps should be taken to encourage an increased amount of scholarly research and subsequent publication of findings. Such activity adds to the institution's reputation and standing among nationally prestigious business schools. A major

contribution to this end can be made by the allocation of a significant portion of the resources of the school to the support of research activity.

The Tuck School contributes resources to support faculty research through three separate programs: the Tuck Funding System to Support Teaching and Research (STAR accounts); Summer Research Support; and Tuck Research Computing. Each of these is discussed below.

1. Tuck Funding System to Support Teaching And Research (STAR)

The purpose of the STAR system is to enhance faculty productivity by bringing flexibility, efficiency, and a sense of faculty ownership and responsibility to the method by which faculty spend research and teaching funds. The general idea is to give each faculty member a generous research budget which will be viewed as a constraint on yearly total expenditures by the faculty member. Within this constraint, faculty are allowed and encouraged to spend their funds in as productive a fashion as individually possible without undue oversight.

a) Coverage

- The following items are covered by the account:
- Computer hardware, i.e., computers, monitors, printers;
- Course development, i.e., assistants, materials needed to plan a course;
- Miscellaneous data;
- UPS/express mail;
- Major project-related mailing, photocopying, telephone, conference calls;
- Manuscript editing;
- Software;
- Submission fees;
- Professional needs:
 - books;
 - journal subscriptions;
 - organization membership; and
 - article reprints (up to 100 reprints of published articles)
- Research assistance;
- Travel;

- Summer research and course development activities administered and funded through

Tuck summer research grants;

- Tuck research computing staff, currently billed at \$25.00/hour; and
- For full professors, reimbursement of half of the cost of academic regalia (up to \$300.00).

The following are NOT covered by the account and cannot be charged to the account:

- Course operations, i.e., materials, graders, etc., needed to run a course. Faculty should apply to the associate dean of the MBA program for approval of these expenditures.
- Assistance from permanent Tuck employees such as librarians, as long as the desired usage is within normal levels;
- Routine Tuck-related mailing, telephone, and photocopying;
- Academic assistant;
- Computer equipment for research assistants and academic assistants;
- Entertainment;
- Furniture;
- Service activities for Tuck;
- Standard software provided by Tuck; and
- Living expenses while on sabbatical. (Note: check with the senior associate dean on other sabbatical questions.)

b) Size of Accounts

The size of a faculty member's account will be calculated annually on July 1, based on the following formula:

STAR Fund (Current Year) = Rollover + Standard New Funds + Additional Research Funds

Rollover: Faculty will be able to roll over up to \$2,400.00 in unused funds, calculated by subtracting the amount spent during the year from the account's balance at the beginning of the year. Negative balances will be subtracted.

Standard New Funds: This amount will be the same for all faculty and will be decided upon by the dean based on the availability of funds. The current amount is \$7,200.00.

Additional Research Funds: While the standard STAR allowance is typically sufficient to support a faculty member's research requirements, we recognize that some research programs require a larger amount of funding. To help support such research programs, each spring the senior associate dean invites faculty who anticipate funding requirements for the forthcoming year in excess of the standard allowance to submit requests for additional research support. Note that such requests should include research support for any research conducted during the year, i.e., there will be no separate funding of "summer" research programs. Requests for additional funding must be accompanied by a description of the proposed research, including the nature, scope and value of the projects; research methods involved; and publication plans. The requests must also include a breakdown of how the funds will be used, e.g., travel, hardware/software purchases, research assistance, data purchases, etc. The Dean's Office will review all requests for support and, based on total funds available, the nature, scope, and value of proposed projects, and past productivity of the faculty member, make a decision on how much of the request to fund. The amount decided on by the Dean's Office will be added to the faculty member's STAR account according to the above formula.

c) Making Expenditures:

Account Numbers: Each faculty member will be issued an account number to be used for all expenditures.

Computer Hardware and Software: Computer equipment may be purchased for use either at the Tuck School or at the faculty member's home. The assumption when a computer is purchased for home use is that the predominant use of the computer will be Tuck School business. The intention is not to subsidize personal use or consulting activities to an inappropriate extent.

Computer, monitor, and printer purchases must be reviewed by the Tuck director of information technology and approved by the senior associate dean. Faculty must consult with the director of information technology to ensure that the proposed purchase will be compatible with Tuck's computer system and maintenance capabilities. The senior associate dean will then grant final approval based on compatibility, consistency with the faculty member's needs, and availability of funds.

Please note that computer hardware orders must be placed by the director of information technology. The director will charge the expense to the faculty member's STAR account. The faculty member should also consult with the director of information technology prior to purchasing software to make sure that the software is not already available or commonly provided at Tuck.

d) Outside Purchases (Other than Computer Hardware): Dartmouth College Procurement Card Program

- The Dartmouth College Procurement Card (P-Card) Program is designed to improve efficiency in processing low dollar value purchases (\$2499.00 or less). The Procurement Card is a Visa Card and can be used to make purchases for goods (not services) with any merchant who accepts the

Visa Card. Procurement Card transactions for non-restricted commodities cannot exceed the \$2,499.00 (including all delivery, shipping and/or special handling charges) per transaction limit. Transactions exceeding the \$2499.00 limit will require a Purchase Order. Pyramiding (splitting) transactions to exceed single transaction limit is not permitted by Dartmouth College. Visa/MasterCard regulations also prohibit vendors from this practice.

- The Dartmouth P-Card should never be used for travel related items or services. The only exception to this policy is that a P-Card may be used to purchase a Dartmouth Coach bus ticket. No other bus services, cabs, etc. are allowed. Dartmouth Coach ticket purchases will be closely monitored and will be a focus during audits. Departments who do not maintain detailed receipts may have their credit card privileges suspended or cancelled.
- Purchases must be for the use and benefit of the College. No personal purchases are allowed - regardless of intent to reimburse the College. If you fail to comply with the policies and procedures associated with the Procurement Card, Procurement Services reserves the right to cancel your credit card at any time. Fraudulent or misuse of the Procurement Card may result in disciplinary action, up to and including termination of employment.

The procurement card cannot be used for the following transactions:

- Cash advances;
- Travel and entertainment-related expenses and advances;
- Alcoholic beverages;
- Items or services for other than college-related purposes, i.e., personal use;
- Meals in restaurants;
- Annual contract maintenance;
- Automotive gasoline;
- Construction and renovations;
- Consulting services;
- Office furniture;
- Prescription drugs and controlled substances;
- Radioactive and hazardous materials; or
- Animals.

Procurement card transactions for non-restricted commodities cannot exceed the \$2,499.00 (Including all delivery, shipping and/or special handling charges) per-transaction limit. Pyramiding transactions to exceed the per-transaction limit is not permitted.

e) Purchase Requisitions

A Purchase Requisition must be prepared for most purchases over \$2,499.00. If a Purchase Requisition is required; the Tuck Fiscal Services Office will prepare one.

f) Requests for Payment

A Request for Payment (RFP) is to be used for payments to:

- Commercial vendors in those instances where an invoice has NOT been provided, e.g., subscription renewals, registration or conference fees, or prepayments;
- College employees and students for expense reimbursements EXCLUDING TRAVEL AND ENTERTAINMENT; and
- Individuals for refunds, e.g., deposits, cancelled conferences or performances.

An RFP should NOT be used to initiate payments to individuals involving miscellaneous reportable income, i.e., prizes, fees, services, rent, royalties, internships, or fellowships.

g) Research and Course Development Assistants

Please consult with the Tuck HR manager before initiating hiring procedures or setting a rate for research and course development assistants. (For information about hiring students and student spouses/partners, see Section IV.O., “Hiring Procedures.”)

h) Expenditure Reports

Monthly expenditure reports will be distributed to faculty and to the Dean’s Office.

i) Special Grants

Consistent with the view of STAR accounts as a budget constraint within which faculty make rational tradeoffs of research expenditures, as well as with the process by which faculty are asked to submit requests for their anticipated yearly requirements, we generally expect faculty to not request additional funds during a year. That said, there are of course exceptions, for instance when a project turns out to require more funds than the faculty member has available. In such situations, faculty can apply for special grants to be added to their accounts. These proposals should be submitted to the senior associate dean and state the expenditures the faculty member wishes to make, a justification for these expenditures, and a budget. The dean and senior associate dean will decide upon the granting of funds. Criteria for judging these grants include:

- Size of potential “payoff” in terms of output;
- Faculty research and/or teaching record;
- Faculty record in using STAR funds effectively;
- Likelihood of successful completion;
- Consistency with Tuck’s goals for research and teaching;
- Size of payoff relative to budget proposed; and
- Availability of funds.

j) Service Expenditures

Expenditures for service activities are not covered by a faculty member’s STAR account. If a faculty member is undertaking an activity that mixes research or teaching and service, the faculty member can write to the senior associate dean requesting that part of the funds spent on the activity be allocated to another account. For example, if a faculty member attends a conference, presents a paper, and interviews candidates for a faculty position, the faculty member could request that part of the costs for the trip be allocated to faculty recruiting rather than deducted from the STAR account. As general guidelines, zero percent would be allocated to recruiting in cases where recruiting is only an incidental activity of the trip, 50 percent would be allocated to recruiting if there were a substantial amount of research and recruiting on the trip, and 100 percent would be allocated to recruiting if the trip was virtually all recruiting and had only incidental research benefits.

k) Sharing of Funds

Faculty can share expenditures or loan each other funds. This should be communicated via memo or email to Tuck’s director of fiscal services.

l) Purchasing from Each Other

Faculty can “buy” and “sell” computer equipment, software, books, etc., among themselves at mutually agreeable “prices” (i.e., debits and credits to one’s account). These transactions must be reported to Tuck’s director of fiscal services. The equipment, books, etc. remain the property of Dartmouth.

m) Negative Balances

It is the responsibility of the faculty member to continuously monitor his/her own research budget and ensure that his/her account does not have a negative balance. If a shortfall is foreseen, requests for

additional funds must be made prior to additional expenditures. Negative balances will be subtracted from the next year's allocation.

n) Tuck Property

Tangible items such as computer hardware and software, books, and journals are Tuck School property being purchased for faculty use as a Tuck employee. For example, computer hardware and software must be returned to the Tuck School when a faculty member leaves Tuck. All computer purchases will be labeled with a Tuck identification number. Any system with a cost in excess of \$2,500.00 will also receive a Dartmouth College inventory decal and be tracked in the college's fixed assets system.

o) Administration and Evaluation of STAR System

The STAR System is administered by the senior associate dean. This person will be responsible for monitoring, evaluating, and setting policy with regard to the system.

2. Summer and Academic-Year Supplementary Compensation

a) Summer Activities

There will be a number of opportunities for faculty members on nine-month appointments to engage in research and executive teaching during the summer term for which additional compensation may be received. Conditions under which such compensation is provided are as follow:

- The normal amount of time for which salary from Tuck funds may be earned for research is two months and the corresponding upper limit of additional salary to be received from that source during the summer is two-ninths of the academic-year salary.
- Executive program teaching will be compensated at per-session rates determined each year by the dean in consultation with the academic and administrative directors of Executive Education.
- The Tuck School does not contribute to retirement accounts for extra-term salary.

In setting the normal limits of summer term salary to two months, or two-ninths, consideration has been given to three factors. First, with regard to instructional activities there should be no incentive provided, pecuniary or otherwise, to encourage faculty members to engage in year-round teaching. It is felt that such a schedule on any continued basis will be detrimental to an individual's scholarly commitments, not to mention wellbeing. Second, a two-ninths extra compensation policy is consistent with the conditions imposed by the National Science Foundation, other governmental agencies sponsoring research, and other Ivy League institutions. Finally, in the case of government grants or contracts, a significant margin between the time paid for and time worked avoids the possibility of having to account closely for one's time.

However, it is recognized that from time to time exceptional cases will arise where the nature of extra-term activities and responsibilities in either teaching or research requires service beyond two months.

Consideration may be given to paying a salary for up to three-ninths in such cases. Prior approval by the dean is required.

Some special extra-term tasks may involve a level of responsibility and expenditure of time extending into regular terms, e.g., preparing a program the term before. In the appointment of individuals to such positions and in the determination of levels of compensation, reference must be made to assignments in the regular academic year. Normally, involvement in extra-term responsibilities during the regular academic year should not constitute an “overload” but should be reflected in a reduction of other assignments. In some cases, it may be appropriate to plan a yearly program for these individuals involving term-trading on a regular basis.

Only in very unusual circumstances should individuals with twelve-month appointments be allowed to accept substantial internal responsibilities (whether remuneration is involved or not) in addition to their primary areas of concern. Department heads and/or appropriate academic supervisory officers must be involved in the discussion of such activities well in advance. For twelve-month appointees, this arrangement applies to the academic-year terms as well as the summer.

b) Special Academic-Year Activities

As a general rule, neither extra compensation nor honoraria are paid with Dartmouth College funds to faculty (or other college officers) for participation in academic-year activities. This rule derives from the assumption that the academic-year salary rate established for an individual represents full pay for normal academic-year obligation to the institution, whether in regularly scheduled instructional or research commitments or participation in college committees and other such activities.

However, supplementary compensation or honoraria may be paid to a faculty member during the academic year in exceptional cases where extensive preparation is required to assist in alumni programs or to provide services on behalf of community or civic agencies. The consideration governing in such cases is that the primary recipients of the service rendered are neither Dartmouth students nor part of the immediate college community.

Arrangements for such activities must be worked out in advance between the person involved, the dean, and the provost, whose final approval is required to authorize payment of extra compensation in each instance. Honoraria paid from college sources are treated as wages and salaries and are subject to withholding tax deductions.

As executive education teaching is not generally a requirement of a faculty member’s position, it is understood that in such cases additional compensation may be paid to faculty for executive education teaching during the regular academic year.

There may also arise circumstances whereby a faculty member is asked to teach more MBA courses than the current teaching load requirement. Such instances are not expected to be regular and ongoing. In such instances, the Dean’s Office, in consultation with the faculty member, will arrange for either “banking” of teaching credits, extra compensation for extra teaching, or some other mutually acceptable arrangement.

3. Summer Research Support

a) Requests for Support

A request for a grant covering summer research support should be addressed to the senior associate dean and be submitted upon the call for grant requests. Such requests are for compensation only, as funding for research assistance, travel, etc. are covered by the STAR system for year-round research. The request should include a cover memo and a proposal. The cover memo should specify:

- Compensation requested; and
- A list of other commitments during the period of the grant, including teaching, committee, and administrative assignments, consulting, and other research projects.
- The proposal should describe:
 - The nature, scope, and value of the project;
 - Research methods involved;
 - Publication plans; and
 - Place of the research in the faculty member's total research effort.

b) Period of Support and Compensation

Summer grants are limited to the three-month period during which the faculty member has not already contracted with Tuck on a full salaried basis. Requests for compensation may be made for up to two months of summer support, i.e., two-ninths of the faculty member's nine-month salary.

c) Expectations

It is expected that any faculty member who receives a grant covering personal support will:

- Produce at least a paper, a book, or some other piece of scholarly work and make every attempt to publish it through a scholarly channel;
- Enhance the research environment at Tuck, perhaps by leading a faculty seminar; and
- Report on the outcomes of the research.

d) Reports Required

A grantee is required to submit a report to the senior associate dean describing the research outcomes for the period of the grant. This report is required whether or not the project is completed and regardless of the nature of the outcomes.

The report will become part of the record for two evaluation processes:

- The dean's annual evaluation of individual faculty; and
- The Promotion and Tenure Committee's evaluation, for contract renewal, for tenure, or for promotion.

The report should be submitted as soon as possible after the grant period ends, but two restrictions on timing apply:

- The report must be submitted before any subsequent grant request is submitted; and
- The report must be submitted in time to satisfy the requirements of the relevant evaluation processes indicated above.

e) Criteria and Conditions for Summer Grant Approvals

In accordance with the objectives of the Tuck research program, the criteria for awarding grants are based primarily on the presumption that a faculty member's research results should contribute to knowledge in business administration or related areas, and be communicated to the business and academic communities. Studies intended to result in articles in academic and/or professional journals, or publication as scholarly books (or monographs) represent the type of research consistent with these objectives. Work directed only toward the publication of texts or case materials generally does not.

The governing criterion for the approval of grant requests is the likelihood of substantive scholarly research and publication, especially as it benefits the Tuck School. Priority will also be given to untenured faculty members, although the general practice is to support summer research of all productive faculty, regardless of rank.

Specific proposals are to be submitted to the senior associate dean, who will screen the proposals and make recommendations to the dean concerning their potential value. In the event that the senior associate dean lacks the expertise to evaluate a proposal adequately, the advice of independent experts both within and outside the school may be sought.

f) Outside Funding

The Tuck School encourages its faculty to seek external funding for research and curriculum development projects, and it provides appropriate support for this purpose. In addition, funds from external sources may supplement internal grants for personal support and other expenses. In cases where external funding is sought, proposals must be approved in advance by the Dean's Office. Where the proposal involves a reduction in teaching load, prior approval should be obtained from the associate deans.

4. Tuck Research Computing

The primary purpose of Tuck Research Computing (TRC) is to facilitate and enhance the production and quality of research conducted by members of the Tuck faculty. TRC primarily provides such services as research design and data analysis advice, statistical computing support (such as data analysis or guidance on how to proceed with an analysis on the variety of statistical packages available), and specialized computer programming and data extraction. More information is available at <http://mba.tuck.dartmouth.edu/pages/admin/research/>. Please contact a TRC associate for assistance with establishing an account for the Dartmouth-managed research computing environment.

Center for Research in Security Prices at <http://www.crsp.com> is an interactive website that enables users to extract data on historical monthly and daily U.S. securities prices (CRSP Stocks); interest rates and U.S. treasury bonds (CRSP Bonds); market segment indices (CRSP Indices); annual, quarterly, and industry segment financial information (Compustat); earnings estimates (I/B/E/S); transaction stock prices (TAQ); and spreadsheet-based applications (EXCEL) and statistical procedures.

Dartmouth Research Computing, which can be accessed at <http://www.dartmouth.edu/comp/about/departments/academic/rc.html>, provides research-grade computing facilities, central UNIX systems and distributed UNIX workstations, and a variety of research software.

Fileserver space specifically allocated for the large files that typically characterize research projects is available on both the NT and UNIX server environments. A Bloomberg terminal dedicated to faculty research is also available to complement the many electronic databases and reference materials available at Feldberg Library.

G. Dissemination and Copyrighting of Faculty Research

1. Working Paper Series

Tuck distributes faculty working papers through the SSRN (Social Science Research Network) Tuck School of Business Working Paper Series. The senior associate dean edits this series and periodically puts out requests for new working papers to distribute.

2. Acknowledgment of Sponsorship

All publication of materials, articles, cases, monographs, or books for which funds (or salary) have been supplied by or through the school must contain an acknowledgment of Tuck School sponsorship as well as other sources of support. This applies to publications by the school and by outside publishers.

3. Dartmouth Copyright Policy

The Tuck School is not a legal entity. When Tuck publications are copyrighted, ownership is in the name of the Trustees of Dartmouth College. The following copyright policy was adopted by the Council on Sponsored Activities in 1994:

a) General

Dartmouth students, professors and staff routinely create new written scholarship, literary works, computer software, artistic works and other items of copyrightable work. Copyright is a narrow form of intellectual property protection. It protects only the fixed expression of an idea, not the idea itself. The federal copyright law provides that most original works of authorship are protected by copyright automatically when they are fixed in tangible form. The holder of copyright to a work has the exclusive right to copy or perform the work or to publish derivative works based on the original. Issues often arise as to the ownership of copyright. The following policy is based on Dartmouth's several prior policies dealing with this question, and also draws from the policies of other major universities that govern ownership of copyright.

b) Ownership

Under copyright law, the copyright to works created by persons in the course of their employment belongs to their employer rather than to the individual creator. Therefore, absent other agreements or institutional policies, works created by faculty members in the course of their teaching and research, or by staff members in the course of their jobs, are the property of the college.

As a matter of fundamental principle, however, the college encourages wide dissemination of scholarly work produced by members of the Dartmouth community, including copyrightable works. Therefore, the copyright policy at Dartmouth—and most peer institutions—is that, except as provided for below, scholarship, literary works, computer software, artistic works and other items of copyrightable work created by faculty or other employees are deemed to be the property of the writer/developer, who is entitled to determine how the works are to be disseminated and to keep any net income they produce.

In recognition of this long-standing practice, the college disclaims ownership of works by faculty and staff, or others participating in Dartmouth programs including visiting faculty, whether in traditional or nontraditional forms, except in the following cases:

- Assigned Tasks

The college will own the copyright to works created (i) by faculty members as part of an assigned task, where the assignment explicitly states that the work will be owned by the college (ii) by administrative staff members in any specialized field of work they perform for the college, and (iii) by technical staff, postdoctoral fellows, and student employees in the course of any assigned duties other than research tasks performed in support of a project directed by a faculty member.

- Outside Agreements

Where copyrighted materials are developed by an investigator in the course of sponsored research funded by an outside agency pursuant to an agreement approved by the Office of Sponsored Projects, ownership of the copyright will be determined by the terms of the agreement.

- Special Circumstances

Where the college makes an extraordinary investment in the development of a copyrightable material (by way of either financial or resources commitment), or enters into a written agreement with the developer(s) that makes provision for copyright ownership, the college will own the copyright of the works unless the parties agree otherwise. In all cases where the college owns the copyright of the works, it will share net income received from the commercialization or exploitation of the copyrightable material as provided in Section (c) of this policy.

- Patentable Works

Where the copyrightable work is also patentable, Dartmouth College Patent Policy will apply to it.

c) Distribution of Income

Dartmouth College agrees to share with the originator(s) any net income received from commercialization or exploitation of college-owned copyrightable material. All expenses incurred by the college will be deducted from the gross income before any distribution of proceeds will be made. Unless otherwise agreed, the net proceeds will be shared with the originators on a 50 percent/50 percent basis, following the formula applied to patentable inventions.

d) Disclosure

It is the responsibility of the originator(s) to make prompt disclosure of any copyrightable materials that may, under provisions of this policy, be owned by the college. The disclosure should be made to the Technology Transfer Office, Hinman Box 6210, (603) 646-3027.

e) Dispute Resolution

The copyright policy will be administered by the dean of the faculty or the dean of the appropriate professional school. Disputes concerning application of the policy shall be resolved by a review panel of three members: a representative of the originator(s), a person designated by the treasurer of the college, and a third person selected by the provost. The decision of the panel may be appealed by any member of the panel to the president of the college.

H. Research Supported By Outside Grants

In 1969 the Council on Sponsored Activities prepared a statement governing the acceptance of sponsored research and other projects supported by grants, contracts, or gifts from governmental or private sources outside the college. The pertinent parts of this statement are quoted in the two sections below.

1. Criteria for Acceptance

The acceptability of the research or other sponsored activity will be considered in terms of its relevance to the purposes of Dartmouth College.

Judgment of the merit, soundness and promise of a research proposal as distinguished from its relevance to the purposes of Dartmouth College, should be made by the principal investigator and the sponsoring agency. The college, on the other hand, has the responsibility of judging the merit as well as the relevance of sponsored activities other than research, such as special educational and training programs, summer institutes, and so forth.

Proposals will be considered in terms of the following criteria: Sponsored activities should contribute to, rather than distort, the orderly development and growth of departments and schools. Care must be taken to avoid situations which might divert the resources of the institution from its stated purposes.

The sponsored activities should be proposed and carried out within a regular department or school of the college, or through the cooperation of several departments or schools, or through special administrative arrangements that will assure that the activity will be related effectively to the regular programs of the college and will serve the purposes of the institution. Separate, detached, and largely autonomous arrangements not related to these purposes should be avoided.

The terms of the contract, grant, or gift in support of the sponsored activity should permit the principal investigator or project director and the college to exercise administrative authority and responsibility for the activity, in keeping with its purposes and programs.

They must permit free publication of results (except for ethical restraint upon certain kinds of information), and public dissemination of original developments (through patents, where proper, and after a brief time interval when patents are not appropriate). The terms should not impose any conditions contrary to college policy with respect to accounting, instruction, or reporting.

Finally, Dartmouth College should not undertake the responsibility for activities for which the resources and support are not available to meet fully the explicit and implied objectives of the sponsored arrangements.

- The budget should be adequate for the proper accomplishment of the proposed activity, including allowances for contingency, possible salary increases, and indirect institutional expenses. If college funds are required for partial support of the activity, either as direct or indirect expenses, budgetary provision must be made for such funds.
- Adequate personnel should be available or provision should be made for funds to make such personnel available. There should be assurance of employing such additional personnel as may be required within the limit of existing salary scales and personnel policy.
- Adequate space, equipment, and other facilities should be available or a provision should be made for funds to make them available. Adequate provision should be made for continuing support or for orderly conclusion of the activity upon termination of the outside support.

Dartmouth College does not hold a classified facility clearance as recognized by the federal government and does not accept grants or contracts from federal agencies which require access to classified materials. Any faculty member who desires to enter into classified projects does so as an individual and not as a college employee.

2. Procedures for Submission of Proposals

The standard procedures for the preparation and submission of proposals can best be set forth in step-by-step fashion.

The typical proposal results from the interest of a small number of faculty members or a single individual. Ordinarily these faculty members belong to and/or are representing a single college unit, be it department, division, or program. Preliminary discussions should be held between the principal investigator (project director) and the department chairperson or the program director. Such dialogue is necessary not only to keep the department chairmen informed, but also to advise them of any special requirement which might be needed to support the project, such as faculty released time, space requirements, secretarial and technical assistance, special equipment or installations, etc.

After such discussion, the proposal is forwarded to the appropriate dean or the dean's designate, if only one division is involved. Oftentimes this contact should be made rather early in the history of the proposal, so that the dean or the designate has the opportunity to suggest specific sources of support that otherwise might not be known, to give advice on cost-sharing, to aid in the interpretation of the criteria detailed above, as they apply in each case, to provide other appropriate assistance, etc. If more than one division is involved, or if the proposal involves the undergraduate college and one or more of the professional schools, then the proposal at this stage should be made available to those deans who have departments or faculty involved. The director of fiscal services of the faculty and the equivalent officers in the professional schools are in a position to provide key advice at this point.

At this stage the director of fiscal services (of the Tuck School) will undertake to help in the preparation of a budget based on the research plan as amended by the above discussions. This officer will be responsible not only for preparing the budget and for inserting the proper salary figures, fringe benefits, indirect cost rates, etc., but also for getting advance budget clearance from the director of Sponsored Projects.

Proposals originating in more than one department, including those originating with administrative officers, must be reviewed by the council (on Sponsored Activities) or by an ad hoc committee of the council organized for the purpose of avoiding delay in the review procedure. In rare instances this review may be continued after a proposal has been submitted. In many cases advance submission of the proposal in abstract form would facilitate the review.

Every proposal for sponsored activities which leaves Dartmouth College should indicate both administrative and financial concurrence in addition to the signature of the principal investigator. Administrative concurrence is evidenced by the signatures of the administrative officers who are authorized to commit the appropriate school or schools to the project from the programmatic and scientific standpoint. Financial concurrence is indicated by the signature of one of the college's designated financial officers who commits the college from the standpoint of financial information

and compliance with certain legal requirements. The Office of the Dean of the Faculty and the respective Offices of the Deans of the professional schools will assist in obtaining the appropriate signatures. The proposal will be returned to the principal investigator who may prefer to take the responsibility for filing it. A copy of the proposal should be furnished to all persons whose signatures appear on the cover page.

Notifications of award of a grant or contract now come to the college through several channels and there is probably little chance of getting agencies to change their procedures in this regard. As a result, it becomes imperative that the award notification be forwarded to a central office, namely that of the director of Sponsored Projects. The director of Sponsored Projects is the officer authorized by the trustees to accept awards on behalf of the college.

Once the agency notice of award has been received by the director of Sponsored Projects, it, plus the proposal and correspondence that has taken place in the interim, he/she will assign an account number and furnish the appropriate documents to the principal investigator and the cognizant administrative officer. The Office of Sponsored Projects will be responsible for the accounting in compliance with existing regulations as well as the final financial reporting.

After an account number has been established, questions regarding administration of a grant should be directed to the assistant controller (or the appropriate administrative officer in the professional schools who has been designated as liaison with the assistant controller). Should it be a matter which involves institutional policy or requires further discussion or correspondence with the federal agency, the director of Sponsored Activities will be available for discussion and advice.

All administrative correspondence requesting changes to proposals or awards as well as other policy matters should be a cooperative effort and contain the signatures of both a school administrative officer and the principal investigator as well as a college financial officer.

It is the intent of these procedures to be helpful to all concerned. For example, if a dean under whose jurisdiction a proposal falls wishes the advice and guidance of the council, a preliminary hearing by the council could be provided.

3. Released Time for Research

Currently teaching loads are established to permit a significant portion of the individual faculty member's time to be devoted to research. While generally the faculty is encouraged to undertake sponsored research projects where it will further their research and the college purposes, it is not expected nor indeed is it desired, to seek salary support from research grants for the faculty member's academic-year effort on a sponsored research project where the normal departmental assignments are also carried on concurrently. In certain circumstances a faculty member may seek released time in the form of a reduced departmental workload to permit additional time for a sponsored research project. In these cases, as indicated above arrangements must be worked out with the department involved to schedule the released time necessary and funds should be requested in the proposal to support such released time.

Many grants received from federal sources these days require that the college “cost share” a portion of the work to be performed under the grant. Usually this is done by allocating to the project a portion of the salary expense paid by the college appropriate to the academic-year effort expended by the faculty members involved. This arrangement is simply a reflection of the current college practice in underwriting all academic-year effort, both teaching and research, except where a reduced departmental teaching or other assignment is required.

4. Foundation Support

In seeking out foundation support it is important that proposals from various parts of the college be coordinated. The reasons for this are dictated sometimes by the possibility that a major institutional appeal may be in the offing directed towards a specific foundation or that certain of the smaller private foundations may have continuing arrangements with the college. The Office of Development under the vice president is responsible for maintaining relationships with the various foundations, both private and corporate, and can be helpful in identifying those foundations most likely to be interested in a specific project and in the actual preparation of the proposal, insofar as format is concerned.

Obviously, most of the foundations and other donors are interested in new and imaginative enterprises and will prefer most always to work with the faculty member who has developed the idea behind the venture, rather than administrative officers. However, in order to insure that proper coordination is maintained, faculty members should not present proposals for support to private foundations without first informing the appropriate academic dean or the Office of Development. In the case of the big five foundations—Ford, Rockefeller, Carnegie, Commonwealth, and Sloan—proposals are made at the institutional level and through the Office of the Vice President (Development). The same procedures that apply to the preparation of projects for government support with respect to budgets and departmental clearances apply to proposals being submitted to these foundations. Further information on foundation support can be obtained from the dean or the director of development.

I. Consulting and Other Professional Activities

1. Outside Professional Activities

Faculty members are encouraged to engage in outside professional activities which contribute to their professional advancement, provided such arrangements do not interfere with the primary responsibilities of the individual to the school.

Outside commitments should not absorb more than one day a week of a faculty member’s time during periods of regular employment at Tuck. In addition, such relationships should not involve significant conflicts of interest. Faculty members are requested to keep the dean informed of all formal or continuing consulting arrangements.

Appointments to another institution in an adjunct, lecturer, or part-time capacity while the individual carries a full-time faculty appointment at Dartmouth should not be undertaken without prior discussion and approval of the dean.

The facilities, staff, or equipment of the school should not be used in support of remunerated outside activities, unless the school is appropriately compensated in return. Reimbursement for administrative support and other services does not affect, of course, the low priority accorded work connected with private projects relative to the regular work of the school.

J. Dartmouth College Conflict of Interest Policy

1. General Principles

All decisions made in the course of their professional responsibilities by members of the board of trustees, administrators, faculty, and other employees of Dartmouth College (including the professional schools) are to be made solely on the basis of a desire to promote the best interests of the college. A potential conflict of interest occurs when an individual's personal or private interests might lead an independent observer reasonably to question whether the individual's professional actions or decisions are influenced by considerations of significant personal interest, financial or otherwise.

In the event that a trustee, faculty member, administrator or other employee of the college shall have a significant financial, personal or professional interest that could potentially create a conflict of interest or the perception of one in any transaction involving the college or being considered by the board of trustees (including any committee of the board) or college administrators and faculty (including any committee or other group of administrators or faculty), such person shall, as soon as he or she has knowledge of the transaction, take the following actions:

a) Disclosure

Disclose fully in writing the precise nature of his or her interest in such transaction to those at the college involved with the transaction, or to his or her dean, department chairperson, supervisor, or other independent responsible authority; and

b) Non-Participation

Refrain from participation (including acting individually or as a member of a committee or other group) in the college's consideration of the proposed transaction unless expressly permitted to do so by a responsible authority of the college.

2. Definitions

For purposes of this policy:

“The college” shall mean all of Dartmouth College, including its three professional schools and affiliated organizations controlled by it (e.g. Dartmouth Educational Loan Corporation).

“Trustee” shall include any current trustee and any active trustee emeritus serving on any committee of the board of trustees.

“Faculty member” shall include any person who has a faculty appointment with the college.

“Investigator” shall mean a principal investigator and any other person at the college who is responsible for the design, conduct, or reporting of research funded by any external governmental or private organization, or proposed for such funding.

“Externally sponsored activities” shall mean all sponsored activity administered through the Office of Sponsored Projects or the Technology Transfer Office.

“Significant financial interest” shall mean any direct or indirect interest with monetary value, including but not limited to:

- a) Salary, other payments for services (e.g., consulting fees or honoraria), royalties or other payments that, when aggregated for the individual and the individual’s spouse and dependent children over the next 12 months, are expected to exceed \$10,000;
 - b) Equity interests (e.g. stocks, stock options or other ownership interests) that, when aggregated for the individual and the individual’s spouse and dependent children, either exceeds \$10,000 in value (as determined through reference to public prices) or represents more than five percent (5%) ownership interest in any single entity;
 - c) Intellectual property rights (e.g., patents, copyrights and royalties from such rights).
- a) The term “significant financial interest” does not include:
- b) Salary, royalties, or other remuneration from the college;
 - c) Income from seminars, lectures, or teaching engagements sponsored by U.S. federal, state, or local entities;
 - d) Income from service on advisory committees or review panels for public or nonprofit entities.

3. Additional Required Disclosures

Trustees and Certain Administrators

The following persons shall also disclose in writing to the Office of General Counsel on a continuing basis on disclosure forms provided by that office all significant financial interests in non-Dartmouth business organizations and all affiliations as an officer, director, trustee, partner, employee, consultant, or agent of any organization other than Dartmouth College or the person’s principal employer:

- a) The trustees (including the president);
- b) The provost, the vice presidents, the treasurer, the dean of the college, the deans of the faculty of arts and sciences and the professional schools, and their respective principal financial officers;

- c) Department chairs;
- d) Administrators in the Purchasing Department, and senior administrators in the offices of the vice presidents and Sponsored Projects;
- e) Such other employees, as the president shall designate as being employees, from whom, because of their respective duties and responsibilities, the college should receive a continuing disclosure of such outside relationships and business affiliations.

4. Investigators Engaged in Externally-Sponsored Research

Investigators engaged in externally sponsored activity must, in accordance with federal and college policy, disclose to the director of Sponsored Projects on disclosure forms provided by the director all significant financial interests (including those of their spouse and dependent children) that would reasonably appear to affect or be affected by the sponsored activity. Investigators may choose to disclose any other financial or related interest that could present an actual or perceived conflict of interest. Any such disclosure should provide sufficient detail to permit an accurate and objective evaluation. Such disclosure form must be completed and submitted before the contract or grant application is submitted, and the disclosure must be reviewed to determine if further action is required before the college expends any awarded funds or issues a purchase order or subcontracts for the acquisition of goods and services related to that project.

Such disclosure forms must be updated at least annually or more frequently, if new reportable information is obtained during the period of an award.

If the director of Sponsored Projects determines, after reviewing the disclosure form and other available information, that significant financial interests could affect the design, conduct or reporting of research activities, the director shall refer the matter to a standing Conflict Review Committee, a subcommittee of the Council on Sponsored Activities comprised of senior faculty members from each of the four faculties, the dean of the respective faculty, and the director of Sponsored Projects as a non-voting ex-officio member. Following review of the matter, the committee will recommend to the associate provost in writing (with a copy to the investigator) one of the following actions:

- a) Accept the proposed sponsored project;
- b) Do not accept the proposed sponsored project;
- c) Accept the proposed sponsored project provided certain conditions or restrictions are imposed so that the conflict will be managed, reduced or eliminated.

Examples of possible conditions or restrictions are:

- Monitoring of research by independent reviewers;
- Public disclosure of significant financial interests;

- Modification of the research plan;
- Disqualification from participation in the portion of the sponsored funded research that would be affected by the significant financial interest;
- Divestiture of significant financial interest;
- Severance of relationships that create actual or potential conflicts.

If the investigator is dissatisfied with the Conflict Review Committee's recommendations, the investigator may, within ten (10) calendar days of such recommendation, appeal to the associate provost who will consult with the faculty member and the Conflict Review Committee, as appropriate. After such review, the associate provost will make the final decision.

Collaborators/sub-recipients/subcontractors from other institutions involved in externally-sponsored research of the college must either comply with this policy or provide a certification from their institutions that they are in compliance with federal policies regarding disclosure of conflicts of interests and that their portion of the project is in compliance with their institutional policies.

5. Compliance

All persons subject to this policy are expected to comply fully and promptly with it. Instances of deliberate breach of policy, including failure to file or knowingly filing incomplete, erroneous, or misleading disclosure forms, violation of the guidelines, failure to comply with prescribed monitoring procedures, will be reported to the appropriate senior officer and, in the case of investigators, also to the associate provost.

All known violations, disputes, and other issues arising out of the application of this policy to employees shall be referred to the president for appropriate action. Matters under this policy concerning trustees shall be reported to the chairperson of the board of trustees for appropriate action.

In the event of non-compliance by an investigator, the associate provost will consult with the Conflict Review Committee regarding possible sanctions to be imposed on an investigator that may include, but are not limited to:

- a) Formal admonition;
- b) A letter from the appropriate dean to the person's file;
- c) Ineligibility for (i) grants, (ii) IRB approval, or (iii) supervision of graduate students;
- d) Non-renewal of appointment;
- e) Dismissal.

The associate provost will then recommend an appropriate sanction to the president, who will make the final decision.

In addition, the college shall follow federal regulations regarding the notification of the sponsoring agency in the event an investigator has failed to comply with this policy. The sponsor may take its own action, as it deems appropriate, including the suspension of funding for the investigator until the matter is resolved.

III. ACADEMIC POLICIES AND PROCEDURES

A. Courses

1. Core Courses

The following policies, voted by the faculty, govern section structure, staffing, and teaching coordination in first-year core courses:

- a) The first-year class is divided into four sections. If an instructor, or group of instructors, prefers to offer a course outside the four-section format, the staffing proposal has to be reviewed by the Curriculum Committee, acting in an advisory role to the Dean's Office.
- b) Each faculty group involved with the planning of a core course will choose the appropriate staffing model for that course after a thorough analysis of its relative merits with respect to the teaching/learning environment at the Tuck School. The staffing model for the course will be influenced by the teaching objectives and by the characteristics of the faculty teaching the course. The Curriculum Committee will review the staffing plans as part of its regular review of each year's curriculum, again serving in an advisory role to the Dean's Office.
- c) When a course is taught in "parallel," the course content will be closely coordinated between sections, leading up to a common final exam.
- d) When a course is taught in a sequential mode, where one instructor has the teaching responsibility for the whole class, each module should be at least four to five weeks in length.
- e) When one instructor is teaching his/her four to five week module in the sequential staffing model, the other instructor who does not have teaching obligations during this time will be available for student contact.

2. Advanced Topics Courses

Academic areas such as marketing, strategy, and finance may each offer one advanced topics course. These courses are specifically designed to train students who have taken a number of electives in that discipline but want further depth. To that end, advanced topics courses may require up to two prerequisite elective courses. Prerequisite courses typically should be announced no later than the spring term of the year before the advanced topics course will be offered. The faculty member may waive the prerequisite courses for students who exhibit the requisite conceptual and technical knowledge. Advanced topics courses will be offered only to second-year students, and must be approved in advance each year by the Curriculum Committee.

Accepted by the faculty on June 5, 2002.

B. Section and Course Caps

1. Course Caps

The school strives wherever possible to make elective courses available to all eligible students who want to take them. At times, this may mean adding additional sections, involving additional instructors, and/or minor redesign of courses to accommodate more students. Of course, these options are subject to staffing and facilities availability, and to the constraints of the instructor's pedagogical approach and maintenance of the quality of the learning experience for students. Therefore, the school normally does not put caps on course enrollments, except for seminars and extraordinary situations of last-minute changes in demand.

2. Section Caps

The school limits section sizes in elective courses in three ways:

- Faculty members are encouraged to teach elective sections of less than 65 in any way they believe is appropriate—as one large group or multiple small groups.
- Any elective with more than 65 students may be divided into two sections; the faculty member normally will get formal course load credit for two sections.
- A small number (3) courses each year may be taught in multiple sections with fewer than 65 students enrolled and the faculty member receiving some teaching load credit. These courses must involve high marginal cost (i.e., faculty time) per student and high marginal benefit (i.e., large effect on student learning per incremental time spent with student). If a faculty member wishes to teach such a course, he or she may petition the senior associate dean to do so. The senior associate dean, in consultation with the Curriculum Committee, will decide which petitions to approve based on pedagogical rationale, implications for the rest of the curriculum, and the faculty member's overall contribution to the institution. The negotiation will involve a redefinition of the teaching load for the year; for example, the faculty member will probably teach more sections than the “normal load.”

C. Class Schedules

Faculty should try to avoid making any changes in times or room assignments after each term's schedule has been set. Should a change in time or room become necessary, it must be cleared with the registrar prior to announcing the change to the class. Any time change that would involve having a class scheduled at a frequency other than either three times a week or twice a week should be brought to the curriculum committee for review.

If a special weekend session is to be scheduled, such as for simulations or other learning experiences that cannot be accommodated within the normal class periods, faculty must minimize the adverse effects on preparation for Monday classes. In practice, this will mean (1) avoiding Sunday work if possible, (2) not using more than a half day if Sunday work is unavoidable, and (3) scheduling for Sunday morning rather than afternoon, and afternoon rather than evening. In planning the schedule for these sessions, faculty should also be sensitive to regular weekend religious observances, and make

accommodations as necessary. It is furthermore desirable that faculty teaching on Mondays be warned of the weekend assignment, and students participating in the weekend learning experience be reminded that they are fully responsible for preparing for classes following the weekend.

Weekend course requirements should be adequately publicized so that students are aware, in advance, of any potential scheduling conflicts. Specifically, faculty should (1) make special note of these course requirements by including information about them with the pre-registration materials sent out by the registrar at the end of each term, and (2) highlight them in the course syllabus. Any weekend scheduling must be approved by the associate dean of the MBA program, and the registrar must be notified.

Attendance at approved weekend learning experiences is subject to the attendance requirements specified in the Attendance Policies section of this handbook, provided that the weekend schedule is specified in the syllabus. In addition, faculty members are encouraged to explain the special attendance requirements in the introductory class when other course requirements are being discussed.

D. Tuck School Academic Honor Principle

The students and faculty have adopted the following statement regarding honor in academic activities:

Integrity and honesty in the performance of academic activities, both in the classroom and outside, are essential to the educational experience for which the Tuck School has always stood. Each member of the Tuck community accepts the personal responsibility to uphold and defend high ethical standards in all academic endeavors, and to promote an atmosphere in which honest and imaginative academic work may flourish.

1. Obligations

- a) Each student accepts personal responsibility to uphold the Tuck School academic honor principle (hereinafter referred to as the “honor principle”) upon enrollment at Tuck.
- b) A person who stands by and does nothing when confronted with academic dishonesty threatens the spirit and effectiveness of the principle of academic honor. All members of the Tuck community are expected to preserve the principle by taking appropriate and equitable action whenever a violation occurs.
- c) Any member of the Tuck community who feels a violation of the honor principle has occurred should attempt to resolve the problem informally either through discussion of the issues with the other party or parties involved or by approaching a judicial board member (or members) for a confidential conversation about the issue. Any charges that cannot be resolved to the satisfaction of both the witness and the accused may be brought before the academic honor committee.

These are clear obligations under the honor principle. Many other cases exist, some of which are detailed in course syllabi.

2. Interpretation

- a) Students will contact the professor if they are unclear about an honor principle interpretation in any given class.
- b) Students will not use notes or discussions from a previous year or previous section without explicit permission from a faculty member. In addition, discussing coursework with a tutor prior to class time is a violation of the honor principle unless explicit permission is obtained from a faculty member.
- c) Students will not infringe on the right of other students to fair and equal access to library materials. Failure to sign for materials taken from the libraries is considered academic dishonesty and a violation of the honor principle.
- d) Students will not degrade, damage, or take computer resources from others. It is a violation of the honor principle to use another person's computer ID number, password, or file without permission.

3. Faculty Obligation under the Honor Principle

- a) Each faculty member accepts personal responsibility to uphold the honor principle.
- b) A person who stands by and does nothing when confronted with academic dishonesty threatens the spirit and effectiveness of the principle of academic honor. All members of the Tuck community are expected to preserve the honor principle by taking appropriate and equitable action whenever a violation occurs.
- c) Any member of the Tuck community who feels a violation of the honor principle has occurred should attempt to resolve the problem informally either through discussion of the issues with the other party or parties involved or by approaching a judicial board member (or members) for a confidential conversation about the issue. Any charges that cannot be resolved to the satisfaction of both the witness and the accused may be brought before the academic honor committee.
- d) The proctoring of examinations is unnecessary and undesirable.
- e) Faculty members should report any admitted violations of the honor principle to the judicial board and the associate dean of the MBA program. Each term, the names of students with admitted or proven violations of the honor principle will be filed in a written report by the judicial board through the associate dean of the MBA program to the academic performance committee (hereinafter referred to as the "APC.") Students with admitted or proven violations of the honor principle, social code, or Dartmouth College regulations or students on probation may be disqualified from all academic awards by the APC. The associate dean of the MBA program will report on violations of the honor principle to the faculty, without names of students, faculty, or courses, at least once each year.

Each individual faculty member is requested to clarify the following on his/her course syllabus:

- *Daily Class Preparation.* Individual or group? If group, is use of cross-sectional groups or cross-study group collaboration allowed? Annotation of homework, e.g., are students to indicate points added or changed in study group or in class?
- *Graded Group Projects.* Discussed as group, then outlined and written individually? Or written collaboratively, each making significant contributions? Another option?
- *Examinations.* Time limits? Open or closed notes or book? Use of calculator, computer, or software? Preparation individually or with study groups? Plus, on the day of the examination, where students can go? Exact turn-in time and place?
- *Missed Classes for Non-emergencies.* Effect on grade? How and when to notify professor? Compensatory work?
- *Tutoring.* What materials and information can tutors share with students? When?

E. Tuck School Social Code

The primary function of the Tuck School is to provide students with opportunities for learning. In order to carry out this function, it is essential at all times that an atmosphere conducive to intellectual pursuits be maintained at the school. Because Tuck is assumed to be a community of mature, responsible individuals, we do not find it necessary to live within a system of narrowly defined social rules and regulations. Rather, we prefer to live within a broadly defined framework of “freedom with responsibility.” It is expected that instances of irresponsible conduct will be settled satisfactorily without using formal judicial procedures. However, for cases in which it is deemed necessary and appropriate, such procedures are available.

Because of the intimate living conditions and considerable academic pressures prevalent at the Tuck School, students are expected to demonstrate a reasonable measure of social responsibility and respect for the rights of others.

Responsible conduct at the Tuck School includes these significant elements:

- Maintaining a quiet and orderly place within which to live and study;
- Maintaining an atmosphere of mutual respect for personal dignity and an atmosphere of consideration for others;
- A mature respect for the facilities of the school and the college;
- Maintaining a suitable atmosphere for the entertainment of guests, whether family or friends;
- A mature respect for all citizens of the local community;
- Adherence to college wide regulations as described in the *Dartmouth College Student Handbook*; and

- Adherence to Tuck recruiting ethics as indicated below.

Any member of the Tuck community who feels a violation of the social code has occurred should approach the other party or parties involved. If a resolution is not obtained, the member should approach the judicial board for a confidential conversation about the issue. Any charges that cannot be resolved to the satisfaction of both the witness and the accused may be brought before the judicial board.

F. Tuck Recruiting Ethics

All Tuck students are expected to adhere to the following guidelines:

- It is a violation of the honor principle for a student to request information from or conduct “exit interviews” with another student interviewing with the same firm prior to their own interview. Students should neither ask about nor divulge details of specific questions or cases.
- The Tuck School maintains a strict academic policy that does not condone any activity causing students to miss class or compromise their studies during the recruiting process. If missing a class is unavoidable, the student must notify the professor(s) for that class in advance, and abide by the “missed class” policy established by that professor.
- Recruiters may entertain Tuck second-year students during the recruiting season as long as the student’s academic priorities are honored. Recruiters may not include first-year students in any off-campus entertaining unless a student has previously worked for the firm, or unless the entertaining is a club-related event that is open to all first-years and not held during the academic week. There will be no targeted entertaining of selected first-years. Students should not extend social invitations to corporate recruiters at any time.
- Interviews should not extend past the scheduled time. Unless the company has made special arrangements, the standard interview is 30 or 45 minutes long. It is unfair for a student or interviewer to extend that time and jeopardize the chances of a later candidate.
- In preparation for interviews with prospective employers, candidates should analyze their interests and abilities, consider their career objectives, seek information about their interest through published material and counseling, and organize their thoughts so that they can ask questions intelligently. Only sign up for interviews that sincerely interest you. Inconsiderate “shoppers” can bump legitimate candidates from schedules.
- Both written and oral material presented by a candidate must be an honest statement of relevant data. Tuck’s grade disclosure policy allows companies to ask about grades, and/or to request a transcript from the candidate. The candidate can decline to provide grades or a transcript, but any information the candidate does supply must be honest and accurate.

- An invitation to visit an employer’s premises should be acknowledged promptly and should be accepted only when there is a sincere interest in a position with that employer. Arrangements should be made sufficiently in advance to permit mutual confirmation of dates.
- Reimbursement for visits at an employer’s expense should be only for those expenditures pertinent to the trip. If several employers are visited on the same trip, the cost should be prorated.
- The employer’s deadline for acceptance of offers of employment should be met unless an extension has been obtained from the employer.
- If a candidate is considering multiple offers and has decided not to accept one or more of the offers, those employers should be notified immediately. Candidates should not “collect offers.”
- Acceptance of an employment offer should be made in good faith and with sincere intention to honor the commitment. After accepting an offer, the candidate must not conduct interviews with other employers.
- Students will not contact any recruiter or alumni outside normal business hours or at home at any time unless instructed to do so by the recruiter.
- No student should see a company interviewer without a scheduled appointment or without specific approval by the Career Development Office. There should be no “dropping in” on an interviewer, even though the interviewer may have a free moment.

Any incident of a candidate not honoring an accepted offer will be turned over to the judicial board to review the case and administer appropriate disciplinary action. The judicial board will consult the Career Development Office as to the severity of the disciplinary action and all parties must be content with the resolution, as in any other honor principle infringement case. Disciplinary actions will likely involve some restriction in the use of the Tuck Alumni Database and/or Career Development, depending on the severity of the infringement and the class status of the student (first or second year). In addition, repeat offenses will be treated in a manner consistent with the honor principle and social code.

All cases of abusive and/or unethical use of the Tuck Alumni Database or Career Development will be turned over to the judicial board and will be pursued as if they were honor principle and/or social code violations. These disciplinary actions will likely involve restricted use of the Tuck Alumni Database and/or Career Development, depending on the severity of the infringement and the class status of the student (first or second year).

G. Modification of the Honor Principle

When and if further modification of the honor principle seems necessary or appropriate, members of the Tuck community should undertake this endeavor. The members of the judicial board will supervise these changes. Any changes will require ratification by the student body and the faculty. Such ratification must meet the same standards required for the original adoption of the honor

principle and its procedures: at least 80 percent of both the student body and the faculty must vote, and at least two-thirds of the votes of each group must affirm.

H. Adjudication of Honor Principle and Social Code Violations

1. Academic Honor Committee

The academic honor committee has primary jurisdiction for the enforcement of the honor principle. Any charges under the honor principle that cannot be resolved informally will be brought before the academic honor committee for disposition. This committee includes five student members (the judicial board) plus four faculty members. The four faculty members on the committee shall be appointed by the dean for terms, which assure continuity of service. The student chairperson of the judicial board shall chair the committee.

2. Judicial Board

Any charges under the social code will be brought before the judicial board for disposition. The board consists of a chairperson and four members, representing both the first-year and second-year classes.

a) Term

The term of office for judicial board members shall be one academic year.

b) Members

Judicial board members will be elected by vote of their classmates. The second-year members and the chairperson will be elected in the spring of their first year.

Judicial board members are elected to serve the Tuck community as:

- a) Sounding boards when there are questions about the student codes of conduct;
- b) Objective listeners and advisors when it is believed that a violation has occurred;
- c) Student representatives to the faculty when student codes of conduct issues arise;
- d) Arbitrators between students in those instances when it is the preferred solution; and
- e) Community members who will act with sound judgment when cases are deliberated.

3. Reporting a Case

a) Honor Principle

Any member of the Tuck community who feels a violation of the honor principle has occurred should attempt to resolve the problem informally either through discussion of the issues with the other party or parties involved or by approaching a judicial board member (or members) for a confidential conversation about the issue. Any charges that cannot be resolved to the satisfaction of both the witness and the accused may be brought before the academic honor committee.

b) Social Code

Any member of the Tuck community who feels a violation of the social code has occurred should approach the other party or parties involved. If a resolution is not obtained, the member should approach the judicial board for a confidential conversation about the issue. Any charges that cannot be resolved to the satisfaction of both the witness and the accused may be brought before the judicial board.

4. Adjudicating a Case

If the alleged violation cannot be resolved to the satisfaction of both the witness and the accused, the matter shall be adjudicated by the academic honor committee (honor principle) or the judicial board (social code). The committee or board:

- May adopt by majority vote such rules and procedures as it finds necessary. It may not, however, by such rules and procedures, abrogate its basic charge or any of the rights of students (see below), and it must retain final responsibility for its decisions.
- Shall try to discover the facts of a case, the student norms of behavior in which the alleged infraction occurred, and whether the infraction was deliberately and knowingly committed.
- May request reports from students, faculty, or administrative officers on any matter pertaining to its charge.
- May find a respondent guilty by a simple majority. The burden of proof for a finding of guilt is “beyond reasonable doubt.” Disposition of cases will be final in all instances where no guilt is found and no action is taken. All other cases may be appealed to the dean, whose decision to support or to modify the decision shall be final.
- May recommend minor penalties by majority vote; may recommend suspension or separation by two-thirds majority; and shall reach a decision within a reasonable time after the hearing or as soon as practicable. Minor penalties may include academic work or community service.
- May rehear any case that it has previously considered and must rehear the case if requested to do so by the dean. A student may petition the dean for executive clemency with respect to penalties recommended by the board/committee, but such clemency would normally be limited to cases of suspension or separation.
- May make decisions public; may not divulge the name of the student concerned. Reports, records, and deliberations are not to be revealed to any person other than authorized Tuck personnel (which includes a quarterly report to the APC), unless the student, by written request, extends this

authorization. Records of deliberations shall be destroyed as soon as the case is concluded. Students with admitted or proven violations of the honor principle, social code, or Dartmouth College regulations may be disqualified from all academic awards by the APC.

- May consult with appropriate people when proceedings are pending before the disciplinary bodies of different schools at Dartmouth College concerning the same incident or individuals. Upon a finding of guilt, the body or officer hearing the case may, prior to recommending any penalty and as an aid to establishing the penalty, consult with any person or officer before whom a related proceeding is pending.
- Shall report to the dean and the professor concerned its findings and recommended action. At the end of each academic year, it shall report to the faculty and make appropriate recommendations.

5. Notification of Social Code Issues

The judicial board chairperson will file a written report with the director of the MBA Program Office about all social code issues brought before the board. The report will outline:

- The process that was followed;
- The action that the judicial board took; and
- The results of the judicial board's action.

The board will also provide the director with a recommendation about whether the violation needs to be addressed by the APC. The recommendation will be based on a majority vote of the entire judicial board.

Adopted unanimously by the judicial board, October 31, 1994.

6. Rights of Students Appearing Before the Academic Honor Committee or Judicial Board

- a) Notification of the charges against a student shall be in writing and shall indicate the regulation or regulations alleged to be violated. It shall contain a concise statement of the alleged facts that constitute the violation.
- b) The regulation shall be reasonably specific, and the student must have actual notice of, or reason to know of, the existence of the regulation.
- c) A student shall have reasonable time to prepare the case after receiving the charge.
- d) The student may choose any advisor (with the exception of the dean) to assist in the defense against the charge. The student may elect to have a private hearing or an open hearing, but the board or committee may limit the number of persons at any open hearing and may, if a disturbance occurs, order the hearing to be conducted in private.

- e) A member of the board or committee who has special knowledge, bias, or interest in the case, who expects to be a witness, shall disqualify him/herself. The student may challenge any member on such grounds; in this instance, disqualification shall be decided by majority vote of the board or committee members present and voting.
- f) A student may refuse to make any statement or may refuse to testify. Such refusal shall not be considered as evidence against the student.
- g) The student shall have the right to hear and cross-examine all witnesses and to examine all other evidence introduced at the hearing. Students have the right to testify and present evidence and witnesses in their own behalf.
- h) The board or committee shall base its decisions on matters of fact and solely upon evidence introduced at the hearings.
- i) Formal rules of evidence shall not apply. The board or committee may consider any testimony or evidence it finds trustworthy. It may exclude any testimony it considers unduly repetitious or immaterial, or to have been improperly obtained.
- j) The student may request a tape recording of the hearing. In private hearings, a student may choose not to have a tape recorder used.

I. Registration Policies

All students are required to register online on registration day from an on-campus networked computer. This ensures that students are physically on campus prior to the start of classes.

1. Late Registration

Unexcused late registration carries a fine of \$50.00 for the first day and \$50.00 for each additional day. A student who is more than five working days late may be denied the opportunity to register. In such cases, the executive committee will decide upon the matter in response to a written petition from the student. The executive committee will advise the dean, who will make the final decision. Illness, death in the family, and so forth are, of course, legitimate reasons for late registration. However, the registrar should be notified as soon as is practical if a student will be unable to register. Note that job interviews will not be considered a valid excuse for late registration under any circumstances.

2. First-Year Registration

a) Number of Courses Per Term

Each first-year student is required to enroll in all first-year required courses during the first year (unless an exemption has been granted by the faculty member and associate dean of the MBA program). Currently, the following courses are required during the first year:

Capital Markets; Decision Science; Financial Measurement, Analysis and Reporting; Global and Competitive Strategy; Managerial Economics; Global Economics for Managers; Leading Organizations; Marketing; Operations Management; Strategic Analysis of Technology; Statistics for Managers; Analysis for General Managers; and Management Communication.

Each first-year student is also required to complete Tuck Leadership Forum projects and activities (Analysis for General Managers and Management Communication are courses in the Tuck Leadership Forum) and one elective course in the spring term. Students may take up to two elective courses in their first year, with one being required and one being carried forward to count as one of the twelve electives required in the second year. Only one additional elective may be carried forward in this manner.

3. Exemption Policy

Students whose prior education includes coursework similar to that contained in Tuck core courses may request a course exemption only in courses where exemptions are allowed. Exemption request forms, available in the registrar's office, must be signed by the instructor of the exempted course (after the written exemption test or the exemption interview), the instructor of the substituted courses, and then returned to the registrar's office for associate dean approval. Students who have covered similar subject matter at an earlier time may find the Tuck course is taught in a different way, has new goals, and is linked closely to work in other required courses.

Exempting a required course allows students to take a second-year elective in its place. The exemption, however, neither lessens the total number of courses required for graduation nor the number of electives (12) required during the second year itself.

4. Second-Year Registration

a) Number of Courses Per Term

Each second-year student must complete 12 electives. A student may enroll in three, four, or five courses in any one term; however, students must enroll in a minimum of three courses in any one term and at least the equivalent of 12 full-length second-year courses must be completed during the second year to satisfy MBA degree requirements. Students may carry over one elective credit from the first year toward the second-year elective requirement. Students who take an exchange term may receive credit for no more than four electives for the term (even if a greater number of courses is actually completed). Tuition for the second year will be the same whether a student receives credit for 12 or more courses. A student who elects to enroll in more than the minimum number of courses required during a term (three) must satisfactorily complete all courses and will not be allowed to drop a course partway through the term.

b) Minicourses

Certain second-year courses are designated minicourses and meet generally for half of a term. For graduation requirements, minicourses count as one-half of a regular course.

c) Selection of Courses

Students are expected to make their course selections during pre-registration each term. They are encouraged to look at course syllabi and consult with faculty about the courses. A student who remains in doubt about which of two courses to take should attend both in the opening days of the term.

d) Final Changes in Schedule

All changes in the student's official schedule must be made prior to 5:00 P.M. on the fourth day of the term.

e) Courses Outside Tuck

A second-year student may elect to take as many as three non-Tuck Dartmouth courses during the year. Such choices must be approved by the associate dean of the MBA program. The principal criterion for approval will be the relevance of the non-Tuck course to the student's plan of study and career plans. In addition, preference will be given to courses designed primarily for juniors, seniors, or graduate students; elementary courses in most subject areas will not be approved for Tuck credit. Language courses may not be taken for MBA degree credit. Students who wish to take more than three non-Tuck courses in the second year should direct a petition to that effect to the executive committee of the faculty. (There is one exception to these guidelines: students governed by the regulations of the combined Tuck-Thayer MBA/MEM and MBA/MD degree programs.)

J. Seminars

The term "seminar" is to be used only for second-year courses that are intended to expose students to emerging issues on the frontiers of a discipline and will normally involve substantial reading of the academic literature of the field. Policies regarding seminars are as follows:

- a) Approval of the faculty, upon recommendation by the curriculum committee, is required each time a seminar is to be offered.
- b) Registration in the course requires the permission of the course instructor or instructors. Registration will be limited, normally to 15 students.
- c) Criteria determined by the instructors in the course will be used in the selection of students as seminar members.
- d) A student's work in the seminar will result in oral and/or written report or reports.

Students may normally take no more than one seminar in any given term.

K. Attendance Policies

1. Students' Responsibility

It is the student's responsibility to view coursework at Tuck as a professional commitment, i.e., to be present, prompt, and ready for each scheduled class meeting. The school's methods of instruction are based on the assumption that a student will be in class every day, attending the sections to which he/she has been assigned, and prepared for active participation in the work of the day.

2. Emergency Absences

At the same time, the school recognizes that there will be times when a family emergency, serious personal illness, or observance of religious holidays will preclude the student from attending class. Normally, the student should contact the faculty member involved and inform him/her of the absence and reason. In circumstances where this is infeasible or uncomfortable, the student may contact the MBA Program Office, which will then notify the appropriate faculty member(s) that the student will not be in class. In all such cases, the purpose of this notification is to facilitate communication between students and faculty and it should not be construed as authorization or validation of an absence. Additionally, in all cases of student absence from class, it is the responsibility of the student to contact each faculty member to discuss making up the missed classwork.

3. Other Absences

The policy governing other absences is set by individual faculty members. Faculty are responsible for stating their class attendance policy clearly in their course syllabi. This statement should also make the consequences of absences explicit. Students are responsible for understanding the course attendance policy specific to each course as well as the general policies discussed in this section of the handbook. A student is always responsible for written work due the day of the missed class, for any other assignments for that day, and for knowing what transpired during the class. According to more specific rules governing class attendance, absences may also result in the lowering of a course grade or even exclusion from a course.

4. Placement Interviews

Placement interviews are held at Tuck as a service to both students and companies offering employment. The faculty policy is that the placement process should not disrupt the academic process. Students are expected to avoid scheduling placement interviews that conflict with class attendance obligations. When such conflict is unavoidable, the student is still subject to the class attendance policies specified in this handbook and in individual course syllabi. Absence from class for placement purposes is not an "excused" absence. This regulation covers not only interviews held on campus but also corporate visits by students.

5. Excused Examination Absences

Students must obtain an excused examination absence in advance from the instructor for announced exams; students must obtain an excused examination absence from the instructor after the missed class for unannounced exams.

6. Reporting Absences

Students must be contacted from time to time because of family emergencies. If a student plans to be absent from Hanover, the director of the MBA Program Office should be advised where the student may be reached in an emergency.

L. Grading Policies

1. Policy Statement

At the beginning of each year, the school will provide students with complete information pertaining to the grading system, including objectives, grade designations, qualitative descriptions, criteria for continuance in school and graduation, system of weights, and grade distribution guidelines.

The syllabus for each course should contain an explanation of how grades for that course will be determined.

Being aware of performance level during the term is the student's responsibility; whenever possible, however, faculty members should warn students when performance falls below a satisfactory level.

2. Objectives of the Tuck Grading System

- a) To enhance the student's learning experience and not put artificial barriers between the student and the learning process.
- b) To assist the faculty in making critical decisions about the student's progress, e.g., whether a student is maintaining adequate graduate level performance; whether the student should continue at the school or be disciplined with respect to performance; whether a special commendation for superior performance is warranted; and, finally, whether the student should receive the degree.

3. Description and Distribution of the Tuck Grading System

Faculty members are encouraged to use the following qualitative criteria to recognize the students' level of performance. Because students in a course tend to display considerable variation in performance, percentage guidelines for final course grades have been agreed upon by the faculty in order to maintain comparability across courses. In the process of assigning final grades, qualitative judgments should be given priority but should be reconciled with the percentage guidelines as a means of controlling against possible grade inflation and extreme variation between courses.

4. Qualitative Descriptions of Grades

Grade Category	Qualitative Description	Grade Symbol
<i>Honors</i>	Indicates a performance which clearly exceeds professional standards and the instructor's expectations for MBA students.	H
<i>Satisfactory Plus</i>	Indicates a performance which clearly meets professional standards and falls in the higher range of the instructor's expectations for MBA	S+

	students.	
<i>Satisfactory</i>	Indicates a performance which meets professional standards and the instructor's expectations for MBA students	S
<i>Low Pass</i>	Indicates a performance which is marginal in relation to professional standards and below the instructor's expectations for MBA students.	LP
<i>Fail</i>	Indicates a performance which is clearly below professional standards and warrants loss of credit for the work.	F

5. Grade Distribution

In order to maintain comparability among courses, the faculty has agreed on the following percentage guidelines for first and second-year final course grades.

Grade Category		Lower Limit	Upper Limit
<i>Honors</i>	First Year	0%	15%
	Second Year	0%	25%
<i>Satisfactory Plus</i>	First Year	25%	50%
	Second Year	25%	50%
<i>Satisfactory</i>	First Year	25%	50%
	Second Year	25%	50%
<i>Low Pass</i>	First Year	0%	15%
	Second Year	0%	10%
<i>Fail</i>	First Year	0%	10%
	Second Year	0%	10%

These guidelines are to be used to help define the grade categories; they may not be valid in small second-year courses. A faculty member who wishes to deviate from these guidelines must petition the executive committee of the faculty. Due to the tight time constraints between terms and the difficulty of coordinating calendars to schedule an executive committee meeting, any faculty member who anticipates deviating from these guidelines must notify the executive committee in advance of submitting grades so that a meeting can be scheduled to review the appropriateness of the deviation.

6. Low Pass Grades

Faculty members are required to file with the registrar a written evaluation statement with each grade of Low Pass at the time grades are submitted. The statement is for use by the APC.

7. Policy on F Grades

A student who fails a required course will normally be expected to repeat the failed course at Tuck in order to complete requirements for the MBA degree. All plans for resolving the loss of credit due to an F grade in a required course need to be approved by the faculty member(s) who taught the course

and the associate dean of the MBA program. Faculty members are required to file with the registrar a written evaluation statement with each grade of Fail at the time grades are submitted. The statement is for use by the APC.

8. Policy on Incomplete Grades

In rare instances, a student who fails to complete the requirements of a course during the term in which that course is offered may be given a grade of Incomplete. In some cases, it may be appropriate for the director of the MBA Program Office to recommend a grade of Incomplete if the reason for not completing the course is nonacademic. In all cases, the Incomplete must be authorized by the faculty members involved and a date for completion of the coursework must be set. The grade of Incomplete and the completion date must be reported to the registrar. Unless this date is later extended by the associate dean of the MBA program (or, in the associate dean's absence, the dean), the student must complete the coursework as of that date or receive a failing grade for the course. No Incomplete grade may be granted at the end of the spring term without the permission of the associate dean of the MBA program.

9. Policy on Changing Grades

Once a course grade has been recorded by the MBA Program Office, it is considered official and may not be changed except in cases of computational or recording error.

10. Deadline for Filing Grades

Course grades for the first and second term must be in the hands of the registrar at least five days prior to the start of the following term. Final grades in all courses in the third term are due no later than three days before the end-of-year faculty meetings.

11. Policies on Grades in Non-Tuck Courses

a) Thayer School Courses

Grades received by Tuck students in Thayer School graduate courses will be directly transferred to Tuck grades and recorded as such. Grades of High Pass, Pass, Low Pass, and No Credit will be recorded on the Tuck School transcript as Honors, Satisfactory, Low Pass, and Fail, respectively.

b) Exchange Program and Dartmouth College Grades

Grades received by Tuck students in exchange programs or Dartmouth courses are recorded on their Tuck School transcript but are not considered for computing Tuck standing unless the grade is a D or an F. A grade of D will be translated as a Low Pass, and an F as a Fail.

M. Policies on Grade Disclosure and Transcripts

1. Disclosure to Students

Final grades at the end of the term may be released to students only through the registrar's office. The public posting or publishing of final grade distributions by course (either by the registrar or by individual faculty members) is prohibited, for summary publication of final grade distribution tends to imply that there is a proper percentage for Honors and Low Pass. However, an inquiring student may be told the final grade distribution in a particular course if such information is desired.

2. Disclosure to Outsiders

Underlying Tuck's policy on grade disclosure to outsiders is the belief that the student has a right to privacy with regard to his/her grades and that the student alone should determine whether grade information may be released to outsiders. Grade transcripts may not be released to outsiders (i.e., individuals who are not members of the Tuck faculty or administration) without the written authorization of the student. Transcripts from other institutions in the student's file may not be released.

3. Transcripts

Official transcripts may be obtained from the registrar. The school reserves the right to withhold transcripts for students with unpaid bills.

N. Policies on Student Awards

1. Edward Tuck Scholars

Edward Tuck Scholars are those students who have demonstrated outstanding academic performance during their two years at Tuck.

a) Criteria

- The Edward Tuck Scholar award is based on academic grade point average for full two-year performance at the end of the second year. The highest-ranked Edward Tuck Scholars will be designated as graduating with Highest Distinction, High Distinction, and Distinction.
- Students with admitted or proven violations of the honor principle, social code, Dartmouth College regulations, or students who have been on probation may be disqualified from all academic awards by the APC.

b) Procedure

- The APC shall review the list of students and disqualify based on the second criterion above.
- The faculty shall be given (1) a list of all qualified students, ranked by cumulative GPA, and (2) historical information about typical percentage of Edward Tuck Scholars. From this list, the faculty shall vote on the number of Edward Tuck Scholars (normally around 15 percent). From among the highest-ranked Edward Tuck Scholars, the faculty shall select the number of students

graduating with Highest Distinction (normally around 1 percent), High Distinction (normally around 2 percent), and Distinction (normally around 4 percent).

Edward Tuck Scholar Policy adopted at the June 8, 1994, faculty meeting.

2. The Arnold F. Adams Jr. Award for Excellence in Entrepreneurship

The Arnold F. Adams Jr. Award for Excellence in Entrepreneurship is awarded to that team of second-year students that, through its project in entrepreneurship and other actions, meets high professional standards and demonstrates outstanding potential for beginning a significant new enterprise. The award recipient is selected by a committee of faculty from the area of entrepreneurship.

3. The Tuck Centennial Student Award

The Tuck Centennial Student Award, determined solely by the student body, is awarded to one first-year student and one second-year student who exemplify the spirit and character of the Tuck School. The recipients are chosen based on their contemporaneous contributions to the entire Tuck community over the past school year. Nominated students should embody extensive involvement in serving both the Tuck and Upper Valley communities, firm commitment to the traditions and principles of Tuck, outstanding leadership and integrity, and selflessness in everyday actions.

The student body nominates classmates, the top five nominations are placed on a ballot, and the class selects its winner.

Centennial Award Policy adopted by Tuck student body, Spring 2000.

4. James A. and Sabra M. Hamilton Prize in Administration

The James A. and Sabra M. Hamilton Prize in Administration is awarded to that member of the second-year class who, through personal qualifications and accomplishments in courses in the fields of business policy and organizational behavior, shows the greatest attributes of a capable administrator. The award recipient is selected by a committee of faculty from the areas of organizational behavior and business policy.

5. The Lieutenant (J.G.) Walter A. Jacobs Memorial Prize

The Lieutenant (J.G.) Walter A. Jacobs Memorial Prize is awarded to a first-year student who has demonstrated intellectual ability and curiosity, sound judgment in academic work and activities outside the classroom, and personal habits and conduct that inspire confidence and enthusiasm. The nominated student should embody intellectual ability and curiosity, sound judgment in academic work and activities outside the classroom, and personal habits and conduct that inspire confidence and enthusiasm.

First-year students are asked to nominate three classmates for this award and to identify criteria they feel each nominee demonstrates. The names of the three or four students who receive the most votes

are forwarded to the faculty who taught first-year students during the year, and the faculty member(s) selects the award recipient.

6. The Charles I. Lebovitz Memorial Award

The Charles I. Lebovitz Memorial Award is awarded to the second-year student who, during the first year at Tuck, has made an outstanding contribution to the daily life of the school in the following ways: displays interest in academic achievement; is concerned with the overall improvement of the Tuck School; actively participates in school functions and contributes to their success; is concerned with helping other students in their efforts, especially scholarship; and actively participates in class discussions and displays independent intellectual curiosity; and was not the recipient of the Lieutenant (J.G.) Walter A. Jacobs Memorial Prize.

Second-year students are asked to nominate three classmates for this award and to identify criteria they feel each nominee demonstrates. The names of the three or four students who receive the most votes are forwarded to the faculty who taught during the year. The faculty select the award recipient.

7. The Lillian and Charles Leech Prize for Excellence in Finance

The Lillian and Charles Leech Prize for Excellence in Finance is awarded to a graduating student who has shown excellence in the academic area of finance. The award recipient is selected by a committee of faculty from the area of finance.

8. The Dero Saunders Award

The Dero Saunders Award is awarded to a graduating student who, through both personal qualities and accomplishments in management communication courses, demonstrates outstanding ability to communicate effectively as a manager. The award recipient is selected by a committee of faculty from the area of management communication.

9. The Julia Stell Award

The Julia Stell Award is presented to a small group of students who have made substantial contributions to the Tuck community during their two years at Tuck, played a leadership role in school programs and functions, and shown extraordinary efforts to help fellow students, especially in scholastic efforts.

In the spring of the second year, a publicly announced period of open nominations (from all members of the Tuck community, including faculty, staff, and students) will occur. This nomination process will be administered by the MBA Program Office. A small committee (including at least one student, the senior associate dean, and the associate dean and assistant deans of the MBA program) will cull down the list and select statements from nomination forms. The faculty, staff, and students will vote. The committee will choose a small number of students (normally 2 to 5 percent) based on the vote.

Julia Stell Award Policy adopted at the June 8, 1994, faculty meeting.

O. Examination Policies

1. Scheduling of Examinations

Three kinds of examinations are normally given at Tuck: a final examination for a course and both unannounced and announced exams (including take-home exams) during the term. Announced and unannounced exams may be given in regularly scheduled class sessions or at other times at the discretion of the instructor. In order to minimize conflicts, the registrar is responsible for working with faculty to coordinate these exams. During final exams, a day early in the examination period is designated as a reading period whenever practical.

2. Form of Examination

Whether a course has a final examination and the form that the final examination will take are left to the discretion of each course instructor who should announce these matters early in the term. Final exam plans, after announcement, may not be changed without the approval of the executive committee.

3. Excused Absences

Students should obtain excused absences for announced exams in advance. They may obtain excused absences for unannounced exams after having missed the class. In order to ensure consistency in administration, the associate dean of the MBA program (or his/her designate) will consult with the faculty in cases where it is unclear whether an absence from an examination should be excused. If a student is excused from attendance at an examination, the course instructor will decide how to deal with the absence. In the case of announced examinations, the usual procedure will be to arrange a makeup exam to be taken either at the school or elsewhere. Arrangements may be made for a student to take the makeup exam at the discretion of the instructor. Students should be sensitive to the potential increased risk with makeup exams of exchanging information with fellow students. Such exchange could result in a violation of the honor principle. Every effort should be made to protect the confidentiality of information about the form, content, and degree of difficulty of the exam. In the case of an unannounced examination, a makeup exam will not normally be given.

4. Absences without Excuse

A student absent from an examination without an excuse will normally be given a zero for the examination. How this grade is used in assigning a final grade to the student for the course is left to the discretion of the course instructor.

5. Time Allowance for Examinations

Extra time on all examinations will be granted only to qualified students with disabilities. According to federal regulations, students with documented learning disabilities have the same legal entitlements as students with physical disabilities and are therefore entitled to academic adjustments and/or auxiliary aids.

Examination policies adopted at the June 7, 1995, faculty meeting.

P. Student Performance Review

1. Statement of Philosophy

The quality and integrity of the Tuck MBA degree depend upon the ability of the faculty to maintain the highest standards of student academic performance and student professional conduct. However, when students fail to meet those standards, the institution must act upon the evidence and deal with the consequences.

It is the faculty's responsibility, therefore, to uphold the scholastic and professional standards of the school by reviewing and bringing to the attention of the associate dean of the MBA program and/or the director of the MBA Program Office academic and conduct problems as soon as they are observed. The interests of the faculty are represented in procedures for student performance review by the APC. In addition, at the end of each academic year, the faculty admits to the second year and certifies for graduation only those students who have met Tuck's standards. Students are admitted to the second year by vote of the executive committee, based on the recommendation of the APC. The executive committee will then notify the faculty of their decision at the fall faculty meeting.

2. Criteria

a) Academic Criteria

Ability to meet the scholastic standards of the school, and potential to benefit from further work at the school.

b) Conduct Criteria

Ability to meet professional standards of the school, and likelihood of not significantly hindering the progress of other students.

3. Procedure

a) Faculty Review

It is the faculty's responsibility to continually review the performance of students in their courses, promptly bringing to the attention of the associate dean of the MBA program and/or the director of the MBA program any students who are (1) performing unsatisfactorily in academic work or (2) failing to maintain a professional attitude in their relationships with their colleagues at Tuck, with the faculty, or with others they meet in connection with school activities. The associate dean of the MBA program will include this information in the student's file, thereby providing the faculty with a comprehensive and current record of shortcomings in academic performance or in professional conduct. Normally, such information does not become part of the student's permanent record and is removed upon graduation.

b) Counseling

The effective administration of a student performance review procedure requires that students be made aware of their status throughout the academic year. Students whose academic work reveals significant

weaknesses should be advised on how to improve their performance; students whom faculty or senior administrators believe are behaving unprofessionally should be advised on how to improve their conduct. In the absence of an agreeable solution, cases may be referred to the judicial board and/or a professional counseling service.

c) First Notice

Any student who receives two or more Low Pass grades cumulatively will be monitored and counseled by the deans of the MBA program. Any student who has been reported as behaving unprofessionally will be monitored and counseled by the associate dean of the MBA program.

d) Repeated Violation of the Academic Honor Principle

For any case where a student has violated the academic honor principle more than once, the cases shall be reviewed by the academic honor committee for possible further action. The rationale for this further review is that a student may have more than one violation, each of which was resolved individually with the faculty member involved. Faculty members will report cases to the judicial board and the associate dean of the MBA program. It will be the responsibility of the associate dean of the MBA program to insure that a second violation triggers a review by the academic honor committee. The academic honor committee should at that point strongly consider dismissal from the program.

e) Probation

Students may be placed on probation in the following ways:

- Students who receive three or more Low Pass grades cumulatively are automatically placed on probation.
- Students who receive one failing grade are automatically placed on probation.
- Students who are reported to be exhibiting unprofessional behavior, even after they have been advised that their conduct was unacceptable, are placed on probation at the discretion of the associate dean of the MBA program.

f) Dismissal

Students may be dismissed from the program in the following ways:

- Students who receive six Low Pass grades cumulatively are withdrawn from the program. For purposes of this rule, a failing grade is counted as two Low Pass grades.
- Students who receive a second failing grade in the same course are withdrawn from the program.
- Students who are reported to still be exhibiting unprofessional behavior, even after they have been advised that their conduct was unacceptable and placed on probation, are withdrawn from the program.

g) Appeal

Students have the right to appeal their status on probation or their status as withdrawn from the program. Their petition must be made in writing to the APC. In the case of an appeal, the APC will make a final decision about the student's status.

h) APC Review

Each term, the APC reviews all cases of academic probation and unprofessional conduct. The APC may remove a student from probation after one or two terms in which the student has consistently met academic and conduct standards. At the end of each academic year, the APC summarizes the year's cases in a confidential report to the faculty.

i) Federal Title IV Financial Aid³ Eligibility

For the purpose of measuring satisfactory progress toward the degree in order to maintain eligibility for federal funds, the Tuck Financial Aid Office reviews the academic records of students at the end of each academic year. In addition, the associate dean of the MBA program and/or the director of the MBA Program Office, along with the APC, reviews student grades at the end of each term to determine academic standing.

Students who receive a first notice or who are placed on probation are not restricted in their eligibility for financial aid and are given the opportunity to address their academic performance. These students must meet the standards of satisfactory academic progress at the end of the probationary period as determined by the APC and stated in the probation notice, or eligibility for federal Title IV financial aid will be terminated until the student is once again making satisfactory progress.

A student may regain eligibility for Perkins Loans and federal work-study employment for the payment period (academic term) in which he/she resumes satisfactory academic progress. For Stafford Loans, a student regains eligibility for the entire period of enrollment (academic year) in which he/she resumes satisfactory academic progress.

A student who appeals probation or dismissal is subject to the same financial aid guidelines described above while in the appeal process. Throughout the probation appeal process, a student is considered on probation for the purposes of financial aid, and therefore still eligible for federal Title IV funds. Throughout the dismissal appeal process, a student is considered dismissed for the purposes of financial aid, and therefore ineligible for federal Title IV funds. If a dismissal appeal is granted, eligibility is regained as of the date the appeal is approved; it is not retroactive to the date of dismissal. For details on each financial aid program and prorated funding amounts, please see the Tuck Financial Aid Office director or associate director.

4. Readmission

³ Federal Title IV financial aid for graduate students may include federal Perkins Loans, federal Stafford Loans, and federal work-study employment.

a) Students in Good Standing

Students not on probation who leave Tuck voluntarily remain degree candidates for five years, in accordance with the Policy on Readmission to the MBA Program section of this handbook.

b) Students on Probation

Students who leave while they are on probation must re-apply for admission, which is not automatically granted.

c) Students Who Have Been Dismissed

Dismissed students may re-apply for admission, which will only be granted under extraordinary circumstances.

Student Performance Review Policy adopted at June 15, 1999, faculty meeting.

Q. Policy on Readmission to the MBA Program

1. Departure During the Fall Term, First Year

Students who leave during the fall term of the first year will need to apply for readmission, which will only be granted in cases of extenuating circumstances in consultation with the director of the MBA Program Office.

2. Departure After the Fall Term, First Year

Students who leave the school voluntarily in good academic standing any time after the fall terms of the first year but before completing the MBA degree remain degree candidates for a period of five years from the date of leaving, provided the student was never placed on probation while enrolled. During this period, students may re-enroll for the purpose of completing the requirements for the degree. In such cases, candidates may elect to complete the degree work under (1) the course requirements at the time of their initial enrollment (provided the necessary courses are still being offered) or (2) the requirements at their time of re-enrollment. The academic standards at the time of readmission will apply.

3. Readmission After Five Years

Students who leave the school in good academic standing before completing the MBA degree and who do not re-enroll within the five-year period are required to apply for readmission through the Admissions Office. Readmission will be granted only in cases of extenuating circumstances. If such an application is approved, the course requirements and academic standards in force at the time of readmission will apply. A student who withdraws a second time prior to completing the MBA degree will normally not be permitted to re-enter the program.

4. Students on Probation

Students who leave while they are on probation must re-apply for admission, which is not automatically granted.

5. Students Who Have Been Dismissed

Dismissed students may re-apply for admission, which will only be granted under extraordinary circumstances.

R. Policy on Evaluation of Instruction

1. Policy Statement

The faculty is constantly exploring ways to improve the quality of classroom instruction and the overall learning climate of the school. One method for securing information relevant to this improvement is through a formal questionnaire completed by each student, rating each of the courses completed during the two years. The objectives of this questionnaire and the data generated from it are threefold:

- a) To provide the individual faculty member with a source of feedback about student perceptions of the quality of instruction in each course;
- b) To provide the dean with information relevant to counseling individual faculty in their teaching careers at Tuck; and
- c) To provide students with the evaluations of elective courses in order to facilitate course selection in subsequent terms.

2. Administration of Evaluation Forms

Faculty will announce course evaluations in the classroom during the last week of each course. The MBA Program Office will distribute survey results to faculty after grades have been received by the registrar. Each faculty member will receive the statistics and comments for his/her own course, while distributive statistics are shared with the entire faculty.

3. Distribution of Summary Statistics

A statistical summary of the results of all elective second-year courses will be put on reserve in Feldberg Library by the MBA Program Office.

S. Laptop Policy

To provide a first-class learning environment, and out of respect for fellow students, visitors and faculty, Tuck honors the following policy regarding use of laptops and other electronic communication devices in class.

Use of laptops and other electronic communication devices is appropriate during class only when their use is directly relevant to that class session.

“Class session” refers to any regular Tuck class, guest speaker presentations, and recruiter presentations.

Examples of appropriate use of these devices include:

- Building a spreadsheet model if instructed to do so by your instructor;
- Referring to a spreadsheet model, notes, or other materials, prepared in advance if they are relevant to the current discussion;
- Taking notes for the current class session, only with prior permission of the instructor; and
- Referring to handouts provided electronically or accessing websites as directed by your instructor.

Examples of inappropriate use of these devices include:

- Receiving, checking or writing email or instant messages (IMs);
- Surfing the Internet, intranet (TuckStreams), or checking any website that is not directly relevant to the current class; and
- Accessing a company website if the instructor has requested that students not consult materials other than those listed in the syllabus.

If laptops or other electronic communication devices are not being used for the current class session, the screen should be closed at all times. When these devices are used appropriately during class, the screen should be closed as soon as that specific activity is finished.

Accepted by the faculty at the June 5, 2002 faculty meeting.

T. Auditing of Tuck Courses by Tuck Students

Tuck students may audit Tuck courses provided the instructor’s permission is obtained and there is space in the class. An auditor, however, may not participate in class discussions, may not take examinations or submit papers for critical comment, and may not receive a grade, formal or informal.

U. Faculty-Directed Research

Students may participate in faculty-directed research options, carrying regular second-year course credit, under the following guidelines:

- Students will be invited by a faculty member to work on a research project that is of primary interest to the faculty member. Students who elect to participate may then decide whether to seek course credit for the activity or to assist outside the formal MBA program requirements.
- Faculty/student participants will present written proposals for the approval of the executive committee, which may wish to limit the total number of projects.
- Written proposals for faculty-directed student research projects shall be furnished to the executive committee not later than (1) the close of the second day of scheduled classes in the fall term or (2) one week prior to registration for the winter and spring terms.
- Students will usually, but not necessarily, begin this research activity during the summer between their first and second year of study. Either the faculty member or the student may terminate the relationship prior to the beginning of the following academic year.
- Students may receive a maximum of three courses of MBA credit for this work, and the maximal model will not be unusual. No grade will be given for faculty-directed research option work and no more than two courses' credits may be obtained in any one term.
- Students may receive compensation at the research assistant stipend level, during the summer months only. During the academic year, only certain out-of-pocket costs may be reimbursed, according to school policy.
- The research will be a collaborative effort between the student and faculty member. One of its principal goals will be to provide both important scholarly results and substantial student benefit. For example, one output might be a jointly authored article for publication in a scholarly journal.
- All students who are engaged in faculty-directed research will be invited to participate in faculty research seminars. These seminars will provide opportunities for the students and faculty to discuss current faculty projects, hear guest speakers from outside Tuck, learn more about research strategy and methodology, and generate collaborative faculty research projects.
- In general, a student will not participate in the faculty-directed research option and engage in independent study in the same term.
- Election of the faculty-directed research option will not affect a student's tuition for the year.

V. Independent Studies

Students may propose independent studies, and these will carry regular second-year course credit. Generally, (1) a student may not take more than one independent study per academic term, and (2) independent studies will be performed by students singly, but two or more students may propose a joint project in circumstances that justify a team approach.

Independent studies must be:

- Consistent with the philosophy and objectives of the MBA program;
- Equivalent to any other Tuck course in terms of rigor, academic quality, and workload (i.e., at least 12 hours a week);
- Not the equivalent of a project within the framework of an existing course, or clearly available beyond graduation; and
- A unique and independent contribution to knowledge. The questions asked must be specific enough to be rigorously examined yet also of general interest. The project cannot involve only the development of business plans or consulting projects, nor can it be merely a summary of the existing literature on a particular topic. Case studies are appropriate for independent studies. They must, however, involve the writing of a complete teaching note which integrates the research relevant to a particular case and which also provides an analysis of the case.

1. Procedures and Expectations

Each independent study will be supervised by two faculty members (mutually agreed upon by the student and the two faculty). These two faculty members will have full responsibility for supervising the project and for evaluating and grading the project at its conclusion. The Tuck School will not reimburse students for expenses incurred during an independent study.

a) Proposal

The independent study proposal should include a description of the project, the objectives, the methodology, the relevant reading lists, a timetable, and the expected outcomes. This project would normally be completed in one term and would not duplicate work from other classes.

b) Approval Process

The student shall (1) write the proposal, (2) obtain an independent study approval form from the registrar and have it signed by two faculty members, and (3) submit the signed form and proposal to the registrar on or before the fourth day of classes. (Students are responsible for attending a fourth class until their proposals gain final approval.) The registrar will, in turn, forward it to the associate dean of the MBA program for final approval.

c) Written Report

At the conclusion of the independent study (no later than the first day of the final examination period concluding a particular term), the student will submit a full written report to the two supervisory faculty members. The form and objectives of such a report should be settled among the parties as early in the term as feasible. The two faculty members will be responsible for evaluating the report and grading the independent study.

Policy adopted at June 8, 1994, faculty meeting.

2. Off-Campus Study

Students may propose to spend one term of their second year, and no more than one academic term, in study elsewhere, with the following understandings:

- a) Off-campus study for Tuck credit must meet the same specifications as those in the Independent Studies Section of this handbook, and the student proposing off-campus study must be in good academic standing.
- b) Off-campus study may include credit courses taken at another university in the U.S. or abroad.
 - Such a program of study must be approved by the executive committee substantially in advance of the term in which it is to be performed, usually at least one month in advance.
 - The student is responsible for obtaining the permission of the other university to take the program of study proposed.
 - Tuck will not charge tuition for that portion of the term of off-campus study that is spent in courses for credit at another institution.
- c) Off-campus study may consist of a major independent project of such size, scope, and educational promise to be judged a valid and valuable learning experience, in relation to the portion of the term's time it will take (i.e., it may be a full term's commitment or it may be combined with courses for credit at another institution). As an independent study project, it is governed by the specifications in the Independent Studies Section of this handbook.
- d) Off-campus study proposals will always be judged both on their merit and against the opportunity costs of being away from Tuck for a term. Each student's situation will be assessed in its own total particularity in making such judgments.

3. Exchange Programs

Tuck School currently has formal student exchange programs with the London Business School (LBS), the International University of Japan (IUI), Institut Supérieur des Affaires in Paris (HEC/ISA), WHU in Koblenz, the Instituto de Estudios Superiores de la Empresa (IESE) in Barcelona, Leipzig Graduate School of Management (HHL) in Leipzig, Germany, the Australian Graduate School of Management (AGSM) in Sydney, and Universidad Adolfo Ibanez in Chile. These programs allow several Tuck students to spend a term overseas. Alternatively, Tuck students may spend one academic term of study at the Fletcher School of Law and Diplomacy at Tufts University in Massachusetts. Under the terms of the exchange agreements, Tuck may nominate one or more students to attend these schools for one term during the student's second year. A Tuck student who goes to one of the six schools pays tuition at Tuck and will receive Tuck credit for the courses taken at the host institution.

4. Joint Programs

The Tuck School allows students the flexibility to work toward two degrees concurrently. There are established programs with the Fletcher School of Law and Diplomacy at Tufts University, Vermont Law School, the John F. Kennedy School of Government at Harvard University, the Thayer School of Engineering at Dartmouth, Dartmouth Medical School, and the Dartmouth Center for Evaluative Clinical Science. Typically the Tuck student receives one term of second-year elective credit for a term spent at one of these institutions. Students who are working toward two degrees should file a plan of study with the registrar's office.

5. Auditing Tuck Courses

Given the instructor's approval and space in the class, Tuck students may audit Tuck courses. Auditors, however, may not participate in class discussions, may not take examinations or submit papers for critical comment, and may not receive a grade, formal or informal.

W. Policies on Access to Tuck School Student Files

1. Confidentiality of Student Files

Under a long-standing policy of the school, access to student records is limited to faculty, administrative officers, and members of the staff who maintain these records or have a legitimate need to review their content.

a) Contents of a Student File

The typical student file contains the admissions application and correspondence related thereto, transcripts from prior institutions attended, acceptance letter, commendation letters, and other correspondence between the student and the school. Letters of recommendation in support of a student's application to Tuck are not retained.

b) Student File Information that Can Be Released

The following information, considered "directory information," may be released to outsiders without the explicit permission of the student: student's name, address, telephone number, date and place of birth, participation in officially recognized school activities, dates of attendance, degrees and awards received, and previous educational institutions attended by the student. Any student who objects to this procedure should notify the registrar in writing and the school will be so guided.

2. Student Inspection of Student Files

The policy of the Tuck School is to permit each Tuck student, on request, to inspect and review his/her official file and to be able to challenge records which are deemed to be inaccurate, misleading, or to violate the student's privacy or other rights.

- A student who wishes to inspect the file shall make an appointment for this purpose with the registrar, who is the official custodian of student records.
- Prior to the student's inspection of the file, the registrar or his/her delegate will review the file and remove any material of a confidential nature that the student has waived the right to see. The school will not destroy any part of a student's record if there is an outstanding request to inspect and review the file.
- The student's inspection of the file should take place in a manner that provides the student with enough time to do a thorough job, adequate workspace to read the material and take notes, reasonable privacy, and protection from distraction. However, an officer of the school or a duly appointed representative shall be present to assure that nothing is taken from the file or altered. This precaution is required both to protect the integrity of the file and to protect the student from any later suspicion of having tampered with the material, however remote the probability of any such incident might be. If the file contains information on more than one student, the student will be informed of only the specific information that pertains to him/her.
- A student who wishes to add a memorandum to the file explaining, completing, or rebutting any item in the file may do so by addressing such a document to the registrar with the request that it be filed.
- A student who believes that information contained in the file is inaccurate or misleading or violates the student's privacy or other rights may request that the school amend the file. The first step in such a process is to petition the director of the MBA Program Office for a review and judgment with respect to the item(s) in question. Such a petition must document its challenge with reasonable specificity and relevance. If the director judges the petition to be sufficiently concrete and relevant, the director will contact the author of the challenged document and attempt to settle the matter informally. If no satisfactory settlement can be reached by such informal means, the student may request a hearing by a subcommittee of the executive committee of the faculty to study the matter and make a recommendation to the dean. Such a subcommittee shall have at least one faculty member and one student member, unless for reasons of confidentiality the petitioner requests that no fellow student shall serve. The student will be afforded a full and fair opportunity to present evidence relevant to the issue raised and may be assisted or represented by individuals of his/her choice at the student's own expense, including an attorney. The dean's decision, which will be based solely upon the evidence presented at the hearing, will include a summary of the evidence and the reasons for the decision. Should the document in the student's file, which is the subject of the above review, be one that was written by the dean, the senior ranking member of the Tuck faculty who does not serve as an administrative officer shall take the place of the dean in the description and requirements of this paragraph.
- If, as a result of the hearing, the dean decides that the challenged information is inaccurate, misleading, or otherwise in violation of the privacy or other rights of the student, the dean shall amend or remove it and so inform the student in writing. On the other hand, if, as a result of the hearing, the dean decides that the challenged information is accurate, the student will be invited to place in the file a statement commenting on the information and/or setting forth any reasons for

disagreeing with the decision of the school. Such a statement will become a permanent part of the student's file.

X. Non-Tuck Students in Tuck Courses

1. Auditors

Dartmouth College students, Dartmouth College employees, or the spouses of Tuck students may audit Tuck courses without fee and without credit provided (1) they are qualified by educational background for the course; (2) the instructor's permission to audit is obtained; and (3) there is space in the class. Only under the most exceptional circumstances will other individuals be permitted to audit classes on a regular basis; *a fee will be charged for this privilege.*⁴

An "auditor" may not be evaluated in any way, may not take examinations or submit papers for critical comment, and may not receive a grade, formal or informal.

2. Dartmouth Undergraduates

While Dartmouth undergraduates are rarely admitted to Tuck courses for credit, they may enroll in a Tuck course if permission is granted by the associate dean of the MBA program and the instructor involved. It is the responsibility of the Dean's Office to consider such matters as background prerequisites, and motivations. Undergraduates may not be admitted to courses with limited enrollments or space.

3. Dartmouth Graduate Students

Dartmouth graduate students may enroll in Tuck first-year courses provided (1) they are qualified by educational background for the course; (2) the instructor's permission is obtained; and (3) there is space in the class. Graduate students seeking to enroll in Tuck second-year courses must, in addition, obtain the permission of the associate dean of the MBA program.

4. Special Students

Special students, non-degree candidates taking courses for credit, have been enrolled at Tuck on a very limited basis. In September 1969, the Tuck faculty adopted the following policy with regard to the Special Student Program.

Priorities: It is recommended that the following applicants within the greater Dartmouth Community be eligible for consideration as special students on a first priority basis. The listing is random and not in any order of priority:

- Tuck alumni;

⁴ The current auditing fee is \$1,000 per course. The names of all non-Tuck auditors should be reported to the registrar, and the auditor should be asked to go see him/her.

- Dartmouth alumni;
- Persons recommended by either the associated school overseers or the Dartmouth trustees;
- Employees of associate companies;
- Other major contributors to Dartmouth or its associated schools who do not fall in any of the above categories;
- Dartmouth College employees and spouses;
- DHMC employees and spouses; and
- Cold Regions Research and Engineering Laboratory employees and spouses.

It is further recommended that other applicants from the greater Hanover area (those who live within reasonable commuting distance) be considered on a second-priority basis.

Procedures: It is recommended that (1) all applicants be required to submit all the application material that is necessary for a regular MBA candidate; namely, the application, application fee, one personal recommendation, scores on the GMAT and TOEFL, and grade transcript; (2) all special students be graded and in other ways treated in the same manner as would any regular MBA candidate; (3) all special students who have been admitted be allowed to actually enroll only if there is space remaining in the incoming class immediately preceding registration.

Y. Guest Speakers

Outside speakers are a valuable educational resource. However, funds for this purpose are limited and their use must be carefully planned. The faculty should consult with the director of fiscal services prior to the start of each term regarding their need for funds for guest speakers.

The Development and Alumni Affairs and MBA Program Offices should be given the names of all outside speakers, preferably several weeks before their visit.

The Alan Smith T'53 Visiting Executive (VE) Program brings top executives, many of whom are Tuck alums, to the school to share their expertise in the classroom and to provide students and faculty with opportunities to interact with business leaders from different sectors in a variety of settings. The program is managed by the Development and Alumni Affairs Office, with the assistance of six second-year students chosen each year to serve as VE student coordinators. The Development and Alumni Affairs Office handles all arrangements for guests sponsored by the program, and covers the lodging and meal costs while the guest is in Hanover. VE program guests typically cover their own travel costs.

For guests not sponsored by the VE program, faculty members and their academic assistants make the arrangements for the visit. After consultation with the director of fiscal services, costs can be charged

to the Tuck course account. Normally guests pay for their own travel costs, and Tuck covers lodging and meal costs while the guest is in Hanover.

Z. Teaching Assistants

Teaching assistants can be used to tutor individual students, run review sessions, and help with grading certain assignments (mainly those with little ambiguity about solutions). Teaching assistants tend to be most useful for first-year courses, since second-year students have a deep knowledge of the course content. It is uncommon to use a teaching assistant in an elective.

Normally it is up to the faculty member to find a teaching assistant. The associate dean of the MBA program or the assistant dean and director of the MBA program can assist new or visiting faculty with finding an assistant if needed. Payment for teaching assistants comes from the Tuck course account, not from faculty STAR accounts.

Teaching assistants need to fill out all necessary paperwork with the Tuck HR manager in order to be on the payroll.

IV. ADMINISTRATIVE POLICIES AND PROCEDURES

A. Travel, Entertainment, and Other Business Expense Policies

1. General Policies

The basic policy governing travel expenses is that an individual should neither gain nor lose funds in the course of conducting College business.

The Travel Policy applies to travel away from home, as well as other necessary and essential travel and business expense reimbursements.

All travel accommodations should be arranged through the College Travel Office which is staffed and managed by Travel Leaders. Contact the College Travel Office at 603-646-3900, toll free at 800-284-1647, or College.Travel.Office@Dartmouth.EDU. In case of an emergency outside of the business hours of 8:00 am-8:00 pm Monday-Friday, 10:00 am-6:00 pm Saturday (EST), contact Travel Leaders Emergency Services at 800-284-1647.

If your travel arrangements were handled through the College Travel Office and it becomes necessary to change your travel itinerary while enroute, please contact the Travel Office at 800-284-1647 for assistance. In the event of an emergency or to make any changes in your itinerary after regular business hours contact the Travel Leaders Emergency Services at 800-284-1647.

The College will reimburse only those expenses incurred in connection with College business and which are appropriately documented by the employee.

Assuming a reasonable level of comfort and convenience for the traveler, every effort should be made to keep College expenses to a minimum. Departmental policies will govern how authorization for travel is granted. Departments may elect to impose additional controls over travel expenditures beyond those required by this policy.

Travelers should use standard accommodations in reasonably priced hotels, taking advantage of educational and group discounts made available through the College Travel Office. If the College Travel Office was not involved in making your travel arrangements, they may be unable to provide assistance if you require changes to your itinerary.

Reimbursement will be on the basis of actual and reasonable expenses incurred for transportation, meals, lodging and other necessary business expenses. A per diem travel reimbursement allowance is available for visitors to the Hanover area.

Expenses must be reported on an actual cost basis (substantiated with receipts for expenditures). Original receipts must be maintained and submitted for any single travel expenditure of \$75 or more to comply with IRS regulations. Where per diem rates are in order, the traveler is expected to stay within these guidelines.

The Travel & Entertainment Expense Voucher must be approved by the traveler's immediate supervisor or a more senior officer who has the authority to approve such expenditures. A supervisor or senior officer can not approve the Travel & Entertainment Expense Voucher if they also traveled with the individual on College business. A more senior officer would need to approve the expenditures.

The College will not reimburse travelers for expenses which are inherently personal in nature such as child care, clothing, personal recreation or entertainment. Reimbursable expenses must have a business purpose.

The College will not provide travel advances nor make reimbursements for the travel expenses of spouses or others who accompany faculty or other employees on College business, except in unusual circumstances which require their presence. These exceptions must be approved in advance and in writing by a Dean, Vice President or President.

Compliance with this policy will greatly facilitate the processing and payment of the travel reimbursement request.

2. Transportation, Insurance, and Parking

a) Air Travel

Air travel is reimbursed for coach economy airfare only. Exceptions to the air travel policy for business travel involving an extended period of travel time or tight scheduling will only be considered with the prior approval of a Vice President, Provost or President.

Air travel is restricted to regularly scheduled commercial airlines. In the event it is necessary to use air charter or air taxi services, the traveler must contact the Office of Integrated Risk Management & Insurance at 603-646-2441. Corporate aircraft of major recognized corporations may be used under exceptional circumstances with the approval of a Dean, Vice President or President.

All travel accommodations should be arranged through the College Travel Office. The total cost will be charged directly to your department account number. All travel arrangements should be made well in advance, as airfare booked early can often be obtained at a much lower rate. Before committing to a deeply discounted ticket carrying a substantial penalty for cancellation, individuals should make certain that they can adhere to the planned itinerary.

If your travel arrangements were handled through the College Travel Office and it becomes necessary to change your travel itinerary while enroute, please contact the Travel Office at 800-321-0707 for assistance. In the event of an emergency or to make any changes in your itinerary after regular business hours contact the Garber Travel Emergency Services at 800-508-7445 and state your executive contract ID number 2U89 to receive assistance. It is important that you only contact the Emergency Services after hours as the College is assessed a fee for every call. All changes to your itinerary must follow through our travel system for accounting purposes.

Please note: If you use your personal credit card to make your travel arrangements, this fee will be charged directly to your credit card.

In the event your travel plans change, you must contact the College Travel Office immediately. Recent changes to various ticket classes have made it mandatory to deal with changes in advance of your travel. Failure to do so will result in the loss of the full value for all non-refundable tickets.

The College Travel Office has negotiated discounted airfares on most major airlines. Their agents are trained to look for the lowest priced, most convenient airfare for you. If you book your airfare via another agency, the College may not reimburse you until after your trip has occurred. If it is determined that your airfare was booked at a higher price than was available through the College Travel Office, the College will not be obligated to reimburse you for the higher ticket price.

b) Travel Class

The class of air travel chosen is expected to be the least costly option consistent with a reasonable level of comfort and convenience for the traveler. Generally, this reasonable level dictates that coach economy class or standard accommodations should be used. The College Travel Office will offer the lowest fare consistent within a two hour window of the arrival and departure times requested by the traveler. In a few cases, premium fares are an appropriate reimbursable business expense. For overnight "red-eye" flights exceeding 5 hours in flight and other flights exceeding 7 hours in flight, the traveler may be reimbursed for business class when permitted by the sponsoring agency and/or the department.

c) Group Travel

Group travel consisting of 10 or more individuals with like points of departure or destination are eligible for special rates. Any department requesting a price quote for group travel from an outside agency must also submit a travel bid form, at the same time, to the College Travel Office. The Controller's Office will reject reimbursement for payment for group travel arranged by an outside agency without a College Travel Office bid form accompanying the reimbursement request.

d) Frequent Flyer Plans

It is College policy that travelers may personally retain the rewards for frequent flyer plans or other bonuses that may accrue from business travel. However, in no case may the traveler choose a reservation at a higher cost in order to accumulate additional plan credits. The College will not purchase frequent flyer miles from travelers or reimburse them for tickets purchased with frequent flyer miles. Any membership fees to join frequent flyer clubs are considered personal expenses and will not be reimbursed by the College.

e) Ground Transportation and Parking

Travelers using their personal vehicles to drive to the airport will be reimbursed only for miles in excess of the traveler's normal commute to the office. If travel to the airport on a non-workday is

necessary, reimbursement will be made for the entire distance. Parking at the airport will be reimbursed, but travelers are urged to use long-term, lower-cost parking lots when available. If public transportation or taxi service to and from the airport is available at a lower cost (due to the high cost of parking in most cities and airports), the traveler is encouraged to take advantage of these savings.

When departing from Logan Airport in Boston, you should contact the College Travel Office for a possible alternative to parking at the Logan terminal. The Travel Office may be able to make parking arrangements that will be convenient and at a lower cost, resulting in significant savings over the cost of parking at the airport terminal. Once at the destination, the traveler is reminded that hotel shuttles may be available free of charge or for a nominal fee.

f) Change in Travel Schedule

Additional costs incurred for early departure or late return are not reimbursable unless the savings in airfare is equal to or greater than the total costs for lodging, meals, etc. incurred during the additional days of travel. All additional costs must be weighed against the savings in airfare, including the inherent cost of being out of the office for a longer period of time.

If your travel arrangements were handled through the College Travel Office and it becomes necessary to change your travel itinerary while enroute, please contact the Travel Office at 800-321-0707 for assistance. In the event of an emergency or to make any changes in your itinerary after regular business hours contact the Garber Travel Emergency Services at 800-508-7445 and state your executive contract ID number 2U89 to receive assistance. It is important that you only contact the Emergency Services after hours as the College is assessed a fee for every call. All changes to your itinerary must follow through our travel system for accounting purposes.

Please note: If you use your personal credit card to make your travel arrangements, this fee will be charged directly to your credit card.

g) Accident Insurance

The College's total travel accident insurance benefit includes a layer of coverage for air travel only. The full benefit program, as of the date of this posting, is as follows: \$250,000 for all travel, an additional \$750,000 coverage specifically for scheduled air travel. There is an aggregate coverage of \$10,000,000 for thirteen or more people traveling together on related business. Coverage below this number of travelers will be calculated at \$1,000,000 per person. Utilizing the JPMorganChase Corporate Card provides an additional \$500,000 coverage. If you do not use the College Travel Office or the JPMorganChase Corporate Card when making alternative travel arrangements, you will be waiving the \$500,000 additional insurance death benefit. Additional flight insurance individually purchased by employees is not a reimbursable expense.

h) Lost Items

Lost or stolen tickets should be reported to the College Travel Office as soon as possible. Most airlines will refund the full amount less a processing fee.

Insurance recovery is available for lost luggage up to a maximum of \$1250 if the travel arrangements were made through the College Travel Office or charged to a JPMorganChase Corporate Card. You should immediately file claim forms with the airline baggage claims office. If special equipment is accompanying the traveler or other special circumstances warrant, traveler(s) may wish to obtain additional insurance coverage from the airlines for lost baggage. Contact the College Travel Office for assistance in pursuing this additional coverage. Lost luggage, clothing or other personal items beyond what is described above are the responsibility of the traveler. Recovery for such personal losses may be available through the individual's homeowner insurance.

i) VOX Cars

If travel by automobile is appropriate, travelers should determine whether a College VOX car provides the best option in terms of cost and convenience.

Information regarding pricing and making reservations can be found at <http://www.dartmouth.edu/~fom/services/voxcars.html>. VOX cars are generally the most cost effective option for trips of short duration within reasonable driving distances.

Travelers should note that the College will not reimburse employees for parking tickets or fines for moving violations.

j) Approved Driver Policy

Only properly authorized employees and students may operate College owned, leased or rented vehicles, for official College business. All employees and student drivers must be named on the College Approved Drivers list maintained by the Office of Integrated Risk Management & Insurance and must complete the Driver Safety Review program currently being offered.

k) Personal Automobiles

As a general rule, the use of personal vehicles for College travel is discouraged because no reimbursement will be made for the cost of repairs to these vehicles, regardless of whether the costs result from business travel or whether they result from acts of the traveler or another individual. Furthermore, it is the obligation of the owner of a personal vehicle being used for College business to carry adequate insurance for his or her protection and for the protection of any passengers.

When the use of a personal vehicle is necessary, reimbursement for its use will be at the mileage rate published by the Controller's Office. Effective with the distribution of this publication, the mileage reimbursement rate is \$.50/mile. The reimbursement rate includes the vehicle as well as any repairs, gas charges and an increment for the owner's personal automobile insurance coverage, since it is the primary coverage in case of an accident. Additional reimbursement may be requested for tolls and parking fees. The College will not reimburse employees for parking tickets, fines for moving violations, vehicle towing charges or auto repairs and maintenance.

l) Taxis, Shuttle and Car Service

Other transportation expenses include the cost of taxis, airport vans (or limousine service) and public transportation while on College business. The College will reimburse the travelers for these expenses when reasonable and properly documented.

Local taxi fares and shuttles to and from airports and railroad or bus stations are reimbursable (including a reasonable tip) to the extent that such service is not included in the air or rail fare.

m) Car Services

Dartmouth departments are able to make arrangements for local car services through Travel Leaders. Arrangements have been made to allow direct billing to Dartmouth for the following regional car services: Amoskeag, Avante, Apex, and North Country. Call the Travel Leaders agents at 603-646-3900 or 800-284-1647 and provide them with the name of the traveler, dates, pick-up and drop off locations and chart string to be charged. The expense can be direct billed to your Dartmouth chart string for visitor travel. Dartmouth employees may continue to use their Corporate card and request reimbursement for the travel expense.

For a comparison of regional transportation options available see the Transportation Matrix at <https://www.dartmouth.edu/~cto/restricteddocs/reg-transportation-matrix.pdf>.

n) Rail Travel

Coach accommodations must be used for trips shorter than 7 hours of travel on the train. First class (roomette) accommodations may be used for longer trips or overnight travel. The College Travel Office will assist you in making rail travel accommodations.

3. Lodging and Miscellaneous Travel Expenses

a) General

Lodging

Negotiated rates are not available, or if the traveler is at a location where no discount is available, the lodging chosen is expected to be the least costly available consistent with a reasonable level of comfort and convenience for the traveler. Except under extenuating circumstances, the college will not reimburse expenses due to a traveler's failure to cancel guaranteed room reservations. Note: Employees must retain their itemized hotel bill for settlement of their travel expenses.

b) Gratuities for Hosts

Should the traveler decide to stay with colleagues, family, or friends in lieu of a hotel, the traveler may request reimbursement for gratuity expenses of a reasonable value (for example, flowers or a meal) offered to the hosts. These gratuities would be in place of meals and/or lodging for the

accommodations provided by an acquaintance of the traveler. Explanation of such items should be submitted with the travel settlement.

c) Traveler's Meals

The college will reimburse travelers for the reasonable cost of their own meals incurred during the time they are away from home (as distinguished from entertainment expenses or local business meals, which are explained in the following sections). While the cost of meals varies widely, the college expects that travelers will spend no more than \$50.00 for three meals per day, including tips. It is Tuck's policy, however, to reimburse up to \$75.00 for three meals per day, including tips. Please note that only actual costs for meals and tips are reimbursed. All original receipts for meals over \$25.00 must be attached to the reimbursement request, including the receipt that itemizes the specific items purchased. Employees are encouraged to obtain and submit receipts for all meals, regardless of amount.

While not encouraged, it is understood that a limited amount of alcohol in connection with a traveler's meal is reimbursable within the allowed daily spending amount for meals. Alcoholic beverages consumed by travelers between or after mealtimes are not considered meals and are not reimbursable, unless they qualify as necessary entertainment expenses (see Section III.A.4., "Business Meals and Entertainment").

As a general rule, travelers are expected to incur no additional cost for meals which are provided as part of a fee for attendance at conferences, workshops, etc., or which are provided by an airline while en route to their destination. When meals are provided in this way, the daily meal limit of \$75.00 should be reduced accordingly. If travelers choose to forgo meals included with the fee for a function or as part of their transportation cost, the college will not ordinarily reimburse for the cost of meals eaten elsewhere.

When the traveler is claiming reimbursement for meals purchased for non-Dartmouth personnel, these meals should be considered "business entertainment" rather than "travel meals," and details must be provided concerning the names of the other diners and the business purpose for hosting the meal as outlined in the guidelines on business meals (see Section IV.A.4., "Business Meals and Entertainment").

d) Miscellaneous Travel Expenses

Other reimbursable expenses may include, but are not limited to, tips and business telephone calls. All such expenses must be itemized and documented. The following are additional examples of miscellaneous reimbursable travel expenses:

- Fees for passports and visas, if specifically obtained for the business trip;
- Fees for currency exchange;
- Limited laundry and dry cleaning charges for trips of more than five days;

- Expenses associated with baggage handling and storage, including excess baggage charges and tips; and
- Phone calls home of a reasonable amount.

The college will not reimburse travelers for expenses that are inherently personal in nature. Examples of non-reimbursable expenses are fees for hotel fitness center usage, hotel room movie charges, and toiletries.

e) Personal Business Conducted During Period of Travel

Expenses of a strictly personal nature, as well as any incremental travel costs incurred to conduct personal business during the course of a college business trip, are the responsibility of the traveler. Incremental costs are the otherwise reimbursable expenses that would not have been incurred if the traveler had not conducted personal business at some time during the trip. For example, gasoline and mileage charges for out-of-the-way travel to visit friends or relatives are personal expenses. Such incremental expenses must be identified and deducted from the travel expense settlement. Airline reservations for personal travel made through the College Travel Office must be charged to a personal credit card; they should not be directly billed to a college account.

f) Accompanying Spouses

Expenses incurred for accompanying spouses are considered personal in nature except on the infrequent occasions when attendance of a spouse at an event furthers the business interests of the college. In these cases, the travel should be authorized in advance by a dean, vice president, or president.

g) Conference Registration Fees

Conference registration fees, abstract fees, and other similar types of expenses that must be paid in advance of a professional development program should be paid by a college check. Therefore, it is important to submit an RFP along with supporting documentation (i.e., a copy of the registration form) to the Tuck Fiscal Services Office in a timely manner.

When requesting reimbursement for other costs of the trip, these registration and other similar fees directly paid by the college should appear on the Travel and Entertainment Expense Voucher as an expense charged directly to the college in order to render a comprehensive reporting of all costs associated with the trip.

In those rare instances when a direct college payment for these types of fees is not possible, employees may use their own funds for the conference registration (or similar expense) and be reimbursed in the following ways: (1) on a Travel and Entertainment Expense Voucher, after the trip and/or conference has occurred, or (2) by a cash advance before the conference has occurred with subsequent settlement on a Travel and Entertainment Expense Voucher, presumably with other travel

costs. In advance of the conference, there is not adequate documentation (because the event has not yet occurred) to treat the fee as a reimbursable business expense.

4. Business Meals and Entertainment

a) Employee-Only Business Meals

In cases where college employees meet over a meal when they are not traveling, the cost of the meal is considered a non-reimbursable personal expense unless: 1) the primary purpose of the meeting is to conduct business, and 2) there is a clear and compelling reason to meet outside the office over a meal. Generally, these requirements are met when it is not possible for one or more employees to meet during other working hours, and the purpose of the meeting is to conduct business in accordance with a formal agenda.

It is permissible to incur expenses chargeable to the college for meals provided as part of a local conference, seminar, workshop, presentation or other similar group meeting involving employees when it extends through the usual mealtime(s). Such meals must be reasonable in relation to the nature and purpose of the meeting.

b) Recruiting and Other Business Meals

Expenses for dining involving non-college personnel are reimbursable when the purpose of the meeting is to conduct college business and when it is necessary or desirable to have the meeting in conjunction with, or during, a meal. Expenses for such meals should be kept to a reasonable level. The typical business meal might involve interviews of prospective employees, discussions with vendors, consultants, or other persons with whom the college does business, or meetings of organizations and groups at which agenda items pertinent to college business are covered. Inclusion of spouses or other individuals who are not directly involved in conducting college business or consumption of alcohol are general indications that the occasion is not a business meal, but an entertainment function (see Section IV.A.4, "Business Meals and Entertainment").

c) Alcohol in Conjunction with Business Meals

While not encouraged, alcohol is reimbursable as a business expense (as distinguished from an entertainment expense) when served at college functions primarily intended to promote employee relations. Such functions would include faculty receptions, holiday parties, and the like. Check with the Tuck director of fiscal services in advance to determine whether a given event would be considered appropriate for reimbursement under this policy.

d) Business Entertainment

Meals and functions are considered entertainment if they are intended to provide hospitality to non-college individuals which, although partially social in nature, are deemed necessary and customary in furthering the college's business interests.

Entertainment expenses should be reasonable in relation to the nature of the function and the resulting business benefit expected to be derived from the expenditure. A description (either a list of names or identification of the hosted group) and the total number in attendance at an entertainment function must be indicated on the reimbursement request, along with a clear statement of the business purpose of the entertainment. Tuck strictly adheres to the policy of reimbursement up to a maximum of \$75.00 per person for business entertainment meals. In extenuating circumstances when this per-person amount is exceeded, a written justification must be submitted with the expense voucher, which will be reviewed by the employee's supervisor, the director of fiscal services and/or the associate dean of strategy and operations.

All original receipts for entertainment expenses must be attached to the reimbursement request, regardless of amount, including the receipt that itemizes the specific meal or function expenditures. Meals at the Hanover Inn should be charged directly to the Tuck School. The employee should enter the appropriate account number on the receipt, sign it and submit it to the Tuck Fiscal Services Office along with the names of the guests and the business purpose of the expenditure. To reserve a room at the Hanover Inn for visitors or guest speakers, call the Inn's reservation desk and request the special departmental rate, providing the appropriate account number to charge. Note: Under no circumstances may employees reserve rooms for personal use and charge a departmental account.

e) Entertaining of Students

Faculty or staff entertaining students at their home or at a local restaurant is not reimbursable except for special Tuck events such as Admitted Students Weekend.

5. Travel Settlements and Reporting of Expenses

a) Required Documentation and Receipts

Travelers are required to submit original receipts to substantiate their travel expenses. As with any college payment, original documentation is necessary to verify expenditures and eliminate the possibility of duplicate payments. *Original receipts are required for any single expenditure of \$25.00 or more. In addition, all entertainment and lodging expenses must be supported by receipts, regardless of amount.* If, in rare cases, original receipts are not available, an explanation must be submitted with the Travel and Entertainment Expense Voucher prior to processing. In limited cases where receipts are not provided for small dollar transactions, e.g., highway tolls and tips, travelers must still record the actual amounts of the charges and clearly itemize these expenses on the travel voucher. Travel vouchers that are not properly completed and approved will be returned unprocessed to the employee with an explanation of the deficiency.

Bills or cash register tapes that support credit card charges are considered original receipts and must be submitted with the Travel and Entertainment Expense Voucher or Request for Payment. Photocopies of credit card charge slips, billing statements, and tear-off stubs for meals are not sufficient documentation. If no other form of receipt can be obtained, the original credit card slip will be accepted. In the case of airfare not charged directly to a departmental account through the College

Travel Office, travelers must submit the passenger copy of their ticket. Travel itineraries do not constitute receipts for reimbursement purposes.

6. Travel and Entertainment Expense Voucher

a) Itemizing Expenses

Expenses should be entered on the applicable lines of the Travel and Entertainment Expense Voucher that best describe the type of expenses incurred. Except for segregating unallowable items and omitting non-reimbursable expenses, charges on itemized hotel or other bills such as meals, telephone, parking, etc. need not be broken out and reported separately, although this is preferred. Amounts reported under “Miscellaneous Expenses” on the voucher must be itemized (on a separate page, if necessary) and supported by original receipts where required.

Expenses that have been directly paid to a vendor by the college, i.e., airfare booked through the College Travel Office or conference registration fees, should be reported on the face of the travel voucher and carried over to the column titled, “Total Expenses CHARGED DIRECTLY to the college.” These expenses, of course, are not eligible for reimbursement; however, documenting them on the travel voucher allows for a comprehensive report of all costs associated with a particular business trip.

b) Foreign Travel

Travel and Entertainment Expense Vouchers for reimbursement of foreign travel must be in U.S. dollars with the current foreign currency conversion rate clearly indicated under the “Additional Comments” section of the voucher.

c) Signature Authority

Travel and Entertainment Expense Vouchers must be signed by the traveler and approved by his/her immediate supervisor or more senior officer prior to submittal to the Tuck Fiscal Services Office. Faculty should submit their vouchers to the senior associate dean for approval. No employee is authorized to approve his/her own, a peer’s, or a superior’s travel voucher or any travel charged to an account for which he/she is not authorized to approve expenditures.

7. Corporate Card Program

a) General

The college has entered into an agreement with JPMorganChase to provide Visa credit cards to faculty and administrators who incur reimbursable travel and entertainment expenses while on college business. Travelers who have been issued a Dartmouth corporate card should use it for hotel, restaurant, rental car, or other travel and entertainment expenses whenever possible. The college pays the annual membership fee for these corporate credit cards. Fees for any other credit cards are not reimbursable.

The corporate card is to be used only for travel and entertainment expenses incurred in connection with official Dartmouth business. The corporate card should not be used for personal expenses or for the purchase of goods, services or other items not associated with business travel or entertainment. Employees are required to immediately notify JPMorganChase and the college's corporate card coordinator when a card is lost or stolen.

b) Eligibility

All faculty, API and APII employees whose annual income exceeds \$15,000 are eligible for the program. Other employees may also qualify if they frequently travel on college business. Once an application has been submitted, JPMorganChase will conduct a routine credit check to determine whether a card will be issued to the employee. Requests for corporate cards should be made through the Tuck director of fiscal services.

c) Responsibility for Payment

Under the corporate card program, individuals are responsible for payments to JPMorganChase. Monthly billing statements from JPMorganChase are mailed directly to cardholders. Travelers are expected to charge expenses for transportation, lodging, meals, etc. to their corporate cards. After the trip, travelers are reimbursed when a properly completed Travel and Entertainment Expense Voucher is submitted and processed by the Dartmouth Accounts Payable Office. If the traveler's expenses are settled immediately upon return to Hanover, there is generally ample time to receive reimbursement prior to the due date of the corporate card bill. The college will not reimburse late fees assessed as a result of late payment by the cardholder.

d) Termination of Participation

The college and JPMorganChase reserve the right to cancel any corporate card in accordance with the delinquency provisions of the contract or other credit card abuses. Employees must immediately return the corporate card to the college's JPMorganChase corporate card coordinator upon notice of cancellation. Faculty and other employees who are issued a corporate card are required to promptly notify and return the card to the director of fiscal services upon termination of employment.

8. Cash Advances

a) General

The college provides cash advances in limited amounts for faculty and other employees traveling on authorized business to cover reasonable miscellaneous costs such as taxi fares, tips, and other expenses that cannot readily be charged to a corporate card. The size of the advance must be a reasonable estimate of the amount of cash necessary to conduct college business, bearing in mind that the bulk of a traveler's expenses can be charged to a corporate card or, if desired, to a personal credit card. Cash advances can also be obtained for visiting faculty or other employees who will be reimbursed by the college for travel expenses incurred while in the Hanover area.

Each cash advance is the personal responsibility of the traveler until it has been discharged by processing a properly completed Travel and Entertainment Expense Voucher. Employees are responsible for the proper record keeping of expenses incurred while traveling and for settling any unused advance owed to the college. Travel advances must be accounted for on a Travel and Entertainment Expense Voucher within 10 working days after returning from the trip.

b) Procedures for Obtaining Cash Advances

Requests for advances are submitted on Cash Advance Vouchers through the Tuck Fiscal Services Office. All travelers must personally sign the voucher. Exempt and non-exempt staff must have their immediate supervisor sign the advance before submitting the voucher to the Tuck Fiscal Services Office.

Advances will not be granted to individuals who have any outstanding prior advances unless authorized by the director of fiscal services.

The Dartmouth Controller's Office may revoke the right to obtain cash advances when necessary to avoid abuse of the policy.

The portion of any advance exceeding \$250.00 will be issued in traveler's checks. Generally, cash advances will be issued in a combination of cash and traveler's checks. College checks for large advances will be issued only under the following circumstances:

- The employee is not on campus to pick up the funds;
- The funds are to be converted to a foreign currency (in which case the Dartmouth Accounts Payable Office will obtain a foreign draft for the traveler);
- The check is to be directly deposited to a bank account for use by foreign study programs; or
- If necessary for security reasons.

c) Due Dates and Cash Advance Settlements

Due dates on cash advance settlements are established by the traveler at the time the advance is issued. These dates must be reasonable based upon the particular travel arrangements and may be no later than 10 working days after returning from the trip. Employees must immediately return any cash advanced for travel to the Dartmouth Cashier's Office when a trip has been canceled or has been postponed for more than five working days.

Travel and Entertainment Expense Vouchers with attached receipts must be properly authorized and submitted to the Cashier's Office for settlement of cash advances. Once the Travel and Entertainment Expense Voucher is submitted, approved, and processed, the college will reimburse the traveler by check for expenses that exceed cash advances. If cash advances are greater than the expenses incurred, the traveler must present the remaining balance (by personal check, traveler's checks, or cash) to the Cashier's Office upon submission of the Travel and Entertainment Expense Voucher.

d) Unsettled Cash Advances

Travelers who have not settled their cash advances by the due date will be notified that the settlement is overdue. The appropriate fiscal or administrative officer of the department will also be notified of any outstanding advances. If the advance is not settled within 30 days, the individual will then receive a notification that the amount has been forwarded to the Dartmouth Payroll Office for appropriate payroll reporting and tax withholding. Without providing adequate documentation to substantiate the business expenses covered by the cash advance (i.e., settling the advance), the college is required by the Internal Revenue Service to report these payments as taxable income to the employee.

9. Other Business Expenses

a) Memberships, Dues, and Subscriptions

The college's affiliation with an organization or group is based upon the business benefit to be derived from such affiliation. In the case of certain civic, community, and educational organizations that serve a broader purpose and constituency, the college typically joins as an institutional member, and, as such, designates employee representatives. Institutional memberships often provide certain benefits (such as reports, studies, etc.) to the college at large and may also provide news updates and magazines that are routinely sent to a specified number of individual employees on the membership mailing list. Employees who attend meetings or functions as representatives of the college are eligible for reimbursement of travel expenses if the specific departmental policies allow such costs to be treated as college expenses.

Fees for individual memberships in business associations as well as fees for magazine, newspaper, or newsletter subscriptions may be reimbursable. Departmental policies establish whether these costs will be covered by the college. Individual membership in professional associations or other costs incurred to maintain professional certifications or licenses that are directly related to the employee's current position and have a clear business benefit to the college are reimbursable.

The cost of memberships in athletic clubs, faculty clubs, social clubs, fraternal orders, or other similar organizations generally do not qualify as business expenses. Employees must pay for these memberships personally, unless there is a clear business benefit and the primary purpose of the membership is to benefit the college.

b) Employee Recognition/Gifts

Tuck holds several events during the year to recognize the achievements, value, and importance of employees. These include the holiday party, Employee Appreciation Day, the ice cream social, retirement parties, and the new employee breakfast. The college recognizes that such events and practices are valuable to conducting business and may be charged to college accounts.

Tuck also recognizes that, on rare occasions, employees may provide service to Tuck which is deemed "above and beyond" their normal job duties and responsibilities, potentially warranting recognition or reward. Modest requests for such recognition should be submitted to the associate dean of strategy and

operations with a brief description of the work accomplished, the amount and/or type of reward desired, and a justification for such reward. The associate dean will review the submittal within budgetary constraints and will determine if the reward is equitable and justifiable. *Under no circumstances shall managers provide rewards or bonuses to employees without approval from the associate dean of strategy and operations.*

When small in-office functions are held to celebrate events such as births or marriages, all food and beverages served at such functions are paid for/prepared by the employees involved.

Tuck provides coffee and tea service for functions held to wish farewell to a departing Tuck employee. All food served at such gatherings is paid for/prepared by the employees involved. Any farewell gifts are also paid for by employee contributions.

Tuck does not expend funds for department meals (in-house or external) or other department-specific employee recognition events. On rare occasions, exceptions may be made. Requests for exceptions should be submitted to the associate dean of strategy and operations prior to the event, along with a brief description. The associate dean will review the submittal within budgetary constraints and will determine if the event is equitable and justifiable.

College policy on gifts allows for modest gifts, usually flowers or a small donation, upon the death or serious illness of an employee or family member. Employees wishing to order flowers or a donation in these instances should contact the director of fiscal services prior to ordering and the gift will be charged to the dean's discretionary account.

B. Administrative Operations

1. Facsimile Machines

Fax machines are provided in satellite copy rooms in Chase and Woodbury Halls, as well as in the Copy Center. The general Tuck incoming fax number is 646-1308. The Copy Center staff distributes faxes received at this number directly to faculty and staff mailboxes several times a day.

2. Mail Service

a) Incoming Mail

Incoming departmental, faculty, and staff mail and memoranda are placed in individual or departmental mailboxes in the faculty/staff mailroom, 11 Tuck Hall, on a daily basis. If you receive a large package that will not fit in the mailboxes, a pink slip will be left in your mailbox indicating the date of receipt and the number of packages. Packages are kept on the lower shelves in 11 Tuck Hall, or on the floor if too large to fit on the shelves. Names are written in large letters on boxes for easy identification. Because of space constraints, please pick up any packages from the mailroom as quickly as possible

b) Intracampus Mail

Students, faculty, administrative personnel and others associated with the college may send official or individual mail through the Hinman mail system, which is an internal distribution service operated by the college. Books, however, may not be sent through Hinman mail. Envelopes and the bin for outgoing intracampus mail are located in 11 Tuck Hall.

c) Outgoing Mail

Outgoing U.S. Postal Service mail may be placed in the box provided for that purpose in the Copy Center. All mail expenses, along with a corresponding account number, must be recorded in the binder next to the postage meter so that the proper account may be charged. Any mailing that is six pieces or more must be posted using the production office (in the garden level of Stell Hall) postage meter. Entry of an account number is required to use this postage meter.

d) Express Mail

The college has contracted with UPS for express service deliveries. Preprinted mail forms and mailing containers are available in 11 Tuck Hall. To eliminate unnecessary expense, please consider second-day delivery instead of next-day delivery whenever possible.

3. Office Supplies and Stationery

Tuck stocks a full range of conventional office supplies as well as Tuck School stationery of various sizes and weights. These supplies are available from the Copy Center. If you need a specific office supply that is not available in stock, the Copy Center staff can assist you in identifying a suitable product and will order it for you.

Tuck provides personalized stationery for all regular, full-time members of the Tuck faculty. To order stationery, please contact Julie Taylor in the Office of Creative Services at 646-3558. Students may not use official Tuck School stationery without the written authorization of a member of the faculty. If such authorization is given, a copy must be filed with the Dean's Office and the students using the stationery must be instructed to identify themselves as students in all correspondence.

4. Photocopying Services

The Copy Center staff has a well-deserved reputation for providing excellent service. However, in view of the ever-increasing demand for photocopying service and equipment constraints, it is essential that the staff be provided sufficient lead time to complete assignments.

- Most jobs are turned around in 24 hours.
- Course packets are due to the Copy Center four weeks before the Fall A term begins, and three weeks before the Fall B, Winter, and Spring terms begin.
- Other course-related materials are copied in 24–48 hours.

- For large jobs, or jobs requiring special services, advance notice is appreciated.

PLEASE NOTE: The Copy Center staff does not secure copyright clearances, nor do they complete jobs that are in violation of current copyright law. For a thorough interpretation of the copyright laws, please see www.dartmouth.edu/copyright/.

Walk-up photocopiers are provided in satellite copy rooms throughout Tuck, Chase and Woodbury Halls. These machines are for making a few quick copies and are not intended for large jobs.

5. Storage

Space is at a premium at Tuck, and storage space is minimal. If you have files that need to be stored on the premises, but you do not have the space in your office, please email Tuck Events and Facilities and they will work with you to accommodate your needs. Tuck hosts an annual “Green Up, Clean Up” effort, which is an opportunity to review old files and purge unnecessary materials. Staff and faculty are encouraged to participate. When Tuck has utilized all the available storage space in the building, a stricter policy regarding storage will be adopted.

6. Telephones

Dartmouth College subscribes to a computerized telephone system by Ericsson. The system provides many useful features, such as automatic callback, call forwarding, three-way conversation, and speed calling. Instruction booklets can be obtained from Tuck Events and Facilities.

Offices are equipped with one functioning digital telephone jack, the telephone instrument and voicemail. Upon special request to Tuck Events and Facilities, additional phone lines, digital or analog, can be activated. All phone moves or changes should be requested through Tuck Events and Facilities and require a six to eight-day lead-time.

- Long Distance Calling Procedure

To access long distance for business purposes, dial 8, 1, the area code, and the desired seven-digit number. International calls should be dialed directly, using 8+011+country code+city code+telephone number.

C. Event Planning

1. General Information

When planning an event with special needs, such as catering services, special custodial services, or setups (i.e., tables and chairs, podiums) please email Tuck Events and Facilities to schedule an appointment to meet with Shelley Wirasnik, facilities assistant, and Ruth Chris, director of dining and events. Once you have made your room reservation requests in Resource 25 WebViewer, Shelley and Ruth can help you with all the details and decisions necessary for your event. They will then coordinate with the service entities on campus to meet your needs. Please note that advance planning

is necessary. Work orders for special services require notification to Tuck Events and Facilities 28 days prior to the event.

Tuck School facilities cannot be used for private enterprise, i.e., Tupperware parties.

2. Room Reservations

The registrar coordinates all classroom reservations for courses and course-related sessions. To request a room, use Resource 25 WebViewer to submit your request. Resource 25 WebViewer automatically routes class-related requests to the appropriate person. Room requests are complete when the requestor receives a confirmation notice.

The MBA Program Office coordinates all room reservations relating to student activities. To request a room, use Resource 25 WebViewer.

Tuck Events and Facilities coordinates all room reservations not relating to classes or student activities. To request a room, use Resource 25 WebViewer. Rooms are reserved on a first-come, first-served basis after the classrooms are booked for Tuck, Thayer and undergraduate classes for each term.

Instruction manuals for Resource 25 WebViewer can be obtained from Tuck Events and Facilities. Shelley Wirasnik can also provide a quick overview or training session if necessary.

D. Facilities

1. Custodial Services

Custodial services are provided Monday through Friday. Trash is emptied from the offices daily, and vacuuming is done weekly. Dusting is limited to only those flat surfaces that are clear of papers, equipment and personal items. If you wish to request special cleaning services, please send an email to Tuck Events and Facilities describing the nature of the work requested.

2. Emergency Evacuations

In the event of a fire alarm, please turn off your lights, close your door and vacate the building by the nearest unobstructed exit. One should never disregard an alarm by staying in the office. The Tuck community should congregate on the open patio between Murdough and Thayer. Please be aware that the Tuck circle is a fire lane, and emergency vehicles will be accessing the circle. As a pedestrian, stay alert for emergency vehicles. It is safe to reenter the building only after the fire marshal or a Dartmouth Safety and Security officer has authorized such reentry.

3. Ergonomic Concerns

The college's Office of Environmental Health and Safety employs ergonomic specialists who are available to assess individual workstations throughout Dartmouth. The specialist checks to make sure that desks, computer stations, chairs, and other workstation components are properly adjusted and

suited to each individual's work habits. This service is provided free of charge, and Tuck encourages employees to take advantage of this important service. Please contact the 646-1762 to schedule an appointment for an assessment or to receive more information. To participate in an online training module on ergonomics, see <http://www.dartmouth.edu/~ehs/training.html>, and click on the "Ergonomics" link.

4. Facilities Requests

Tuck Events and Facilities provides support to the Tuck community for a variety of building-related issues by coordinating operations and maintenance workers. To register a request, send an email to Tuck Events and Facilities. Please include your room number and as clear a description of the problem as possible.

Examples of typical requests include:

- Office is too hot or too cold;
- Toilet is overflowing;
- Overhead lights are flickering or burned out;
- Pictures need to be hung;
- Furniture needs adjusting; and
- Custodial service is needed.

For fire or a life-threatening situation, call 911.

For other urgent but non-threatening issues during business hours, such as flooding or an overflowing toilet, please call 646-0201. If you get voicemail, please leave a quick but detailed message, but then hang up and call 646-0895. After hours, please call 646-2234.

5. Keys

Keys are issued by Tuck Events and Facilities. A \$5.00 deposit is required for a room key, and a \$10.00 deposit is required for a building master. Typically, a Tuck master is issued to all faculty and staff for access to the faculty/staff mailroom and the Copy Center. If your office is in Woodbury or Chase, you also receive the associated master key, making a typical deposit \$20.00. Deposits are returned when you separate from Tuck. Under no circumstance may master keys be issued or lent to students.

6. After-Hours Access to Tuck Buildings

The Dartmouth ID card serves as an after-hours entry card for the electronic access system for card readers located at the main entries of Tuck, Woodbury, Chase, Stell, and Byrne. To use these

entrances after hours, pass your card in front of the reader and wait for the light to turn green. These entrances are unlocked Monday through Friday, 7:00 A.M.–7:00 P.M.

7. LaCorte Exercise Room

The ground level of Whittemore Hall contains an exercise room that is available to the Tuck community. Full-time regular staff and faculty as well as Tuck students and their partners can use the facility once they have completed an orientation session on the proper use of the equipment, and signed a liability release and waiver form. Orientation sessions are offered periodically throughout the year. The room is open between 6:00 A.M. and midnight, seven days a week.

8. Office Furniture Policy

a) Philosophy

To acquire and maintain, in a fiscally responsible manner, office furniture that is timeless in style, sets a standard look for Tuck, and is durable and of good quality.

Tuck provides standard office furniture for faculty and administrative offices. The standard office set includes a desk, desk chair, one or two guest chairs, filing cabinets, bookcases and window blinds. The standard office furniture line is the Steelcase Garland series for faculty and administrative management offices, and the Steelcase 9000 series for administrative support staff. Some offices are large enough to accommodate a standard conference table and chairs as well, which Tuck provides. The standard conference table setup is a Steelcase Garland series table with Tuck logo chairs.

Anyone who requests furniture that is not in keeping with the above standard or who requests additional furnishings has the following options, after discussion with and approval from Tuck Events and Facilities and the Tuck Fiscal Services Office:

- Substitutions of like pieces within the standard set of furniture without exceeding the total standard cost. For substitutions of like pieces that exceed the total standard cost, the office occupant has the option of paying the cost differential. In this case, Tuck owns the furniture.
- Use of personal funds to purchase nonstandard furniture or additional furnishings over and above standard. In this case, the purchaser, not Tuck, owns the furniture.

Issues related to ergonomic concerns or other extenuating circumstances will be dealt with on a case-by-case basis.

All requests for furniture are handled through Tuck Events and Facilities.

9. Parking

The college maintains a number of parking areas for faculty and staff. The use of these areas is on a fee basis to cover the costs of construction and maintenance. Application for parking permits may be made at the Dartmouth Office of Parking Operations, located at 37 Dewey Field Road. A parking

permit does not guarantee the holder a reserved space, but an opportunity to park in a specified group of parking lots.

TUCK CIRCLE IS A FIRE LANE AND PARKING IS PROHIBITED AT ALL TIMES.

For further information on parking regulations and use of facilities, please contact the Dartmouth Office of Parking Operations 646-2204.

10. Property Insurance

The insurance carried by the college covers Dartmouth College property only. Personal property located in college buildings is not covered by any of the college's insurance policies.

11. Smoking Policy

Tuck maintains a No Smoking policy inside all buildings. There are two designated smoking areas outside. The first is located in the Byrne courtyard by the west entry doors by Stell. Benches and disposal receptacles are available. The second area is located in the Whittemore courtyard. Benches and disposal receptacles are located under the old bridge arches. If you choose not to use these two designated areas, please be considerate of staff and faculty who have opened their windows to regulate their office temperature by not loitering outside of an open window. Please dispose of cigarette butts in the appropriate receptacles.

E. Dog Policy

In 2001, a committee consisting of faculty, staff, and students established a policy of rules to regulate dogs on the Tuck premises. Dogs should continue to be a part of the Tuck community, but the ability to bring a dog to Tuck is a privilege, not a right. The rules must be followed by all dog owners to ensure the safety, comfort, and professionalism of the Tuck community. The following rules apply to all dogs brought to Tuck with the exception of service dogs that provide assistance to people with special needs and/or disabilities.

1. General Rules

- a) All dogs must wear a collar with clearly visible ID and current license tags while at Tuck.
- b) Dogs must always be on a leash and under control when in a public space at Tuck. Standard leash length is six to eight feet within the building, but the leash should be shortened when passing through narrow spaces at Tuck.
- c) Owners are responsible at all times for cleaning up after their dogs and for the general behavior of their dogs, including noise, odor and other annoyances such as fleas. Owners should not bring their dog to Tuck if the dog is aggressive toward people or other dogs.
- d) Owners are solely responsible for any damage to private or Tuck property or for any injuries caused by their dogs. The school and/or injured person may recover damages from the dog owner.

- e) Dogs should be under the control of their owners at all times. They should not be left unattended or tied alone in any public places in or around the Tuck buildings.

2. Dog-Free Zones

- a) Dogs should not be housed in Tuck school employee offices during the hours of 8:00 A.M.–5:00 P.M. on regular workdays. This includes offices in Tuck, Chase, Woodbury, Murdough, and other locations such as off-site Tuck offices. The associate dean of strategy and operations may grant exceptions to this rule on specific occasions or in extenuating circumstances, on an individual basis.
- b) Dogs are prohibited at all times from restrooms and dining facilities, including PepsiCo. in Byrne Hall. They are also prohibited from Cook Auditorium during general assemblies.
- c) Tuck will be in compliance with Dartmouth College policy, which states that dogs are prohibited from residence halls, including public spaces within these buildings.
- d) In addition, “dog-free” zones will be established in certain designated areas of Tuck buildings. These zones include one study room in Byrne and one study room in Bosworth.

3. Dogs in Classes

- a) The presence of dogs in a class session may occur with the unanimous approval of every student and faculty member in the class. Any person who wishes to bring his/her dog to class must receive prior approval via confidential, unanimous vote of the students and faculty in the class. Without exception, if anyone objects to having a dog in class, the dog will not be permitted.
- b) In order to be sure that every student in a class has the opportunity to confidentially voice their objection to having a dog in class, the following procedure shall be the norm if a student or professor wishes to bring a dog to class. The professor shall make an announcement in class that an individual has asked if he/she could bring his/her dog to class, and that all members of the class should communicate their agreement or objection to their class rep(s) within the next 48 hours. If any student or professor tells the class rep that they would not like to have a dog in their classroom, then no dogs shall be allowed. The vote will be completely confidential under the honor principle, so students should not have any concerns about voicing their objection to the course reps.

4. Complaints and Penalties

- a) Any person wishing to cite a violation of these rules can do so by speaking directly to the owner of the dog.
- b) If the person is not comfortable doing so, or if the complaint has not been resolved informally, a complaint should be made to the office of the associate dean of strategy and operations. All decisions and sanctions imposed by the associate dean of strategy and operations will be final.

- c) Repeated violation of these rules will result in the barring of the dog from the Tuck campus and buildings.
- d) In the event of bodily injury caused by a dog, the dog will be immediately removed from Tuck and permanently barred from returning.

F. Recycling Procedures

Established on July 1, 1988, Dartmouth Recycles is a campus-wide attempt to divert as much of the college's waste stream as is economically feasible from entering the local landfill. The following is a list of materials that can be recycled at Tuck and throughout the Dartmouth campus. These materials are collected in separate containers or in the manner specified. Should you have any questions about recycling, please BlitzMail Dartmouth Recycles.

- Aluminum cans and plastic (PET #1 bottles and HDPE #2). No other plastics.
- White paper. If in doubt, put in "mixed paper" bin.
- Mixed paper
 - YES: colored paper, window envelopes, low-grade paper, post-its, manila folder and envelopes, newspaper, glossy magazines, Xerox drawings, boxboard, telephone books, copy paper wrapper.
 - NO: carbon paper, paper plates, cups, napkins, Tyvek®, or blue prints.
- Glass: All colors of glass can be recycled together.
- Green bar computer paper: put in "white paper" bin.
- Tin/steel cans.
- Laser toner: Put the used cartridge in the original box and mark it "recycle." Leave for pickup in recycling area.
- Inkjet cartridges: Dartmouth Recycles has postage paid mailers to recycle inkjets. Please BlitzMail Dartmouth Recycles to get the postage paid mailers.
- Cardboard YES: flatten and stack all brown corrugated cardboard. NO: boxboard or waxed cardboard.
- Styrofoam packing peanuts: Place peanuts in a large plastic bag and tie the top. Leave for pickup in recycling area.
- Batteries: Dry cell batteries, lead-acid, and gel cell are collected and processed as universal waste. Please do not throw batteries in the regular trash. Recycling buckets are located in the faculty/staff mailroom, student mailroom, Copy Center, and laundry rooms in Buchanan and Whittemore.

- Transparencies: Send small quantities via Hinman mail to Dartmouth Recycles, HB 6111. Please contact Dartmouth Recycles for pickup of larger quantities. Recycle collection location is in the faculty/staff mailroom, behind door.
- Tyvek mailers: Turn inside out and stuff other Tyvek mailers inside. Mail to: Terry Fife - Tyvek Recycling Specialist, 5401 Jefferson Davis Highway Spot 197-Room 231, Richmond, VA 23234.
- CDs and diskettes: Send small quantities via Hinman mail to Dartmouth Recycles, HB 6111. Please contact Dartmouth Recycles for pickup of larger quantities.

Other ways to reduce and reuse:

- Use a washable mug to cut down on paper cup usage.
- Send announcements/information via BlitzMail to save paper.
- Do not print BlitzMail messages. File them electronically.
- Reuse items like manila folders and binders.
- Save energy: Turn off lights and computers when not in use.

Tuck has established conveniently located recycling stations throughout Tuck buildings. If you have concerns or questions related to recycling at Tuck, please email Tuck Events and Facilities.

Dartmouth Recycles recruits volunteer staff and students to act as ECO recycling representatives to make sure their area has enough recycling bins and sufficient signage and to encourage co-workers and students to recycle. If you would like to help, or if you have any questions, please BlitzMail Dartmouth Recycles.

G. Computing

Tuck offers a leading-edge computing environment to students, faculty, and staff with a comprehensive network infrastructure, technology-enabled classrooms, public workstations, and wide-ranging support for mobile computing. Any computer connected to the Tuck local area network has access to electronic mail, intranet and Internet services, public and personal file services, high-speed networked laser printers, and shared applications software. In addition, a variety of library databases and online services can be used, such as Factiva (formerly Dow Jones Interactive), Lexis-Nexis, Datastream, and Securities Data Corporation. Internet links provide U.S. and international company documents, financial statements, business literature, and market data. Public computing resources are available in many campus locations such as the Whittemore Wing for Information Technology and Feldberg Library.

Tuck supports a mixed academic and administrative computing environment of Windows-compatible and Macintosh personal computers, as well as central host systems and workstations used for research,

instruction, and administrative applications. Users typically select the hardware configuration (desktop or notebook) and the operating environment (MacOS or Windows) with which they are most productive. The Tuck network allows movement of data between these diverse environments while providing access to shared network resources and to online information resources. Tuck supplements its use of Dartmouth's institutional data systems with Tuck-specific web-based applications and personal information management computing systems and tools.

1. Rights and Responsibilities

Dartmouth expects all members of the community to be aware of the ways in which intellectual property laws, regulations, and policies apply to the electronic environment, and to respect the property and the resources that are shared by this community. It is very important to read and clearly understand the provisions of the Dartmouth College Information Technology Policy, which can be accessed at <https://www.dartmouth.edu/comp/about/policies/general/itpolicy.html>.

Faculty, staff, and students who have a direct affiliation with the institution are automatically assigned a Dartmouth Name Directory (DND) account. Sponsored accounts for special circumstances such as visitors, participants of special programs, and volunteers can be established by contacting the director of information technology (IT) at 646-2680. (Please note that all volunteer work must first be approved by Tuck HR.) Tuck network accounts can also be established, which permit access to a wide variety of file and print services used exclusively by the Tuck community. Microsoft Exchange accounts for email folder replication, calendaring, and contact management are also available to full-time faculty and staff.

By using one of these accounts to access any of the Dartmouth and Tuck computing resources, you agree to fully comply with all of the provisions of the Dartmouth College Information Technology Policy.

2. TuckStreams

Established in 1997, TuckStreams is a role-based, web-delivered intranet service for the Tuck community. Services that are unique to Tuck are available in the system; at the same time, TuckStreams is integrated with the Dartmouth systems of record like SCT BANNER (students records), Resource 25 WebViewer (facility scheduling), and Advance CS (development). This gives Tuck faculty and staff an unmatched ability to view and use data from these systems on demand and without having to request information from other departments. Role-based security allows different people to use the same system with different levels of access to the data as required by their job responsibilities. TuckStreams training sessions for faculty and staff are offered periodically.

3. Tuck Computing Support Office

The services provided by the Tuck Computing support office are limited to institutionally-owned equipment running the standard Tuck software template. The Tuck Computing support office, located in Murdough 305, serves as the primary contact point for computing and audio-visual support for the Tuck School.

The preferred way to request service is to enter it directly into the Tuck Computing tracking system using the TuckStreams online help desk. The support office can also be contacted via email at Tuck.Computing@Dartmouth.EDU or by phone at 646-1818. After-hours service is provided for widespread outages. Emergency after-hours service can be requested by leaving a detailed emergency message at 646-1818 as instructed in the voicemail greeting.

4. Network Resources

The Tuck computing environment is amply supported by a multitude of network jacks throughout all areas of the Tuck campus and a wireless network that allows access from almost anywhere on the Dartmouth campus. Dartmouth College provides dial-in access to the full array of its networked services from off-campus locations.

A comprehensive network-based file folder structure is available for use by the Tuck community. These folders are a valuable resource for storing and/or sharing files within the Tuck community. Secure file folders are provided for each administrative office.

Network-managed print queues shared by the community are the primary means for addressing printing requirements for faculty, staff, and students. These printers are named according to their location and are managed and maintained by the Tuck Computing support office. A public color printer for faculty and staff is available in the Copy Center. Please note that color printouts of 10 or more pages must be recorded on a Copy Center Statement and submitted to the Copy Center so that the appropriate account can be charged.

Digital telephones are used in all Tuck offices. If dial-up or fax services are required, it is necessary to get an analog telephone line installed by contacting Tuck Events and Facilities. For faculty and staff who travel frequently, AT&T Global Network Services are used to provide convenient worldwide network access.

5. Administrative Information Systems Support

Part of Dartmouth Computing Services, the Administrative Information Systems Support (AISS) group works with all areas of the college to improve work processes by enabling users of administrative systems, both automated and manual, to function optimally. AISS is the contact point for college-wide administrative systems such as Banner, HRMS, Resource 25 WebViewer, Advance Alumni Development System, and Oracle Financials, and can be accessed at www.dartmouth.edu/~aiss/.

Access to special computing resources and services such as a flat bed scanner, CDRW, Bloomberg, and specialized software (such as PageMaker and Photoshop) is available in the Whittemore Wing Computing Lab.

6. Network and Workstation Security

- The security of Tuck's computing resources is a shared responsibility. Please take the following precautions to protect your work and that of the others in the community:

- Use a strong password and change the password frequently. Choose eight characters, mixing numbers, symbols, and upper as well as lowercase letters.
- Do not install any unknown applications on your computer. Installation of such software is a severe security risk.
- Do not install any personally purchased software.
- Do not share files through your PC. If you need to swap files with fellow Tuck staff/faculty, please use the TUCKNT drives. If you must share data with non-Tuck colleagues, please contact Tuck Computing for help. DO NOT set up your machine as a “server.”
- Backup your data frequently. The better prepared you are for disaster, the easier recovery will be.
- Don’t open files from unknown servers. If you aren’t expecting a file from a particular sender, DON’T OPEN IT. Email the sender first and verify that they intended to send you the document.
- When in doubt, ASK TUCK COMPUTING.

It’s better to be safe than sorry. Tuck Computing keeps up to date with virus and security news. Please ask Tuck Computing if you have questions or concerns. Asking a question before a problem occurs can save everyone a great deal of stress.

7. Data Management

a) Use of Resources

Tuck follows all guidelines set forth in the Dartmouth College Information Technology Policy at www.dartmouth.edu/comp/itpolicy/ with regard to use of Dartmouth’s email and Internet resources, operating on an honor-system assumption that all members of the Tuck community will use these resources responsibly and for official college business only. Responsible resource use also includes keeping one’s account clean, avoiding excessive printing, and sole responsibility for all actions taken on one’s account.

b) Workstation File Backup

Faculty and staff desktop and notebook computers are normally backed up once every 72 hours unless they are turned off or not on the network. This backup service is designed to deal with data loss due to theft, accident, or equipment failure and is not intended to be a permanent or long-term data archive. Backup tapes for the last six months are kept in a fireproof data safe. Tapes older than six months are kept on a space-available basis. Data more than six months old may not be recoverable. If you need to make a permanent archive of specific data stored on your workstation, you should contact the Tuck Computing support office. If you need to get a copy of a lost/deleted/damaged file, send an email to the computing support office with as much information about the file as possible.

c) Server File Backup

All files stored on the Tuck files servers are backed up on a nightly basis and archived on tape for a period of six months. This backup service is designed to deal with data loss due to theft, accident, or equipment failure and is not intended to be a permanent or long-term data archive. Restoration of backed up files stored on any of the file servers can be requested by sending an email to the computing support office.

d) Exchange Server Backup

The exchange server file store is backed up on a nightly basis. This backup permits the restoration of a complete account but does not permit the recovery of individual email messages.

8. Training

All new faculty and staff receive an orientation to the Tuck network and computing resources as part of the Tuck Orientation program. Tuck Computing user support analysts are available to answer questions and resolve any problems that arise for Tuck faculty and staff. They do not provide application software training. Hands-on computer applications courses are offered each term by Dartmouth HR. To complement these offerings, Element K online courses for the majority of desktop productivity software tools are available at www.elementk.com. Login information for first-time Element K users is available from Tuck Computing. Reference manuals and user guides for all major software titles used at Tuck are on reserve at Feldberg Library.

9. Equipment and Software Purchases

All computing hardware and software and audio-visual equipment purchases at Tuck are centrally managed. Please contact the director of IT at 646-2680 for assistance with all institutional technology equipment and software purchases.

10. Faculty Hardware and Software Purchases; Loaner Equipment

Faculty computing hardware and software purchases are made using STAR account funds and are centrally managed. Requests for office or home-office based faculty hardware or software purchases are coordinated by the director of IT. The senior associate dean reviews and approves all major STAR account purchases.

A fleet of notebook computers is maintained by the school and is available to be borrowed. Notebook computers are provided for visiting professors, postdoctoral fellows, scholars, and exchange students. For all other equipment loans, there is a one-time \$20.00 preparation charge and a recurring charge of \$5.00 per day for systems prepared with the standard Tuck software template. Additional configuration and/or non-standard software installation is billed at a rate of \$30.00 per hour. Please note that during the summer, the availability of loaner equipment may be limited due to requirements of special summer programs.

11. Faculty Research Support

The primary purpose of Tuck Research Computing (TRC) is to facilitate and enhance the production and quality of research conducted by members of the Tuck faculty. TRC primarily provides such

services as research design and data analysis advice, statistical computing support (such as data analysis or guidance on how to proceed with an analysis on the variety of statistical packages available), and specialized computer programming and data extraction. More information is available at <http://mba.tuck.dartmouth.edu/pages/admin/research/>. Please contact a TRC associate for assistance with establishing an account for the Dartmouth-managed research computing environment.

Center for Research in Security Prices at <http://www.crsp.com/> is an interactive website that enables users to extract data on historical monthly and daily U.S. securities prices (CRSP Stocks); interest rates and U.S. treasury bonds (CRSP Bonds); market segment indices (CRSP Indices); annual, quarterly, and industry segment financial information (Compustat); earnings estimates (I/B/E/S); transaction stock prices (TAQ); and spreadsheet-based applications (EXCEL) and statistical procedures.

Dartmouth Research Computing, which can be accessed at <http://www.dartmouth.edu/comp/about/departments/academic/rc.html>, provides research-grade computing facilities, central UNIX systems and distributed UNIX workstations, and a variety of research software.

Fileserver space specifically allocated for the large files that typically characterize research projects is available on both the NT and UNIX server environments. A Bloomberg terminal dedicated to faculty research is also available to complement the many electronic databases and reference materials available at Feldberg Library.

12. Web Application Design, Software Development, Content Management

When the systems of record at Dartmouth do not meet the needs of the Tuck School, an in-house development team creates web applications and other software tools to meet requests from administrative departments and for student services (usually under the TuckStreams brand name). Administrative departments are given a “bank” of development hours each year that they can use to request new services and improvements. If a request cannot be met due to lack of resources, the computing staff can assist with outsourcing the work to a third-party vendor when appropriate.

Tuck Computing works with Tuck’s Office of Creative Services to manage websites that represent the Tuck School. Style guides and web page templates are also provided for other uses. If you have content that needs to be on one of Tuck’s websites, please contact the Tuck webmaster or the associate director of new media in Creative Services.

13. Audio-Visual Support

Tuck maintains self-service audio-visual systems in classrooms that include a dedicated Windows computer and VHS tape playback displayed via liquid crystal display (LCD) projector onto a large screen. Tuck also supports requests for Integrated Systems Digital Network (ISDN) videoconferencing. Among other custom services, Tuck provides audio conferencing and public address support. To place a request for audio-visual service, please go to the TuckStreams online help desk and enter the date, start time, and location of your event(s), along with a brief description of what

you would like. Once your timely request (no less than 24 hours in advance of your event) is in the database, Tuck Computing staff will follow up and answer any questions that you may have.

a) Classroom Equipment Use

Faculty members can request a tour of teaching facilities with Tuck Computing to learn about audio-visual systems in classrooms.

b) Videotaping Tuck Classes

On occasion, Tuck faculty may wish to videotape a class. There are two methods for taping classes:

- Tuck Computing can set up VHS camcorders focused on a large view of the stage area of the class, initiate the camcorder's recording, then leave the class. To place a request for this service, please go to the TuckStreams online help desk and enter the date, start time, and location of your event(s), along with a brief description of what you would like.
- For special events or for a high quality tape, the Media Production Group at Dartmouth can be hired to provide video production and editing services. Substantial lead time is required, and there is a fee, which can be charged to the faculty member's STAR account.

H. Academic Coordinators

An academic coordinator is assigned to each faculty member. Since this person is also responsible for the administrative work of several other faculty members and coordination with other departments such as the Copy Center, it is important that he/she be given as much lead time as possible. For example:

Category	Optimally
Tuck Correspondence	24 hours
Examinations	3 days before date of exam
Syllabi and course packs	3 weeks before start of term
All other course materials	3 days before use
Articles, research papers ⁵	5 days

While in most instances administrative assignments are completed well within the above time limits, there are occasions (especially just prior to the beginning of each term) when the lead times suggested above are required. In the event any one coordinator has an especially heavy load of high priority work, every effort will be made to redistribute the excess work among the other coordinators. This process will be facilitated if faculty members clearly communicate any deadlines for completion. *The academic coordinator should not be asked to work overtime without the prior approval of the Tuck Manager of Academic Support.*

It is helpful if coordinators are informed when faculty members plan to be out of town. If the faculty member intends to be away for any length of time, a forwarding address or telephone number should be left with the coordinator so that the faculty member may be contacted in the event of an emergency.

⁵ Textbooks and manuscripts for which a faculty member receives royalties or other forms of compensation are not normally processed by academic assistants as part of their Tuck duties.

Tuck administrative staff should not be asked during regular hours to perform work connected with faculty consulting or other projects for which the faculty member receives compensation or reimbursement. The obvious exception would be an occasional brief letter or the like. If a faculty member wishes to employ an academic coordinator outside of regular hours, the Tuck Manager of Academic Support must be contacted to approve of any arrangement.

Tuck administrative staff should also not be asked to assist with personal matters, i.e., running errands, at any time. This includes personal administrative work, personal travel and health care arrangements, or assistance with similar matters.

I. Ordering Cases, Reprints, and Textbooks

Academic coordinators can order cases, reprints, and textbooks on behalf of faculty for courses and research purposes. Textbooks are ordered directly from Wheelock Books and The Dartmouth Bookstore. Please allow six to eight weeks' lead time for textbook ordering.

J. Dartmouth College Copyright Policy and Guidelines

The Copyright Act of 1976 provides protection to “original works of authorship.” Protection is extended to the holders of copyright for literary works, musical works, dramatic works, pantomimes and choreographic works, pictorial and graphic works, sculptural works, motion pictures and other audiovisual works, sound recordings, and architectural works. This protection applies equally to published and unpublished works. The holders of copyright possess the exclusive right to authorize reproduction of, distribution of copies or phonorecords of, public performance of, public display of, and preparation of derivative works based on copyrighted works. It is illegal to violate the rights of copyright holders or to direct others to do so. The penalties for violation can be severe. It is best to assume that anything published after 1920 is protected by copyright.

Dartmouth College, its faculty, students, and employees must comply with the Copyright Act of 1976. This document contains the college's policy with regard to copyright law compliance. All faculty, students, and employees must adhere to this policy. Questions regarding copyright law compliance by faculty, students, and employees should be directed to your department head, your professor, or your supervisor, respectively. Information on supplemental policies is available at the following locations: the offices of the Librarian of the College, Information Resources, Instructional Services, Academic Computing, Legal Affairs, and Technology Transfer. A separate Dartmouth policy governs the ownership of copyrights to intellectual property developed by faculty and other employees of the college (See Section II.G).

Under the current copyright law, a teacher may make a single copy of a chapter, an article, a short essay, or a graph, for scholarly purposes; however, multiple copies of copyrighted materials for classroom use may not be made without permission of the copyright holder and may include payment of a fee. It is in all our best interests to be very careful in these matters both as individuals and as a school. The fact that a document is copyright means—subject to the “fair use” doctrine, discussed below—that no one has the right either to reproduce the document in its original form, or to tamper with the original form and reproduce the result, without express permission from the holder of the

copyright (who may or may not be the author of the document). The consequences of an infringement range from allegations of academic misconduct to compensation for damages.

1. Fair Use Guidelines

Despite the broad reach of the Copyright Act, there are certain circumstances under which it is permissible to reproduce or display copyrighted works without the permission of the copyright owner. These circumstances are known as “fair use” standards. The fair use standards, embodied in section 107 of the Copyright Act, are:

- a) The purpose and the character of the use, including whether it is for commercial or nonprofit educational purposes;
- b) The nature or type of the copyrighted material (i.e., periodical, film, book, etc.);
- c) The amount and substantiality of the portion used in relation to the whole; and
- d) The effect of the use on the potential market for or value of the copyrighted material.

2. Document Reproduction

Based on the fair use standards, the following activities involving the copying of documents constitute “fair use” under the Copyright Act:

a) Single Copying for Teachers

A single copy may be made of any of the following by or for a teacher at his or her individual request for scholarly research, use in teaching, or preparation to teach a class:

- A chapter from a book;
- An article from a periodical or newspaper;
- A short story, short essay or short poem, whether or not from a collective work; or
- A chart, graph, diagram, drawing, cartoon or picture from a book, periodical, or newspaper.

This single copy must be for the faculty member’s own use and may not be placed on reserve in the library. See Section (b) below.

b) Multiple Copies for Classroom Use

Multiple copies (not to exceed in any event more than one copy per pupil in a course) may be made by or for the teacher giving the course for classroom use or discussion, provided that:

- The copying meets the tests of brevity and spontaneity as defined below; and

- The copying meets the cumulative effect test as defined below; and
- Each copy includes a notice of copyright.

It may be possible to place copies on reserve at the library; check with the Office of the Librarian for policy.

c) Special Fair Use Prohibitions

- Copying shall not be used to create or to replace or to substitute for anthologies, compilations, or collective works. This occurs when copies of various works or excerpts therefrom are accumulated or reproduced and used separately, such as in the compilation of course packs. The creation of any such ad hoc anthology is expressly prohibited unless copyright permission is obtained.
- There shall be no copying of or from works intended to be “consumable” in the course of study or of teaching. These include workbooks, exercises, standardized test booklets, answer sheets, and like consumable materials.
- Copying shall not substitute for the purchase of books, publisher’s reprints or periodicals.
- Copying shall not be directed by a higher authority, i.e., copying must be at the inspiration and direction of the individual teacher and not, for example, be ordered by a department generally.
- The same item shall not be repeatedly copied by the same teacher from term to term.
- No charge shall be made to the student for documents reproduced under the fair use exception to the Copyright Act beyond the actual cost of photocopying.

3. Definitions

The brevity requirement for prose is:

Either a complete article, story or essay of less than 2,500 words, or an excerpt from any prose work of not more than 1,000 words, or 10 percent of the work, whichever is less, but in any event a minimum of 500 words.

The brevity requirement would not seem to allow for copying a book chapter except under very unusual circumstances.

The spontaneity requirement includes:

The inspiration and decision to use the work and the moment of its use for maximum teaching effectiveness are so close in time that it would be unreasonable to expect a timely reply to a request for permission.

The spontaneity requirement would seem to preclude the use of the same work in more than one term.

The cumulative effect requirement says:

- The copying of the material is for only one course in the school in which the copies are made.
- Not more than one short poem, article, story or essay or two excerpts may be copied from the same author, nor more than three from the same collective work or periodical volume during one class term.
- There shall not be more than nine instances of such multiple copying for one course during one class term.

4. Downloading and Printing From Online Databases and CD-ROMS

Downloading and printing of electronically-stored, copyrighted materials must be analyzed under the fair use standards described above. You may make one copy of an electronically stored, copyrighted work for your own research or scholarly use. Faculty may make multiple copies for classroom use only if the requirements of Multiple Copies for Classroom Use as described in the Copyright Document Reproduction policy are met. If multiple copies are made, each must contain a notice of copyright. You may not make copies of material you locate on the Internet and “mirror,” re-site, display, or otherwise publish those copied materials from your computer or from a computer owned by Dartmouth College. Such an act constitutes copyright infringement and will subject you and the college to liability for that infringement.

5. Additional Information

Some faculty have wished to revise portions of copyright documents and to use those revised versions, or portions of them, in their courses. This practice is absolutely forbidden without the written permission of the copyright holder, and compliance with any demands of that holder, such as payment or acknowledgment or both. The permission of the author of the original document is not sufficient, although obtaining that permission may be an appropriate courtesy. It is the copyright holder, not the author, who is capable of giving the necessary permission.

The school has sought blanket permission to copy for classroom use from journals which are frequently used at Tuck. Some of these journals have granted the blanket release; others insist on selling their own reprints; and still others have registered their publications with the Copyright Clearance Center (CCC). The CCC gives copying permission to users and collects fees. Participating publications carry a code showing the per-copy fee on the first page of each article. The fee, needless to say, is exclusive of photocopying costs.

Please allow sufficient lead time for academic assistants to secure permission to copy if blanket release is not on file. Academic assistants have the listings for such blanket release publications. Permission times vary; some CCC permission responses come back instantly, others may take several weeks, and, in unusual cases, even months. The Copy Center staff will not copy materials for which prior release has not been obtained.

All articles copied must bear on the title page the name of the author, the name of the article and the notation “Reprinted from (name of publication), (month and year of issue), copyright (c) (year) by (name of copyright holder),” or the copyright line deemed appropriate by the copyright holder.

The permission fees associated with the copyright law will unfortunately be reflected in the course material fee charged students. For very high-priced articles an alternative that might be considered is the purchase of a limited number of reprints for library reserve (See Section [b] of this policy).

Please note that it is the responsibility of the individual member of the faculty (not academic assistants or the Copy Center staff) to insure that material distributed to his or her students comply with permission requirements. It is also the responsibility of the individual faculty member to insure that neither academic assistants nor Copy Center staff be asked to duplicate material or to implement revisions to material that violate copyright.

For complete information on the Copyright Policy, please see the Dartmouth Administrative Guide (DAG).

K. Dartmouth College Library System Overview

The Dartmouth College Library System includes eight libraries. Organized by subject disciplines, they are: Baker Berry (social sciences and humanities, government documents); Cook (mathematics and computer science); Dana/Matthews Fuller (biomedical sciences); Feldberg (business administration and engineering sciences); Kresge (physical sciences); Paddock (music); Sanborn House (English Literature); and Sherman (art, architecture and photography).

The library’s collections, some 2,000,000 volumes, contain books, serials and government documents held by the library, as well as digital collections.

Numerous specialized databases, including dictionaries, encyclopedias, and bibliographic indexes, such as the Business Periodicals Index, are also available. To access the library system online from the Tuck homepage, choose Dartmouth, then Libraries and Computing. To access the system from the Start Menu, choose Feldberg Library, then Dartmouth College Library Catalog or Dartmouth College Library Digital Collections. To access the digital library online, see <http://diglib.dartmouth.edu/>. The library has links to many websites in a broad range of disciplines. Examples are ProQuest Direct, an index to business and management literature with full text and images for many articles, and Web of Science, the citation databases.

The library is a member of “Borrow Direct,” along with the libraries at other Ivy League institutions. This service allows Dartmouth users to search the catalogs of other libraries, and to borrow books directly.

L. Feldberg Library

Feldberg Library, a gift of Stanley D ‘46 and Theodora Feldberg, supports faculty and student research and curriculum needs at Tuck and the Thayer School of Engineering. It also provides support

to staff of the two schools. The library has an extensive collection of electronic CD-ROM and website-based information in addition to books and serials.

1. Library Services for Tuck Faculty and Staff

Several of the more popular and heavily used library services available to the Tuck faculty are noted below. If you have questions about any library service, please contact a member of the Feldberg staff.

a) Current Awareness/Document Delivery

Tuck faculty and staff, upon request, can receive contents pages from research and professional journals, as well as articles, working papers, and other documents needed for their work. The librarians are happy to work with Tuck faculty and staff to keep them abreast of research topics on a continuing basis. Several resources also allow faculty and staff to set up their own current awareness profiles.

b) Faculty Reserve Readings

Each term during the academic year, Feldberg establishes and maintains a collection of assigned faculty reserve readings. Materials are arranged by course name and are made available to Tuck students at the request of the faculty.

Consult the Feldberg collections specialist for information and assistance with using these services.

c) Interlibrary Loan and Document Delivery

Materials not held at Dartmouth can be obtained for Tuck faculty and staff via interlibrary loan (ILL). Generally it takes 5–10 working days to obtain books via ILL. Articles can usually be obtained in a few days and in some cases, overnight, if necessary. Many articles are obtained through a document scanning system and can be delivered electronically via email.

d) Library Purchase Recommendations

Tuck faculty and staff have an important role in building the library's collection. Faculty and staff are welcome to suggest purchase of publications that they think should be in the library's collection. In addition, the librarians periodically survey and consult with the faculty and staff to insure that the collection best meets current research and instructional needs.

e) Reference and Information Service

Feldberg has five librarians to help you identify, locate, and retrieve information needed for research or teaching needs. Feldberg provides access to numerous online services such as Factiva (formerly Dow Jones Interactive) and Lexis-Nexis. Many information sources subscribed to by the library are available through TuckStreams, so faculty and staff can use them from their desktops.

2. Faculty and Staff Use of Library Collections

For Tuck faculty, the loan period for books is one year (subject to recall after two weeks if another user wants the book). For Tuck staff, the loan period for books is one month (subject to recall after two weeks if another user wants the book). Journal publications circulate to faculty for one week. The library catalog enables faculty and staff to request books and articles from other libraries on campus, and to have these materials delivered to Feldberg.

M. Office of Creative Services

Tuck's Office of Creative Services supports the strategy of the Tuck School of Business at Dartmouth through the production of high-quality marketing and editorial content for use on the school's various websites, social networking sites, and in its core print publications: *Tuck Today*, *Tuck Forum*, the Admissions viewbook, and the Enrolment Action Guide for admitted students. In addition to content creation, which includes stories, videos, podcasts, photography, and HTML emails, Creative Services manages Tuck's core websites, the video studio, and the digital assets archive. Creative Services also creates and maintains websites for faculty members to showcase their research, teaching, and consulting efforts.

To inquire about working with Creative Services, please call 646-3558.

N. Public Relations Office

The public relations team serves as a vital link between reporters, editors, and producers and the Tuck School. Each day, the public relations team responds to inquiries from the international, national, and regional news media. As part of that process, they help the press find appropriate experts for their stories and seek opportunities to encourage the press to cover news emerging from the Tuck campus. Significant developments in research and education, as well as novel activities and opinions of faculty, students, and the administration can sometimes form the basis of news articles, feature stories, or opinion pieces.

If a specific development is likely to be of interest to the press, please contact the public relations team with as much notice as possible. They will work with you to determine the best way to reach your target audiences.

O. Hiring Procedures

1. Foreign Nationals and International Students

Foreign nationals cannot do or be compensated for any work until they have received approval from the INS. Contact Tuck HR for more information. Tuck strictly adheres to this policy. All foreign citizens (including students) must provide visa, passport, I-20, and other documentation to Tuck HR and to the Dartmouth Payroll Office at 7 Lebanon Street in Hanover.

2. Volunteers

Before any work is performed for the Tuck School on a volunteer basis, such work must be approved by Tuck HR. Access to computing resources, training, office space, and other related matters will be determined on a case-by-case basis.

3. Rates of Pay

Rates of pay are established by Dartmouth College based on a number of factors. These factors include the position grade, salary equity issues at Dartmouth and Tuck, and the qualifications of the candidate. The Tuck School makes a recommendation to Dartmouth College as to the rate of pay, and the associate dean of strategy and operations (and/or the dean) approves the final rate of pay for the candidate.

4. Student Employment

If you anticipate hiring a student, please coordinate with Tuck HR well before making an offer. This applies to all students, whether enrolled at Tuck, an undergraduate institution, or a high school. The college's Affirmative Action Plan requires that all job openings be advertised to enable all qualified students to apply for them. All applicants must receive equal consideration. Faculty or administrators who wish to employ Tuck students for a period longer than one month, even if such employment entails only a few hours each week, must post the job on the "official" bulletin board (in the student mailroom) for at least five days before hiring.

Please check with Tuck HR for hourly pay rate guidelines for Tuck student assistance.

Undergraduate students may be hired through the Dartmouth Student Employment Office (SEO). To hire a student for a temporary job, call the SEO at 646-3641 to request that the job be listed in the SEO BlitzMail bulletin. For longer-term employment and work-study students, the SEO requires additional details prior to listing a position on the SEO Jobnet. The standard undergraduate rate for the 2004–05 academic year is \$8.50 for clerical work and data entry and \$8.50-\$12.00 for research.

As soon as a student has agreed to work for a faculty member, the faculty member should submit the student's name and the approximate anticipated duration of employment to Tuck HR. New student employees must fill out I-9 and W-4 payroll forms at least 10 days before he/she may be paid. International students must show their paperwork in person to the Dartmouth Payroll Office at 7 Lebanon Street in Hanover.

Students employed during the academic year must fill out student payroll timesheets, which are available in 2 Tuck Hall. These timesheets require the employing faculty member's signature and account number prior to submission to the accounting assistant.

5. Tuck Partners and Students

Spouses/partners of Tuck students and other students are eligible for temporary part-time and temporary full-time employment at Tuck in all relevant posts except those requiring access to or handling of confidential information pertaining to students. They will be given equal consideration for all other positions according to Dartmouth Administrative Guide (DAG) policies.

P. Policy on Sexual Harassment

It is Dartmouth's policy that all decisions regarding educational and employment opportunities and performance are to be made on the basis of merit and without discrimination because of sex. Sexual harassment is deemed by Dartmouth to be a form of sex discrimination; therefore, sexual harassment of Dartmouth employees or students will constitute a violation of Dartmouth's equal opportunity policy and may be a violation of the student Code of Conduct. Sexual harassment is understood to mean unwelcome sexual advances, requests for sexual favors, and other verbal or physical conduct of a sexual nature when:

- submission to such conduct is made either explicitly or implicitly a term or condition of an individual's employment or status as a student;
- submission to or rejection of such conduct by an individual is used as the basis for employment or academic decisions affecting him or her, or for the awarding or withholding of favorable employment or academic opportunities, evaluations, or assistance; or
- such conduct has the purpose or effect of unreasonably interfering with an individual's work or academic performance by creating an intimidating, hostile, or offensive working or educational environment.

This policy and the mechanisms for redress will be called to the attention of all members of the Dartmouth community by publication in all employee and student handbooks.

1. Reporting Sexual Harassment Concerns

Staff of the Office of Institutional Diversity and Equity have consulted with offices around campus on the best means for protecting due process and confidentiality in the process of hearing sexual harassment concerns. Several offices have developed forms for intake interviews. A recent editing of the Office of Institutional Diversity and Equity's sexual harassment brochure, *Tell Someone*, specifies appropriate individuals to whom to report sexual harassment concerns.

2. The Legal Definition of Sexual Harassment

Sexual harassment is a form of gender discrimination and violates both Title VII of the 1964 Civil Rights Act as well as State discrimination laws. The Equal Employment Opportunity Commission (EEOC) is the federal agency that enforces the federal law.

The EEOC's guidelines define sexual harassment as unwelcome sexual advances, requests for sexual favors and other verbal or physical conduct of a sexual nature when:

- Submission to such conduct is made an implicit or explicit condition of employment;
- Submission to or rejection of such conduct affects employment opportunities; or
- The conduct interferes with an employee's work or creates an intimidating, hostile, or offensive work environment.

3. How to Report a Sexual Harassment Concern at Tuck

a) Who May Report a Concern

All Tuck students, employees, faculty, and applicants for employment and admission may use the procedure described below.

b) Where to Report a Sexual Harassment Concern

Staff of the Office of Institutional Diversity and Equity have consulted with offices around campus on the best means for protecting due process and confidentiality in the process of hearing sexual harassment concerns.

Several offices have developed forms for intake interviews. A recent editing of the Office of Institutional Diversity and Equity's sexual harassment brochure, *Tell Someone*, specifies appropriate individuals to whom to report sexual harassment concerns.

You may choose the person with whom you feel most comfortable. For Tuck, the designated advisors are:

- Sally Jaeger, Assistant Dean and Director, MBA Program, 646-2190
- Steve Lubrano, Assistant Dean of Administration & Chief Operations Officer Dean's Office, 646-3828
- Matthew Slaughter, Associate Dean, MBA Program, 646-2939
- Penny Pauquette, Associate Dean, Strategic Initiatives, 646-2492
- Tammy Stebbins, HR Coordinator & Manager of Academic Support, 646-0796
- Bob Hansen, Senior Associate Dean, 646-2079
- Katherine Flint, Assistant Director MBA Program, 646-0894
- Amy Mitson, Associate Director, Admissions, 646-0764

c) Time Frames for Reporting a Sexual Harassment Concern

Internal Channels. A person who has experienced sexual harassment should register the concern as soon as possible even if he/she is not necessarily planning to take action. In order to maximize the effectiveness of this procedure, individuals are advised to report a situation within six months or two academic terms, although complaints may be filed after this time.

d) Designated Investigators for Sexual Harassment Concerns, Office of Institutional Diversity and Equity

- Susan Rosales Nelson, Associate Director for Equal Opportunity and Affirmative Action, 646-3146
- Evelyn Ellis, Director of Equal Opportunity and Affirmative Action, 646-3197

Q. Sexual Abuse Policy

Students and recognized organizations are prohibited from engaging in sexual abuse of any kind. The wide spectrum of behaviors encompassed by this regulation calls for a variety of sanctions. The most

egregious behaviors encompassed by this regulation, and cases of repeated violations, will incur the most serious sanctions the College can impose, up to and including separation. Sexual abuse includes, but is not limited to:

- Conduct of a sexual nature which reasonably would be expected to have the effect of threatening or intimidating the person at whom such conduct is directed;
- Intentional physical contact with an intimate part of the body of another person without that person's consent;
- Sexual intercourse when such contact is achieved without consent; through physical force, coercion, or threat; or in situations in which the victim is unable to give consent because of physical or mental incapacitation by reason of drug or alcohol consumption, sleep, or unconsciousness.

Please see the *Dartmouth College Student Handbook* for more information on campus resources and New Hampshire law.

R. Academic Freedom, Tenure, and Responsibility of Faculty Members

*Agreement Concerning Academic Freedom, Tenure, and Responsibility of Faculty Members Voted by the Board of Trustees (January 15, 1971) after approval by the Faculty (October 19, 1970) as amended June 12, 2009.*⁶

1. The Trustees and Faculty of Dartmouth College agree that the principle of academic freedom is fundamental to the life and work of the institution and of all who serve it in the responsible performance of teaching and scholarly pursuits.

The Trustees and Faculty accept the principle of academic tenure as a means conducive to that independence of mind and speech essential to higher learning in a free society. Academic tenure is a status which presupposes rigorous, sustained, professional preparation and performance, and the obligation on the individual's part to work according to the spirit and methods of responsible inquiry and teaching.

2. Appointments and reappointments to the faculty shall ordinarily be made by the Trustees only after recommendation from the chairs of the departments concerned and the appropriate Deans⁷. The precise terms of every appointment shall be stated in writing to the appointee by an officer of the College, acting on the authority of the President and the Trustees. All appointments shall be for either a specified period of time or with indefinite tenure.

- a. Appointments and reappointments to positions above the grade of Instructor, excepting initial appointment as Assistant Professor, shall be made only after consultation with the appropriate committee of the several faculties.⁸ At the request of the Dean of the appropriate faculty, such consultation shall also take place in the event of a department's decision not to recommend reappointment.
- b. Decisions on promotion from the grade of Assistant Professor will ordinarily be made between the fourth and sixth year in that rank; this time may include service at another institution.

⁶ As used in this agreement, "faculty" means, for the respective Faculties:

Arts and Sciences	All members holding tenure-track appointments as Professor, Associate Professor, Assistant Professor, or Instructor (contingency appointments).
Medical School	All members holding regular faculty appointments as Professor, Associate Professor, Assistant Professor, or Instructor, inclusive of research track faculty.
Thayer School	All members holding tenure-track appointments as Professor, Associate Professor, Assistant Professor, or Instructor (contingency appointments).
Tuck School	Voting members of the faculty as defined in the Tuck School Faculty Handbook, as amended from time to time.

Except as specifically provided otherwise under Faculty rules, titles covered by the above definitions do not include prefixed ranks. (E.g., "Professor" does not include "Adjunct Professor.")

⁷ For purposes of this Section, "Dean" includes the Associate Dean(s) of the respective Faculties.

⁸ Arts and Sciences: Committee Advisory to the President
Medical School: Appointments, Promotions and Titles Committee and the Dean's Academic Board
Thayer School: Committee on Tenure
Tuck School: Committee on Promotion and Tenure

- c. Promotion into the rank of Associate Professor normally will be made with indefinite tenure. Under special circumstances, with specific approval of the Trustees, the Committee, and the individual, such appointments may be for a specified term. Initial appointments to the faculty in the rank of Associate Professor are normally for a specified term. Reappointment in this rank other than with indefinite tenure shall not be made unless specifically otherwise approved as above. [In the case of the Thayer School of Engineering and the Tuck School, appointments in the rank of Assistant Professor and Associate Professor are frequently for a definite term and on occasion are renewed without indefinite tenure. In the Medical School, appointments in the rank of Associate Professor are frequently for a definite term and may be renewed without awarding tenure.]
- d. Appointment or promotion to the grade of Professor shall normally be with indefinite tenure, but under exceptional circumstances may be for a limited term. [In the Medical School, appointment, reappointment, or promotion to the grade of Professor may often be for a definite term.]

3. Except for adequate cause, as stated below, no member of the faculty of the grade of Instructor or above shall receive a notice that he or she will not be reappointed less than six months before the terminal date of his or her appointment; in the case of those faculty members who will have had at least three years' service in the College, one year's notice shall be given.

Members of the Faculty, recognizing the mutual equity in matters of appointment, accept the moral obligation not to ask release from their agreements under circumstances detrimental to the best interests of the College without according reasonable time for the College to make necessary readjustments.

4. If an academic appointee⁹ alleges that his or her academic freedom has been violated, he or she may request of the Dean of the appropriate faculty that the appropriate committee¹⁰ (hereafter, “the Committee”), and the Council on Academic Freedom and Responsibility in cases referred to the Council by the Committee, hear his or her complaint and consider his or her evidence pursuant to Sections 6(a)(iii) and 6(b)-(f).

5. Both the Faculty and the Trustees acknowledge their obligation to uphold the standards of academic excellence and responsibility. Disciplinary action against a faculty member thus requires cooperation between the Faculty and the Trustees and may be effected by the College only for adequate cause. To show the existence of adequate cause for disciplinary action requires demonstration of the unfitness of the faculty member either in his

⁹ For purposes of Sections 4 and 6, “academic appointee” means any person holding a teaching or research appointment.

¹⁰ For purposes of Sections 4-6, “Committee” means:

Arts and Sciences:	Review Committee
Medical School:	Dean’s Academic Board, or a subcommittee of the Dean’s Academic Board
Thayer School:	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.
Tuck School:	Committee on Academic Freedom and Responsibility

or her professional capacity or in his or her behavior as a member of the Dartmouth community. In order to protect academic freedom, while at the same time serving the interests of the College as a community, the following procedures will be used to determine whether adequate cause exists for any disciplinary action.

- a. Disciplinary action in the form of termination of an appointment with tenure, termination of a nontenured appointment before the end of its specified term, or suspension without pay from College duties (except temporary suspension under Section 6(d)) may be taken only by the Board of Trustees pursuant to the procedures set forth in Sections 6(a)(ii), and 6(b) – (f). All other forms of disciplinary action against a faculty member may be taken by the Dean, and the faculty member shall have the right to have such action reviewed pursuant to the procedures set forth in Sections 6(a)(i) and 6(b) – (f).
- b. Allegations that adequate cause exists for disciplinary action shall first be considered by the Dean of the appropriate faculty. The Dean, or representative thereof, shall discuss the allegations with the faculty member concerned. In considering whether adequate cause exists for disciplinary action and the nature of such action, the Dean may, in his or her discretion, consult with the General Counsel and/or an advisory panel of faculty members selected by the Dean¹¹. In matters involving alleged violation of the College non-discrimination policy, the Dean may also consult with the Director of Equal Employment Opportunity. Members of an advisory panel and other persons with whom the Dean consults shall meet the criteria stated in Section 7. All such discussions and consultations shall be confidential. If agreement on a mutually satisfactory disposition cannot be reached between the Dean and the faculty member, the Dean shall (i) in cases where the Dean recommends disciplinary action in the form of termination of an appointment with tenure, termination of a nontenured appointment before the end of its specified term, or suspension without pay from College duties (except temporary suspension under Section 6(c)) transmit

¹¹ Members of the advisory panel shall be selected from the following:

- | | |
|--------------------|---|
| Arts and Sciences: | Former associate deans of the faculty, former chairs of departments or programs, former members of the Committee on Organization and Policy, and former members of the Committee Advisory to the President, but not including current members of the Council on Academic Freedom and Responsibility. |
| Medical School: | Members of the Appointments, Promotions and Titles Committee (excluding current members of the Dean's Academic Board) and former members of the Dean's Academic Board, but excluding current members of the Council on Academic Freedom and Responsibility. |
| Thayer School: | Tenured members of the Committee on Conduct, Standards and Conflicts of Interest, the directors of undergraduate and graduate studies, the director of the Master of Engineering Management program, and the senior associate dean, but not including current members of the Committee Advisory to the President or the Council on Academic Freedom and Responsibility. |
| Tuck School: | Members of the Committee on Promotion and Tenure (excluding current members of the Tuck School Committee on Academic Freedom and Responsibility) and former members of the Tuck School Committee on Academic Freedom and Responsibility, but not including current members of the Council on Academic Freedom and Responsibility. |

the allegations to the appropriate Committee of his or her faculty¹² pursuant to Section 6(a)(ii); or (ii) in all other cases, inform the faculty member of the disciplinary action taken by the Dean and the faculty member's right to have such action reviewed pursuant to Section 6(a)(i). In cases involving allegations against the Dean, the Dean's responsibilities hereunder shall be exercised by the Provost or, if the Provost does not meet the criteria of Section 7, by another person selected by the President who meets the criteria of Section 7.

6. This Section sets forth the procedures to be followed when the Dean takes or recommends disciplinary action pursuant to Section 5, or when an academic appointee alleges that his or her academic freedom has been violated pursuant to Section 4. Time limits set forth in Section 6(a) shall not include days between academic terms.

a. Committee Procedure:

(i) *Review of Dean's Disciplinary Action* - In cases where the Dean has taken disciplinary action under Section 5(a), the member of the faculty may request to have such action reconsidered, but only if one or more of the following criteria defining the grounds for reconsideration are met:

- The faculty member has new and material evidence that was not reasonably available to the faculty member or the Dean during the Dean's consideration and that would reasonably have affected the Dean's decision.
- The Dean materially failed to follow the procedures under the Agreement and the faculty member had called the error to the attention of the Dean or had reasonable grounds for not doing so.
- The Dean's action was arbitrary or capricious.

The burden shall be on the faculty member to prove the grounds for reconsideration.

The submission of a request for reconsideration shall stay the Dean's disciplinary action until the reconsideration request has been resolved.

The faculty member's request for reconsideration shall be made in writing to the Chair of the Committee within 15 days of the faculty member receiving notification of the Dean's decision. The request for reconsideration shall address how the request meets one or more of the criteria set forth above.

Within 30 days of receiving the faculty member's written request for reconsideration, the Committee shall conduct an initial review of the request.

- I. If, after initial review, the Committee finds that the request has not satisfied the criteria set forth above, it shall so advise the faculty member and the Dean, and the Dean's action shall stand.
- II. If, after initial review, the Committee finds that the request raises a substantial issue under the criteria set forth above, the Committee shall so advise the Dean, and the Dean may (but shall not be required to) respond in writing within 30 days.

¹² See note 5.

If the Committee's initial review indicates that the faculty member's request for reconsideration raises a substantial issue, the Committee shall, within 75 days of the faculty member's initial request (and whether or not the Dean has elected to respond in writing), make a final decision on whether the faculty member has demonstrated grounds for reconsideration, under the criteria set forth above. If the Committee finds that the faculty member has demonstrated grounds for reconsideration, the Committee shall return the case to the Dean for reconsideration with an explanation of the reason for the Committee's action; otherwise, the Committee shall notify the faculty member and the Dean that the Dean's action shall stand. If the Committee returns the case to the Dean for reconsideration, the Dean shall within 30 days either reaffirm or modify his or her initial decision and report his or her decision upon reconsideration to the faculty member and the Committee. The decision of the Dean upon reconsideration shall be final.

(ii) *Review of Dean's Recommendation in the most serious Disciplinary cases* - In cases where the Dean recommends termination of an appointment with tenure, termination of a nontenured appointment before the end of its specified term or suspension without pay from College duties (except temporary suspension under Section 6(d)), the Committee shall within 45 days examine the allegations supporting the recommendation in preliminary proceedings. If agreement with the faculty member on a satisfactory disposition is not reached and the Committee finds the evidence warrants, the Committee shall state the allegations with reasonable particularity, citing their sources and the reasons why, if the allegations are substantially true, they might constitute adequate cause for the recommended disciplinary action. This statement shall be transmitted to the Council on Academic Freedom and Responsibility for further action. If the Committee finds that the evidence does not support the action recommended by the Dean or that the allegations, if true, do not constitute adequate cause for the recommended disciplinary action, the Committee shall so inform the Dean and the faculty member and the Dean's recommendation shall not take effect. Such a decision by the Committee shall not preclude the Dean from taking disciplinary action other than termination of an appointment with tenure, termination of a nontenured appointment before the end of its specified term, or suspension without pay from the College, against the faculty member regarding the same matter that gave rise to the earlier recommendation, and such action shall be subject to review as described in Section 6(a)(i).

(iii) *Academic Freedom Cases* - In cases where an academic appointee alleges that his or her academic freedom has been violated, the Committee shall, within 45 days, consider his or her complaint and evidence. If agreement with the appointee on a mutually satisfactory disposition is not reached and the Committee finds the evidence warrants, the Committee shall refer the matter to the Council on Academic Freedom and Responsibility for further action. In such cases, the appointee shall act as complainant. If the Committee finds that the evidence does not support the appointee's allegation that his or her academic freedom has been violated, it shall so inform the Dean and the appointee and the proceeding shall be concluded.

(iv) *Confidentiality; Conflicts of Interest* - Proceedings before the Committee shall be confidential. A member of the Committee who does not meet the criteria stated in Section 7 will remove himself or herself from consideration of the case either at the request of one of the parties or on his or her own initiative.

- b. A matter forwarded to the Council shall be referred to as a “case.” Parties to Council cases shall be designated as follows:
- *Decision on Dean’s Recommendation for Discipline* – In cases where the Dean has recommended discipline under Section 6(a)(ii), the Dean is the “Dean” or “complainant” and the faculty member is the “respondent.”
 - *Academic Freedom Cases* – Where an academic appointee alleges under Section 6(a)(iii) that his or her academic freedom has been violated, the academic appointee is the “complainant” and the Dean is the “Dean” or “respondent.”
- c. Proceedings before the Council on Academic Freedom and Responsibility will begin with the Committee’s delivery of the case to the complainant, the respondent, and the Secretary of the Council. The Secretary, who is not eligible to be a panel member, will select a Panel, consisting of five members, chosen by lot from the Council. A member of the Council who does not meet the criteria stated in Section 7 will remove himself or herself from the Panel either at the request of one of the parties or on his or her own initiative. In addition, each party will have the right to remove a maximum of three Council members from a Panel without stated cause. A removed Panel member will be replaced by lot from the remaining members of the Council. A presiding member will be elected for each case by the Panel members from among themselves. During the proceedings, both parties and the Panel shall be permitted counsel and academic advisers of their choice. The Secretary is empowered to employ legal counsel to advise the Secretary and the Panel. With the consent of the parties, the Secretary may arrange for a mediator or arbitrator to meet with the parties in an attempt to resolve the conflict.
- d. The Dean may temporarily suspend a faculty member, pending the outcome of proceedings under Section 6(a)(i) or 6(a)(ii), where in the Dean’s judgment such action is necessary to prevent the faculty member from inflicting harm on himself or herself or others or from interfering with the proper conduct of College business. Salary and usual benefits will continue during this period of suspension.
- e. The respondent will respond in writing to the Secretary of the Council within ten days of receiving his or her copy of the complaint, either admitting or denying each particular allegation. Where a dispute exists in matters of fact, either party may request that the facts in the case be established by a board of three arbitrators, as provided in Chapter 542, New Hampshire R. S. A. (text attached hereto). Each party will choose one arbitrator, who will together appoint the third. The presiding member of the Panel has the responsibility and authority to frame the issues of fact to be determined after hearing each party with respect thereto. All facts, whether determined by a Panel or a board of arbitrators, must be established by a preponderance of the evidence. A preponderance of the evidence means proof by information that, compared with that opposing it, leads to conclusion that the fact at issue is more probably true than not. All findings of fact and the evidence and testimony on which the facts are established will be in writing and become part of the hearing record.
- f. Hearings shall begin not earlier than twenty days and not later than forty days after the beginning of Council proceedings, except by agreement among the Panel and the parties. Where facts have been established by arbitration, hearings by the Panel shall begin not earlier than ten days and not later than thirty days following submission of the arbitrators’ report. The hearings shall be open to the College community at the request of the respondent in cases under Section 6(a)(ii), or at the request of the

complainant in cases under Section 6(a)(iii), although the Panel shall be permitted to close portions of such hearings or limit the number of observers, at its discretion. A verbatim record shall be kept and made available to both parties in the proceedings and to the Panel. The record of the proceedings may be made public only with the permission of the respondent in cases under Section 6(a)(ii), or at the request of the complainant in cases under Section 6(a)(iii), although the Panel may, or at the request of the President must, make public a full account of its findings and recommendations. Public pronouncements by members of the Panel, the parties, or the arbitrators, except for notices of hearing time and place, will be prohibited during the full course of the Council proceedings.

g. *Decision* –

(i) In cases under Section 6(a)(ii), the Panel will decide whether the facts, either agreed upon between the parties or determined by arbitration, constitute adequate cause for disciplinary action. In order to make this decision within the circumstances of the case, further testimony or statements, introduced by either party, shall be accepted if deemed pertinent by any Panel member. If the Panel finds that no adequate cause exists for disciplinary action it shall so state in its report to the President. If adequate cause is found, the Panel will recommend the appropriate action to be taken and report its findings and its recommendations to the President. The President will transmit the report of the Council Panel and the full transcript of the hearings to the Board of Trustees. Final action will be taken by the Trustees after reviewing the several documents.

(ii) In cases under Section 6(a)(iii), the Panel will transmit to the President, for his or her decision and appropriate action, the Panel's recommendation as to whether the facts, either agreed upon between the parties or determined by arbitration, constitute violation of the complainant's academic freedom.

h. Council proceedings shall be completed within 60 days after delivery of the case to the Secretary of the Council.

7. Reasonable precautions shall be taken to avoid bias and real or apparent conflicts of interest on the part of those involved in conducting proceedings hereunder. Specifically, reasonable steps shall be taken to ensure that members of Deans' advisory panels, review committees, the Council, and experts have no bias and no personal, professional or financial conflict of interest with respect to the parties or the case in question. In making this determination, consideration shall be given to whether the individual (or any members of his or her immediate family) has any of the following involvements with a party: kinship; assistance in preparation of a party's case; financial involvement; coauthor on a publication; collaborator or co-investigator; party to an academic controversy; supervisory or mentor relationship; other special relationship such as a close personal friendship or a physician/patient relationship. Consideration shall also be given to whether there is any other circumstance that might appear to compromise the individual's objectivity in reviewing the allegations. Parties shall have the right to comment on whether members of Deans' advisory panels, review committees, and the Council meet the above criteria. If a party makes a prompt, reasonable, objection to the Dean concerning a member of a Dean's advisory panel, or to the presiding officer concerning a member of a review committee or Council panel, the challenged

person shall be replaced with another person who meets the stated criteria.¹³ If the objection concerns an asserted conflict on the part of a dean or presiding officer, the challenge shall be decided by the Provost or, if the Provost does not meet the stated criteria, by another person selected by the President who meets the stated criteria. The decision of the Dean, presiding officer, Provost, or other designated person, as the case may be, regarding such a challenge, shall be final.

8. Time limits hereunder for action by a Dean, Committee, or Council Panel, may be extended for good cause by the Dean or the presiding member of the Committee or Council Panel, respectively.

9. This agreement shall become effective immediately, following its approval by the Faculty and Trustees of Dartmouth College, superseding the agreement of September 1, 1960.

New Hampshire R.S.A. CHAPTER 542
Arbitration of Disputes

542:1 Validity of Arbitration Agreements.

A provision in any written contract to settle by arbitration a controversy thereafter arising out of such contract or an agreement in writing to submit to arbitration any controversy existing at the time of the agreement to submit shall be valid irrevocable and enforceable save upon such grounds as exist at law or in equity for the revocation of any contract. The provisions of this chapter shall not apply to any arbitration agreement between employers and employees, or between employers and associations of employees unless such agreement specifically provides that it shall be subject to the provisions of this chapter.

Sources: 1929, 147:1. RL 415:1. 1945, 191:1, eff. May 18, 1945.

542:4 Appointment of Arbitrators.

If no method of naming arbitrators be provided, or if for any other reason there shall be a lapse in the naming of arbitrators, then upon the application of either party to the controversy the court aforesaid or the court in and for the county in which the arbitration is to be held shall designate and appoint an arbitrator or arbitrators as the case may require, who shall act under the said agreement with the same force and effect as if he or they had been specifically named therein; and unless otherwise provided in the agreement, the arbitration shall be by a single arbitrator.

Sources: 1929, 147:1. RL 415:4.

542:5 Witnesses; .Summoning; Compelling Attendance.

When more than one arbitrator is agreed to, all the arbitrators shall sit at the hearing of the case unless, by consent in writing, all parties shall agree to proceed with the hearing with a less number. Any person may be summoned as provided in chapter 516, RSA, to attend before the arbitrators as a witness and the fees for such attendance shall be the same as the fees of witnesses in the superior court. If any person or persons so summoned to testify shall refuse or neglect to attend, upon petition the court in and for the county in which such arbitrators are sitting may compel the attendance of such person or persons before said arbitrator or arbitrators, or punish said person or persons for contempt in the same manner now provided in chapter 516.

Sources: 1929, 147:1. RL 415:5.

¹³ Arts and Sciences: The process for replacing a member of the Review Committee is described in part III, subpart A.6.a. of the description of the membership of the Review Committee.



DARTMOUTH COLLEGE
OFFICE OF THE GENERAL COUNSEL

Robert B. Donin
GENERAL COUNSEL

14 SOUTH MAIN ST., SUITE 2-C
HANOVER, NEW HAMPSHIRE 03755
(603) 646-2444 FAX: 646-2447
ROBERT.B.DONIN@DARTMOUTH.EDU

June 1, 2009

Paul Danos
Dean, Tuck School of Business

Carol Folt
Dean, Faculty of Arts & Sciences

Joseph Helble
Dean, Thayer School of Engineering

William R. Green
Dean, Dartmouth Medical School

Dear Deans Danos, Folt, Helble and Green:

In response to a question raised by a member of the faculty, and at the request of President Wright, I am writing to provide clarification concerning a provision of the proposed amendments to the Agreement Concerning Academic Freedom, Tenure and Responsibility of Faculty Members. Except as provided in the special Medical School policy concerning tenured appointments*, references in the text to “disciplinary action in the form of termination of an appointment with tenure, termination of a nontenured appointment before the end of its specified term, or suspension without pay from College duties (except temporary suspension . . .)” are intended to include disciplinary actions which effectively reduce a faculty member’s employment or ability to perform his or her responsibilities below the level specified in his or her appointment. Accordingly, faculty members subject to such disciplinary actions are entitled to the protection of the full adjudication process set forth in Sections 6(a)(ii) and 6(b) – (f) of the Agreement, including a hearing before the Committee on Academic Freedom and Responsibility and final action by the Board of Trustees.

This letter shall be appended to the Agreement and become part of the official records of the Board of Trustees.

Sincerely,

/s/

Robert B. Donin

cc: James Wright
Barry Scherr

* *Faculty Tenure at Dartmouth Medical School* (April 1993).



Dartmouth College HANOVER • NEW HAMPSHIRE • 03755

Office of the President 209 Parkhurst Hall Telephone: (603) 646-2221
Fax: (603) 646-2266

Cheryl K. Reynolds
Secretary to the Board of Trustees

June 16, 2009

To: Robert Donin

From: Cheryl Reynolds

I am pleased to inform you that on the recommendation of the President, the Provost and the General Counsel, on June 12, 2009 the Board of Trustees:

VOTED: to approve the amendments to the *Agreement Concerning Academic Freedom, Tenure and Responsibility of Faculty Members*, as approved by the four Faculties of Dartmouth College and as described in the memorandum from the General Counsel.

cc: ✓ Paul Danos
Carol Folt
Joseph Helble
William R. Green
Barry Scherr
James Wright

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