BROWN

Handbook of Academic Administration[1]

[1] The information presented in this document represents a summary of certain policies, regulations and benefits applicable to faculty and academic administration at the University. These policies, regulations and benefits are subject to change in accordance with University delegations of authority or by vote of the Corporation. In the event of inconsistencies between official University policy and this Handbook, the official University policy shall prevail. *Note: This document undergoes frequent revision. The official and most recent version can be found at http://www.brown.edu/about/administration/dean-of-faculty/handbook-academic-administration. Department chairs and other known users will be notified via email when changes are made.*

Brown University Handbook of Academic Administration

Chapter 1. Administrative Organization of the University

1.1 Academic Units: Departments, Divisions, Programs, Centers, Institutes and Committees

Brown University academic units take various forms, including schools, divisions, departments, centers, and programs, among others. An example of a school is Engineering; an example of a division is Applied Mathematics; an example of a department is French Studies. Centers, institutes, programs and committees are less formal associations of faculty that have been established for educational and/or research programs of an interdisciplinary nature. For general definitions of academic departments, programs, centers and institutes, please see below. For information about proposing a new department, program, center, or institute, see the Faculty Rules and Regulations. An alphabetical up-to-date listing of academic departments, as well as centers and institutes, of the University is available on the Brown Website.

Contact information of the administrative offices of these units is available on the Brown website or in the Brown online directory.

1.2 Definitions: Departments, Centers, Programs, and Institutes

The definitions below are provided according to the *Faculty Rules and Regulations*. An academic "Department" is an administrative unit of faculty members joined by a common intellectual field or academic discipline. Departments house both teaching and research programs.

A "Center" is an academic unit of the University, often involving faculty from a number of academic departments, primarily established to support faculty research or to house a multidisciplinary academic program. A Center may offer undergraduate courses and concentrations, subject to the usual scrutiny and approval by faculty committees. A Center may offer graduate courses and programs, subject to approval by the participating departments and the Graduate Council, which may lead to the awarding of the master's degree. The Ph.D. should normally be offered in the discipline of one of the sponsoring departments, subject to the policies that prevail for the granting of such a degree within that department.

A “Program” is an academic configuration whose function is primarily, though not exclusively, instruction. A Program may offer undergraduate courses and concentrations, subject to the usual scrutiny and approval by faculty committees.

An “Institute” is a large configuration of faculty, research faculty and others who oversee a variety of research and other academic programs. An Institute may offer undergraduate courses and concentrations, subject to the usual scrutiny and approval by faculty committees. An Institute may offer graduate courses and programs, subject to approval by the participating departments and the Graduate Council, which may lead to the awarding of the master's degree. The Ph.D. should normally be offered in the discipline of one of the sponsoring departments, subject to the policies that prevail for the granting of such a degree within that department.

1.3 Proposals for New Academic Departments, Programs, Centers or Institutes

As indicated in the *Faculty Rules and Regulations*, a proposal for a new academic department, academic program, center or institute is made by a group of interested faculty to the Dean of the Faculty, Dean of Medicine and Biological Sciences, or Dean of Public Health (hereafter referred to in this chapter as the “appropriate dean”). The Dean forwards the proposal to the Provost with their recommendation regarding the merits of the proposal. Prior to the presentation of the proposal to the Provost, discussions with the appropriate dean and all potentially interested faculty and academic units should take place. The proposal should offer a detailed analysis of the scholarly, pedagogical, and financial consequences of the creation of the new department, program, center or institute for the University. Specifically, the proposal should include an academic budget and an analysis of the availability of potential internal and external resources. Proponents of the proposal should seek to gather letters or indications of support from all academic units potentially affected by the creation of the new department, program, center or institute.

The Provost, upon determination that all necessary supporting documentation has been provided and sufficient consultation with the appropriate dean and faculty has occurred, brings the proposal to the Academic Priorities Committee (APC, see Chapter 15) for its consideration and review. Simultaneously, the Provost provides copies of the proposal to the President and the Chair of the Faculty Executive Committee (FEC) to both make them aware of the proposal and to provide an opportunity for their input to be considered by the APC at an early stage of its review.

The APC may, at its discretion, initiate a review of the proposal through the appointment of relevant evaluating committees composed of Brown University faculty or scholars in relevant fields from peer institutions. At an early stage in their review the APC, through the office of the FEC, notifies the Faculty as a whole of the proposal and makes it available for review and comment. This notice is intended to both make the Faculty at large aware of the proposal and to provide an opportunity for their input to be received and considered by the APC in its review. The APC, through the Provost, offers its recommendations regarding the creation of a new academic department, program, center or institute to the Faculty, through the Chair of the Faculty Executive Committee. The APC's recommendation is simultaneously provided to the President and made available to the Faculty.

The Faculty considers the recommendations of the APC and votes to approve or reject the proposal. The result of this vote constitutes a recommendation to the President and is forwarded to the President for their consideration. The Provost, as chief academic officer of the University, also makes their own recommendation to the President at this stage. The President considers the recommendation of the Faculty and of the Provost and makes their own recommendation on the matter to the Board of Fellows, who have ultimate responsibility for the establishment of academic departments, programs, centers and institutes. The President notifies the APC, the FEC, and the interested faculty of the determination of the Board of Fellows.

Chapter 2. Appointment and Duties of the Head of the Academic Unit

Note: In the following text, the word "chair" is used in its generic sense to identify the heads of academic units, and the word "department" is employed in the same sense. “Appropriate Dean” refers to the divisional dean to which a particular department reports (i.e., Dean of the Faculty, Dean of Medicine and Biological Sciences, Dean of Engineering or Dean of Public Health).

The heads of academic units (chairs of departments; directors of programs and centers) are appointed by the Provost, usually for a term of three years (five years in the Division of Biology and Medicine, and in the School for Public Health), upon the recommendation of the appropriate dean. The chair appointment may be renewed for a second term.

The responsibilities of the chairs of academic units include performing all the administrative tasks that a unit requires of its chief officer, and for ensuring that the highest of academic standards are maintained. As the unit's chief academic and administrative officer, the Chair is responsible both to the faculty of the unit and to the University. The Chair is responsible for interpreting University policies to the members of the academic unit, while also representing the individual and group concerns of faculty members to the Administration, and for administering the University's policies and procedures with respect to graduate and undergraduate students, and employees. Particular responsibilities of the Chair are articulated throughout this Handbook and are summarized at the end of this chapter.

Each academic unit determines its own internal procedures and organization, within such general rules and guidelines as have been established for the University as a whole. The Chair is expected to preside at department meetings (which should be held as often as necessary, but at a minimum, once a month) and to appoint department officers and committees as needed (e.g., a concentration adviser, a graduate representative, a curriculum committee, a secretary to record minutes of meetings, and so forth). The Chair is responsible for ensuring that all departmental records and correspondence are maintained, and for establishing and maintaining smooth operating procedures for the conduct of the unit's business.

Members of departments generally raise any formal administrative matters with the Chair. When it seems appropriate, however, direct communication between any member of the department and any officer of the Administration is encouraged, although the Administration expects that chairs will be kept fully informed by both the faculty and the appropriate senior officers on formal administrative matters.

Appeals by students or faculty of a department chair's decisions can be made to the appropriate dean. Undergraduate students should make such appeals first to the Dean of the College, medical students to the Dean of Medicine and Biological Sciences, and graduate students to the Dean of the Graduate School. For formal grievances, there are established procedures which are distinct from the way that informal appeals are treated. The University's grievance procedures are described in the Faculty Rules and Regulations.

If the Chair is to be absent from the campus for an extended period, an acting chair should be designated by the Chair, with the concurrence of the appropriate dean, to serve until the Chair's return.

2.1 Administering Departmental Faculty: Teaching, Research and Service

The Chair supervises the procedures for recruiting, interviewing and appointing new faculty members, and is also responsible for the development of departmental recommendations for the faculty (except, of course, themself) regarding reappointments, promotions, tenure, and renewal of contracts, and requests for leaves of absence. The Chair recommends changes of salaries of all departmental faculty to the appropriate Dean as part of the departmental budget procedures, receives and evaluates for the department all requests for leaves and transmits these to the Dean with recommendations for action. The Chair is responsible for annual evaluations of the work and status of the members of the department, for protecting their interests as both individuals and as professional scholar-teachers and for helping promote their professional development; in sum, for maintaining and enhancing the quality of the faculty. The Chair should be alert to any and all personnel problems, and should keep the office of the Dean informed of progress in working to resolve them.

Chairs are expected to advance the interests of their faculty by promoting University recognition of faculty achievements and by being open to questions, suggestions, concerns and complaints of both faculty and students. Chairs should be responsible for short- and long-range planning for their departments, should keep themselves informed on changing trends within their disciplines, and should be ready to argue departmental priorities as persuasively as possible.

Evaluation of the performance of all departmental faculty is part of the Chair's responsibility, and a summary written evaluation is required annually to substantiate recommendations on salary changes for all faculty to the Dean. The Chair is expected, upon request, to discuss the evaluation with the faculty member concerned, to provide them with a summary of the contents of the evaluation and also to provide an opportunity to discuss both past performance and plans for addressing problems that have been identified.

Separate from the salary review, and of particular importance is the annual review by the department of the work and status of its untenured members. The purpose of the annual review is, in general, to assess individually the performance of the junior faculty in teaching, research, and service to the University. For these faculty members, the annual review should also be a chance for each of them to discuss their future prospects in the department, and about the process that will be followed in considering them for promotion or tenure. Should junior faculty be deficient in any aspects of scholarly development in research and teaching, as defined by departmental standards and criteria for reappointment, promotion or tenure, this is the forum for the Chair to communicate such concerns officially and for the record.

2.2 Meetings of Chairs of Academic Units

Chairs of academic units meet regularly as a group with the Provost and other members of the senior administration to discuss matters of University concern. The Provost chairs these meetings. Additional meetings may be called at the discretion of the Provost, or upon the recommendation of other members of the agenda committee.

An agenda committee prepares the agenda in advance of each regularly scheduled meeting of unit chairs. Chairs of academic units who wish to suggest items for the agenda of a forthcoming meeting should contact a member of this agenda committee. Support for the meetings of unit chairs and of the agenda committee is provided by the Office of the Provost in University Hall.

2.3 Supervision of the Departmental Curriculum

While the specific content and methods of courses in the curriculum are primarily the responsibility of the instructors in those courses, within appropriate limits defined by the discipline and the unit, the Chair is responsible for oversight of the department's curriculum as a whole. After approving proposals made for new courses, or proposals for changes in the department's concentration, the Chair should forward such proposals/recommendations to the College Curriculum Council (CCC) in the case of undergraduate courses or the undergraduate concentration, or to the Graduate Council for graduate courses. Follow this link for guidelines and forms for new undergraduate or graduate courses.

The assignment of teaching duties and scheduling of classes in accordance with University course-scheduling principles and in a fair and equitable manner within the department are also the responsibility of the Chair.

The Chair has responsibilities toward all students in the department, especially concentrators and graduate students. Many of these responsibilities are frequently delegated to the concentration advisor and graduate representative, but the Chair may be called upon to adjudicate disputes between students and faculty members. The Chair should also attempt to view the department and its curricular offerings from the students' perspectives, as well as from those of the faculty, and if necessary to mediate between them.

The head of an academic unit:

- Countersigns (and endorses if appropriate) proposals for departmental and extra-departmental courses and independent studies (GISP and IS courses) by faculty and teaching associates of the department. (Follow this link for information about GISP and IS forms.)
- Presents proposals for concentrations to the CCC Executive Committee for screening. Interdepartmental proposals must have the endorsement of all department chairs involved. Interdisciplinary concentrations are under the supervision of faculty committees appointed by the Provost (or in special cases, by the President) and are authorized to present concentration proposals, supervise concentrators, and propose courses.

Proposals for undergraduate courses are submitted to the Associate Registrar for Course Information. Graduate Course proposals are submitted to the Graduate School.

- Provides the materials for the annual Course Announcement Bulletin and (separately) the Catalogue of the University to the Registrar's Office, and the annual Guide to Liberal Learning to the Dean of the College.
- Coordinates the review of undergraduate programs in the department with the designated CCC sub-committee, when the CCC so requests.
- Effects, upon the invitation of the Graduate Council, the department's participation in the review of its graduate programs, collaborating with the Graduate Council's appointed sub-committee.
- Coordinates (and endorses when appropriate) faculty submission of grant proposals for the development of the undergraduate curriculum.

2.4 Budgeting and Staffing

The Chair is the chief fiscal officer of the department, and is responsible for preparing budget proposals and presenting them to the appropriate divisional dean. Once the budget has been approved, the Chair must oversee requests for modifications of it when necessary. Some of this responsibility may be delegated, but ultimately it is the Chair who is responsible for the department budget. He/she must have a general understanding of the overall financial condition of the University and be willing to interpret it to the members of the department; the Chair must also define and articulate to the administration the goals and ambitions of the department.

In practical terms, this means department chairs must budget realistically, present the budget request to the Dean for approval, and administer the budget prudently throughout the fiscal year. Budgetary responsibilities therefore fall into two categories: 1) planning and preparation, and 2) maintenance and control. These functions overlap during the course of the year; while the Chair controls the current budget year, he/she is also planning for the next fiscal year.

2.4.1 Planning

The office of the appropriate divisional dean works with chairs regarding the budget and planning needs of the department. There is of course frequent communication about particular budgetary or financial issues, but in the early spring of each year the formal process of setting the budget for the following year takes place. The process includes evaluating requests for leaves of absence, assessing the need for temporary teaching funds, reviewing the operational budget, setting salaries, and so on. In the spring, departments may request to undertake regular faculty searches in the subsequent academic year.

2.4.2 Maintenance and Control of the Budget

Although the Chair is responsible for the department's budgetary integrity, the daily or monthly accounting and bookkeeping function is often delegated. To facilitate monitoring, however, it is recommended that department chairs institute a systematic way of verifying all monthly charges against their budgets.

The Chair or their designee should approve only those expenditures which are covered by the departmental budget. If a need arises that was not originally anticipated, the Chair should try to cover the expense by transferring funds from other budget categories. Requests for extraordinary supplemental funds may be directed to the Dean.

Every month the Chair will receive from the Controller's Office two (2) reports pertaining to the previous month's expenditures:

1. Monthly Labor Distribution Reports: Provides the detail of monthly, as well as fiscal year-to-date, salary and benefit expenses, which are listed by employee and by account number charged. These reports should be verified each month for accurate pay-out of salaries and benefits.

2. Monthly Ledger Account Statement and Transaction Reports: Provides the detail of monthly and fiscal year-to-date expenditures and available budget, by category, for all departmental accounts. All monthly expenditures should be verified by documents and/or requisitions retained in the departmental files.

In addition, chairs or their designees may access the Provost's Reporting System for online budget and expenditure reports related to their department.

The above reports provide a monthly and fiscal year-to-date accounting of the expenditure pattern in the department and the relation of this pattern to the department's original budgetary goals. The reports also serve as a useful tool for future budgetary planning. If any inaccuracies or unexplained items appear in these reports, it is the responsibility of the Chair or designee to follow up with the Controller's Office or the appropriate dean.

Chairs are urged to budget as realistically as they can because of the restricted amount of contingency money available to satisfy emergency additions to the budget. When a chair makes such a request, it should be realized that the Dean may be unable to approve it.

Requests to transfer funds from one line item to another within the departmental budget or to supplement the budget are made via a budget change request. The Chair or designee should submit a detailed request in writing to the appropriate dean for review, approval and final processing.

2.4.3. Guidelines Concerning Expenditures from all Institutional Funds to Support Faculty Research

Guidelines provide guidance for determining which expenses may be charged to all faculty research support funds. The purpose of this policy is to ensure sound business practices, timely and accurate recording of expenses, and compliance with tax regulations under the Internal Revenue Code. To read the guidelines and policy in full, go to this link.

2.5 Staffing Plans and Rosters

Each department has an authorized roster, representing the maximum number of faculty appointments (FTE or full-time equivalent) permitted on the department's budget. All regular faculty members (Instructors through Professors, and including Lecturers, Senior Lecturers, and Distinguished Senior Lecturers) are counted on the roster irrespective of their pay status in any given year, as are faculty on leave. In exceptional cases, a particular appointment may not count against a department's roster, e.g. a position supported by special funding arrangements; a target of opportunity hire; or an appointment made specially to fill a professorship whose occupant might reside in any one of several departments.

Definitions:

- *Roster FTE* refers to the appointment, whether full or fractional, held by a faculty member in a department. The roster FTE is established at the time an appointment is made, and is adjusted only very rarely. Roster FTE may be less than 1.0 in a department (as in the case of joint appointments), but it does not vary with leave status, nor with changes in year-to-year teaching responsibilities.
- *Effort FTE* refers to the fraction of effort dedicated to a department in which a faculty member holds an appointment. Divisions of Effort FTE may not be identical to splits in Roster FTE. For example, an individual who holds a joint appointment (0.5 Roster FTE in each department or split Effort FTE when the unit holding the entire Roster FTE may not grant tenure) may regularly teach three courses in one department and one in the other. This would result in Effort FTE of 0.75 in the first department and 0.25 in the second. The same division would be seen for someone who is appointed entirely in one department (1.0

Roster FTE) but who holds a "courtesy" appointment in another and routinely offers a course in that department. Normally, Effort FTE is changed only through agreement between departments and with the Dean.[2]

2.6 Summary: Role of Department Chair

The overarching leadership responsibility of the Chair is, working in collaboration with faculty colleagues, to develop a strong, coherent vision for the development and growth of the department. This vision must be communicated clearly to the administration, students, prospective students and alumni. In leading the department to achieve the unit's vision and goals, the department Chair is expected to:

- Strengthen faculty in new and emerging areas or in critical traditional areas where departmental strength is lacking.
- Provide general oversight of the activities of the department and the functioning of its education program.
- Promote the welfare of the department faculty and staff and foster a cooperative and collegial departmental atmosphere.
- Serve as the primary channel of communication between the department and the University's administration.

Among the specific responsibilities of the Chair are the following:

- Call regular department meetings, preside at these, and ensure that minutes of such meetings are taken and subsequently distributed and maintained.
- Appoint the officers of the department and members of department committees.
- Plan and supervise the processes of the faculty recruitment, implementing in so doing any relevant decisions of the department that may have previously been taken.
- Organize and carry out the annual collective department review by senior faculty of each untenured faculty member and communicate in writing the results of this review to the untenured faculty member in question and to the appropriate divisional dean.
- Ensure that University policies and procedures are understood by those responsible for financial transactions, and that the department operates within the constraints of externally and internally funded budgets.
- Conduct an annual evaluation of the performance of each faculty member of the department and recommend a salary for each such individual to the Dean.
- Oversee the preparation of all documents needed for reappointment or promotion of faculty.

[2] Note that Effort FTE is not equivalent to a department-supported FTE which indicates the percentage of a faculty member's salary that is paid from the department's instructional budget in a given fiscal year, since this may change annually to reflect leaves and other adjustments.

- Oversee staff evaluation, salary setting and staff development.
- Communicate departmental needs and plans to the administration and in turn communicate the administration's needs and goals to the department.
- Exercise general oversight of the department's graduate and undergraduate curricula and compile the list of department courses for inclusion in the annual University Course Announcement. Oversee the appropriate procedures for the establishment of new courses.
- Work with the departmental manager or the person in the equivalent position to make sure that all departmental deadlines are met, that jobs are appropriately delegated, and that a yearly budget for the department is planned and approved.
- Represent the department in all Tenure, Promotions, and Appointments Committee (TPAC)-related issues.
- Assign office and laboratory space in the department, and discuss any concerns about space or its use with the Provost's office.

Where appropriate given the nature of the department's work, the Chair shall also do the following:

- Work with the Office for the Vice President for Research to attract large block research grants for the department.
- Work with the Office for the Vice President for Research on all issues regarding compliance with contracts and grants, conflict of interest policies, intellectual property issues, and the commercialization of products resulting from research.
- Review in advance all requests for external funding by department faculty.

2.7 Relevant Policies

Chairs are also responsible for being familiar with University policies, which are articulated throughout this Handbook. Several specific policies are listed here, others are found in Chapters 3, Affirmative Action and Equal Employment Opportunity, Chapter 21, Legal Issues, and Chapter 22, Miscellaneous Matters.

2.7.1 Confidentiality

Chairs should impress upon their faculty and department staff the expectations of confidentiality that are established by University policies, norms of professional conduct, and federal and state laws. During the course of their employment at Brown University, faculty and staff members may participate in confidential processes and have access to confidential and privileged information, and are expected to maintain the confidentiality of University business, records and information. See Section 21.2, Maintaining Confidentiality, for further detail.

2.7.2 Sexual Harassment

Sexual harassment is prohibited by policies implemented at Brown University.

Brown University, through its policies and procedures, seeks to provide an environment that is free from sexual harassment and sexual assault. Such conduct seriously undermines the atmosphere of trust and respect that is essential to a healthy work and academic environment.

This policy applies to all members of the university community both on-and off-campus including Brown University sponsored events and activities. Sexual harassment may involve the behavior of a person of either sex against a person of the opposite or same sex, and occurs, but is not limited to, such behavior that constitutes unwelcome sexual advances, request for sexual favors, and other unwelcome verbal or physical behavior of a sexual nature.

Important: Sexual Harassment need not be intentional. Under Brown's sexual harassment policies, the intent of the person who is alleged to have behaved improperly is not relevant to determining whether a violation of Brown's policy has occurred. The relevant determination is whether a reasonable person could have interpreted the alleged behavior to be sexual.

Follow this link for additional information on what constitutes sexual harassment, where to report it, how it is handled and other aspects in detail. This document is also available in hard copy by contacting 863-2216.

2.7.3 Discrimination and Harassment

Brown University does not tolerate unlawful discrimination and harassment. Unlawful discrimination is defined by federal and/or state statutes to include unfavorable or unfair treatment of a person or class of persons because of race, color, religion, sex, national origin, age, disability, veteran status, sexual orientation, gender identity, and gender expression. Unlawful harassment is harassment that refers to or is based upon the protected status of the person or persons being harassed. Unlawful harassment in the work environment is created if conduct of another person is sufficiently serious enough that it interferes with an employee's ability to perform their job.

Employees can report allegations of discriminatory and harassing behaviors without fear of retaliation. Brown will investigate reports of alleged discrimination and harassment and take reasonable care to prevent and promptly correct any behaviors which are found to be in violation of Brown's policies prohibiting discrimination and harassment.

Follow this link for additional information on what constitutes discrimination and harassment, where to report it, how it is handled and other aspects in detail.

2.7.4 Drugs in the Workplace

All employees are prohibited from the unlawful manufacture, distribution, dispensing, possession or use of illegal drugs and controlled substances, and abuse or misuse of prescription medications on Brown's premises or as part of University activities, in vehicles owned or provided by Brown, at work sites at which University duties are being performed by employees, or in the workplace (unless specifically authorized). Reporting to work or working while impaired by alcohol or illegal drugs is also prohibited. In addition, the use of alcohol or illegal drugs while using machinery or heavy equipment owned or operated by Brown is prohibited. Examples of substance abuse and misuse related behaviors not tolerated by the University include, but are not limited to:

- Alcohol use by employees at Brown which interferes with the employee's ability to effectively perform the responsibilities of their positions.
- Reporting to work or working while impaired by alcohol or illegal drugs.
- The use, sale, manufacture, possession, or distribution of alcohol or illegal drugs while at work.
- The inappropriate use of prescription or over-the-counter drugs (i.e., use in excess of medical necessity as determined by the prescribing physician, or to the extent that it impairs the employee's ability to perform their job – unless such use has been cleared by the University authorities, or use of prescription drugs not prescribed to that employee).
- Commission of a crime involving the use, possession, sale or distribution of any controlled substance.
- Failure to report to the employer (within five (5) days of the conviction) any conviction of a violation of a criminal drug statute that occurred in the workplace.
- Furnishing alcohol to those on campus under the age of 21.

Disciplinary actions resulting from violations of this policy may include satisfactory participation in a substance abuse treatment, counseling or education program as a condition of reinstatement or continued employment with the University, suspension, termination of employment, and referral for prosecution.

Employees with a substance abuse problem are encouraged to request assistance through the Employee Assistance Program (EAP) before it results in a negative impact on the employee's job performance. Participation in the EAP program does not exempt an employee from the consequences of past actions which have occurred, or from the proper performance of assigned duties.

HR Policy #20.042, Drugs in the Workplace, issued, in part, to ensure compliance with the Drug-Free Workplace Act of 1988. Follow this link for additional information.

Chapter 3. Affirmative Action and Equal Employment Opportunity

Brown University provides equal opportunity and prohibits discrimination, harassment and retaliation based upon a person's race, color, religion, sex, age, national or ethnic origin, disability, veteran status, sexual orientation, gender identity, gender expression, or any other characteristic protected under applicable law, in the administration of its policies, programs, and activities. The University recognizes and rewards individuals on the basis of qualifications and performance.

The University maintains an affirmative action program in employment for minorities, women, persons with disabilities and veterans, and requires its employees to take good faith efforts to comply with the program. The University encourages those with whom it conducts business to meet the commitments of this important program.

Brown University produces its Affirmative Action Plan (AAP) on an annual basis. The AAP includes an analysis of the University's workforce, and outlines policies and actions for compliance with federal nondiscrimination regulations.

For further information about the AAP, please contact the Office of Institutional Equity and Diversity at Institutional_Diversity@brown.edu or (401) 863-2216

Chapter 4. Academic Responsibilities and Ranks

4.1. Full-Time Appointments

An appointment to the regular faculty of Brown University, unless otherwise stated, is considered a full-time appointment. Although there is normally not a set number of hours or days that a faculty member must be present on campus, except to meet teaching responsibilities (described in Chapter 22.16), an appointment as a full-time faculty member at Brown carries primary professional responsibility to the University, to its educational mission, and to its students, whether or not the faculty member is on campus or is spending time away from the University. This includes during sabbatical leave or other types of leaves of absence, paid or unpaid. Full-time, regular faculty members are therefore not permitted to hold regular (tenured or tenure-track) positions elsewhere, except under special circumstances and only with the prior written permission of the Dean of the Faculty, the Dean of Medicine and Biological Sciences, the Dean of Engineering, or the Dean of Public Health (hereafter referred to in this chapter as the "appropriate dean").

Full-time regular faculty members with tenure or in tenure-track positions are considered twelve-month employees of the University. A faculty member's appointment is ordinarily for an academic year beginning July 1 and ending June 30 each year. Appointments of Lecturers, Senior Lecturers, and Distinguished Senior Lecturers and other non-tenurable appointments shall also be considered twelve-month appointments unless specifically exempted from this policy and/or as may be included in the appointment letter. Academic-year salaries are normally for work performed over a period of 9, 10, or 12 months.

4.2 Employment outside of Brown University

A faculty member who has a full-time appointment with Brown University may not accept employment with another employer above the twenty-percent rule (Chapter 7) without written approval of the appropriate dean. As noted above, faculty members with full-time appointments are prohibited from accepting a full-time or part-time tenured or tenurable position at another educational institution, or any position which would be considered a permanent position by the other institution. Examples would include, but not be limited to, a full-time faculty appointment which includes teaching and/or research duties at the second institution or an administrative appointment as a dean at the second institution. This prohibition applies even if the faculty member is on leave status from Brown University, regardless of the type or status of the leave and whether paid or unpaid. (See also Chapter 6.6 regarding termination of previous employment.)

Full-time faculty of Brown University, with the written approval of the appropriate dean obtained prior to acceptance of such a position, may accept an appointment at another institution which is designed to be temporary in nature, normally in the form of a visiting appointment. Approval may be granted if such an appointment is for one year or less and consistent with the faculty member's commitments to Brown University.

Any employment or outside consulting, other than incidental outside employment or consulting in accordance with Brown's stated policy (see Chapter 7.5), must be approved by the appropriate dean prior to acceptance of employment or extended consulting duties.[3] Faculty must report outside employment or consulting on the Conflict of Interest Form required to be submitted annually.

4.3 Absence from Campus during the Academic Year

The *Faculty Rules and Regulations* specify that faculty members must be present and regularly available on campus during the academic year, starting with the beginning of Orientation week and ending with Commencement. While there is no explicit exception noted regarding the period between semesters, it has long been understood that many faculty members use this time for concentrated research efforts, including travel that takes them away from campus. Faculty members are nevertheless reminded that they have an obligation to contribute to departmental activities that normally take place during the month of January, especially since this can be an important time for faculty searches and review of doctoral student admission applications.

Classes are expected to meet during all regularly scheduled class meeting times during the semester; classes that are not held for legitimate reasons should be rescheduled in conformance with the *Faculty Rules and Regulations*. If classes are not held during reading period, an alternative assignment should be given and must be announced no later than mid-semester (see Faculty Rules).

Faculty members who will be absent during the academic year should notify their department chair at least ten days in advance of the anticipated absence, stating the purpose of the absence and informing the Chair of what arrangements have been made for the teaching or make-up of any classes that will be missed during the absence; contact information should also be provided. Department chairs should notify their Dean, as appropriate, and provide information about any arrangement for coverage of responsibilities.

4.4 Definitions of Academic Ranks

The following definitions apply to part-time as well as full-time academic staff of the University. Regular faculty are defined as those campus-based individuals who hold the titles of Instructor, Assistant Professor, Associate Professor

[3] The primary employer of a faculty member on extended leave of absence remains the University. The employee must therefore comply with policies of the University, including but not limited to, Conflicts of Interest and Commitment and the Patent and Invention policies.

or Professor (without prefix or parenthetical suffix) and who are tenured or tenure-track. It also includes those individuals holding the title of Lecturer, Senior Lecturer, or Distinguished Senior Lecturer. All those holding these titles, and including faculty with the title of Assistant, Associate, or Professor (Research), are voting members of the Faculty. All definitions are predicated on the following principles:

- Faculty titles are determined by the responsibilities of the position which the faculty member holds, and not by personal preference, tradition, or other criteria. Ranks and ladders shall be unambiguously defined.
- The responsibilities of regular faculty are as described in the Faculty Rules and Regulations.
- It is the School, Department, Program or Center which, in conformity with University policy, determines the responsibilities and duties of the temporary faculty that it wishes to appoint.

4.5 Tenurable Ranks

The tenurable ranks at Brown are Professor, Associate Professor, and Assistant Professor. Those holding these ranks are hired for initial periods of more than one year, and, in the case of tenured faculty, until retirement or resignation. Faculty at these ranks are expected to hold the highest academic degree that can be earned in their fields, and all are expected to teach classes, advise students, engage in research and other scholarly undertakings and participate in departmental and University activities - all to a high degree of excellence. Those holding ranks which are not tenurable (see below) may not necessarily fulfill all of these conditions.

Assistant Professors

Initial appointment at the rank of Assistant Professor is for a term of four years. The appointment may be renewed, following review (see Chapter 10), for a period of two or four years.

Associate Professor

The rank of Associate Professor usually carries tenure and is thus of unlimited duration.

On occasion, an initial appointment may be made at this rank without tenure; this may be done in situations in which the department wishes to gather information about the candidate's teaching at Brown, or in those in which the completion of one or more projects will be important in assessing the case for tenure. Such an appointment is normally for no more than five years.

Appointment as, or promotion to, Associate Professor (whether tenured or untenured) requires review by the Tenure, Promotions, and Appointments (TPAC) Committee.

<u>Professor</u>

Appointment as Professor is ordinarily tenured. On rare occasion, term appointments at this rank may be appropriate. Consultation with the appropriate dean is recommended if such an appointment is contemplated.

4.6 Other Ranks

4.6.1 Instructor

Appointment in the rank of Instructor is normally offered to qualified persons who have nearly completed the requirements for the highest degree appropriate to their disciplines, but who do not yet possess it at the time of their initial appointments. Appointments are normally for one year, with the expectation that the faculty member will receive their degree within that time period. Upon certification that these requirements have been completed, promotion to the rank of Assistant Professor will normally follow. If the Ph.D. requirements are completed before the opening of the academic year, the promotion in rank and the attendant salary increase will be retroactive to July 1st. If, however, the Ph.D. is completed after the beginning of the academic year, promotion in rank will be effective at the beginning of the next semester, but the attendant salary increase will be effective on the first day of the calendar month following completion of the Ph.D. Instructors may perform the same duties as those in tenurable ranks, but their service in this rank is not counted as part of the probationary period.

4.6.2 Lecturer

Lecturers are individuals with appropriate professional qualifications who are appointed to teach one or more courses or to carry out other academic responsibilities which are appropriately assigned to regular members of the department faculty, but who are not expected to fulfill the requirements of scholarly research that are expected of faculty who hold professorial rank.

Initial appointments may be for one, two, or three years, and may be renewed for fixed terms of no more than three years, so long as the needs of the department and the quality of performance warrant such appointment.

Contingent and Concurrent Appointments as Lecturer. There are some cases in which a regular staff position includes some regular teaching responsibilities. In such cases, the incumbent may be appointed as Lecturer, concurrent with and contingent upon the staff position. These positions are structured and defined so that individuals holding them are expected to be qualified to teach regularly. Teaching is at the discretion of the Director or Chair, and is not compensated separately. The contingent and concurrent Lecturer appointment should be for a renewable term of three to six years. Please note that those holding contingent and concurrent appointments at these ranks are not eligible for scholarly leave. A contingent and concurrent Lecturer may, per their department's standards and criteria, be a voting member of the department; for a contingent and concurrent Lecturer to be considered eligible to vote at regular faculty meetings, the department must seek approval of the Faculty Executive Committee.

A Lecturer appointment is not appropriately made to accommodate a particular individual, nor to address temporary or irregular teaching needs. In those cases, an Adjunct appointment should be considered (see below, 4.6.7).

4.6.3 Senior Lecturer

Senior Lecturers have similar responsibilities as those defined for Lecturers, with a greater emphasis on service and excellence in teaching over a number of years. A Senior Lecturer may also have demonstrated professional accomplishments and recognition beyond that of a Lecturer (see 10.5.1 under Guidelines for Other Promotion Reviews). Individuals are normally eligible for promotion to Senior Lecturer only after the second consecutive three-year appointment as lecturer, or after a total of six years of appointment in rank. Reappointments at this rank may be for periods of up to six years provided that the needs of the department and the quality of performance warrant such appointment. Departments should develop clear standards for promotion to Senior Lecturer.

4.6.4 Distinguished Senior Lecturer

Distinguished Senior Lecturers execute the responsibilities of Senior Lecturers at an exceptional level over a number of years, and demonstrate continued professional growth within their field. A consistent record of excellence in teaching and significant service to the department, University, and profession is required for promotion to Distinguished Senior Lecturer. Distinguished Senior Lecturers also demonstrate continued professional accomplishment beyond the level required of Senior Lecturers. Individuals are normally eligible for promotion to Distinguished Senior Lecturer after a minimum of six years from appointment as Senior Lecturer. Reappointments at this rank may be made for periods of up to six years, according to the needs of the department. Departments should develop clear standards for promotion to Distinguished Senior Lecturer.

4.6.5 Professor of the Practice

Professors of the Practice[4] are faculty who are hired to enhance Brown's pedagogical mission and whose qualifications are earned primarily through professional experience rather than scholarly credentials. The Professor of the Practice ranks should be used sparingly, only in cases in which other academic titles are not sufficient, and only for appointments that are primarily aimed at teaching, advising, or serving as an interface between the academic

[4] From 2005 to 2014, the title "Clinical" was applied for this rank (e.g., Clinical Assistant Professor, Clinical Associate Professor). It was replaced with "Professor of the Practice" by faculty vote on April 1, 2014.

unit and the relevant professional sector. Faculty may be appointed at the rank of Assistant, Associate, or full Professor of the Practice.

Professors of the Practice are appointed based on their professional experience, on their ability to serve the projected needs of their program, and on their teaching effectiveness. Appointments of Assistant Professors of the Practice may be made for a period of up to three years, and are renewable. Appointments of Associate and Full Professors of the Practice may be made for a period of up to five years, and are renewable. Initial appointments at the rank of Assistant Professor of the Practice for a term of up to three years, or initial appointments at the rank of Associate or Full Professor of the Practice with a contract length of one year or less, may be made through the offices of the Deans of the Faculty, Medicine and Biological Sciences, Engineering, Public Health, or the School of Professional Studies, and do not require TPAC, CMFA or PHFA review. Reappointments at any rank and initial appointments at the ranks of Associate Professor and Professor of the Practice with a contract length of greater than one year require review by TPAC, the CMFA, or the PHFA as appropriate.

It should be noted that Professors of the Practice are non-voting members of the university faculty, they are not eligible for sabbatical or scholarly leaves, and Professors of the Practice ranks are not eligible for tenure. General criteria for appointment at the Practice ranks follow, though academic units are encouraged to generate their own set of responsibilities, rights, and criteria specific to the requirements of their fields and codified in their Standards and Criteria document.

Assistant Professor of the Practice: An individual with professional and/or artistic training and experience who has documented qualities or significant potential as a teacher and a record of professional accomplishment that has earned a local or regional reputation. Additional requirements might include experience working with appropriate agencies, experience giving lectures or serving other pedagogical functions, or a minimum number of years of professional experience.

Associate Professor of the Practice: A senior professional and/or artist who has achieved a national reputation in their professional field and who has demonstrated effectiveness as a teacher. Additional requirements might include senior-level professional licensing, college-level teaching experience, a position of leadership within the profession, or a record of professional publication.

Professor of the Practice: A senior professional and/or artist who has achieved a national or international reputation in their professional field and who has demonstrated effectiveness as a teacher and a leader in the field. Additional requirements might include leadership positions in professional societies, awards or honors for professional achievement, or experience consulting for or participating in governmental decision making about the field in question.

4.6.6 Artist (Writer, Poet, etc.) In Residence

This title is reserved for members of the Brown faculty who make continuing and distinguished contributions to the artistic life of the campus as well as to the external local, national and/or international communities. This may be held concurrently with a regular faculty designation, e.g., Senior Lecturer in English and Writer-in-Residence, or with a term faculty appointment. Such appointments are ordinarily made on a "pre-select" basis and are limited to no more than three years.

4.6.7 Adjunct Faculty

Adjunct faculty are persons who are normally not otherwise employed by Brown, or who, if holding full-time administrative positions at Brown (but with no concurrent faculty positions at Brown) are appointed to meet a specific department need, which is consonant with faculty responsibility. Adjunct faculty should normally be paid for these responsibilities.

The appropriate track (Lecturer or Instructor/Professorial series) is determined by the specific responsibilities of the position; the rank within track will be determined by the experience and qualifications of the individual. In no case, however, may those who hold concurrent faculty appointments elsewhere be appointed at Brown at ranks higher than that at their home institutions.

Full-time or part-time Brown University administrators who teach students or classes on a part-time or irregular basis should be designated as "Adjunct" faculty (Lecturer, Instructor, or one of the three Professorial ranks). The specific track and/or level should be based upon the experience and credentials of the person as well as the level of responsibility which is undertaken.

Only those administrators whose administrative appointments are conditioned upon or result from regular (as defined above) faculty responsibilities may hold faculty titles without the prefix "Adjunct." See above.

Adjunct faculty may be appointed for definite terms of one, two, or three years. They are renewable if this is justified by departmental need.

Adjunct faculty members are non-voting members of the faculty.

4.6.8 Visiting Faculty

Visiting faculty ("visiting" being a prefix for the academic titles of Lecturer, Instructor, and the three Professorial ranks) are those individuals who, while on leave from another institution, or with no permanent affiliation elsewhere, are appointed to replace individuals on leave, or, if in the "(Research)" track (see below), to meet the needs of a department's or faculty member's research program. Normally the rank of those on leave from another institution will correspond to their rank at that institution, provided the position that they have applied for at Brown calls for such a rank. The standards of scholarship for holding a visiting appointment in the lecturer or professorial ranks are the same as required of Brown's own faculty, and the duties will be those of the position to which the visitor is assigned, except that there is no specific requirement of service obligations to the department and the University. Visitors should normally be compensated for any work done for the University.

Visitors are non-voting members of the faculty.

4.6.9 Professor-at-Large

The Professor-at-Large title is reserved for scholars of exceptional distinction who are invited to teach at Brown as visiting faculty in order to enhance the existing strengths of particular academic programs or meet special needs. The terms of appointment may be for periods ranging from a few weeks to several years. The appointments of such individuals are normally made on a pre-select basis.

Professors-at-large are non-voting members of the faculty.

4.6.10 Research Faculty

Faculty appointments in the professorial ranks with the parenthetical suffix "(Research)" are provided for individuals who devote their primary efforts to research, the area of such research having been identified by the division, department or program as being an integral part of its mission. Salary for these positions is provided from external funding.

Assistant Professor (Research) appointments may be for one, two, or three years, and may be renewed for fixed terms of no more than three years, so long as the needs of the department and the quality of performance warrant such appointment. Associate and Full Professor (Research) appointments may be for up to five years, and may be renewed for fixed terms of up to five years, so long as the needs of the department and the quality of performance warrant such appointment.

Individuals holding such positions are expected to be able to initiate independent research and will have qualifications which are not distinguishable from those of faculty who hold tenurable rank. They are voting members of the faculty.

Although individuals in these positions may occasionally teach, such teaching will not be part of the continuing responsibility of the "(Research)" faculty member, and on those occasions when teaching is undertaken it will not exceed 50% of the effort of the individual faculty member.

"(Research)" faculty may also be designated as Visitors or Adjunct, as indicated above.

4.7 Other Officers of Research and/or Instruction

Brown University appoints Faculty, Staff, and Other Officers of Research and/or Instruction. Other Officers of Research and/or Instruction are appointed by faculty affairs offices in the respective schools of the University, but do not hold faculty status and do not have voting rights. They are individuals appointed for fixed terms (which may be renewable) whose primary qualifications are scholarly in nature, which distinguishes them from most staff positions. The four categories of Other Officers of Research and/or Instruction are Research Staff, Fellows, Postdoctoral Scholars, and Teaching Associates.

4.7.1 Research Staff

Research Staff are individuals who are appointed to meet particular and defined needs of a project or program. Research Staff positions are not permanent ones, and consequently, such individuals are appointed for limited terms. Some research staff members enjoy an ongoing affiliation with Brown, whereas others are appointed to assist with short-term research projects and/or address particular limited-duration research needs. Note that some research staff members (postdoctoral fellows) are not employees of the university. Research staff members do not have voting rights. See section 4.9.4 for research staff titles in the Division of Biology and Medicine and the School of Public Health.

- Investigators: Investigators must have a doctoral degree or equivalent. Their research experience is equivalent to an assistant professor. Investigators are appointed for a one-year term, renewable from year to year up to a maximum of three years.
- Research Associates: Research Associates must have a Master’s degree or equivalent skills, education or experience. Research Associates are appointed on a year-by-year basis for a maximum of three years.
- Research Fellow: Research fellows must have at least a Master’s degree or equivalent skills, education or experience. Theirs is meant to be a transitional appointment for Brown appointees who have recently completed degrees or for others whose skills are required on a short-term basis and no longer than a

year. Their appointments are not renewable. Because they are short-term and non-renewable, they are not eligible for the benefits provided to regular employees.

- Senior Research Associates: Appointees are individuals with at least three years of service as a Research Associate. They must hold the PhD (or equivalent) and possess a research reputation comparable to that of an advanced Assistant Professor or Associate Professor. Reappointment at this rank may be for a period of up to three years and is renewable.

4.7.2 Fellows and Senior Fellows

Fellows and Senior Fellows are faculty who are in residence at a center or institute for a limited time, usually for one year, in order to conduct research. Fellows and Senior Fellows are normally invited after a competitive search process, and are compensated during their time at Brown. While Fellows and Senior Fellows may teach, teaching should not be the primary purpose of their appointment.

The titles of Fellow and Senior Fellow are normally held by academics who are at Brown while on leave from another institution. These titles may occasionally be appropriate for distinguished practitioners.

4.7.3 Postdoctoral Positions

The University makes a number of postdoctoral appointments that support its research mission. Such appointments are intended to enhance the academic and research development of the appointee. Postdoctoral appointees receive supervision and mentorship by a senior scholar, and are guaranteed freedom to publish. All postdoctoral appointments, since they are designed to support the academic development of the appointee, have limited terms; exceptions to term restrictions may be granted by the appropriate dean. All postdocs must hold the PhD (or equivalent).

Postdoctoral Research Associates and Fellows are individuals in the preparatory or learning stages of their careers who are appointed to meet particular and defined needs of a project or program under the supervision of a regular faculty member.

- <u>Postdoctoral Research Associates</u> are employees of the University: they receive a salary and all employee benefits for which they are eligible, and the grants which support them are assessed accordingly. Individuals are appointed to terms of one to three years, and may hold postdoctoral positions at Brown for a maximum of five years.
- <u>Postdoctoral Research Fellows</u> are employees of the university: they receive a salary that is reported as taxable wages. They do not receive a University contribution for benefits, but will always receive a stipend to cover the University's portion of an individual health insurance premium and may receive additional funds intended for benefits if their grant allows. Postdoctoral Research Fellow appointments should only be

made when funding sources require such an appointment, as in the case of the Howard Hughes Hanna Gray Fellowship. Individuals are appointed to terms of one to three years, and may hold postdoctoral positions at Brown for a maximum of five years. Before appointing a PDRF, the appointing office must make sure that a source to pay the University's minimum fringe rate has been identified.

- Postdoctoral Fellows are in residence to conduct research supported by fellowships; they are normally paid stipends. Most Postdoctoral Fellows are not Brown employees, but they may participate in a University health and dental plan. Individuals are appointed to terms of one to three years, and may hold postdoctoral positions at Brown for a maximum of five years.

4.7.4 Teaching Appointments for Brown University Graduate Students

All teaching appointments for Brown University graduate students can be found in the Graduate School Handbook.

4.7.5 Teaching Associates

This group of officers of instruction consists of individuals who are not graduate students at Brown but whose levels of formal education and teaching or relevant professional experience make them generally comparable to those Brown University graduate students who have been assigned similar instructional responsibilities. Teaching Associates are appointed for temporary periods to teach one or more courses (or sections of courses) which are ordinarily taught by Brown University Graduate Teaching Assistants, or Teaching Fellows, but for which there are no resident Brown University graduate students currently available and qualified. See section 4.9.4 for teaching associate titles in the Division of Biology and Medicine and the School of Public Health.

Such positions are normally filled as the result of a search, however modified or limited it may be. Individuals in such positions are not expected to participate in departmental matters or in student advising; their primary responsibility is the teaching of the particular course and/or section.

From the standpoint of the salary of Teaching Associates, there are two levels determined by the individual's highest post-baccalaureate degree and their previous teaching experience. These levels are for: 1) Individuals who have not reached the dissertation stage in their graduate work and/or have fewer than two years previous university-level teaching experience. Such persons are paid at the same level as Brown's Teaching Assistants. 2) Those that have completed all of their Ph.D. requirements except the dissertation and have at least two years of previous university-level teaching experience. The salary for this group will be the same as that for Brown's Teaching Fellows.

4.8 Courtesy Faculty

Faculty who are only temporarily affiliated with Brown, but who receive no salary, benefits, or other compensation either from the instructional budget, or from grants and contracts.

Such individuals usually come to Brown at their own request, and are received by the relevant department(s) as disciplinary colleagues who are on campus to pursue their own work while making use of Brown's facilities. Often these persons are on sabbatical leave from their home institutions. They are not employees of the University.

Courtesy Faculty may be designated as Visiting Scholars, Visiting Investigators, or Visiting Scientists, as recommended by the department requesting the appointment.

Such appointments do not require Equal Employment Opportunity (EEO) review; all that is necessary is a written request from the department to the appropriate dean, and a current C.V. for the individual in question.

Faculty in these ranks are not entitled to receive remuneration, whether in the form of salary or benefits or otherwise. They may receive a reasonable honorarium for informal participation in the intellectual life of the department or other unit, but such appointments come with no expectation of services. If regular responsibilities requiring compensation are to be considered, an appointment to another, more appropriate rank should be made. In no case may such a change occur without a search appropriate for the situation (as determined in discussion with the appropriate dean and the Vice President for Institutional Equity and Diversity).

4.8.1 Appointments in Multiple Academic Units

Affiliate Faculty:

Affiliate faculty are regular or term members of the Brown faculty who have no formal effort in the granting unit. Affiliate status is intended as a marker of lasting interaction between a faculty member and a department, center, institute, or program. That interaction can involve regular participation in research, advising, pedagogy, or other activities that contribute to the intellectual life of the appointment-granting unit more generally, but that do not rise to a level that would require a formal appointment by the University. A unit may grant Affiliate status to any member of the Brown faculty. Affiliate positions do not confer formal titles and do not need to be vetted or approved by the University administration. Affiliate titles may be conferred by a chair or director, with notification to the appropriate dean.

Secondary Appointment:

Secondary Appointments recognize formal and enduring links between a faculty member and an academic unit. Secondary appointments are made by the appropriate dean at the request of the chair or director of the appointing academic unit with the approval of the chair(s) of the appointed faculty member's primary unit(s). Secondary appointments are usually made for a fixed term of three to five years and may be renewed.

Secondary appointments confer a title in the secondary unit, and may, but do not necessarily, include some effort devoted to the second unit. Details of the effort split should be spelled out at the time of appointment. Because of their implications for annual reviews and tenure proceedings, secondary appointments for pre-tenure faculty ordinarily may be conferred only at the time of hire.

Secondary appointments should only be made in cases where there is or will be an enduring engagement in the second unit. This engagement could take the form of teaching, advising, research collaborations, or graduate and postdoctoral student training. Such details as voting rights, teaching expectations, and the term of the appointment should be articulated in a letter to the dean requesting the appointment.

Joint Appointment:

Joint appointments are made by the appropriate dean, generally at the time of hire. Joint appointments signify one of two things: a truly equal distribution of effort and roster FTE between two units, or a division of effort when the unit holding the entire Roster FTE may not grant tenure. Joint appointments are presumed to last for the life of the appointment. If a joint appointment is to be conferred upon an untenured, tenure-track faculty member, the hiring units should agree at the time of hire upon procedures for conducting annual, reappointment, salary, promotion, and tenure reviews. Only regular faculty may hold joint appointments.

4.9 Non-Tenurable Faculty Appointments Specific to the Division of Biology and Medicine and the School of Public Health

4.9.1 Research Scholar/Teaching Scholar Titles (renewable terms)

Faculty with the titles listed below are physicians, research scientists, or health or allied science professionals whose primary professional efforts are as employees of Brown or of an affiliated organization(s). Faculty with the titles listed below are voting members of the Brown University faculty in accordance with the *Faculty Rules and Regulations* of Brown University.

Instructor in (Department): A faculty member who has completed training in their area of specialization and will have demonstrated the potential to interact effectively through teaching, advising, and/or mentoring undergraduates, graduate students, medical students, postdoctoral trainees, or residents and fellows, and who has demonstrated with medical students and house officers, particularly through teaching, and will have demonstrated an interest in scholarship. Appointment at this rank is limited to two two-year terms, depending on the needs of the department.

Assistant Professor of (Department): A faculty member who has demonstrated ability as a teacher, advisor and/or mentor of undergraduates, graduate students, medical students, postdoctoral trainees, residents, or fellows and who has demonstrated potential for scholarship in their chosen discipline. Faculty must designate their track by the beginning of the third term. Appointment at this rank is limited to three three-year terms, depending on the needs of the department.

Associate Professor of (Department), Research Scholar Track: A faculty member who has established an independent or collaborative, productive research program, supported by external, peer-reviewed grants and having a reasonable assurance of continuity and productivity. A continuous record of highly regarded research publications since the previous appointment or promotion is required. The individual must have a national reputation in their area of research. A demonstrated record of excellence in teaching, advising and/or mentoring is expected. Excellent clinical skills will be given positive consideration. Service contributions to the University, its affiliates or the profession will be given positive consideration where a substantial role can be documented. Appointment at this rank is for a term of up to five years and may be renewed, depending on the needs of the department.

Professor of (Department), Research Scholar Track: A faculty member who has established an independent or collaborative productive research program supported primarily by sustained, significant, external, peer-reviewed grants. For faculty in disciplines where collaborative, team-based research is the standard, the contribution should be substantive and distinct. A continuous record of highly regarded research publications since the last appointment or promotion is required. The individual must have an international reputation in their area of research. A record of excellence in teaching, advising and/or mentoring is expected. Excellent clinical skills will be given positive consideration. Service contributions to the University, its affiliates or the profession will be given positive consideration where a substantial role can be documented. Appointment at this rank is for a term of up to five years and may be renewed, depending on the needs of the department.

Associate Professor of (Department), Teaching Scholar Track: A faculty member who has a major educational role in a University-sponsored or affiliate program and who exhibits excellence and innovation in teaching. A continuous record of scholarship since the last appointment or promotion is expected. Excellent clinical skills will be given positive consideration. Service contributions to the University, its affiliates or the profession will be given positive consideration where a substantial role can be documented. Appointment at this rank is for a term of up to five years and may be renewed, depending on the needs of the department.

Professor of (Department), Teaching Scholar Track: A faculty member who has exceptional teaching skills and who has continued to lead educational programs. Excellence and innovation in teaching are expected. The individual must have a national reputation as an educator in their area of expertise. A continuous record of scholarship since the last appointment or promotion is expected. Excellent clinical skills will be given positive consideration. Service contributions to the University, its affiliates or the profession will be given positive consideration where a substantial role can be documented. Appointment at this rank is for a term of up to five years and may be renewed, depending on the needs of the department.

4.9.2 (Research) Faculty

Instructor in (Department) (Research): A faculty member who has demonstrated research potential. Appointment at this rank is limited to one two-year term.

Assistant Professor of (Department) (Research): A faculty member who has demonstrated potential or ability for conducting high-quality research as evidenced by scholarly publication in peer-reviewed journals, grant funding, and/or professional service to the outside scientific community. Appointment at this rank is for a term of up to three years and may be renewed, depending on the needs of the department.

Associate Professor of (Department) (Research): A faculty member who has established an independent or collaborative, productive research program, with a reasonable assurance of continuity or productivity. The individual must have a national reputation in their area of research. Teaching, advising and/or mentoring and service contributions to the University, its affiliates or the profession will be given positive consideration when a substantial role can be documented. Appointment at this rank is for a term of up to five years and may be renewed, depending on the needs of the department.

Professor of (Department) (Research): A faculty member who has established an independent or collaborative program of high-quality, productive research supported by sustained, significant, external, peer-reviewed grants and who has continued to demonstrate research productivity since the appointment or previous promotion. For faculty in disciplines where collaborative, team-based research is the standard, the contribution should be substantive and distinct. An international reputation for research in their area of expertise is required. Teaching, advising, and/or mentoring and service contributions to the University, its affiliates and the profession will be given positive consideration where a substantial role can be documented. Appointment at this rank is for a term of up to five years and may be renewed, depending on the needs of the department.

4.9.3 Clinical Titles in the Division of Biology and Medicine and the School of Public Health

Faculty who hold clinical titles may be physicians, or health or allied science professionals who may be community-based practitioners or employees of affiliated organizations or Brown University. Clinical faculty are obligated to provide a minimum 100 hours of annual teaching, advising, mentoring and/or service to their department or to Brown University. Clinician educators are employees of Brown or of an affiliated organization and are obligated to provide a minimum of 200 hours of annual teaching, advising, mentoring and/or service to their department or to Brown University. Faculty with titles listed in this section (4.9.3) have voting rights only within their department and the Medical School, and/or the School of Public Health in accordance with the Faculty Rules and Regulations of Brown University.

Clinical faculty have the prefix "Clinical" before their title: Clinical Assistant Professor of Pediatrics. Clinician Educator faculty have "Clinician Educator" following their title: Assistant Professor of Pediatrics, Clinician Educator.

Clinical Titles include:

Clinical Instructor in (Department): A faculty member who participates in academic activities and interacts effectively with undergraduates, graduate students, medical students, postdoctoral trainees, residents or fellows through teaching, advising and/or mentoring. Appointment at this rank is for a term of up to three years and may be renewed, depending on the needs of the department.

Clinical Assistant Professor of (Department): A faculty member who has documented ability in teaching, advising and/or mentoring or as a contributor to a clinical or research program. Appointment at this rank is for a term of up to three years and may be renewed, depending on the needs of the department.

Clinical Associate Professor of (Department): A faculty member who has demonstrated a high level of skill in teaching, advising and/or mentoring and as a practitioner, and who has contributed actively to clinical or research programs. The individual must have a regional reputation in their area of expertise. Scholarly activity will be given positive consideration. Service to the University, its affiliates or to the profession will be given positive consideration where a substantial role can be documented. Appointment at this rank is for a term of up to five years and may be renewed, depending on the needs of the department.

Clinical Professor of (Department): A faculty member who has demonstrated excellence in teaching, advising and/or mentoring and as a practitioner, and who has contributed activity to clinical or research programs. The individual must have a national reputation in their area of expertise. Evidence of scholarly activity is required. Service to the University, its affiliates or to the profession will be given positive consideration where a substantial role can be documented. Appointment to this rank is for a term of up to five years and may be renewed, depending on the needs of the department.

Clinician Educator Titles include:

Instructor in (Department), Clinician Educator: A faculty member who participates in academic programs and who interacts effectively with undergraduates, graduate students, medical students, postdoctoral trainees, residents or fellows through teaching, advising and/or mentoring. Appointment at this rank is for a term of up to three years and may be renewed, depending on the needs of the department.

Assistant Professor of (Department), Clinician Educator: A faculty member who has documented ability in teaching, advising and/or mentoring, and as a practitioner and who has contributed to a clinical or research program. Appointment at this rank is for a term of up to three years and may be renewed, depending on the needs of the department.

Associate Professor of (Department), Clinician Educator: A faculty member who has demonstrated substantial involvement and documented recognition as an excellent teacher, advisor and/or mentor, and as a practitioner, and who has made important contributions to a clinical or research program. The individual must have a regional reputation in their area of expertise. Scholarly activity is required. Service to the University, its affiliates or to the profession will be given positive consideration where a substantial role can be documented. Appointment to this rank is for a term of up to five years and may be renewed, depending on the needs of the department.

Professor of (Department), Clinician Educator: A faculty member who has demonstrated substantial involvement and documented recognition as an excellent teacher, advisor and/or mentor, and as a practitioner, and who has made important contributions to a clinical or research program. The individual must have a national reputation in their area of expertise. Scholarly activity is required. Service to the University, its affiliates or to the profession will be given positive consideration where a substantial role can be documented. Appointment to this rank is for a term of up to five years and may be renewed, depending on the needs of the department.

4.9.4 Other Titles Specific to the Division of Biology and Medicine and the School of Public Health

Holders of these titles do not have voting privileges within Brown University.

Visiting Assistant/Associate/Professor of (Department): Visiting faculty members generally are scholars on leave from their home institutions who serve at Brown University for a period of time. Visiting faculty serve in an academic capacity, either research, teaching, advising, or mentoring in conjunction with a member of the Brown University faculty. Visiting designation may also be given to an individual who temporarily fills a vacancy on the full-time faculty or in some cases prior to an individual joining the full-time faculty for whom such an appointment is appropriate in terms of facilitating the transition to Brown University. The designation "Visiting" shall precede the faculty rank the appointee holds at their home institution.

Adjunct Assistant/Associate/Professor of (Department): Adjunct faculty generally are primarily employees of other institutions or organizations who provide specific educational, research or consulting services to the University and/or the affiliated hospitals. These activities typically are limited to specific and defined functions and/or service to the department. Determination of rank for adjunct faculty is subject to the same requirements as other categories of faculty titles. Normally, adjunct faculty are appointed for one- to three-year terms and may be renewed depending on the needs of the department.

The Division of Biology and Medicine and School of Public Health departments may appoint non-doctoral professionals; holders of these positions do not have voting privileges within Brown University.

Teaching Associate: Individuals must have an active role in teaching undergraduates, graduate students, medical students, residents and/or fellows. This teaching role must meet a significant, unique and ongoing teaching need best provided by an individual with professional experience, which does not require a doctoral degree. A Master's degree or equivalent skills, education and experience are required.

Senior Teaching Associate: An individual with at least five years of service as a Teaching Associate with a documented record of significant accomplishment in contributing to the teaching programs of their department.

Research Associate: Individuals must have an active, significant role in research which may include scholarly productivity. Significant contributions to the planning, design and operation of research programs is expected. A Master's degree or equivalent skills, education and experience are required.

Senior Research Associate: An individual with at least five years of service as a Research Associate or the equivalent, and with a documented record of reporting on original research in their field of expertise, while participating in the research effort of their department.

Investigator: Investigators must have a Ph.D. or M.D. (or equivalent), and must have postdoctoral research experience equivalent to that of a faculty member holding the rank of Instructor or Assistant Professor. Individuals must demonstrate research potential. Appointment is for a term of 1 year that may be renewed depending on the needs of the department.

Chapter 5. Faculty Searches

5.1 When is a Search Required?

Nationally or internationally (as appropriate) advertised searches must be conducted to fill regular faculty positions and faculty positions in ranks for which a search is normally required but whose appointments are temporary, for example, an Assistant Professor whose position is not tenure track. It is generally best practice to conduct an open search for any term faculty position of a year or longer. In the case that a term position becomes regular, a search should generally be run, in which case the incumbent faculty member may become a candidate for the changed position along with other qualified candidates, but should not be pre-selected. An exception to the policy against pre-selection may be made if the initial hiring plan and job information specifies that the position will change to full time at a designated date and all candidates are so informed.

Exceptions may be allowed when an unexpected vacancy must be filled in a time too short to conduct the required search for appointing a visiting faculty member, in the selection of postdoctoral research associates and fellows when justified. They may also be permissible on those rare occasions when there are exceptional circumstances allowing the hiring and/or retention of an outstanding faculty member, enhancing the stature of the University faculty and - where possible - furthering the goals of affirmative action and equal opportunity. Such appointments are sometimes made under the Target of Opportunity program or as "pre-selects." (See below and also Section 5.3).

Brown actively recruits to faculty positions candidates from historically under-represented groups and women in science, mathematics, and engineering disciplines. The Target of Opportunity program is one mechanism for increasing the diversity of the University. Proposed target appointments must add extraordinary value to the University, where value is defined in the context of our multiple institutional goals. These include bringing to campus scholars of unusual depth, originality, and impact; diversifying the faculty and thereby better fulfilling our academic mission; and, ensuring greater depth and breadth of our educational offerings. Target of Opportunity hires may result from a traditional search when an exceptional candidate is identified as a second hire in a search with only one vacancy, or they may be pre-select appointments.

"Pre-select" appointments are made without a traditional search, though they may result from an informal series of invited lectures or similar procedure. Preselect appointments must show a combination of achievements and potential contributions to the University that are so high, evident, and singular that the candidate would certainly emerge as the top choice from any relevant search that would have been undertaken. Pre-select appointments may also be targets (in which case they do not fill a vacancy) or they may fill an existing roster vacancy.

Departments wishing to appoint a faculty member as a Target of Opportunity or as a pre-select should contact the Dean of their division and the Vice President for Institutional Equity and Diversity.

5.2 Search Procedures for Regular Faculty

For the department Chair, the first step in the process of making a new appointment is to submit a search request to the appropriate divisional dean, normally in the spring of the year before the search is to be conducted. All requests will be subsequently reviewed, and a department can proceed with a search only after it receives approval to do so from the Dean.

Once a search request has been reviewed, the Dean's office will ask the department to create a search in Brown's faculty recruitment system, which serves as a hiring plan.[5] The department should attach to the search the text of the advertisement and the names of the members of the search committee, including the name of the Diversity Representative, who must be a tenured faculty member serving as a full member of the search committee, but who may not be the committee chair. A list of advertising sources is also required. Key components of any advertisement are:

- Scholarly area(s) in which position is located.
- The rank and term of the position.
- The educational level expected. [Note: At entry level, candidates may or may not have completed the requirements for the PhD degree. If an academic unit has advertised the position as requiring the PhD, then candidates that have not yet done so may not be appointed. If there is no such restriction, then a successful candidate who had not yet completed the PhD is appointed as an Instructor and promoted to Assistant Professor following completion of the degree].
- Criteria for teaching, research, and scholarship that will be used by the academic unit to evaluate candidates.
- Number of letters of recommendation required, or, for searches at the tenured levels, the number of names of evaluators required.
- A final date by which candidates are assured of full consideration.
- Evidence of teaching experience, if required.

Chairs are asked to indicate the types of recruitment strategies they plan to undertake. Most importantly, the strategies must reveal: 1. the method of identifying candidates and eliciting applications. This must include advertising in appropriate national journals and other outreach activities designed to solicit applicants to the pool,

[5] Please contact the Office of BioMed Faculty Affairs, the Engineering Dean's Office, or Public Health Faculty Affairs & Administration for search procedure guidelines in each school.

and 2. the specific methods which will be used to encourage the maximum number of qualified women and candidates from historically underrepresented groups. Chairs and heads of search committees should plan to meet with the Vice President for Institutional Equity and Diversity to further discuss hiring strategies.

The search documents must be approved by the Vice President for Institutional Equity and Diversity and the appropriate dean's Office. Please note that the search is not officially opened until it receives the approval of the appropriate dean.

5.3 Preselection and Other Exceptions

Occasionally, there is a need to hire someone with demonstrably unique skills and for a limited period of time. Under such circumstances normal hiring procedures may be waived. The department Chair should consult with the appropriate divisional dean and the Vice President for Institutional Equity and Diversity, if such a situation arises.

To fill an unexpected vacancy (e.g. due to illness, disability, death, or resignation), a search is required if the appointment is to be for more than one year; no search is required if the appointment is for a shorter period. Appointments of visiting or adjunct faculty require that appropriate documentation confirming the individual's credentials be submitted to the appropriate dean.

In rare cases, a department may propose the appointment of a faculty member without the usual search process. Any such request for an exception to the requirement for a search must follow the standard procedures of review by faculty in the academic unit, by faculty committees (TPAC), and by senior academic administration. The President will also review and approve such an appointment before it is confirmed.

All requests to do a "pre-selected" hire must provide the Vice President for Institutional Equity and Diversity with:

- a complete job description for the position, including research and teaching responsibilities;
- all available letters of recommendation documenting the national/international prominence of the candidate's research;
- complete minutes of the department's meeting on the candidate, together with the department's vote;
- a detailed, written justification of the circumstances requiring hiring on a "pre-select" basis, including the candidate's credentials in the areas of research and (except in the case of research appointments) teaching.

Finally, if a department chair is in doubt about the proper title of a position, the appropriate divisional dean may be consulted. The Chair should also should refer to Chapter 4 or consult with the Office of Faculty Personnel, the Office of BioMed Faculty Affairs, or the Public Health Faculty Affairs & Administration Office about the definitions of faculty ranks.

5.4 The Diversity Representative

The role of the Diversity Representative is to ensure that a diverse, fair and equitable search is conducted as well as to act as a full member of the search committee. The appointment of a Diversity Representative is required on all faculty search committees. While it is expected that all faculty search committee members consider diversity, the Diversity Representative serves as an advocate for best practices as well as a resource to their colleagues on the committee. As such, the Diversity Representative should ensure that committee discussions take place about potential unconscious biases that may impact the outcome of the search, as well as offer strategies on countering such biases so that at each stage of the process pools are constructed with Brown's commitment to diversity and inclusion in mind. Below are some steps that can help the Diversity Representative achieve these goals during the search process:

- Develop and distribute information on recruitment such as availability data, articles on racial/ethnic and gender issues in recruitment, best practices in recruiting within respective field, and goals set forth in your Departmental Diversity and Inclusion Action Plan (DDIAP)
- Assist in search activities: networking and identifying resources to attempt to bring applicant pools in line with national race, ethnic and gender availability
- Consult with the search committee chair and the Office of Institutional Equity and Diversity (as needed), to implement and develop best practices in recruitment of underrepresented groups
- Review and approve search process to ensure compliance with university search guidelines, including accessing data to evaluate the applicant pool compared to candidates who are invited to campus

5.5 Applicant Tracking

The University has an online system for managing searches, which departments are encouraged to use. One feature of this system is the ability to collect demographic and personal data on job candidates as well as the final decision on each job candidate. For departments using this system (Interfolio), it is not necessary to submit an applicant log. However, all departments using Interfolio should be certain to use the "applicant status" markers in Interfolio in order to keep a record of the disposition of all applicants.

Departments that are not using Interfolio must maintain an applicant log that includes the following:

- The date materials were received, in order of receipt
- The applicants' names and mailing address
- Comments on the final outcome of applications and the dates on which these decisions were made (for example, one set of candidates might be determined to lack proper credentials shortly after the closing date for applications)

5.6 Preliminary Interviews

Some departments may wish to conduct preliminary interviews before inviting candidates to campus. Most often these interviews are conducted during the meetings of learned societies like the Modern Language Association's annual meeting. Departments wishing to conduct preliminary interviews must discuss their interview plans as well as the list of candidates to be interviewed with the Vice President for Institutional Equity and Diversity before the interviews take place. The Vice President for Institutional Equity and Diversity's role is to ensure that if there are concerns related to active recruitment of members of protected groups, they may be raised early enough in the process to be resolved well before the academic unit has made its final ranking of the candidates. The Vice President for Institutional Equity and Diversity will approve the final list.

5.7 The Proposed Short List and the Interim Pool Report

At the time that the search committee and the department agrees upon a final group of candidates ("the short-list") to be proposed for invitations to the campus for personal interviews, the department should complete and submit an Interim Pool Report via a web-based portal.

Departments not using Interfolio must, in addition to the Interim Pool Report Form, provide:

- A CV for each shortlisted and second-tier candidate (as described in the Interim Pool Report Form);
- a report containing the total number of applicants and a numerical breakdown by race, gender, ethnicity, disability, or status as a veteran of the applicant pool;
- in the case of junior searches, copies of all letters of recommendation for each candidate on the short list;
- in the case of senior positions, no letters are required until the presentation of the final ranking of candidates, but if the department possesses letters at the time of the Pool Report, these letters must be submitted;
- after all senior candidates have been interviewed, the search committee should submit any letters solicited for or provided by senior candidates along with the compliance report.

Simultaneous with or just before the Interim Pool Report is submitted, the Diversity Representative should submit a separate diversity report via the web portal. The diversity report should address the demographic composition of the search pool, efforts that were made to ensure the diversity of the applicant pool, and any concerns that the representative may have about the search process.

All of these materials will be automatically routed to the office of the appropriate dean and to the Vice President for Institutional Equity and Diversity. Vice President for Institutional Equity and Diversity's role is to ensure that if there are concerns related to active recruitment of members of protected groups, they may be raised early enough in the process to be resolved well before the academic unit has made its final ranking of the candidates. Note: Approval by the Vice President for Institutional Equity and Diversity and by the appropriate divisional dean is required before any of the candidates on this list may be invited to campus. The dean will authorize final approval.

5.8 Campus Interviews: Financial Details

In addition to travel expenses for the candidates, departments are allowed expenses of up to $10,000 per search. No funds will be released until the Interim Pool Report (see 5.6 above) has been received and approved. Additional required forms may need to be submitted to the Controller's Office.

Guidelines for allowable expenses are as follows:

- The meal of one faculty member who accompanies a candidate will be subsidized, as well, of course, as the candidate's meals. The meals of others who accompany the candidate must be funded from other sources.
- Cost of travel for our faculty to attend meetings where preliminary interviews will take place is not subsidized.
- Except under the most extraordinary of circumstances, traveling and other interview expenses for visiting faculty are not subsidized. It is important to keep in mind, however, that in the search and selection procedures for visiting appointments, candidates should not be encouraged or allowed to pay their own expenses to come to campus (without express written permission and again, only under the most extraordinary of circumstances), as this would unfairly eliminate finalists purely on the basis of financial status.

To keep interview costs to a minimum, please keep the following in mind:

- Automobile travel is the most expensive mode of travel per mile. Car travel should be discouraged unless other modes of travel are disproportionately cumbersome.
- If it is possible for your department to arrange to be billed directly (rather than reimbursing the candidates) for travel and housing accommodations, this can be helpful to the candidate. This approach provides the additional advantage that applicants for junior positions are often not easily able to absorb the interview costs, even though they will be reimbursed. Those departments which do make these advance arrangements have found that applicants are pleased at the University's willingness to accommodate them financially.
- It is occasionally possible to split the costs of interviewing a particular candidate with another university.
- Small miscellaneous expenses, such as postage costs or telephone calls to prospective candidates are not covered by the interview account.

5.9 Unsuccessful Searches

If the department has determined that no offer is to be extended, an explanation, addressed to the appropriate dean, stating the reasons for this decision should be sent to the appropriate Office of Faculty Personnel. This will be routed to the Vice President for Institutional Equity and Diversity. If a new search is to be initiated or a re-advertisement is to be made, it should be so noted with the additions or changes in the hiring plan.

5.10 Unsolicited Applications

Unsolicited applications that arrive when a department is currently not seeking faculty in a relevant area should be kept on file for a period of one year. Should a relevant position be opened in the department within a year of their receipt, unsolicited applications should receive the same consideration as those gathered as a result of the search process.

5.11 Record Maintenance (see also 6.7.1)

All materials related to the appointment of an individual to an announced position on the faculty must be retained for five years from the effective date the position is filled.

Chapter 6. Recommending the New Appointment, and Follow-Up Steps

Recommendations for appointment should be submitted to the appropriate divisional dean. An appointment recommendation from a department may be remanded for further consideration, may be returned to the department for reconsideration or clarification, or may ultimately not be approved, as a consequence of any of the reviews to which it is subjected after leaving the department. Quite apart from Corporation approval of the appointment, all of the following in the review process are empowered to recommend against appointments as well as to support them, if they find good reason for such opposition: the President, the Provost, the Dean of the Faculty, the Dean of Engineering, the Dean of Medicine and Biological Sciences, the Dean of Public Health, the Vice President for Institutional Equity and Diversity, and the Tenure, Promotions, and Appointments Committee.

If chairs foresee issues that are likely to arise in the course of the review of a recommendation, they should consult with designated staff in their Dean's office, as well as with the senior officers. If they anticipate problems relevant to issues of affirmative action, chairs should also bring these problems to the attention of the Vice President for Institutional Equity and Diversity as early in the appointment process as possible. It is better for all concerned, and usually easier, if questions about recruitment and appointment procedures are resolved before an appointment to the faculty is officially proposed by the department.

6.1 The Compliance Report

When the department is ready to make an offer of appointment to the Brown University faculty, a Compliance Report should be filled out and sent, with appropriate documentation as described below, to the Office of Faculty Personnel, the Office of BioMed Faculty Affairs, or to Public Health Faculty Affairs & Administration. The Compliance Report contains information about the search and the selection process. If this information differs from stipulations in earlier requests, that difference needs to be explained in detail. In addition, specific information on the criteria used to select the final candidates for the job, while rejecting others, must be reviewed here.

The names of candidates to whom the department wishes to offer the position should be listed in order of the department's preference. The department must provide explicit statements about the characteristics and qualifications of individual candidates which, matched against the stipulated criteria for the position, led the department to its ranking of each of the finalists. General or vague statements, such as "better qualified," should be avoided. The issue to be addressed is why one candidate is better qualified, or less well qualified, than others.

Many questions on the Compliance Report are not directly related to EEO/AA, but are required only to demonstrate that the academic unit's standards and criteria were followed properly. The Dean's office also checks to ensure that documentation submitted by the department is consistent with statements made on the Compliance Report, and this checking occurs irrespective of the composition of the applicant pool. However, if no women or members of other "protected groups" (see the EEO/AA Guide) were candidates for the position, or if they were candidates, were not chosen as finalists, the department Chair may be asked to account for this result. Again, the Departmental Diversity Representative should be involved in these evaluations.

All recommendations for any faculty appointment resulting from a search must also be accompanied by (i) the full dossier of the selected candidate, (ii) a covering letter to the appropriate senior administrator, and (iii) minutes of the faculty meeting at which the proposed candidate was selected, including details of the quorum and final vote. (Note that votes by e-mail or proxy should be reported but not included in the final calculation of quorum.)

6.2 Pre-Selected Candidates

Where pre-selection of a candidate has been requested and approved, it follows that no search has taken place, and therefore no Compliance Report is necessary. Nonetheless, the department needs to submit a copy of the curriculum vitae of the selected individual and reference letters (in single copy) with its request to appoint the pre-selected individual. The justification for making this appointment without a search, and information about how the selected individual was identified by the department should of course also be included. These documents are reviewed by the appropriate divisional dean and the Vice President for Institutional Equity and Diversity.

6.3 Tenure, Promotions, and Appointments Committee

New appointments are reviewed by the Tenure, Promotions, and Appointments Committee (TPAC) if they (i) carry tenure, or (ii) are at the rank of Associate or Full Professor (with or without tenure), Senior Lecturer, or Distinguished Senior Lecturer. For details of the TPAC process and the contents of the personnel dossier that is reviewed by TPAC, see Chapter 10.

6.4 The Offer

Chairs should communicate to the appropriate divisional dean any special needs or expectations the candidate may have. After consultation with the Dean, Chairs should discuss possible terms of the offer with the candidate, but while doing so they must take care not to make statements to the candidate that could be reasonably construed as a binding offer. Moreover, under no circumstances may a Chair suggest terms of an appointment at obvious variance with established University policies.

A letter of appointment that is signed by the Dean and mailed to every prospective regular faculty appointee is the official and legally-binding offer of a faculty appointment at Brown University. All financial commitments, including startup and salary, are specified in the appointment letter, as are any variations with University policies.

Accompanying the offer letter is a letter from the Chair that provides information about office/lab space, teaching expectations, and other pertinent information about the department, including the department's written Statement of Standards and Criteria. The purpose of the letter from the Chair/Director to the prospective appointee is to set out in some detail the professional expectations of the University, and of the hiring unit, and ultimately to secure, if only implicitly, the new colleague's understanding of, and consent to, these expectations.

When all the required reviews are completed, and the appropriate Dean has approved a draft of the Chair's letter, a signed appointment letter will be sent from the appropriate Dean to the Chair of the academic unit for transmittal by the department to the appointee. The Chair should check that the terms of appointment are correct before sending the original and one copy of the letter to the prospective appointee. The Chair should also make an additional copy for the department. If the offer is accepted, the appointee should countersign the enclosed copy and return it directly to the Dean's office. The copy of the letter retained by the Chair should remain in the departmental files. A staff member from the appropriate Dean's office will notify the department when such an acceptance is received. If the department should itself receive direct notification of acceptance of an appointment, it should relay this information to the appropriate Dean.

6.5 Joint Appointments

The procedures for making new appointments involving two departments (or departments and other non-tenuring units such as centers and programs) are somewhat different from appointments to a single department, and a bit more complicated. When both departments are to have budget and/or staffing responsibilities for the new position, the two chairs (or when relevant, center or program director) must closely coordinate their actions. This can include co-signing letters to applicants, joint maintenance of files, coordinated interviewing of candidates, and finally arranging for a joint recommendation for the position, or alternately concurrent (and similar) recommendations.

If such joint appointments are renewable and tenurable, then distribution of the departmental responsibilities, after discussion with and the approval of the appropriate divisional dean, should be determined in advance of the appointment and explained to all short-listed candidates. The procedures to be followed for reappointment, tenure, and promotion reviews should also be determined in advance and conveyed to the candidate.

If a joint appointment is intended but with only one department having budget and staffing allocations for the new position, then the procedures are largely the same as for ordinary searches. The department Chair with budget responsibility initiates and signs all forms and is entirely responsible for the search. The cooperating department Chair is responsible only for submitting a recommendation for appointment to accompany the recommendation of the primary sponsoring department. However, coordination at the interviewing stage is obviously important in such joint appointments.

6.6 Termination of Previous Employment

It is not appropriate for any faculty member to accept a regular faculty position at Brown while retaining such a position elsewhere, even if on leave from that position. The University may require a copy of a new faculty member's written resignation from their former position, or an equivalent proof of termination of previous employment, prior to authorizing payment of salary at Brown.

6.7 Other Issues

6.7.1 Record Maintenance

All materials related to the appointment of an individual to an announced position on the faculty must be retained for five years from the effective date the position is filled.

6.7.2 Moving Expenses

Brown University will cover all reasonable costs associated with moving household and personal goods for newly hired faculty and staff, subject to the policies and procedures outlined by Human Resources.

Faculty carrying the titles of Assistant Professor, Associate Professor, Professor, Lecturer, Senior Lecturer, and Distinguished Senior Lecturer as well as staff members hired into a regular full-time position that is advertised outside of the Providence area are eligible per this policy, provided the move is from a distance greater than fifty (50) miles. Post-doctoral, adjunct and research faculty are not eligible, nor are hospital-based faculty.

6.7.3 I-9 Forms

U.S. Federal regulations require that all employees (including faculty) be certified (colloquially: "I-9") as eligible for employment at Brown. In order to be so certified, new faculty should bring appropriate documentation to the Human Resources Office. Details about the I-9 process are included in the offer letter. Click this link for additional information.

6.7.4 Questions Relating Specifically to Foreign Faculty Members

The appropriate Dean should be informed of the non-U. S. citizenship status of any individual for whom a regular faculty appointment is proposed. Faculty who are non-resident aliens, and who are appointed to tenure-track positions at Brown, are individually supported by the University in seeking appropriate U.S. visas. The expenses of this process are considered part of the "start-up" costs of appointing a new faculty member and should be negotiated with the appropriate Dean by the Chair at the time an offer to such an individual is ready to be made. It is necessary in such cases for the foreign faculty members to consult with (and of course to follow the recommendations of) the Office of the General Counsel in attempting to procure an appropriate visa, but the University can in no case itself guarantee the granting of any U.S. Government document.

When an offer is made to a foreign scholar who will be appointed as a visitor or other term faculty member, the department should send a completed DS-2019 form to the appropriate faculty personnel office so that appropriate information about visa requirements may be included in the official letter of appointment.

At the time a foreign scholar is sent an official letter appointing them to the Brown University faculty, or as a Visiting Scholar or Visiting Scientist, the appropriate Dean – via their faculty personnel office– routinely encloses in this letter a "Request for Form DS-2019 for J-1 Exchange Visitor" which is relevant for all J-1 Visa Applicants. This Checklist should be filled out and returned to the faculty personnel office with the signed acceptance letter. When these documents have been received at Brown, the faculty personnel office processes the DS-2019 form ("Certificate of Eligibility for Exchange Visitor Status") and sends it to the Office of International Student and Scholar Services, which then notifies the department when the application form is ready so that the department in turn can forward it to the prospective foreign colleague.

The general handling of matters pertaining to foreign faculty is a primary responsibility of the Office of International Student and Scholar Services. However, for particular assistance with J-visa extensions or J-visas for their families, and the like, the foreign visiting faculty member at Brown should contact the appropriate Office of Faculty Personnel for their division. Questions about any of these procedures can properly be directed to either office.

Finally, department chairs should be sure to inform their Dean when the residency or citizenship status of a foreign faculty member officially changes, and all University employees should update their citizenship status with Human Resources when such a change occurs.

Chapter 7. Faculty Salaries and Benefits

Brown University's policy is to determine salaries on the basis of rank, merit, and performance while endeavoring to maintain a fair balance within departments and the within the University. Salary levels are meant to be competitive with those offered at peer institutions in the United States and these levels may also be influenced by factors such as the availability of faculty in certain disciplines. Average salaries may thus differ among departments due to market forces. All non-discrimination statements contained in Chapter Three of this handbook apply to the setting of faculty salaries.

7.1 Annual Salary Review

The appropriate divisional dean shall review salaries annually for the purpose of ascertaining whether they actually reflect these policies, and shall compile a report which gives the median and average salaries, as well as the range of salaries, within pertinent categories by discipline, rank and length of service, comparing the situation of women and minorities with that of non-minority males. The categories shall be chosen so as to make pertinent comparisons possible, but without compromising the confidentiality of individual salaries, which are disclosed only to department chairs and to administrators who need the information in order to carry out their duties. This report shall be given to the Committee on Faculty Equity and Diversity (CFED), to the FEC, and to the department Chairs.

All faculty are entitled to comparative salary information from the Dean of the Faculty, Dean of Medicine and Biological Sciences, Dean of Engineering, or the Dean of Public Health.

7.2 Schedule of Salary Payments

Brown University normally follows a practice of paying all faculty in twelve equal installments for services rendered during the nine-month (or, in the Division of Biology and Medicine or School of Public Health, ten-month) academic year. These installments are ordinarily paid from July through the following June. (This schedule may be adjusted for new faculty members whose contracts begin in September.) Thus, for most faculty members, their July and August checks are, in effect, salary advances for their work in the following academic year. If a faculty member receives pay in July and August and, for some reason, does not fulfill their employment obligations during the regular academic year, all or part of the July and August pay may have to be repaid to Brown. Checks for in-coming new faculty are not released by the Office of the Controller until proper authorization is given that office to do so. (See Chapter 6.7.)

7.3 Additional Compensation for Faculty Members Employed by Brown University

An appointment as a full-time faculty member at Brown University carries primary professional responsibility to the University and a level of compensation, in the form of salary and benefits or equivalent, from Brown University commensurate with these responsibilities. Consequently, faculty members are not normally eligible for additional compensation from the University.

However, additional compensation from the University may occur, during the summer and/or the academic year, as long as the normal duties of the faculty member are not reduced in order to fulfill the additional responsibilities. Written requests for consideration of additional compensation must be submitted by the faculty member to the appropriate divisional dean, in advance of the activity, and endorsed by the Chairperson of the department. Requests should contain sufficient information for a determination to be made that the activity qualifies for consideration under this policy and that the faculty member's normal duties are not compromised in any way.

Activities warranting such added compensation should be beneficial to the University and involve services distinct from those which are ordinarily expected of a faculty member. Teaching, research, the advising and counseling of students in the fall and spring semesters, and service to the department and to the University are among those duties normally expected of a faculty member.

Examples of activities considered for additional compensation from the University include:

- summer teaching activities, e.g., for the Summer Studies Program;
- academic year teaching activities not involving regular or special students of Brown, e.g., the Pfizer Program in the Division of Biology and Medicine; or
- consulting services unrelated to the research or teaching activities of a faculty member and not involving any external contract or grant in which the faculty member has a decision-making role.

Note: The compensation of faculty members during the summer under external grants/contracts is not considered "additional compensation" for the purposes of this policy since the activities performed are ordinarily an extension of those activities performed during the academic year. Faculty will continue to be eligible for such summer salary provided the total commitment does not exceed the period of time allowed them - up to three months, except for faculty in the Division of Biology and Medicine, where the maximum period is two months.

7.4 Charging Academic Year Salaries to Grants and Contracts

Depending upon the effort devoted to different activities each month during the academic year, it may be appropriate for a faculty member to charge a percentage of their research activity to a grant or contract, if the funding agency permits this. As a result of the salary savings that are realized, the Dean will set up a Grant Incentive Fund to provide research support for the faculty member. This does not apply to faculty members whose academic year salary is not normally covered by the DOF budget or to those already covered by other approved arrangements, e.g., departments in the Division of Biology and Medicine or in the School of Public Health. The guidelines for this fund are the following:

7.4.1 Grant Incentive Fund

1. In some cases, faculty may be able to cover academic-year salary from external grants. Faculty reporting to the Dean of the Faculty are limited to a maximum of 50% of salary covered in this manner.
2. In general, 70% of the dollar amount of academic-year salary and benefits charged to the grant will be placed in a Grant Incentive Fund (GIF). However, 100% of such funds will be placed in a GIF if they could otherwise have been charged to cover summer salary (in keeping with the rules of the grant) but are allocated for non-sabbatical academic year salary in order to better reflect the actual distribution of effort over the course of the entire year. (For rules pertaining to sabbaticals, see Chapter 13.) Occasionally other exceptions to the 70% return rate may be made, in particular if the accumulated GIF will be used on the same project at a later date while the grant is still active. All exceptions require the approval of the Dean and the Vice-President for Research.
3. If the funding agency requires any caps to salaries, then the maximum rate at which activity can be charged must not exceed that cap.
4. The normal overhead rate will continue to apply on academic year salaries charged to a grant.
5. The GIF is made available to a faculty member as a flexible research fund, which may be used for legitimate research expenses in accordance with University policy, including cost share on grant applications. As is the case with all research funds, the balances revert to the University when a faculty member resigns or retires.
6. No overhead will be charged when funds are expended from the GIF. If the funds are used to support summer salary or course buy-outs, the prevailing benefits rate will be charged to the GIF.
7. There will be no time limit on the use of balances in a GIF. However, total expenses in any given year may not exceed 50% of the faculty member's academic year salary.

7.4.2 Course Buy-Out

It may also be possible to use funds from grants and contracts or GIF to reduce teaching obligations during the academic year, subject to the following conditions:

1. The normal teaching load must be more than one course in a given semester.[6] In such cases, a faculty member who wishes to devote significant time to research may be relieved of teaching one course, with approval of their department chair and the Dean. This should not result in the faculty member teaching less than one course per semester. (It will therefore exclude faculty in some science departments with a normal teaching load of one course per semester).
2. Proposals must be made using the Buy-Out Request Form available on the DOF website. The department Chair must assess the impact of the proposal on the department's curriculum. Buy-outs will only be approved if the department's curricular needs can be met.
3. In general a one-course reduction would cost (1/(2 x course load)% of academic year salary (plus benefits), from a grant that provides usual fringe and overhead. That is, 12.5% for faculty in departments with a four-course load and 16.67% for faculty in three-course load departments. (For faculty in two academic units, the lower course load will be applied for this calculation.)
4. Course buy-outs should generally be funded by external grants or GIF. In no cases may startup funds or annual research funds be used to pay for buy-outs.
5. Any faculty member who wishes to have no teaching responsibilities during a given semester should apply for a leave of absence. It remains possible to use grant funds to cover salary during a leave of absence.

7.5 Consulting and Other Incidental Employment Activities

Consulting by faculty of Brown University is a privilege and not a right. Faculty at Brown are expected to devote the bulk of their professional energies to the University. In accordance with the University's conflict of interest and conflict of commitment policy, the University provides that faculty may devote no more than 20 percent effort, or an average of one day per week, to outside business activities or to extensions of their ordinary duties (including teaching) at the University for which they receive additional compensation. More extensive outside activities must receive prior approval from the appropriate divisional dean and could require a concomitant reduction in assigned University duties and compensation.

A faculty member is free to consult or engage in other contractual arrangements during the summer, as long as:

1. They are cognizant that Brown remains the primary employer, continuing to provide a range of customary benefits during such a period
2. they therefore continue to be in compliance with all the Faculty Rules, specifically those pertaining to Conflict of Interest or Conflict of Commitment, and the Patent and Invention Policy

[6] This policy refers to departments reporting to the Dean of the Faculty. The Division of Biology and Medicine and the School of Public Health may have other practices.

3. they do not "double-dip" in the sense of charging a grant or contract for a summer month (to augment the academic base salary) at a time they are also earning additional compensation from an employer. Note that this does not include incidental income such as book royalties and honoraria for lectures.

In entering into consulting agreements, faculty should make clear that their primary duty is to Brown University and is subject to the University's procedures and policies on intellectual property. Faculty consulting with external organizations must be certain that it is understood that the faculty member is acting in their individual capacity and not on behalf of Brown University.

All consulting activities, whether during the academic year or during the summer hiatus, must be in compliance with the University's Conflict of Interest Policy. Although it is not the intent of the University to infringe on a faculty member's independent consulting research, faculty should be aware that a potential conflict of interest may arise when a university researcher has outside interests that are very close to their university research activities. Thus, faculty entering into consulting agreements which may present a conflict of interest or which are of some extended duration must disclose and discuss the proposed consulting arrangement with the appropriate Dean prior to entering into any agreement with another educational or research institution or an external organization.

Faculty research-related conflicts of interest that are not appropriately disclosed, discussed and managed could compromise public confidence in the integrity of the University's commitment to its core values:

- The commitment to educating students;
- The commitment to academic freedom;
- The commitment to advancing the range and depth of knowledge and understanding of the natural world and our human condition;
- The commitment to the safety of patients under the care of University faculty and participants in research;
- The commitment to open and timely communication and dissemination of knowledge; and
- The commitment to protecting both the appearance and the actual integrity and objectivity of research, instruction and public service.

7.6 Summer Salary

While those faculty who are paid for work performed during the academic year (9 or 10 months) may be compensated during the summer for consulting or other work (e.g. from grants and contracts), the University, as the faculty member's employer, must be assured that summer consulting or other activities do not interfere or conflict with the faculty member's primary obligation to the University. Full-time summer consulting or other contractual arrangements should be reviewed by the appropriate divisional dean and reported on the Conflict of Interest form.

All effort devoted and corresponding salary charged to sponsored projects must be in compliance with sponsor and University policies. Committed effort on a sponsored project should be devoted exclusively to the activity supported by that sponsored project. Other activities performed during the summer months, e.g. any administrative or academic activities, vacation, writing new proposals, may not be charged to sponsored projects.

Note that sponsors may have restrictions on summer salary. Faculty should therefore consult their grant terms and conditions prior to committing summer effort. Any questions regarding sponsor terms or conditions should be directed to the Office of Sponsored Projects.

7.7 Salary Complaints and Grievances

If a faculty member believes that their salary is inappropriate, the faculty member should normally express the concern to the department Chair and request a salary review. In this review, they may meet with the Dean, and then the Provost should this be necessary to address the concerns raised. The Dean shall supply the faculty member with a copy of the annual report on salaries. If the faculty member is not satisfied and believes that the specific situation is due to discrimination against women and/or underrepresented minorities, the faculty member may then request that the Vice President for Institutional Equity and Diversity review the complaint.

7.8. Benefits

Detailed information about employment-related benefits is available through the Office of Human Resources.

There are in addition some other programs available to Brown faculty:

7.8.1 Faculty Travel Fund

The Faculty Travel Fund (FTF) is available to voting members of the Brown campus-based faculty for assistance in meeting the costs of one professional trip during any fiscal (budget) year, July 1-June 30. The FTF is designated to support trips to attend conferences and to do scholarly research or field work. Faculty may apply for reimbursement for more than one trip per academic year, with a total reimbursement cap set on an annual basis. Faculty are also eligible for a one-time supplement for a single trip to present a paper at an international conference. This supplement will not count against the Faculty Travel Fund total. A faculty member on sabbatical leave may apply to the FTF for aid in supporting travel expenses for scholarly research incurred in the course of one trip during that leave. For more information, see the Faculty Research Travel Fund webpage.

7.8.2 Dependent Care Travel Fund

Funds are available to support faculty who wish to attend academic conferences and/or work with collaborators at other institutions, or have commitments on campus that require additional, after-hours care for their dependents. Awards of up to $1,500 per year are available to assist regular faculty (Lecturers, Senior Lecturers, Distinguished Senior Lecturers, Assistant Professors, Associate Professors, and Professors) with expenses incurred in association with professional travel or related on-campus commitments. Examples of expenses that may be supported include additional, above-the-ordinary, hours of care for dependents at home; contracting for childcare at a conference; or even taking a caregiver to a conference or on a short research trip. Spouses, partners, and other family members are not normally eligible for travel expenses or compensation. Following federal guidelines, a qualifying dependent is a child under the age of 13 or an older dependent who is physically and/or mentally incapable of self-care.

Application for funding should be made by completing the Dependent Care Travel Fund form found on this page at least 30 days in advance of the trip. The applicant should include details of the conference or other event, an explanation of its importance for professional development, the name and age of the dependent requiring care, a description of the arrangements for which support is requested, and a budget. Please note that under current tax law, this is treated as a taxable benefit and is subject to tax withholding.

7.8.3 Parental Teaching Relief

Brown University provides one semester of classroom teaching relief for faculty members who are primary caregivers for newborn children or newly adopted children. This is not considered to be a leave, and the faculty member's responsibilities to conduct research, advise students, and participate in University and departmental affairs remain unchanged. This policy is intended to provide sufficient time to faculty members coping with the demands of being primary caregiver to an infant or newly adopted child.

All full-time regular faculty are eligible for this benefit during the semester in which birth or adoption occurs, or in the immediately following semester (if birth or adoption occurs between semesters, the teaching relief can be taken in the following semester). Faculty members wishing to receive teaching relief should contact their department Chair and their Dean, preferably six months in advance of the requested relief, indicating the period during which teaching relief is requested and verifying that they will be the primary caregiver during that time.

An untenured, tenure-track faculty member who avails themself of parental teaching relief is entitled to an extension of their contract by one year unless the faculty member requests otherwise. Such extensions are automatically awarded at the same time as teaching relief for the care of a new child is granted. If the faculty member is not requesting teaching relief, she or he must apply in writing to the appropriate Dean, and request that their contract be extended. See Chapter 10.2.1, Parenting a New Child.

Temporary teaching funds may be provided to the department in cases of parental teaching relief. At the time of the initial request of teaching relief from the faculty member, Chairs should contact the office of the appropriate Dean to apply for assistance.

7.8.4 Other

See also information on the website of the Office of the Dean of the Faculty regarding the Faculty Development Fund, Lectureships, and other opportunities.

Chapter 8. Departmental Standards and Criteria

Under the *Faculty Rules and Regulations*, all untenured faculty have a right to a written statement of their department's, program's, or division's criteria for recommending renewal of an appointment, a promotion, or the awarding of tenure, and of the procedures that precede such recommendations. This requirement has been extended to include the right of all faculty to a statement of departmental standards and criteria in matters of research, teaching and service that would apply when important personnel recommendations or decisions affecting their interests are made by the department.

These statements must be detailed, clear, objective and manifestly fair, and they must indicate the relative importance ("weight") given to each criterion - research, teaching and service. Such statements are an essential tool in reappointment, promotion and tenure cases and are necessary in any subsequent defense of the professionalism of these evaluations. The department is responsible for providing each member of the department with a copy of its standards and criteria, especially new faculty and those who may be candidates for reappointment, promotion or tenure in the near future. A copy of each department's current written standards and criteria should also be kept on file in the offices of the appropriate divisional dean. These statements are periodically reviewed by the Tenure, Promotions, and Appointments Committee (TPAC), which assesses their adequacy, and also by the Academic Priorities Committee (APC) at the time of an external review of the department.

These statements should explicitly address questions such as the following, which are illustrative only: What kinds of research are valued by the department, how much is expected, and how is it assessed? What differentiates the recommendation for a two-year renewal of an untenured Assistant Professor's initial contract from a four-year renewal? What ranks are eligible to vote for each type of faculty action? Under what conditions might the department recommend no reappointment at all? In cases where outside evaluators are used, how are these individuals selected?

If a department includes among its faculty (i) long-term research appointees, (ii) adjunct staff, or (iii) lecturers, senior lecturers and/or distinguished senior lecturers, it is necessary that the department's written statement explicitly address the standards and criteria the department employs in considering the reappointment or promotion of these individuals.

Chapter 9. Annual and Mid-contract Reviews of Faculty

Recommendations to renew or not renew contracts, or to promote or not to promote, are initiated by the faculty member's academic unit. Every academic unit with contract renewal or promotion and tenure decisions to make is responsible for providing each member of the faculty, including especially anyone who may become a candidate for tenure, with the department's written criteria for evaluating scholarship, teaching and service.

9.1 Procedures

The appropriate Dean shall annually write to all non-tenured regular faculty apprising them of the requirement for a review of their performance and of the existence of written departmental standards and criteria for contract renewal and promotion. Reviews of Assistant Professors and Lecturers are annual; reviews of Senior Lecturers and Distinguished Senior Lecturers must take place once in the middle of the term of appointment and cover the years since the start of the current appointment, but may take place more frequently if requested by the faculty member or deemed necessary by the department. Reviews are to be conducted early in the fall semester of each year.

Annual or mid-contract reviews of untenured faculty shall be directed by the Chair of the relevant academic unit. With these reviews in mind, the Chair of the academic unit will establish and maintain a dossier on each non-tenured faculty member containing copies of, as appropriate:

- Official appointment and salary letters
- Previous reviews of the faculty member's performance
- An annually revised *curriculum vitae* for the individual
- A statement of research, teaching, and service, prepared by the non-tenured faculty member
- Copies of their scholarly publications
- Material on teaching performance, curriculum development and advising.

The untenured faculty member together with the Chair of the academic unit will be responsible for submitting material for inclusion in the their dossier, so that it contains up-to-date material on, as appropriate, teaching (including as relevant a list of courses taught, teaching material such as a syllabus or reading list, student course feedback, peer observations of teaching, and summary material on undergraduate and graduate advising), scholarly work (including a *curriculum vitae* and copies of publications), and service to the University. Please note also that annual or mid-contract reviews of non-tenured faculty members are intended to cover any periods of leave that occur during the year in question. Evidence on the use made of leave-time is relevant to the evaluation.

Some departments at the time of their annual or mid-contract review of their non-tenured members conduct thorough reviews in-house of the completed works of such individuals, and occasionally also of works-in-progress. Other departments in contrast prefer to defer detailed inquiry into the substance of the work until the later reappointment, promotion, or tenure decision, relying instead during the interim on the judgments of external editorial boards, professional associations and grant-giving agencies for indications of the quality of the work being done. Either strategy is acceptable to the Deans and to TPAC provided that the basis for the review is made clear in the unit's written report to the non-tenured junior colleague in question.

The annual or mid-contract review of each regular faculty member required to be reviewed will be conducted at a duly called meeting of the tenured faculty, where the contents (excluding salary information) of the individual's dossier will be reviewed and their performance evaluated in each of three areas: scholarship, teaching and service. A written description of a consensus concerning the faculty member's performance during the preceding academic year (or years, in the case of mid-contract reviews), or of the nature of the disagreement about it, if there is no consensus, will be summarized. The report shall also include explicit commentary on the individual's scholarship, teaching, and service during the preceding academic year(s), as well as guidance and suggestions for the candidate's progress. The written review should be circulated among the faculty who participated in the review to ensure the accuracy of the consensus or reports of any disagreements and the draft should be submitted to the appropriate divisional dean for comment before being provided to the faculty member.

After the written evaluation has been finalized and approved by the Dean, the Chair of the academic unit shall meet with the faculty member and provide them with a copy of the evaluation. This review shall also be placed in the individual's official department file, and a copy should be sent to the appropriate Dean together with a signed "Confirmation of Receipt" form verifying that the faculty member in question has read the evaluation, had an opportunity to discuss it, and to respond.

The faculty member who has thus been reviewed may submit a written comment on the review, and such comments shall also be placed in their official department file, Faculty Personnel files, and also included with the annual review when the dossier is submitted to the Tenure, Promotions, and Appointments Committee for reappointment, tenure, or promotion review. Lack of a response by such an individual shall not be construed as necessarily signifying total agreement with the final evaluation report.

Where the requirement of a periodic review of a faculty member's total performance coincides with the need for the academic unit's recommendation regarding reappointment, promotion or tenure, the two evaluations may be combined to meet the University's deadlines for these latter recommendations. Under such circumstances, the untenured faculty member must convey in writing to their Dean, with a copy to the department Chair, a request that the two reviews be combined. After a reappointment review, the department should prepare a written version of the reappointment report and provide it to the candidate in lieu of the annual review.

9.2 Teaching Evaluations

The Dean of the Faculty has primary responsibility for ensuring that all faculty evaluation procedures are reasonable and fair. The following are minimum guidelines for carrying out the Faculty Rules regarding teaching evaluation.

1. Evaluation procedures must conform to the guidance laid out in the *Faculty Rules and Regulations*. Faculty who are subject to review for reappointment, promotion, and tenure should undergo teaching evaluation on a regular basis. Every departmentally-assigned teaching function of a junior faculty member should therefore be evaluated and departments should also have a means of measuring course preparation and pedagogical creativity.

2. In general, senior faculty in a department will ensure the evaluation of all teaching in the department by:

- Establishing departmental standards of teaching effectiveness (to be filed with the FEC and their Dean);
- making certain that these standards are known to all members of the departmental faculty; and
- preparing mechanisms and instruments for teaching evaluation, including feedback solicited from students and observations of teaching by faculty colleagues, which distinguish among various teaching functions.

3. Teaching functions not normally evaluated by departments (GISP's and Independent Studies) should be evaluated by the instructor themself. Extra-departmental University courses will be evaluated by the Dean of the College.

4. Because teaching ability and performance serve as one factor in the setting of annual salaries, all faculty members of a department must be regularly evaluated regarding their teaching, using the department's approved teaching evaluation procedures. Chairs should also bear in mind that TPAC looks carefully at teaching evaluations and expects the relevant faculty member's teaching performance to be explicitly addressed in all dossiers it receives. TPAC also advises that departments use multiple methods to evaluate teaching, including review of student course feedback, syllabi and course material (including online course material), and peer observations of teaching. Guidelines for peer observation may be found the Dean of the Faculty's website.

5. The opportunity for 100% response on student course feedback forms must be provided. Such forms need not be signed, but departments need to establish their own distribution and collection procedures. An evaluation system that does not give an opportunity for total student response will require either signed forms or letters and a departmental description of how the sample was selected.

6. A summary evaluation of each teaching activity will be given in the department Chair's annual review of junior members of the faculty. At the same time, reasonable opportunity should be given for such an individual to review, rebut or comment upon their own evaluation.

7. The departmental file of an untenured member of the faculty should accordingly include:

- The report or tabulation of each evaluated teaching activity;
- the department Chair's annual or periodic review letter;
- any comments or additional materials tendered by the individual concerned; and
- syllabi, course outlines, peer observations, or other such appropriate materials, unless they are being catalogued elsewhere.

9.3 Evaluating Untenured Faculty: Advice from TPAC

In December 2006, TPAC offered the following advice about annual reviews:

> *Honest and Thoughtful Feedback*
>
> *Annual reviews provide important opportunities for evaluating progress, assessing trajectory, and providing feedback. Even when there is much to be praised about an individual's work, it would be a very rare case in which there is not also some constructive criticism or advice to be offered. Our impression, based on having read many annual reviews in the course of TPAC's business, is that praise is often more easily offered than criticism. Although we can certainly understand the reasons for this, the failure to give honest feedback does a disservice to the candidate and can be the cause of potential difficulties later, as happens when a candidate who has been repeatedly assured that "all is well" learns only belatedly that there is some weakness in the record that culminates in a negative recommendation for renewal or promotion.*
>
> *Thoughtful annual reviews also provide the best vehicle for conveying a clear understanding about the expectations for tenure and progress towards them. And yet we need to remain aware of the fact that the tenure review relies in part on outside evaluations of a candidate's work. It is therefore unwise to suggest -- even to the strongest candidates -- that the standard for tenure has been largely met by having produced some quantity of work. At the time of the tenure review, the essential judgment will be about the quality of the work, and its impact. In many cases, these are difficult to judge in the absence of a full external review.*
>
> *Evaluating Teaching*
>
> *In terms of other considerations for reappointment and promotion, TPAC takes very seriously the need for good information about a candidate's teaching. The Committee looks for data over a number of semesters, ideally informed*

by a comparison with the teaching of others in the department (numerical comparisons are usually the most helpful). We have been pleased to note that some departments have found means of supplementing the data available through course evaluations. It is very helpful, for example, to have reports of classroom visits by senior colleagues who are well placed to assess performance in the classroom.

9.4 Annual Reviews of Term Faculty

Department Chairs are responsible for ensuring that all term faculty with multi-year contracts or shorter contracts that will be renewed receive annual reviews of their performance. Associate and full (Research) faculty and Professors of the Practice, who are in their second or later contract may be reviewed once in the middle of their contract term, more frequently if requested by the faculty member or deemed necessary by the department or center. The process for reviewing the performance of term faculty need not be as formal as that for regular faculty. Research faculty may be reviewed by their faculty research supervisor and/or the PI(s) on the grant(s) from which they draw salary. A written record of the review, including the points covered and responses made by the faculty member under review, should be maintained at the departmental level but need not be forwarded to the Dean’s office.

Chapter 10. Reappointments, Promotions, and Tenure Reviews

10.1 Timely Review and Notification

The University and the *Faculty Rules and Regulations* require that lecturer-track and tenure-track, untenured faculty shall be given notice about renewal or non-renewal of the contract well in advance of the expiration of a term appointment. For those whose term appointments at Brown are for four years or less, notice shall be given at least eight months before the appointment expires, with one exception: untenured faculty members being considered for tenure shall normally be informed of the decision at least twelve months before the expiration of a term appointment of any duration. For those with contracts longer than four years, notice shall be given at least twelve months in advance. With respect to timely tenure notification, the University requires that the faculty member be notified by no later than the end of the seventh year (if no contract extensions were granted) of full-time service in the tenurable rank whether he/she will or will not be granted tenure. If the recommendation is positive, promotion to tenured Associate Professor is normally effective as of the next July 1.

By June 30th, the Dean of the Faculty will send to the chairs/directors of academic units the names of all faculty members who will be reviewed for reappointment during the coming academic year. For tenure candidates, notification of review will occur no later than April 1st of the year preceding the penultimate year of the candidate's probationary period. Chairs should report any discrepancies with their records immediately. Assuming a contract end date or tenure notification date of June 30, the following guidelines apply:

- For faculty requiring eight months' notice, the review by the academic unit should be completed and forwarded to the Dean by September 15 of the final year. If the contract end date is December 31st, the dossier should be submitted no later than March 1.
- For faculty requiring twelve months' notice, the review by the academic unit should be completed and forwarded to the appropriate Dean by January 7 of the penultimate year of the contract for candidates being reviewed for promotion to associate professor with tenure. The deadline for submitting materials for other contract renewals (e.g. Senior Lecturers) is March 1.

These deadlines ensure that there will be adequate time for review by the Tenure, Promotions, and Appointments Committee (TPAC).

The following should be noted:

- Unless an extension of contract is granted (see below), eight years of full-time service is the maximum amount of time a non-tenured faculty member may serve in a tenure-track position.

- In the case of a department's consideration of an untenured faculty member for contract renewal (i.e., reappointment), all of the evidence mandated for consideration by the department at the time of the individual's previous annual reviews (See Chapter 9) shall again be considered, plus any such new information of the same kind as the department and/or the candidate should deem relevant.

In the event of a departmental recommendation not to reappoint or to promote an untenured regular faculty member at the end of their current contract, the candidate is entitled, upon request, to receive from the department chair a timely written explanation of the reasons for that decision, and a copy of this explanation shall be included in the candidate's dossier. The candidate should be told by the chair that they have the right to appear before TPAC at the time the Committee takes up the department's recommendation.

10.2 Extended Tenure Probationary Period

As noted above, untenured faculty members may serve no longer than eight years of full-time faculty service or its equivalent in a tenure-track position at Brown University. Extensions of contract (normally not to exceed two years in total) may be granted by the appropriate divisional dean for care of a newborn or newly adopted young child, or for other extraordinary circumstances.

The effect of extending the faculty member's current contract in recognition of either parenting responsibilities or extraordinary circumstances will be to lengthen the probationary period by the amount that the contract is extended. Normally, no combination of extensions should total more than two years (four academic semesters).

10.2.1 Parenting a New Child

An untenured, tenure-track faculty member who becomes the parent of a child by birth or adoption during the probationary period for tenure is entitled to an extension of their contract by one year. Unless the faculty member requests otherwise, such extensions are automatically awarded by the appropriate divisional dean at the same time as parental teaching relief (see 7.8.3) is granted. In any case where an untenured faculty member is the primary caregiver for an infant or newly-adopted child but does not make use of parental teaching relief, the faculty member must notify the dean in writing of the birth or adoption, in order to receive the extension. Such notification must be submitted to the dean and to the chair of the department as soon as possible after the birth or adoption of the child, but in any case no later than September 1 of the year in which a review for reappointment would be required. For those being reviewed for tenure and promotion, notification should be made by April 1 of the academic year preceding that in which the review will take place. No extension is ordinarily possible in the final year of an assistant professor's appointment at Brown.

10.2.2 Extraordinary Circumstances

When faced with extraordinary adverse circumstances, an untenured, regular faculty member may submit to the dean a request for an extension of the probationary period beyond the normal eight years. Such requests are limited to cases in which there have been reasons beyond the faculty member's control resulting in them being deprived of reasonable opportunities to demonstrate their ability and potential as a teacher-scholar before the seventh year (e.g., due to a need to care for a seriously ill child or family member, because of a physical disaster affecting research materials, etc.). Such extensions may be granted by the appropriate divisional dean following review and approval by the Tenure, Promotions, and Appointments Committee.

Requests for extensions of the probationary period must be submitted to the dean and to the chair of the department as soon as possible after the extraordinary circumstances justifying such a request have occurred, but in any case no later than April 1 of the academic year before which a review for reappointment or promotion to tenure would be required. The request should include a detailed description of the circumstances thought to warrant such an exception. The chair of the faculty member's department shall submit a memorandum to the appropriate dean outlining the department's view on the validity of the request. Such requests will be subject to the approval of the Tenure, Promotions, and Appointments Committee and the Dean.[7]

10.2.3 Medical and Personal Leave

Personal leaves (including medical and maternity) are not counted as part of the probationary period. See Chapter 13.6.

10.3 Reappointment Reviews

Information regarding dossier contents may be found in Appendix C, and in the TPAC Dossier Preparation Guide on the Dean of the Faculty's website.

10.3.1 Assistant Professors

In the case of Assistant Professors, after an initial four-year appointment, a reappointment may be offered by the University for a term of two years, or for a term of four years, or a reappointment may be denied altogether. Explanations of these outcomes follow:

[7] The Alpert Medical School has a separate set of guidelines for hospital-based, full-time faculty in clinical departments.

- A recommendation not to reappoint is reserved for an individual who has failed to meet the standard requirements for teaching and/or scholarship and has shown themself unwilling or unable to respond to the department's repeated proffered suggestions for improvement.
- A reappointment recommendation for two years signals general satisfaction with the individual's overall performance, but is meant to indicate some concern about whether the record will justify a positive tenure recommendation at the appropriate time.
- A reappointment recommendation for four years indicates that the individual is following an appropriate trajectory with respect to scholarship, teaching, and service, and that there are no concerns that need be especially addressed at this time. Of course, a reappointment for a term of four years does not guarantee a positive tenure recommendation at the end of the probationary period.

The dossier cover memo should state in precise language the specific recommendation being made, including (except in the case of a negative recommendation) the start date of the proposed action and, in the case of a reappointment, the length of the proposed new term. The recommendation to TPAC must contain the following information in the cover memo:

- the names of the faculty who attended the meeting at which the final recommendation was agreed on;
- the names of faculty eligible to participate in the decision who did not attend the above meeting;
- the (numerical) vote upon which the final recommendation is based;
- the department quorum established for such meetings;
- the academic unit's view of the importance of the candidate's academic specialty within the larger field or discipline;
- a general explanation of the reasons for abstentions (if any);
- an explanation of the views of those voting in the minority; and
- a full and candid discussion of the issues raised in the department meeting relative to this candidacy.

After a reappointment review, the department should prepare a written version of the reappointment report and provide it to the candidate in lieu of the annual review.

10.3.2 Lecturers, Senior Lecturers, and Distinguished Senior Lecturers

Lecturers may be reappointed for terms of up to three years. Senior Lecturers and Distinguished Senior Lecturers are reappointed for terms of up to six years. The required process and documentation are the same as for reappointments of Assistant Professors.

10.3.3 (Research) faculty and Professors of the Practice

(Research) faculty and Professors of the Practice may be reappointed for terms of no more than three years for Assistant Professors and no more than five years for Associate or Full Professors, so long as the needs of the department and the quality of performance warrant such reappointment.

10.4 Department Procedures for Tenure Review

The promotion of an assistant professor without tenure to the rank of associate professor with tenure is a major milestone in any academic career, indeed perhaps the most important professional review that a career scholar is likely to undergo. Accordingly, the procedural requirements and safeguards of this review process have been developed with the greatest care and are now exceptionally well-codified. Note that many of the steps in the tenure review process are relevant for other types of promotion, to any rank. For a detailed treatment of these requirements and of the specific documentation that is involved, see Appendix C and the Tenure and Promotion page on the Dean of the Faculty's website.

<u>Prior Experience</u>

From time to time, a candidate who has had significant prior experience as a tenure-track faculty member at another institution is appointed as assistant professor at Brown and subsequently reviewed for promotion and tenure. There is no formal policy for adjusting the probationary period to account for prior service at another institution. In such cases, TPAC pays special attention to research conducted at Brown, since recent output is a good predictor of a scholar's future trajectory. Contributions to teaching and service at Brown are likewise given greater weight because institutions can vary quite considerably in their expectations in this regard, and because the teaching environment at Brown can be very different from that at other institutions. This should not be taken to mean that a candidate's contributions to scholarship and teaching prior to arriving at Brown are ignored. A tenure decision must take account of a candidate's complete range of accomplishments over time.

The review for promotion from assistant professor to associate professor is to be conducted no later than the seventh year of the probationary period (except in cases of extension, described in 10.2). The review normally takes place during the penultimate year of the contract, i.e. during the seventh year of the eight-year probationary period. Earlier review is also possible if the record warrants this, due to a candidate's prior experience (described above) or accomplishments in terms of research, teaching, and service; this is a matter to be discussed between the candidate and the department. In considering the appropriate timing of the review for promotion and tenure, departments and candidates should bear in mind that the practice of the University is that such a review is ordinarily conducted only once. If a candidate elects an earlier review, the end date of the appointment will be adjusted to provide for one terminal year in the event of a negative review (FRR Part 4, Section 11.I.E.6). The candidate shall be informed of this contract adjustment in writing by the appropriate dean.

No later than April 15 of the year preceding the penultimate year of the candidate's probationary period, the chair of the department, in consultation with the candidate, shall appoint a tenure committee of at least three persons to guide the evaluation procedure (if there are fewer than three tenured faculty in the department, appropriate faculty from other units shall be included on the committee).[8]

Where a recommended faculty action involves more than one department, the necessary cooperation among these academic units may be differently structured. Accordingly, the chairs of academic units anticipating such a decision are asked to consult together with the appropriate dean well in advance of beginning work on a case, to ensure that the method of cooperation between these academic units is the most appropriate one and is well understood by all parties. Procedures for the review of such individuals are normally established at the time of the initial appointment.

As soon as the tenure committee has been selected, the chair of the department will convene a meeting of all tenured faculty of the department and outline the procedures to be used in the evaluation for tenure. Where a candidate for tenure holds a joint appointment, both academic units will conduct such a meeting so that faculty in both units are kept informed.

The candidate will prepare for the tenure committee a short list of outside individuals (3-4 names) who would be appropriate external reviewers. The candidate may also prepare a list of any individuals whom they would prefer not be asked to serve in this capacity, along with the reasons for excluding them; these list(s) should be included in the dossier that is ultimately forwarded to TPAC. The candidate's objections to particular evaluators must be considered by the tenure committee but do not constitute a binding veto on the composition of the final list of evaluators. At the same time, and without knowledge of the names the candidate has supplied, the tenure committee will independently identify individuals who are acknowledged scholarly and/or educational leaders in the discipline from whom to seek confidential written comments on the quality of accomplishment of the individual under review. The tenure committee will then review the candidate's suggestions, and will compile a single combined list of evaluators, which must include no fewer than three names from the candidate's list. The committee should bear in mind that the completed dossier should have more letters from committee-recommended evaluators, than from candidate-recommended evaluators and should balance the requests to maintain the appropriate ratio. This list,

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[8] The head of the committee for a tenure case may be any tenured member of the department, including the chair of the department.

which is not to be shared with the candidate, will be forwarded to the appropriate division's dean along with a brief description of the candidate's field, biographies of the evaluators and a rationale for their inclusion, for the dean's review and comment.

After the list of evaluators has been finalized, the department shall request confidential assessments of the candidate's scholarly work, using the standard format for such requests (a template is available on the DOF website, and in Appendix B of this Handbook). Note that at least eight letters are required for tenure review, and that these should be from individuals who are not close collaborators of the candidate, or persons who previously provided written evaluations of the candidate at the time of initial appointment at Brown.[9] Evaluators with such perceived conflicts may contribute letters if the department deems their evaluation important to the review, and these letters would be additional to the eight required letters.

The tenure committee, in consultation with the candidate, will be responsible for assembling the candidate's tenure dossier. This dossier will ultimately carry the department's recommendation on promotion to tenure to be transmitted to the Dean of the Faculty for review by TPAC, and will be kept permanently in the files of the Dean of the Faculty. When completed, the dossier should contain all the items listed in Appendix C and in the TPAC Dossier Preparation Guide, available on the Dean of the Faculty's Tenure and Promotion page.

Before the dossier is submitted to TPAC, a list of its contents (as detailed in Appendix C, and on the Tenure and Promotion webpage) shall be provided to the candidate, so the candidate may complete or supplement it with additional material, if necessary. The academic unit's recommendation shall not be made without a complete dossier for the candidate, unless the candidate fails to submit the required materials by November 15 of the penultimate academic year before the end of contract.

Documented efforts must be made to secure the maximum participation of the tenured faculty of the department, as required in the evaluation and recommendation process. The candidate's dossier and any of the materials or publications held by the tenure committee shall also be sent to those tenured faculty members in the department not in residence, upon request. Tenured faculty not in residence shall be requested to send written statements concerning the candidate to the chair of the tenure committee, but failure to receive the statements from absent members shall not prevent completion of the evaluation and recommendation process.

At a duly called meeting of the tenured faculty, with at least a week's notice, the tenure committee will present the evidence on scholarship, teaching and service. At this meeting, or at another scheduled meeting, the candidate must be given the opportunity to appear before the department's tenured members before they vote on the case. The

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[9] See 10.5 below for the evaluator letter requirements for other types of promotions.

tenured faculty will discuss the evidence and take a vote, which will be the basis of the department's recommendation to TPAC. This recommendation shall be made in writing and indicate the quorum the department has established as necessary to make such decisions. At the time of the recommendation, the candidate shall be notified in writing what the recommendation is and, to whom it will be sent; in the case of a negative recommendation, the candidate has a right to be informed of the reasons for the department's decision.[10] In general, this written statement should be provided to the candidate as soon as possible. In no case should more than a week elapse between the time of the meeting and the time the faculty member receives the recommendation. The individual then has the right to present material in person and/or in writing to TPAC if they choose to do so.

Dossiers for internal promotion from assistant to associate professor, with tenure, are to be submitted to TPAC no later than January 7. For tenure candidates on a calendar year clock, the dossier should be submitted by October 1.

10.4.1 Procedures for Tenure Review for Untenured Associate Professors

Occasionally a faculty member's initial appointment is as associate professor without tenure, ordinarily for a term of no more than five years. In such cases the department will undertake a tenure review no later than the penultimate year of the contract, in order to ensure the requisite twelve months' notice. Procedures for such reviews are the same as for those for the review of assistant professors, described above, although a small number of evaluators from the appointment review may be approached for letters at this time. Departments are advised to consult with their dean regarding the use of previous evaluators.

10.4.2 Review of Formerly Tenured Brown Faculty

If a tenured Brown faculty member, having resigned from the University to take a position elsewhere, wishes to return and is recommended for an appointment at the same rank within two years, a full external review will not be required. The department making the recommendation will nevertheless be expected to submit for TPAC review a dossier explaining the rationale for the appointment, the candidate's qualifications in scholarship, teaching, and research, and summarizing the department's deliberations (including the vote). In such cases, all other procedures normally pertaining to faculty appointments will continue to be followed.

[10] In the event of a tie vote, the candidate is also entitled to a written explanation of the reasons.

10.5 Guidelines for Other Promotion Reviews

10.5.1 Lecturer to Senior Lecturer

Academic units with lecturer track faculty must have on file with the appropriate dean an approved set of standards and criteria for promotion to the rank of senior lecturer. (See Chapter 8). While there may be some considerations that are unique to a particular department or program, common criteria include the following:

- Sustained and documented teaching excellence
- Service to the department in the form of advising students, as well as the training and supervision of teaching assistants and teaching associates
- Service to the university, profession, and/or community
- Evidence of ongoing professional development (including research in their field or pedagogical research)

Professional development may take different forms, e.g., participation in professional societies in the field of the candidate's expertise, work on pedagogy, development of instructional materials, and so on.

Promotion to senior lecturer follows the same requirements for documentation as for other promotions, including the solicitation of letters from evaluators, though in this case the required minimum number of letters is five. The department should seek a similar ratio between candidate- and committee-recommended evaulators as that ratio used for tenure cases, to ensure that the final list includes more letters from committee-recommended evaluators. Because of the fact that the emphasis in lecturer appointments is on teaching, it is not always necessary or appropriate to require that all letters be from evaluators outside of Brown. In many cases, some combination of letters from outside evaluators and those from individuals at Brown (but not in the candidate's department) may provide the best assessment of the strength of the case for promotion.

Recommendations for promotion to senior lecturer require review by the Tenure, Promotions, and Appointments Committee, and the department in presenting its candidate for promotion shall have arrived at such a recommendation only after a full review of the relevant dossier materials, and after a vote taken at a duly called meeting of the faculty of the department, at which a quorum is present. The timing of the review should be discussed with the relevant dean and the procedures should be consistent with those followed for promotion from the rank of assistant professor to associate professor as described above.

10.5.2 Senior Lecturer to Distinguished Senior Lecturer

For promotion to take place, the academic unit must have on file with the appropriate dean a set of standards and criteria for promotion to the rank of distinguished senior lecturer. Promotion to distinguished senior lecturer requires important contributions to teaching and professional service at Brown and beyond as evidenced by most of the following:

- Sustained and documented teaching excellence
- Service to the department, university, profession, and/or community
- Recognition as a role model, advisor, and mentor for undergraduate and/or graduate students as well as colleagues
- Excellent professional reputation, as demonstrated by membership and active participation in local, regional, or national professional societies (this may be demonstrated through positions of leadership in executive committees, key roles in collaborative projects, and the organization of professional and academic workshops, symposia, and invited lectures)
- A record of outstanding educational scholarship, which may take the form of instructional materials, including online materials, activities associated with the development and implementation of new assessment models, curricular innovation and configurations, publications, performances, or other works
- Research effort within their discipline (while not normally required this may be taken into account as appropriate).

Promotion to distinguished senior lecturer follows the same requirements for documentation as other promotions, including the solicitation of letters from evaluators. The department should seek a similar ratio between candidate- and department-recommended evaluators as that ratio used for tenure cases, to ensure that the final list includes more letters from committee-recommended evaluators. Five letters from evaluators external to Brown are required. They should be from individuals who are best suited to provide assessment, who serve in positions similar to the distinguished senior lecturer role or are tenured faculty engaged in pedagogical research or related programs at other institutions. Letters may be solicited from individuals who have previously written for the candidate's appointment or promotion, keeping in mind that the majority of letters should be from new evaluators. The department may also solicit additional letters (beyond the five external) from colleagues at Brown who are not in the department, if these colleagues can provide insight to the candidate's teaching that might not be readily apparent to external evaluators.

Recommendations for promotion require review by the Tenure, Promotions, and Appointments Committee and the department in presenting its candidate for promotion shall have arrived at a recommendation only after full review of the relevant dossier and after a vote taken at a duly called meeting of the faculty of the academic unit, at which quorum is achieved. The timing of the review should be discussed with the relevant dean and the procedures should be consistent with those followed for promotion from the rank of assistant professor to associate professor as described above.

10.5.3 Instructor to Assistant Professor

Promotion occurs upon completion of requirements for the Ph.D. degree and does not involve TPAC review. The academic unit should send a letter addressed to the appropriate dean requesting the change, with a copy of the certification of completion of the requirements for the Ph.D. degree (supplied by the faculty member's graduate school).

Change in rank will be effective at the beginning of the next semester. Change in salary will be effective at the start of next month.

10.5.4 To Associate Professor, or full Professor, Either Rank without Tenure

Promotions to the rank of associate or full professor, either without tenure, as, for example, in (Research) appointments, follow the same University procedures as tenure recommendations. If an academic unit intends to follow the practice of promoting to associate or full professor without tenure, it should establish written criteria and standards for these ranks, and ensure that this document is approved by the appropriate senior officers and relevant reviewing bodies.

10.5.5 To Professor (with tenure previously granted)

The University has applied to cases of promotion to full professorship (with tenure) the same kinds of standards as those that apply to a tenure review, the difference being that one should, for promotion to the rank of full professor, attest professional and scholarly growth beyond the level at which tenure was originally granted. The criteria for promotion to full professor are continued excellence in scholarship, teaching, and service; demonstrated distinguished influence in the scholarship of the discipline; and demonstrated distinguished influence at Brown.

There is no fixed point at which promotions to the rank of professor must occur, and there is obvious variation in the rapidity with which one's scholarship can be expected to mature. Even within a single department, different individuals may satisfy in different ways the scholarly promise upon which promotion to tenured rank was predicated. Chairs should be aware that TPAC carefully reviews recommendations for promotion to full professor and should be certain that the dossiers of such candidates contain all the information and documentation required, as identified on the Dean of the Faculty's Tenure and Promotion webpage. It is expected that faculty who are being considered for promotion to full professor should be provided the same due process as is required for the more junior ranks, and that the review process will follow that described for tenure review, above.

A review for promotion to professor may be initiated at any time after the granting of tenure. Once a faculty member has served as associate professor for a period of seven years, the annual salary recommendation of the department chair or unit director to the dean shall contain an assessment of the faculty member's readiness to stand for promotion in view of the department's or unit's standards and criteria, and this statement shall be communicated to the associate professor by the department chair or unit director.

10.6 Review by the Tenure Promotions and Appointments Committee (TPAC)

The Tenure Promotion and Appointments Committee (TPAC) is authorized by the Faculty Rules and Regulations.

All recommendations for appointment, reappointment, promotion and tenure at regular faculty ranks are first sent to the appropriate division's dean for review. TPAC reviews personnel recommendations coming from departments or other academic units for:

- the renewal of a faculty member's current contract, i.e., a reappointment, with or without tenure;
- a new appointment to the Brown faculty (from outside) to a rank involving tenure;
- the promotion of someone already at Brown to a rank carrying tenure, or to a rank carrying-over (i.e., continuing) an earlier grant of tenure; or
- a new appointment (from outside) or promotion (from within) to the rank of Senior Lecturer or Distinguished Senior Lecturer

The recommendation and dossier will be shared with TPAC in advance of the scheduled meeting. The department chair and the chair of the tenure, promotion, appointment or reappointment review committee may be asked to appear before TPAC to answer any questions from the Committee that may have arisen regarding the recommendation or associated materials. The faculty member whose case is under review will be provided an opportunity to appear before the Committee and/or present materials that they feel may be significant.

TPAC carries out its responsibilities with reference to the following university-wide standards and criteria for promotion and tenure:

> Candidates for tenure and promotion at Brown must show evidence of outstanding scholarship. They must also be highly effective teachers, and be positive contributors to faculty governance as well as to the intellectual life of their department, university, and profession. Demonstrated ability in teaching and service are necessary but not sufficient conditions for tenure and for subsequent promotion to Professor.
>
> Peer esteem, both within and outside the university, is a valuable indicator of scholarly ability and achievement. In all cases, it is important to consider the quality and not only the quantity of scholarly production. (*Faculty Rules and Regulations*, Part 1, Section 2, VI.B.1.c)

10.7 TPAC's Right to Solicit Additional Evidence

Departments should note that pursuant to the *Faculty Rules and Regulations*, TPAC may in its consideration of particular cases solicit additional information and evidence from within or without the "sponsoring group," i.e. the department or other unit making the recommendation. In such cases, the additional evidence that is solicited may include, but is not limited to, the following: (i) letters from external or internal authorities beyond those already gathered by the department; (ii) written statements from all persons participating in the department's vote identifying how they individually voted and the reasons for that vote; and (iii) additional or expanded explanations from the department's chair of points of particular interest to TPAC, especially points that were mentioned (or perhaps not mentioned) in the department's initial submission of the candidate's dossier.

Because the gathering of such additional evidence takes time, TPAC may postpone consideration of these cases without taking a vote after the department's initial presentation, with consideration resumed after the additional information is provided.

At the conclusion of the Committee's discussion, a vote will be taken on whether the recommendation is accepted. The vote of the Committee shall be conveyed to the department chair by the TPAC chair soon after the vote is taken, and the department chair shall promptly communicate the information to the candidate, though underscoring for the candidate that it is not the University's final decision. In the event of a denial of the department's recommendation, the TPAC chair shall, within three weeks, provide to the department chair a written statement of the rationale for the committee's vote.[11]

10.8 Review of TPAC Recommendations by the Provost

TPAC recommendations regarding appointment, reappointment, tenure and promotion are forwarded to the Provost for decision. Materials include the record of the vote, the committee's recommendation, and all other documents in the committee's possession. The appropriate division's dean also conveys their recommendation to the Provost. The Provost may take up to thirty (30) days to render a decision. At this point, but only then, an official letter to the candidate transmitting the substance of this decision will be prepared at the appropriate dean's office.

Various contingencies include:

[11] For internal cases only; TPAC does not supply a written rationale for cases of new appointments that are not recommended by the committee.

- If the department's recommendation was in favor of appointment, reappointment, or promotion, or the awarding of tenure, and if after TPAC's review, the Provost accepts the recommendation, the appropriate dean will orally notify the department chair concerned and will sign the official letter which will be transmitted to the candidate.
- If the department's recommendation was in favor of appointment, reappointment, or promotion, or the awarding of tenure but if the Provost's decision is negative, oral notice shall be given at once to the candidate and the department chair concerned (see below).
- If the department's recommendation was against appointment, reappointment, or promotion, or the awarding of tenure, and if TPAC and the Provost find that the recommendation is procedurally and substantively acceptable, oral notice will be given at once to the candidate and the department chair concerned (see below).
- If the department's recommendation was against appointment, reappointment, or promotion, or the awarding of tenure, and the Tenure, Promotions, and Appointments Committee, upon reviewing the recommendation, find reason to question either the substance of the recommendation or the manner in which it was reached, the committee will ask the department to make whatever further explanations are considered necessary; or the department may be asked to reconsider its recommendation; or a specially convened extra-departmental committee may be asked to consider it. Whenever a department's recommendation is so questioned by the committee, final disposition of the case shall not have been made until the Provost either accepts the original recommendation or overturns it.

In the case where reappointment, promotion, or the award of tenure (cases internal to Brown) has been denied, whether because a negative recommendation from the academic unit has been upheld by TPAC and approved by the Provost, or because a positive recommendation by the academic unit has been overturned by TPAC and/or the Provost, the appropriate dean will prepare and sign a letter to the candidate officially indicating this decision and providing reasons for it. If reappointment, promotion, or tenure has been denied to any current faculty member, Faculty Rules require that the case be sent on to the Procedural Integrity Committee (PIC) for review. The dean's letter must inform the faculty member that the case will be reviewed by PIC for procedural fairness, and also that the faculty member has the right to present materials in person or in writing to the President.

Letters reporting the Provost's decision are sent from the appropriate dean directly to the faculty member under consideration, with a copy sent to the department chair. All letters will be sent in accordance with Faculty Rules regarding timely notification of faculty (See Chapter 10.1 in this Handbook.) It is understood that a letter indicating that a contract will be allowed to expire may be superseded later after review by the President.

The President, or in their absence, their designee, shall grant to a department chair or a faculty member under review (if dissatisfied with either TPAC's recommendation or the Provost's decision) the opportunity to discuss the recommendation with the President or other designee, or to present material in writing.

A complete copy of the dossier and all letters and review decisions will be kept in the files in the Office of Faculty Personnel. Publications provided in hard copy will be returned to the department.

Chapter 11. Term Faculty

Term faculty members hold appointments other than those defined as regular faculty. The titles held ordinarily include a prefix (Adjunct or Visiting) or suffix (Research). For more detail regarding ranks and titles, see Chapter 4.

As is the case for other faculty personnel recommendations, recommendations for reappointment, contract renewal, promotion, and tenure are initiated by the untenured faculty member's department.

11.1 Yearly Performance Appraisal

As noted in Chapter 9 department chairs are responsible for ensuring that untenured adjunct faculty and research faculty on multi-year contracts receive annual reviews of their performance. The process for reviewing the performance of term faculty need not be as formal as that for regular faculty. Adjunct and Research Faculty as well as postdoctoral fellows may be reviewed by their faculty research supervisor and/or the PI(s) on the grant(s) from which they draw salary. A written record of the review, including the points covered and responses made by the faculty member under review, should be maintained at the departmental level but need not be forwarded to the Office of Faculty Personnel.

11.2 Contract Renewal and Reappointment

At the ranks of Lecturer (less than half-time), Fellow, Research or Teaching Associate, Investigator, or at any Adjunct or Visiting ranks, or when one has been initially appointed at any rank, regular or term, for one year or less - reappointment may be recommended at any time before the expiration of the current contract. Chairs should, however, bear in mind that any recommended reappointment cannot normally violate the announced conditions of an original appointment (for example, to pay a salary when none was originally offered, or to exceed a fixed non-renewable term). Otherwise, the considerations bearing upon reappointment at these ranks are the obvious ones: evaluation of performance, availability of funds, and room in the departmental staffing plan.

If no reappointment is recommended at any of these ranks described above, the contract will automatically lapse on its expiration date. Initial faculty appointments for a period of one year or less, and term appointments of whatever duration are understood to be terminal appointments, and therefore do not require specific advance notice from the University regarding possible reappointment.

11.3 Promotions

Promotions within the temporary, term ranks of the faculty do not normally occur, except in the cases of people who have served in the (Research), Practice, or adjunct professorial ranks over an extended period of time. Recommendations for promotions of persons of Research or Adjunct rank will be carefully reviewed by the appropriate divisional dean. When promotion is to Associate or full Professor (Research), the recommendation must be reviewed by TPAC, and chairs/directors should prepare these cases with commensurate care. It follows that the written "Standards and Criteria" of the department in question must explicitly define promotion standards for such term faculty.

A dossier including (i) the covering letter in which the recommendation is amply explained and justified; (ii) minutes of the meeting at which the recommendation was discussed and voted, including a record of the vote, (iii) letters solicited from external evaluators; and (iv) the curriculum vitae of the candidate for promotion should be sent to the Office of Faculty Personnel. After review by the appropriate dean, the recommendation will be placed on the agenda of TPAC. The chair will also be informed when the meeting is to take place and may be invited to attend.

Once such a recommendation has been fully reviewed and if it has been approved, the dean will sign the appropriate letter and send it to the department chair for delivery to the individual. A copy of the letter will be included for departmental files.

Chapter 12. Designated Chairs, Endowed or Named Chairs, and University Professorships

Designated Chairs

The University from time to time honors distinguished faculty with designated chairs, including University Professorships, endowed or named chairs, Royce Professorships and endowed assistant professorships. The authority to place an individual faculty member in a designated chair rests with the University Corporation, acting upon a recommendation from the University President. Recommendations to the President are made by the Provost, with advice from the divisional Deans.

12.1 University Professorships

University Professorships honor distinguished senior faculty. In general, incumbents in University Professorships, some of which are named University Professorships, are individuals whose academic expertise crosses traditional disciplinary boundaries.

Nominations for University Professorships may be made at any time by department chairs, center directors and senior academic officers. Nominations should be submitted to the Provost and to the appropriate divisional dean and should include a current *curriculum vitae* and a letter of nomination describing the candidate's scholarly achievements, contributions to their discipline, and contributions to Brown. Nominations will remain active for three years.

12.2 Endowed or Named Chairs

In general, named or endowed chairs honor distinguished senior faculty. Certain chairs have been designated for faculty incumbents in various administrative posts, such as the departmental Chair of English, and are thus awarded *ex officio*. Named chairs may be awarded with or without term. Named chairs may also be unrestricted, or alternately restricted by field. If restricted, this is usually evident in the title of the chair, e.g., the Parker Professorship in Economics or Wilbour Professorship in Egyptology.

Nominations for endowed or named chairs may be made at any time by department chairs, center directors and senior academic officers. Nominations should be submitted to the Provost and to the appropriate Dean and should include a current *curriculum vitae* and a letter of nomination describing the candidate's scholarly achievements, contributions to their discipline, and contributions to Brown. Nominations will remain active for three years.

12.3 Royce Professorships

The Royce Professorships were established to foster, promote, and reward teaching of the highest quality at Brown University. Royce Professorships are selected from all academic divisions of the University and are appointed for three-year terms.

Nominations for Royce Professorships may be made by department chairs or faculty peers to the appropriate divisional dean. Candidates must be full-time active teaching faculty at the associate professor level or higher, who have demonstrated a high level of commitment to teaching and advising students, to pedagogical innovation and excellence, to scholarship and to University service. All Royce Professors will offer a colloquium during their term that provides insight into their teaching approach or their scholarly interests. Nominations should include: (a) a 1-2 page letter of nomination, fully describing the nominee's teaching profile, innovative pedagogical techniques, and special contributions to either undergraduate or graduate teaching and advising; (b) a current *curriculum vitae*; and (c) summaries of student assessments of teaching for all courses taught by the nominee for the past three years (either quantitative or narrative style).

The Provost's office will request recommendations from each Dean by March 1 of each year. Royce Professors will be selected by the divisional Deans, Provost, and President.

12.4 Endowed Assistant Professorships

The University honors outstanding junior faculty with endowed assistant professorships. These professorships generally are awarded to assistant professors in the second term of their appointment.

Nominations for endowed assistant professorships will be invited by the appropriate divisional dean. The Provost's office will request recommendations from each Dean by March 1 of each year. The Deans will advise the Provost on appointments of Endowed Assistant Professors.

Chapter 13. Leaves of Absence

A faculty member on a leave of absence continues to hold their faculty appointment and to be an employee of the University. The employment relationship between the faculty member and the University is not severed during a leave of any sort: a faculty member on leave is eligible for certain benefits and services, and is expected to comply with all University policies and relevant expectations. Depending on the designation and the duration of the leave, the faculty member may continue health and dental coverage by paying the active employee premiums; contributions to the University's retirement plans are based on actual salary received from Brown.

Leaves, whether paid (sabbatical, leaves on special assignment, scholarly leave, or leave with "top-up") or unpaid (leaves of absence), may be taken for a semester or a year. Only in exceptional cases may a leave be extended beyond a single year; under no circumstances may it extend beyond two years. If a faculty member on leave with support from Brown (whether salary or top-up) requests a second year of leave, it may be granted, though only with the understanding that no support from Brown will be given.

Faculty members are expected to teach for at least four semesters between any two leaves, and no more than four semesters of leave of any kind is ordinarily possible during a seven-year period. Only in exceptional cases will leaves be granted off of the normal six- or twelve-semester cycle. Justification for such exceptions might include a request that a faculty member be on loan to a federal agency or had a personal emergency. Exceptions will not be granted simply because of available outside funding. Exceptional off-cycle leaves will generally delay the timing of future sabbaticals.

Applications for sabbatical leaves and for leaves of absence without pay for the following academic year, or any part thereof, should be sent to the Chair of the faculty member's department by the date announced annually by the dean; they should be forwarded to the appropriate divisional Dean by late-January. All leave requests should be discussed with the department Chair, who will review applications in the context of departmental needs. Each application for sabbatical leave should specify whether the leave is intended to be for one semester or a full year. Per rules of the Corporation, it should also state briefly how the leave will be spent. Under no circumstances will faculty members be granted leaves of absence from Brown University for more than two consecutive years. Follow this link for the leave application form. The BioMed Faculty Leave Application Form can be found at http://biomed.brown.edu/bmfa/forms.html.

Opportunity for taking sabbatical or scholarly leave at regular intervals is not absolutely guaranteed by the University. Such leaves may be denied or postponed if the faculty member's performance has been substandard or if the timing of the leave jeopardizes the integrity of the department's curriculum. Department Chairs are expected to arrange timing of leaves in such a way as to ensure the integrity of the curriculum of and service to the department.

13.1 Sabbatical Leave

Sabbatical leave is granted only to regular faculty of professorial rank, and such officers of the University as the President may nominate.[12] It is granted in recognition of notable service through teaching and scholarly contributions and as aid and inspiration to further achievement in these areas. Tenured faculty are eligible for sabbatical leave under the terms of the policy which became effective in July 2008, as revised in 2022. Tenure-track faculty may be awarded junior faculty sabbaticals (see below) and faculty recently promoted and tenured at Brown may be awarded post-tenure sabbaticals.

As established by the Corporation, sabbatical leave is “intended to provide teachers with opportunities for scholarly development and contacts which shall contribute to their professional effectiveness and to the value of their later services to Brown University. It is not intended that such leave shall be used primarily for purposes of rest and recuperation." Sabbaticals are viewed as an investment in the faculty member's future professional contributions to the University. Accordingly, a sabbatical ordinarily may not be taken during the year prior to a faculty member's retirement or resignation. Faculty members who do leave the employment of the University within a year after a paid leave may be required to reimburse the University for compensation (salary and benefits) received during the leave.

Under the sabbatical policy applying to tenured faculty, a faculty member is eligible to request a sabbatical leave of absence for one semester at full salary following six semesters in residence. In the case where a faculty member receives a prestigious external fellowship, they may also request a one-semester unpaid leave of absence, normally in the same academic year as the sabbatical.

If a sabbatical leave is not taken after six semesters in residence, the faculty member may continue teaching for an additional six semesters (twelve semesters total), after which time the sabbatical leave may be taken for an entire academic year at full salary. Sabbatical semesters may not be banked beyond a full year of leave, and any further time accrued toward sabbatical will be forfeit unless a prior written arrangement has been made with the cognizant Dean or the delay was the result of one of the limited number of service roles enumerated by the faculty member’s Dean. Unless planned in advance as part of the multi-year academic planning process, delayed sabbaticals may not normally be taken off-cycle; that is, they may be taken after six or twelve semesters, but not normally after seven or nine semesters, e.g. In cases where such off-cycle sabbaticals are approved, they will result in loss of credit toward

[12] Faculty on phased retirement are not eligible for, and do not accrue credit toward, sabbatical leaves.

future sabbatical leaves unless the change in timing was the result of one of the limited number of service roles enumerated by the faculty member's Dean.

Compensation while on Leave

Faculty may not normally receive compensation from another institution or funding source while on a paid leave beyond the normal consulting policy. An exception will be made for faculty members on fully paid leave who receive supplemental funds from an outside source that are paid through Brown. In this case, payment of up to three summer months (each month being equal to one-ninth of the faculty member's base academic year salary) is allowable. External funds that are paid through Brown and are in excess of three summer months will be used to cover part of the sabbatical salary that would otherwise have been paid by Brown and the faculty member will receive a research fund equal to 70% of the salary savings.[13]

Faculty on unpaid or partially-paid leave may accept compensation from outside sources. In such cases, it is important to note that faculty must continue to abide by Brown's Conflict of Interest and Commitment Policy, the University Code of Conduct, the Conflict of Interest in Research Policy, and all other policies governing University employees. All outside employment and appointments (whether compensated or not) should be reported to the cognizant Dean and via the University's Conflict of Interest Reporting process.

13.1.1 Junior Faculty Sabbatical

A special program of sabbatical leaves exists for non-tenured faculty (i.e., "junior sabbaticals.") Recommendations for such leaves should be made by chairs to the appropriate Dean and be accompanied by a sabbatical plan as described above. Junior faculty may request one semester of paid leave, or they may request a year's leave at half salary, or combine this year's leave with internal support (e.g. Wriston fellowship) or external support (grant or fellowship, possibly with top-up), to have the full year for research. Junior sabbaticals are normally taken in the third or fourth year.

Untenured faculty are expected to be in residence for a minimum of three semesters between any two leaves. Because leaves decrease teaching time, department chairs should advise untenured colleagues about the importance of establishing a good teaching record as well as an active research program.

[13] This incentive applies only to faculty reporting to the Dean of the Faculty.

13.1.2 Post-Tenure Sabbatical

Faculty promoted from Assistant Professor at Brown to Associate Professor at Brown, with tenure, are eligible to apply for a post-tenure sabbatical. The post-tenure sabbatical will normally be requested in the year after tenure has been granted and taken in the following year. The sabbatical may be taken as a semester at full salary or a year at 75 percent of salary. While the post-tenure sabbatical may be delayed for up to two semesters without affecting the timing of future leaves, it may not normally be taken early. The clock for regular sabbaticals starts in the second year after tenure, excluding any semesters that a faculty member is on leave.

13.2 Salary Supplement during Leave ("Top-up")

Faculty who receive a prestigious external fellowship may request an unpaid semester of leave, normally in the same academic year as a sabbatical semester. If the external fellowship does not cover the faculty member's full salary for the semester, they may request a salary supplement from the office of their cognizant dean. Such supplements are not guaranteed, and are only available in conjunction with prestigious awards. Such top-ups are limited to a maximum of the size of the external award. In no case will a top-up result in total compensation (including external funds) above the semester base salary. There is one exception to this policy; faculty receiving Guggenheim Fellowships may be eligible for a top-up to full salary for the semester of leave.

13.3 Scholarly Leave

Scholarly leave may be granted to Lecturers, Senior Lecturers and Distinguished Senior Lecturers. Again, according to the Corporation, the purpose is "to enhance scholarship and/or teaching through a plan of study, research, or other appropriate activity as approved by the Dean of the Faculty."

Lecturers, Senior Lecturers and Distinguished Senior Lecturers who are regular faculty members are eligible for scholarly leave (one semester at full salary) following twelve semesters of full-time teaching. Those with contingent appointments are not eligible for scholarly leave.

13.4 Leave on Special Assignment

"Leaves on Special Assignment" are defined as leaves with salary from the University. Such leaves in which the source of funds is the instructional budget are rare and must be arranged directly with the appropriate divisional Dean.

A Leave on Special Assignment is viewed as an investment in the faculty member's future professional contributions to the University. Accordingly, a Leave on Special Assignment may not ordinarily be taken during the semester prior to a faculty member's retirement or contract expiration date. Faculty members who do leave the employment of the University immediately after a Leave on Special Assignment may be required to reimburse the University for compensation (salary and benefits) received during the leave.

13.5 Unpaid Leaves

A leave of absence is without regular salary from Brown. Faculty may normally only take a leave of absence for academic reasons when they would otherwise be scheduled to take a sabbatical, or in the second semester of a year in which they are taking a sabbatical.

13.6 Illness and Medically Defined Disability

All University employees are covered by the Family Medical Leave Act and by relevant Rhode Island laws. Details regarding terms and eligibility may be obtained from the Human Resources Office.

Regular faculty who must be absent for illness or other disability retain their salaries from the University for up to six months, or until the time that they may be eligible for long-term disability payments under the University's insurance plan, if that is sooner. The period of such medical leaves will, where possible, coincide with the dates of the fall (July 1–December 31) or spring (January 1–June 30) semester.

In order for a medical leave to be granted, the faculty member’s physician should provide documentation attesting to the need for the leave; returning from a medical leave also normally requires supporting documentation. No more than one six-month medical leave will ordinarily be granted within a two-year period.

No extension of a paid medical leave beyond this maximum six-month period should be anticipated, and any faculty member whose medical condition is likely to persist beyond that period is advised to consult with the Benefits Office regarding initiating an application for long-term disability insurance.

During any University-paid medical leave, the department is expected to arrange for coverage of the faculty member's responsibilities without recourse to making new appointments to the faculty.

Note: in the case of an untenured, tenure-track faculty member, medical leaves are not counted as part of the probationary period.

In the case where a regular faculty member takes a leave of absence to care for a member of their household, they will be eligible for 40 hours of paid time off under Rhode Island law. They should work with their dean's office to arrange for this paid time. Sick time, regardless of accrual method, is not paid out upon termination.

In cases in which the faculty member is supported by grants or contracts, the duration of the medical leave will vary according to medical need as determined by the physician, but should not exceed six months. Salary while on medical leave continues to be paid from these sources, in proportion to effort and subject to the availability of funding.

Postdoctoral scholars receive paid medical leave under a plan described on the website of the Office of Postdoctoral Affairs. All other term faculty will receive a bank of 40 hours per year of paid sick time, which is the maximum amount required by Rhode Island law.

13.6.1 Parental Leave

Term faculty members (excluding Postdocs, see below) who average 75 percent effort or greater and who are on a contract of a year or more or who have been at Brown continuously for at least a year, who become natural or adoptive parents and are the primary caregiver of a newborn or newly adopted child, are automatically eligible for six weeks' leave with salary. In cases in which the faculty member is supported by grants or contracts, the salary while on parental leave continues to be paid from these sources when possible, in proportion to effort and subject to the availability of funding. In cases where the faculty member averaged less than full time before the leave, salary will be adjusted in proportion to average effort over the prior year. The weeks of leave must be taken consecutively and must be taken with 12 weeks of the birth or placement for adoption.

Regular faculty members are eligible for Parental Teaching Relief in lieu of parental leave. See below, 13.7. Postdoctoral Fellows, Postdoctoral Research Fellows, and Postdoctoral Research Associates are covered by the policies described on the Postdocs at Brown website.

13.6.2 Time Off for Postdoctoral Researchers

Postdoctoral Fellows and Postdoctoral Research Fellows Because Postdoctoral Fellows are not employees, the University does not provide them with vacation time. While Postdoctoral Research Fellows are employees, they are not benefits eligible. It is best practice for both categories of fellows to plan some personal time during the year and an allocation of ten days is recommended to align with the time away for Postdoctoral Research Associates. Fellows should arrange their work schedules with their PI and department, and ensure their time away is consistent with the terms and conditions of their funding source. Brown assigns ten vacation days in Workday to each fellow at the start of their appointment, though these are intended for tracking purposes only and do not signify that the University provides vacation as a benefit. If fellows or PIs need assistance in establishing an equitable plan for time away from work, they are encouraged to contact the Office of Postdoctoral Affairs.

Postdoctoral Research Associates All Postdoctoral Research Associates who work 50 percent time or greater and are exempt employees begin their appointment with 10 vacation days available to them. (Vacation days for part-time postdocs are paid in proportion to effort.) Vacation plans should always be arranged in advance with the PI or sponsoring department. Vacation time must be requested through the *Time Off* application in Workday.

Vacation days are provided on an annual basis. If the appointment is renewed, the vacation balance will be reset to 10 days on the first day of your new appointment, regardless of the number of vacation days remaining from the prior appointment. Postdoctoral Research Associates (but not fellows) who have been employed by Brown for a year or more will receive a pay-out for unused vacation days when their employment at the university ends. This pay-out will come from the sources from which the postdoc is paid if and to the extent allowable (in proportion to the effort devoted to each source). For that reason, postdocs and PIs are encouraged to plan for postdocs to use their vacation time during their employment. Unlike staff, postdocs may choose to take vacation days at the end of their appointment.

13.6.3 Unpaid Personal Leave

Faculty may be eligible for unpaid family and medical leaves under federal and state law due to personal illness or disability; childbirth and/or care of the employee's newborn; placement and/or care of a newly adopted or foster child; or care of a spouse, same-sex domestic partner, child, or parent with a serious health condition.

Federal and state law provide for up to 12 weeks of leave during a 12-month period (FMLA) or 13 weeks of leave during a 24-month period (RIPFML). If an employee is entitled to a leave benefit under both federal (FMLA) and state laws, the leave periods will be served concurrently. To be eligible, the employee must have been employed for 12 months and worked at least 1,250 hours during the 12 month period immediately preceding the leave.

Please contact the Benefits Office for further information.

13.7 Parental Teaching Relief

Brown University provides one semester of classroom teaching relief for faculty members who are primary caregivers for newborn children or newly adopted children. This is not considered to be a leave, and the faculty member's responsibilities to conduct research, advise students, and participate in University and departmental affairs remain unchanged. This policy is intended to provide sufficient time to faculty members coping with the demands of being primary caregiver to an infant or newly adopted child. See Chapter 7.8.3.

13.8 Benefits During Leave

During sabbatical leave, benefits and salary, though not charged to the department, do continue as for other active faculty. During other leaves, the University's usual contributions to medical and dental premiums continue, with the faculty member responsible for making arrangements to pay their premiums. If the insurance is to be canceled during leave, the Benefits Office should be notified of both cancellation and reinstatement. For paid disability and parental leaves the University continues to pay those portions of health, dental, life insurance, and disability insurance for which the faculty member is ordinarily eligible. Contributions to retirement accounts are based on actual salary received from Brown.

For questions concerning benefits while on leave, faculty should contact the Benefits Office or the Office of the appropriate divisional dean.

Chapter 14. Leaving the University

14.1 Expirations of Contracts and Terminations

Members of the faculty whose contracts are subject to simple expiration include all "temporary" faculty (see Chapter 4: Academic Responsibilities and Ranks). At least a month before the appointment of such a faculty member is to lapse, the department should handle the termination process via the Human Resources system.

Under Faculty Rules, procedures more involved than these need be followed when the contracts of regular members of the junior faculty are not being renewed. If a department is recommending the termination of employment of someone who is in the penultimate year of the probationary period, then the procedures for a complete tenure review must have already been followed (see Chapter 10), except in those cases where the untenured faculty member has stated in writing that no tenure review is desired. Another exception to this requirement is allowed for individuals who were informed, as a condition of their employment, that their positions at the University could not lead to promotion or tenure, or who were informed as a result of an earlier review that their current contract is the final one.

When final expiration of such contracts is a month away, the department should handle the termination process via the Human Resources system.

14.2 Resignations

When a member of the faculty plans to resign from the University, the department Chair should send to the appropriate divisional dean's office a copy of the individual's official letter of resignation, and handle the termination process via the Human Resources system. The resignation letter will be acknowledged by the Dean.

The usual date of resignation is June 30 of any given year. Please note that faculty who receive their academic year's salary in twelve installments are not entitled to pay for the months of July and August, even if their resignations are effective as late as August 31st.

The appropriate divisional dean or their designee will, whenever possible, interview all regular faculty members who resign positions at Brown University.

14.3 Retirement

Faculty who intend to retire from active service should send a letter to the appropriate divisional dean to this effect. Faculty seeking additional information about retirement options should contact the Provost’s office.

14.3.1 Emeritus Status

When a faculty member retires, they are customarily given the rank and title of Professor Emeritus or Professor Emerita. However, not all retiring persons receive that designation. The University policy for determining who shall be entitled to it is as follows:

- Tenured faculty and faculty at the rank of Full Professor are recommended to the Corporation for the emerita/emeritus title upon retirement.
- Other faculty may be recommended for such a title, provided that they have served a minimum of fifteen years' service as faculty at Brown University (or equivalent for medical faculty in the community), and are retiring from the faculty.
- Administrators who have exempt classifications and have served a minimum of fifteen years at Brown University as administrators and/or faculty, may be recommended for the emerita/emeritus title to the Corporation upon their retirement from Brown University.
- All such recommendations are made by the appropriate senior administrator (Provost, Dean of the Faculty, Senior Vice President, Dean of Medicine and Biological Sciences, Dean of Engineering, or Dean of Public Health) to the President for their approval and subsequent presentation by the President to the Corporation.

The following applies only to emeritus faculty; it does not refer to emeritus administrators without faculty rank, or to retiring persons who do not qualify for the emeritus rank.

Emeritus professors remain members of the faculty of Brown University with all the privileges appertaining to that rank except three:

- They are no longer tenured, if they previously were.
- They do not receive pay from the University unless they also hold an adjunct, research, or visiting appointment.
- They are not voting members of the faculty.[14]

With regard to the second of these restrictions, if emeritus faculty are to perform services for the University that entitle them to receive a salary, they will be appointed to an appropriate (usually "Emeritus Professor (Teaching)") rank for the period during which the services are to be performed.

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[14] Emeritus professors who also hold a faculty or University committee assignment to which they have been elected by the Faculty and/or a teaching assignment shall have voting rights (*Faculty Rules and Regulations*, Part 1, Section 1.I.A.1)

14.3.2 Term Faculty Terminations

On rare occasions departments or principal investigators will encounter mid-contract problems with term faculty, including postdocs. Problems can arise from an unexpected loss of funding or from a failure of the faculty member to meet professional expectations.

All appointments that are funded by external sources and are thus subject to forces outside of the University's control will include the clause "subject to available external research funds" in the appointment letter. In the case of a freeze in funding or an anticipated loss of funding, the PI should inform the Dean of the Faculty's office and any affected faculty in writing as early as possible.

In cases where a term faculty member fails to meet minimum performance expectations, the first step is to discuss the issue with the faculty member. If there is not satisfactory improvement after such a conversation, the department chair or principal investigator should send the faculty member a letter, in print, with a copy to the dean who oversees term faculty hiring, enumerating expectations they are not meeting, articulating steps required for improvement, and presenting a reasonable timeframe in which performance must improve. When the target date for improvement has arrived, the principal investigator or department chair should inform the Associate Dean if the improvement has been sufficient, and if not whether they would like to extend the date by which conditions must be met or terminate the contract. If the recommendation is that the contract be terminated, the final decision will rest with the Dean, and the Dean's office will inform the faculty member of the result.

14.4 Retired Faculty and Departmental Affairs

Certain privileges for emeritus faculty as well as certain activities in which they may wish to participate are at the discretion and under the control of individual departments and divisions. There is at present no standard or consistent body of policy governing these matters; each department makes its own rules. Nevertheless, each department is required to establish written guidelines governing the policy of the department affecting retired faculty.

Guidelines developed by the department should deal with matters under departmental control such as: office and laboratory space; counseling students; teaching; departmental governance; and service on committees. It is not necessary that emeritus faculty be permitted to share in all these matters, but it is important that they be clearly informed regarding the degree to which the department permits or invites their participation.

Department chairs should keep themselves informed of the status and welfare of emeritus faculty and their surviving spouses and partners, and notify the Provost of any particular circumstances where intervention or assistance by the University's administration might be desirable.

14.4.1 Participation in Departmental Affairs

The involvement of retired faculty in University and departmental affairs varies considerably across departments and across the campus. Some retiring faculty, of course, have no desire to participate in departmental or University affairs. They may move away from the Providence area. They may choose to disassociate themselves entirely from Brown in favor of independent activities of various sorts, including even accepting a teaching or research position at another institution. But there are those who wish to maintain a close connection. Their participation in University and departmental affairs can be beneficial, not only to themselves but also to various aspects of the University's program of education, research, and community relations.

Because of the informal situation described above, retiring faculty who wish to maintain a connection with their departments and participate in some of their activities are urged to consult with the department Chair well in advance of their actual retirement and reach agreement then about the nature and degree of their future participation. This need not be an overly formal kind of negotiation, but because of the rapid turnover of chairs, it would not be amiss for certain matters agreed to be spelled out in writing, if only as a means of avoiding future misunderstanding.

The following are important areas of departmental discretion with regard to emeritus faculty.

<u>Office and Laboratory Space</u>

The allocation of office space is a departmental responsibility, and the emeritus professor's needs for space and desire to retain an office have to be considered in relation to the general availability of space in the department. Above all, the emeritus faculty member should inform the Chair before retirement, and each subsequent year, regarding their expectations for use of an office. It is then the Chair's responsibility to consider such an allocation as part of the overall assignment of space to department members.

The same considerations apply to access to laboratory space and facilities in those departments that maintain laboratories. The emeritus professor's needs and wishes in this regard must be considered in the light of the ongoing research program of the department, the nature of the emeritus professor's research, and the availability of laboratory resources.

<u>Counseling Students</u>

Some departments welcome the assistance of emeritus faculty in counseling students, especially in fields of their specialties. This may extend to serving on doctoral committees or supervising masters' or senior honors theses. Usually this is done on an individualized basis, but some emeritus professors keep regular office hours.

Teaching

The most common participation of emeritus faculty in the teaching program is giving occasional guest lectures on invitation in colleagues' courses. This may extend to taking over a course for a brief period when the regular instructor must be absent. Emeritus professors also may give informal reading courses to individual students or to small groups, with or without credit. Because of the constraint against paying emeriti, this type of teaching activity is voluntary and unpaid; the satisfaction of teaching and having continued contact with students must be themselves sufficient reward. When retired professors are enlisted to give a regular departmental course, they are normally appointed Professor Emeritus (Teaching) or Adjunct Professor and paid accordingly.

14.5 Other

14.5.1 Computer Policy for Retired Faculty

Permission to use a computer and related peripheral equipment belonging to the University at an off-campus location may be granted to retiring faculty who expect to continue to use such equipment for their research and/or other University business. The equipment that is available under this policy is restricted to items to which the faulty member had exclusive access before retirement, that is, equipment that was not shared with others or was part of an on-going research project. In cases of disagreement on these matters, the relevant department Chair shall decide.

The retiring faculty member at the time of leaving the University's employment shall agree to certain conditions concerning the (i) ownership, (ii) responsibility for proper use, (iii) security, (iv) repair, and (v) return and disposal of the computer equipment in question.

For a detailed written statement of this policy, including the above conditions, please inquire at the Office of the Dean of the Faculty, which first promulgated this policy on May 1, 1994.

14.5.2 Access to Retiree Health Insurance

Effective April 1, 2005, Brown University made arrangements for access to group post-retirement health insurance for all retired faculty and staff ages 65 and above and their spouses and/or partners also ages 65 and above. The University’s Benefit’s Office has the most up-to-date information on this plan.

Chapter 15. Academic Priorities Committee (APC)

The Academic Priorities Committee (APC) is responsible for making recommendations to the President concerning the general direction of academic programs. APC makes recommendations on the strategic allocations of academic resources for operational, instructional and research purposes and the committee reviews all major academic budgetary proposals prepared for submission to the University Resources Committee. APC reviews proposals to establish and/or renew departments, centers, programs, and institutes and makes recommendations thereon for approval by the Faculty, and it supervises external reviews of and changes in the status of academic units and makes recommendations thereon. APC also reviews all proposals for new undergraduate concentrations and for new graduate degree programs. The committee receives reports on appointments to named chairs and reviews policies for making such appointments, as well as reviews proposals for new university-level joint efforts with other institutions and makes recommendations thereon to the President.

The membership of the Academic Priorities Committee consists of the Provost, the Dean of the Faculty, the Dean of Medicine and Biological Sciences, the Dean of Public Health, the Dean of the College, the Dean of the Graduate School, the Vice President for Research, the University Librarian, and eight tenured faculty members or senior lecturers of broad experience and scholarly distinction who are expected to serve the general interests of the University. Faculty members serve staggered three-year terms. Chairs of academic divisions and departments are not eligible for service on the Committee. The Provost serves as Chair. The Vice-Chair is a faculty member chosen by the Committee.

The full charge of the committee and its operations are stated in the *Faculty Rules and Regulations*.

Chapter 16. Space Maintenance, Renovation, and Allocation

16.1 Alterations, Renovations, and Space Assignments: the Space Committee

The Provost chairs the Space Committee, which meets regularly throughout the year to recommend allocations and renovations of space in support of the University's mission and institutional priorities. Membership includes the Provost, the Executive Vice-President for Finance and Administration, the Executive Vice-President for Planning, the Vice-President for Research, the Vice-President for Campus Life, the Vice-President for Facilities Management, the Associate Provost, and the Dean of the Division of Biology and Medicine. The Space Committee's work is overseen by and subject to approval from the President, the Corporation Facilities and Design Committee for design issues, the Corporation Real Estate Committee for leases, purchases or sales, and the Corporation Budget and Finance Committee for the financing of new and renewal space.

Requests regarding space needs come to the Space Committee through cognizance of new academic programs and/or faculty positions that have been approved or are in planning stages, from academic departments seeking space renovations, for example for new faculty, or from senior officers overseeing the academic, administrative, and campus life areas. Facilities Management manages on-going maintenance and renovation requests. The Space Committee's work also is guided by the University's master space plan that was approved by the Corporation, and by subsequent related work of the University's consulting architect.

16.2 Maintenance

The Department of Facilities Management supports the teaching and research mission of Brown by ensuring the planning, design, construction, and operation and maintenance of all University facilities and grounds support needs are met. In addition, Facilities Management is responsible for:

- Controlling and maintaining of building environments;
- Maintaining grounds and athletic fields;
- Managing safety, statutory and deferred maintenance projects related to University-owned buildings and systems;
- Providing support to all University events and ceremonies;
- Supporting the University's conservation and recycling initiatives.

Maintenance and repair requests made by departments are handled routinely by Facilities Management. Staff are available 24-hours a day, 365 days a year. Service requests may be submitted online by clicking this link or by telephoning Facilities Management's Service Response Center at 863-7800.

Chapter 17. The Registrar's Office

The Office of the Registrar is responsible for course registration, course and classroom scheduling, posting of grades, transcripts and student certifications, tuition charges, final clearance of degree requirements at graduation, publication of the University Catalogue and Course Announcement, and preparation and release of diplomas for Commencement.

17.1 New and Revised Courses, Enrollment Limits, Etc.

See Chapter 2.3: Supervision of the Departmental Curriculum for information on procedures for gaining approval of new or revised courses from the College Curriculum Council or the Graduate Council.

17.2 Course Registration Procedures

Follow this link for course registration procedures.

17.3 Publications and Course Information

The department Chair is responsible for updating the department's entries for the Catalogue and Course Announcement. At the beginning of each publication cycle, copy is sent to each chair along with information about the deadlines for submitting and reviewing revised copy. The Associate Registrar for Course Information is responsible for managing publications. Late changes to be announced through addenda to the Course Announcement should be communicated in a memo sent to the Registrar's Office at Box K.

17.4 University-Wide Course Scheduling Principles

Courses are scheduled by semester in two categories: (1) lecture-discussion courses meeting two or three times per week, and (2) seminars which meet once a week for an extended period. Recent experience has shown that achieving greater distribution by time serves the academic process by reducing course time conflicts for students, curbing the number of courses that must be capped due to room size, and by facilitating a better match of room with the professor's instructional needs.

17.4.1 Scheduling Lecture-Discussion Courses

Brown's course schedule now offers 13 standard time periods for lecture-discussion courses. Half meet three times per week for 50 minutes, and half meet twice a week for 80 minutes. Flexibility is introduced by not requiring departments to use all time slots. Departments with a preference for 80 minute classes meeting twice a week may make greater use of those times. Departments preferring 50 minute classes may emphasize the MWF times. However, all departments are expected to make some use of both types in every semester. The overall goal is to have no more than 10% of all lecture-discussion courses meeting at any one time.

Chairs are asked to schedule lecture-discussion courses in multiples of 10. Within any set of 10 courses, no time period may be used more than once. Departments with 10 or fewer lecture-discussion courses in a semester may not use any time period more than once. A department with 15 lecture-discussion courses must use at least 10 different time periods and may schedule up to five time periods twice. A department with 23 lecture-discussion courses must use at least 10 different time periods and may use three time periods three times each. A department with 32 lecture discussion courses, must use at least 10 different time periods and may schedule a maximum of four courses at two time periods.

17.4.2 Lecture-Discussion Scheduling for Small Departments

The principles outlined above are suitable in most cases, but they allow an inequitable advantage to units offering fewer than 10 lecture-discussion courses per semester. Hence, there are additional provisions for small departments. To make scheduling easier, the principles applying to small units have been reduced to the following three points:

- No period may be used more than once.
- At least one course each semester must follow the MWF 50-minute pattern.
- At least one course in five must begin at 9 AM or before, or at 2 PM or later.

17.4.3 Scheduling Seminar Courses

There are five time periods for seminars meeting once a week for 2 1/2 hours. The periods on Monday, Wednesday, and Friday are from 3-5:20 PM (M, N, and O hours), and the Q seminar time on Thursday meets from 4-6:20. These times are available to all members of the teaching staff. The P seminar hour from 4-6:20 on Tuesday may be assigned to instructors who are not voting members of the faculty since the monthly faculty meeting is held on a Tuesday at that time. Departments may also schedule seminars in the evenings after 6 PM if they can use space within the department for the course. Seminars are scheduled in sets of 3. The popular times from 3-5:20 PM on Monday and Wednesday (now called M and N hours) may not be repeated unless the third course in each set of 3 is scheduled at one of the other time periods (O, P, or Q hours or at an approved evening time in departmental space). The goal in scheduling seminars is that no more than one third of all seminars should be assigned to any one time period.

17.4.4 Using the Schedule Chart

The schedule chart is provided to aid chairs in developing a schedule that is consistent with the principles above. It does not need to be returned to the Registrar's Office. The Registrar's Office will compile a report based on your text and seek revisions to your schedule if it does not conform to these principles. In preparing your chart, please remember the following:

- Provide separate totals for lecture-discussion courses and seminar courses.
- Include 2000-level courses as well as courses numbered 1-1999.
- Include all University Courses taught by your faculty, even those coded only as UNIV courses which may not appear with your departmental listing.
- Include all sections and common meetings, but do NOT include labs or conferences.
- Due to the limited number of large classrooms, please take care to distribute courses with more than 80 students across different periods.
- A course which utilizes two standard time periods (e.g., introductory language courses) should be entered and counted twice, once for each time period used.
- Exceptions must be approved by the Registrar's Office. Since first priority in room assignment is given to courses at standard times, non- standard times should be avoided.

17.4.5 Classroom Assignments and Changes

First priority in classroom assignment is given to courses scheduled at standard times, therefore, non-standard times should be avoided. Classrooms are assigned on the basis of estimates of expected enrollment and on the seating arrangements and equipment needed for instruction. First day enrollment rarely exceeds the capacity of the assigned room, although the presence of "shoppers" may result in overcrowding. Changes to assignments must be based on actual enrollment, and thus a larger room cannot be assigned on the basis of unenrolled visitors. If the presence of visitors results in overcrowding which could impair emergency egress, the instructor should take immediate corrective action consistent with principles established by the Provost and the Fire Marshall. (For example, shoppers may have to be asked to leave. If the instructor is willing, they may arrange to consult visitors outside of class about the possibility of entering the course.)

Shifts in enrollment after classes begin may necessitate some room changes, but every effort is made to keep these to a minimum. Whenever possible, room changes are avoided until enrollments stabilize after the second week of classes. However, changes on short notice may be necessary to accommodate mobility-impaired students or instructors. It is very important for students and faculty with special needs to maintain close communication with the Registrar's Office regarding course scheduling. Faculty needing special instructional equipment must send their room requirements in writing to the Registrar's Office by May 1 for fall semester courses and November 30 for spring semester courses. Classroom requests can be made through Banner.

University classrooms are available for course scheduling throughout the day and evening hours. Restricted classrooms, i.e., those to which a specific department has priority access, should be available for scheduling of courses at least 30 hours per week. For restricted rooms, priority is given to a department as long as its requests are submitted to the Registrar's Office by the date requested. Remaining times are available to the Registrar's Office for use by other departments as needed. Projected enrollment for a course should be at least 75% of the room capacity. The specific pedagogical needs of a course, enrollment size, or the need to accommodate a mobility-impaired student or instructor may require that the Registrar's Office override departmental scheduling of restricted classroom space.

17.5 Room Reservations and Classroom Requests

The Assistant to the Registrar is the scheduling officer for classroom assignments. If you know in advance that a course will have particular requirements for equipment or room arrangements, it is important to notify the scheduling officer in writing several months before the beginning of a new semester.

17.6 On-Line Class Facility

Online class lists for a course are accessible in Banner via faculty Self-Service to anyone listed as an instructor of the course. Provisions can be made for a non-instructor, e.g. department manager, to view and print class lists for any course in their department using a reporting application. Departments interested in being set up with access to this application should contact the Registrar's office.

17.7 Student Internal Academic Records, Transcripts, and Grades

Student transcripts are available online in Banner to advisors (for Undergraduates: Freshman and Sophomore advisors during the student's first two years and then departmental advisors when the student declares a concentration; for Graduate Students: their department's graduate representative and the graduate program administrator). However, the Registrar's Office will continue its practice of sending to each department copies of the internal academic records (i.e., internal transcripts) for all undergraduate concentrators and graduate students in that department. These are to be used in academic advising. It is important for all faculty and staff to understand that this information is confidential and access to it is protected by Federal law. Any requests for external release of transcript information should be referred to the Registrar's Office. Outdated records should be shredded or destroyed and not be discarded in a manner (e.g., recycling them) which might expose such documents to release. If you wish, you may return old records to the Registrar's Office for disposal. Questions about internal academic records or transcripts may be addressed to the Associate Registrar for Record Maintenance. For questions about grade submission deadlines or other policies regarding grades, you may call the Grades Office.

17.8 Statistics on Enrollment and Degrees

The Office of Institutional Research provides summary information on students, enrollments, courses, and degrees on its website. These data are updated annually. You can view these tables on the office's web.

Chapter 18. The University Library and Media Services

18.1 Organization and Administration

The Brown University Library system includes the John D. Rockefeller Jr. Library, the Sciences Library, the Virginia M. Orwig Music Library, the John Hay Library, the Art Slide Library, the Annmary Brown Memorial, and the Library Collections Annex. The library also has administrative responsibility for Media Services which provides technology/equipment support for classrooms and events. The Rockefeller Library serves as the teaching and research library for the humanities and social sciences; it also houses the administrative offices, the Center for Digital Initiatives, and the centralized technical services. The Sciences Library provides an integrated collection for the physical, biological, and medical sciences. The Susan P. and Richard A. Friedman Study Center is located on the lower levels of the Sciences Library. The Virginia M. Orwig Music Library consolidates all of Brown's music materials. The John Hay Library is the location for most of the University's rare books, manuscripts, special collections, and archives. Information about all of the libraries is available at http://dl.lib.brown.edu/libweb/about/index.php.

The John Carter Brown Library, an independent research institution which is not affiliated with the University Library, specializes in the field of early Americana.

The chief operational officer of the Brown University Library is the Joukowsky Family University Librarian (x3-2162), who reports directly to the Provost. The library is organized into several departments covering a range of services from collection development to digital initiatives to direct user services. Follow this link for a listing of the library departments and a directory of library staff.

18.2 Advisory and External Relations

18.2.1 Library Advisory Board

The Library Advisory Board serves to advise the University Librarian and other senior officers as appropriate on resources and priorities with regard to the University Library system. The LAB is an administrative advisory board recognized and approved by the Brown faculty and is comprised of representatives from the faculty, graduate and undergraduate students, and University administration.

18.2.2 Library Advisory Council

The Library Advisory Council advises the President and the Corporation on long-term policy and planning issues, strategic directions, and efficacy of implementation concerning the University Library and its relationship to the overall educational mission of the University. Members are appointed by the President.

18.2.3 Friends of the Library

The Friends of the Library brings together over 1,000 book lovers, collectors, Brown alumni, faculty, and students dedicated to the support and development of the Brown University Library. Follow this link for information about FOL membership and activities.

18.3 Collections and Services

18.3.1 Developing the Library's Collections

Developing and stewarding the library's collections are the responsibilities primarily of librarians in the Scholarly Resources Department. Library subject librarians work in collaboration with faculty to acquire and provide access to materials that meet the research and curricular needs of the University. A list of library subject specialists is available at http://dl.lib.brown.edu/libweb/about/specialists.php.

Follow this link for the collection development policy statements for subject areas.

18.3.2 Locating Library Materials

Josiah, the Brown University Library online catalog, provides bibliographic information for the library's holdings, including information on locations and call numbers, circulation and on-order status, periodical receipt status, and course reserve lists. Users also can use Josiah to renew books and request items. Follow this link to search Josiah.

A list of library services with links to additional information is available from the library's home page.

The library's growing collection of electronic resources includes a wide array of databases and full-text electronic journals.

- Follow this link for subject guides to available electronic resources.
- Follow this link for a title listing of available electronic journals.

The Brown University Library offers a variety of options for obtaining materials from other libraries. The library has agreements that enable Brown users to search the collections and directly borrow from other libraries in Rhode Island, New England, and other Ivies. Consult http://dl.lib.brown.edu/libweb/services/illoptions.php for additional information.

18.3.3 Supporting Courses and Teaching

The library provides a variety of support services to enhance students' learning and assist faculty in teaching their courses. Subject Librarians can assist faculty with content for course web pages, make classroom presentations about finding and using library resources, and provide research consultations for students to assist with research papers and develop information fluency skills. Follow this link for additional information about these and other services.

Brown faculty and instructors can place materials on reserve for their courses using the library's OCRA (Online Course Reserve Access) system.

18.3.4 Media Services and Classroom Technology

Media Services provides curricular and event support for faculty, staff, and students, including technology and training for over 150 classrooms and lecture halls on campus. Members of the Brown community can reserve equipment online. The department also offers a variety of loaner equipment for recording video and audio in digital and analog formats. Follow this link for the full range of services.

18.3.5 Digital Initiatives

The library's Center for Digital Initiatives focuses its efforts on producing digital materials for use in scholarship and teaching efforts at Brown; digitizing the "signature collections" from Brown's world renowned special collections; developing databases, programs, and applications to enhance access to and use of these materials; and providing consulting services for library and academic units undertaking digital projects. Follow this link for more information about the library's digital initiatives, including access to digitized collections and a list of faculty projects.

Chapter 19. Student and Faculty Use of Brown University Computer Services

The staff of Computing and Information Services work to provide the University with a robust, secure, and enabling technology environment. This environment is multi-layered, made up of infrastructure, applications, services, and specialized support. Follow this link for an overview of Brown's Computing services.

19.1 Department Computer Coordinators (DCC)

Departmental Computing Coordinators (DCCs) provide computer support within many departments on campus. Usually the DCC has many functions within their department, of which computer support is a fraction of their daily tasks.

CIS encourages departments to appoint a DCC to help provide more individualized support in the departmental environments. The purpose of this program is to recognize the important role local Coordinators play and to help them do their job. The role of a DCC depends upon the skills and specialization of the Coordinator involved, the needs of the individual department and the time that the appointed Coordinator has available to devote to the task. A Coordinator might act in one or more of the following capacities:

- Sharing information about campus computing directions, activities and opportunities with other members of the department.
- Planning or assisting in planning departmental computing directions to meet existing and expected computing needs.
- Implementing new systems and applications and upgrading existing facilities (e.g., hardware installation and maintenance, programming, software installation, hardware and software upgrades).
- Training and supporting departmental users (including writing documentation).
- Administering shared systems such as network servers and printers.

Equipment needs for new faculty should be identified early and requested from the appropriate divisional dean as part of start-up costs. Upgrading of existing equipment for faculty is coordinated through the DCC. The purchase of software and other necessary computing supplies, however, is expected to come from the department's operating budget.

Follow this link to learn more about the DCC program.

19.2 Ethical Computing

Follow this link for the official policies of Brown University related to computing issues.

The policies have been adopted to ensure an equitable, appropriate, and legal use of Brown resources. The Brown community is therefore responsible for having reviewed the policies listed and for complying with their requirements. Violation of a computing-related policy may result in disciplinary action, up to and including suspension or termination.

Chapter 20. Conducting Research at Brown University

20.1 The Office of the Vice President for Research

The mission of the Office of the Vice President for Research is to advance and elevate research at Brown by identifying opportunities and developing and supporting leading-edge research programs. We provide strong infrastructure for research and development, effective administration of projects, and timely dissemination of results. We organize creative collaborations with hospitals, industry, government laboratories, and universities, and we facilitate the transfer of invention and discovery from the university to the commercial marketplace.

Follow this link to the Office of the Vice President for Research website.

20.2 The Research Advisory Board

The Research Advisory Board is the faculty advisory committee that counsels the Vice President for Research (the VPR), and the VPR's executive staff, regarding research policies, procedures, and initiatives. The Research Advisory Board collaborates and works in unison with several University offices and governing bodies in order to enact the most appropriate and effective research policies and procedures at all levels. The Board's membership represents the wide range of research fields throughout the University and meets once a month during the academic year.

Follow this link to view the full charge of the Research Advisory Board.

20.3 Research Development

The Office of Research Strategy and Development (ORSD) serves as the primary support office to help faculty navigate the federal funding landscape and prepare competitive grant proposals. ORSD strategizes with faculty regarding every aspect of proposal preparation from inception to finding the best federal program to approach with a proposal. For large and/or multi-department grant applications, the ORSD provides expert program management assistance, serving as the administrative point of contact and/or liaison to other offices on campus necessary for a successful proposal submission.

Specific ORSD services include: grant writing workshops, proposal responsiveness review, assistance developing broader impacts and outreach components for proposals, providing institutional support letters for proposals, guidance on developing management plans, guidance on evaluation plans, help identifying institutional cost sharing for proposals, templates for facilities pages, data and templates about diversity programs at Brown, organizing internal networking events, arranging agency program manager visits to campus, and arranging faculty visits to Washington, DC to meet with agency program managers and participate in agency research workshops. The ORSD maintains a library of recently successful grant proposals available as a resource for faculty.

The ORSD manages all (federal, foundations, corporations) limited submission opportunities that require institutional nomination or endorsement and/or are eligible to a limited number of applicants from Brown. Finally, the office also manages OVPR's internal research funding programs;

20.4 Office of Sponsored Projects

The Office of Sponsored Projects (OSP) supports all Brown University faculty, students and staff in the acquisition, performance, and administration of projects and programs funded by federal, state, local and foreign government agencies, foundations, non-profits, corporate entities and other external sources. OSP provides the University's central coordination and oversight of research by offering a wide range of services. The Pre-Award Team performs review and submission of proposals; award negotiation and acceptance; dissemination of research policy information to campus; issuance of subaward agreements and conducts subrecipient monitoring. The Post-Award Team provides expertise on financial management of sponsored projects in the areas of expense reporting; cash management; effort reporting; monitoring of cost-share arrangements; coordination of the closeout process and facilitates the annual audit of sponsored accounts. The highly integrated teams provide solutions to financial and administrative issues that arise during the life of a sponsored project and serve as the University's liaison with funding agencies. Throughout the academic year and summer term, OSP provides outreach, training and professional development opportunities for the campus community.

Follow this link to the Office of Sponsored Projects website.

20.5 BioMed Research Administration

The BioMed Research Administration (BMRA) office serves as a resource to faculty, staff, and students in the Division of Biology and Medicine in their pursuit of research, training, and other scholarly activities while insuring compliance with University, federal, and private sponsor regulations, terms, and conditions. BMRA directly contributes to the academic mission of the Division of Biology and Medicine by providing support for obtaining sponsored research funds and managing sponsored research activity. The BMRA office is comprehensive in its scope and mission, handling both pre-award and post-award services.

BMRA Pre-award management provides information on sources of support and funding; assists faculty with application submission; and assures compliance with University and federal regulations, as well as sponsors' policies and requirements. Pre-award staff also communicate with the Brown biomedical research community to clarify University policies and procedures for faculty and sponsors. BMRA Post-award management is responsible for overseeing the financial management of sponsored programs. The staff maintains accounting records and reports and assures compliance with University and sponsors' financial provisions. In the event of an audit, post-award management also assists with resolution.

20.6 Office of Research Integrity

The Office of Research Integrity (ORI) provides guidance, education and resources to facilitate the conduct of ethical research at Brown University in accordance with governing federal and state regulations and University policies. ORI supports and provides regulatory advisement to the University's Institutional Review Board (IRB), Institutional Animal Care and Use Committee (IACUC), Conflict of Interest Review Board of Human Embryonic Stem Cell Research Oversight Committee (ESCRO).

ORI provides centralized review and negotiation of data use agreements for research data coming to or leaving Brown, as well as consultation regarding research data acquisition, use, management and sharing. ORI strives to support researchers with adhering to requirements associated with international research, including running the University's Export Control compliance program.

ORI is responsible for reviewing allegations of research misconduct and other reports of research-related noncompliance and developing related policies, such as the *Policy on Handling Allegations of Research Misconduct* and *Guidelines on Authorship in Scholarly or Scientific Publications*. The office promotes integrity in scholarship by supporting education in ethical and responsible conduct of research (RCR) and through provision of customized training in research integrity by invitation. Concerns about potential noncompliance or violations of research policies can be reported to ORI directly, or via Brown's Ethics and Compliance Reporting System, which allows anonymous and confidential reporting on matters of concern,

20.7 Brown Technology Innovations

Brown Technology Innovations encourages and facilitates the evolution of Brown's discoveries, inventions and intellectual property into know-how, products and services with societal and economic value. This mission is supported through three primary activities: (1) Commercial Venturing: Brown Technology Innovations serves as the "business partner" for Brown's researchers, helping to identify paths for transitioning their innovations from lab to market while strengthening their entrepreneurial acumen; (2) Industry Engagement: Brown Technology Innovations strives to develop partnerships with the private sector (companies), ideally in the form of broad-based engagements centered around multi-year research collaborations - while also connecting the companies to Brown students, entrepreneurs, and executive education programs; and (3) Translational Development. Brown Technology Innovations provides and manages translational development capabilities to help solidify proof of technical feasibility and of commercial relevance, both of which can de-risk an idea or discovery and turn it into more concrete product opportunities that are attractive to potential industry partners or can be the basis for startups. These activities involve:

- Identifying and protecting intellectual property through patents and copyrights;
- Structuring, negotiating and maintaining license agreements for intellectual property;
- Structuring, negotiating and maintaining sponsored and collaborative research agreements with companies / private sector entities;
- Complying with regulations and policies of the federal government and other research sponsors pertaining to the management of intellectual property;
- Supporting the creation of start-ups;
- Overseeing the exchange of research materials between Brown and other institutions;

Follow this link to access policies and forms related to technology transfer at Brown.

20.8 Research Administration Information Systems (RAIS)

The RAIS team provides technical services to the research community for all electronic systems and data overseen by OVPR. There are two primary research systems of record at Brown: COEUS and InfoEd. Ultimately, COEUS will be phased out as InfoEd, a fully integrated system of management becomes the sole system of record for proposals, awards, subawards, animal and human subject research protocols, and conflict of interest disclosures and management. RAIS also provides high-level user account support for external electronic systems, such as eRA Commons, Research.gov, and Grants.gov.

RAIS delivers in-depth business intelligence solutions to the Brown community through reporting, visualizations, and workflow notifications for departments and senior management. The team also develops and helps administer training and education in the electronic systems it supports.

Follow this link to the RAIS website.

Chapter 21. Legal Questions

The growing interest of the government and the courts in the way that institutions of higher education manage their affairs requires the department Chair to be cognizant of, and sensitive to, the legal implications of institutional behavior.

21.1 What Kind of Records to Keep?

In general, any document which bears upon the professional qualifications of a member of the departmental faculty should be kept in departmental files. This is particularly applicable to those members of the department who face reappointment or promotion decisions in the future, most of all to the non-tenured faculty. The documents which are generally part of such a person's file include: an up-to-date curriculum vitae, the appointment history of that person as registered on all department copies of the appointment recommendations forms; the written record of the annual review of status, which the person in question, as well as the Chair, will have had a chance to see; all salary letters; all solicited letters of reference from within and without the University; the results of any evaluation by students that had been requested for the purpose of preparing for a contract renewal decision, and any other information about the individual's service to Brown and the department.

Brown has a records policy https://library.brown.edu/info/collections/archives/records-policy/, which applies to all records created or received by an office or department of the University in transaction of its proper business or in pursuance of its legal obligations. Brown has implemented a records management program to provide systematic retention of its important documents. https://library.brown.edu/info/collections/archives/records-management/ This program addresses both the maintenance of non-current records for specific periods of time to meet Brown's legal and fiduciary responsibilities, as well as permanent retention of those documents of historical importance to the institution.

21.2 Maintaining Confidentiality

During the course of their employment at Brown University, faculty and staff members may participate in confidential processes and have access to confidential and privileged information. Examples of confidential matters include, but are not limited to, faculty/staff hiring and promotion processes, student evaluation and disciplinary records, and faculty and staff performance reviews.

Brown's Code of Conduct https://policy.brown.edu/policy/code-conduct has a section regarding maintaining the confidentiality and privacy of University records.

Faculty and staff members who have questions about the confidentiality expectations of any specific university process are encouraged to consult with their department chairs or supervisors.

21.3 Faculty Access to Files

Although a faculty member has the right to access the files maintained by the University, department (Division) or Chair which directly concern his or her employment at Brown, solicited and unsolicited letters of recommendation are considered confidential and thus are not accessible. It is appropriate, however, in soliciting letters of recommendation on a faculty member, to let the individual being written about know that the letters have arrived; that individual should also know if letters that have been solicited do not arrive. The same applies to student evaluations. Under no circumstances should the candid comments that have been requested from other people or provided voluntarily by other people be revealed to the subject of a dossier.

21.4 Student Access to Files

The Family Educational Rights and Privacy Act of 1974 (FERPA) provides students certain rights of access, privacy, and protection of education records. Brown's FERPA Policy https://policy.brown.edu/policy/ferpa-policy provides information relating to the rights of students under FERPA and Brown University's policies and procedures when complying with FERPA.

21.5 Copyright and Fair Use

Before reproducing and/or distributing copyrighted works, consideration must be given to which practices may constitute "infringement" under current copyright laws. There are many factors which may determine whether or not you can use a copyrighted work for a particular purpose without infringing someone's ownership rights. Please refer to the Brown University Copyright and Fair Use Policy. The library has resources to assist in determining if your intended use qualifies as Fair Use.

21.6 Use of General Counsel

The Office of the General Counsel is responsible for all of the University's legal affairs and advises the Corporation, the President, senior officers, other university administrators, and faculty and staff who are acting within the scope of their employment. The OGC provides advice and counsel on legal and risk management areas, as well as major policies, initiatives and programs of the University. For Attorney assignments, please visit the Practice Areas. Section of the OGC webpage. The OGC is the only office that is authorized to hire outside counsel.

21.7 University Indemnification of Faculty

Brown University may defend employees against lawsuits brought against them personally or in their official capacities for acts or omissions in the course and scope of their employment. Grounds for refusing a defense include, but are not limited to, the existence of fraud, corruption, actual malice or the person was acting outside the course of employment (e.g. sexual harassment), or if the University determines that it would not be in the best interests of the University. Please contact the OGC directly if you have further questions regarding this matter.

Chapter 22. Miscellaneous Matters

22.1 Student Employment Office

Follow this link for procedures, rules and regulations guiding student employment at Brown.

22.2 Centralized Purchasing

All purchases paid for from University-funded budgets must be approved by the Purchasing Office, which is responsible for reviewing all procurement requests and for overseeing the competitive bid process. The Purchasing Office is also responsible for researching new vendors for pre-qualification and inclusion in the University's vendor base.

Follow this link for more information or contact the Purchasing Office about purchasing policies and procedures at Brown.

22.3 Credit Cards

22.3.1 Purchasing Card Program

The goal of the purchasing card program is to eliminate most of the paperwork associated with University purchases of, and payment for, goods and materials costing less than $3,000. The Purchasing Card allows users to: Place orders with ease; receive goods and supplies fast; eliminate approval processes; and reduce paperwork.

Follow this link for all guidelines, rules and regulations guiding the purchasing card program.

22.4 Theft of Equipment and Replacement Procedures

http://www.brown.edu/about/administration/insurance/

22.4.1 Information on Property Insurance Coverage

Follow this link to the Office of Insurance and Risk**.**

22.4.2 Scheduling Miscellaneous Equipment and Fine Arts

Follow this link to the Office of Insurance and Risk**.**

22.4.3 Computer Equipment

Follow this link for computer purchasing guidelines.

22.4.4 University Equipment at an Employee Residence

Follow this link to Acceptable Use Guide.

22.4.5 Personal Property

Follow this link to Property and Liability Insurance page.

22.4.6 Theft Reimbursement

Follow this link to Public Safety Theft Prevention page.

22.5 Auto Insurance Coverage

Follow this link to the Office of Insurance and Risk**.**

22.5.1 Auto Liability

Follow this link to the Office of Insurance and Risk**.**

22.5.2 Employee Responsibilities

Follow this link to the Office of Human Resources.

22.5.3 Personal Vehicles

Follow this link to the Office of Insurance and Risk.

22.5.4 Rental Vehicles

Follow this link to the Office of Insurance and Risk

22.6 Dealing with On-The-Job Illness and Injury

The University Health Services are organized primarily for the care of undergraduate and graduate students; the Service is neither equipped nor staffed to provide routine health care to employees. Any employee, however, may make an initial visit in a serious emergency or in conjunction with injury resulting from an occupational accident.

In the event of an apparently serious accident or illness, it is imperative to call Police and Security, the Health Services (x3305 or 3953) as well as the Providence Rescue Squad, either directly (274-3344) or via Security (x3322). If it is in fact a serious accident, it is most important to have the Rescue Squad on the way as soon as possible.

22.7 Smoking in Brown University Facilities

For reasons of public health, and in compliance with RI law, employees may not smoke indoors in any building at Brown University. This prohibition extends to all public areas, including but not limited to employee lounges, hallways, lecture halls, classrooms, conference rooms, rest rooms, rental space, private offices, and sports arenas. In addition, smoking is prohibited in all residence halls and dining facilities.

Employees are permitted to smoke outside, provided that there will be no migration of smoke into the workplace. Smoking at a distance of at least 35 feet from the entrance to any University building should be appropriate to prevent smoke migration.

Employees with questions or concerns about the implementation of this policy should contact the AVP for Human Resources or the Director of Environmental Health and Safety. Employees should report violations of this policy to their supervisor.

22.8 Sale, Transfer, and Other Disposition of University Property

Disposition of surplus property is defined as any property to be traded-in against a new purchase, cannibalized for spare parts, externally transferred, donated to a non-profit charitable/community organization, sold for salvage value, or destroyed (waste removal). No property, whether purchased with University funds or otherwise acquired, may be defined as surplus without the prior written approval of the Director of Purchasing or their designee.

Departments are strictly prohibited from gifting or selling surplus materials directly to Brown faculty, staff, students, and other individuals. This provision is mandated in order to minimize the University's risk exposure to product liability, sales tax exemption regulations, potential loss of commercial discounts, and potential violations of special pricing structures if deemed a reseller. When a sale of surplus property is deemed appropriate, the transaction will be administered by the Purchasing Department under a competitive process in accordance with the position set forth in this document.

Follow this link for complete guidelines for this policy.

22.9 The University Bookstore

The Bookstore's primary goal is service–to provide the community with a wide range of quality book services, as well as other academic and general retail services. The most important academic service is to provide course books and course materials for sale to students each term. Follow this link to find out about faculty course book and material ordering and about general communication with the textbook department.

22.10 Temporary Change in Assignment

A faculty member may be asked by the University to assume a special assignment on a part-time or full-time basis for a continuous period of time, usually not to exceed one year, or in an Acting capacity for which higher pay is warranted. It is University policy to supplement the employee's salary at the rate of pay equal to the appropriate level of the assignment as determined by the Human Resources Department and/or the Dean of the Faculty, Dean of Medicine and Biological Sciences, Dean of Engineering or Dean of Public Health for the specified period of time. At the end of the special assignment, with return to regular job duties, supplemental pay ends and the employee's salary returns to the approved annual rate for that position and employee.

22.11 Nepotism

In the appointment of faculty and staff members, Brown University seeks those persons best qualified to discharge teaching, research and service obligations. From time to time, implementation of this policy has resulted in members of the same family or household being appointed to the faculty and/or to the staff, when it has been clearly established that both individuals were the best qualified candidates for the positions they sought.

In such cases, when two members of the same family or household work at Brown, it is University policy that neither of these individuals should supervise the work of the other, nor be judge or advocate in regard to the other's salary, promotion, or conditions of employment. And both individuals should be sensitive to the possibility of a conflict of interest, or even to the appearance of such a conflict.

Specifically, University policy is that no faculty member, department head, or administrative officer shall vote, make recommendation, or in any way participate in the decision of, or seek to influence any matter which may directly or indirectly affect, the appointment, tenure, promotion, or other employment status or interest of such person's parent, child, spouse, sibling, in-law, or domestic partner.

Hiring or supervising a family member presents a conflict of interest and is prohibited by the Conflict of Interest Commitment Policy and Guidelines. In exceptional instances where a member of the family seeks to recommend, appoint or hire a family member within their academic unit for a faculty position, there shall be immediate, full disclosure to the Dean of the Faculty or where appropriate the Dean of Medicine and Biological Sciences or the Dean of Public Health. A competitive search process appropriate for the type of position is normally required (e.g., search plan, solicitation of qualified candidates).[15] The interested faculty member must recuse themself from taking part in the decision making process. The Dean in consultation with other appropriate University officers, may make an exception for a limited duration faculty appointment. If it is determined that the family member is the best qualified for the position, prior to appointment or hire, the Dean and the hiring faculty member will determine if a management plan to avoid conflicts of interest can be structured which will permit the appointment to be made. If a satisfactory arrangement cannot be achieved, the appointment or hire will not be permitted.

22.12 Conflict of Interest

Follow this link to view Brown University's Conflict of Interest and Commitment Policy.

All members of the Brown community have an obligation to address both the *substance* and the *appearance* of conflicts of interest and commitment and, if they arise, to disclose them to the appropriate University representatives and withdraw from debate, voting, or other decision-making processes where a conflict of interest exists or might arise.

Brown University recognizes that some members of the Brown community may have outside service, business, and professional interests. Such interests, however, should enhance one's role as a member of the Brown community and neither compromise one's ability to meet one's University responsibilities nor harm the University reputation.

A **conflict of interest** may take many forms but arises when a member of the Brown community might be able to use authority of their Brown position a) to influence the University's business decisions in ways that give improper advantage or financial benefit to oneself, a family member or associate or b) to obtain for oneself, a family member, or associate a financial benefit beyond the compensation they receive from Brown, an affiliated hospital, or one of its affiliated practice plans or foundations.

A **conflict of commitment** occurs when a commitment to activities outside of one's University responsibilities by a member of the Brown community interferes with their capacity to meet their University responsibilities.

It is recognized that some outside service and professional responsibilities of members of the Brown community can and do benefit Brown. In the case of campus-based faculty, the value and importance of outside activities is explicitly recognized in the long-standing policy that full-time campus-based faculty members may devote to such activities an effort equivalent to not more than one day per normal work week on average, unless an exception has been granted. In the case of hospital-based faculty, the time allowed for services and professional activity with other

[15] Appointments other than an appointment as a member of the faculty will not be permitted without following the University's normal hiring policies.

organizations will be understood in the context of such faculty members' affiliation with both Brown University and the hospital foundation, or practice plan that serves as the faculty member's primary employer.

22.13 Administration of Non-Exempt Personnel of the Department

Staff employees report to Human Resources on their first morning of work to complete the several "Condition of Employment" forms. For an enumeration and description of these documents, see Human Resources new hire resources.

22.14 Grievance Procedure

The procedures available to members of the faculty for filing grievances are set down in the *Faculty Rules and Regulations*. Chairs should be familiar with the details of these procedures, and should also call them to the attention of all the department faculty. Grievance Procedures for non-faculty employees are explained in the section entitled "Problem Resolution Process" of the manual Human Resources Policies & Practices (Policy #20.071). Follow this link for information about Brown's anonymous reporting hotline. Information about Title IX grievances can be found here.

22.15 Departmental Public Relations

Department chairs are urged to keep in touch with the Office of Media Relations, as faculty news is a primary interest of that office, which is located on the third floor of Maddock Alumni Center, 38 Brown Street. Media Relations is especially interested in working with department chairs to publicize faculty research and scholarship - papers, books, professional presentations and grants received, and advanced knowledge of such accomplishments is particularly helpful. Inside Brown, which Media Relations publishes monthly during the academic year, is the usual outlet for news of faculty awards, honors and appointments.

22.16 Team Teaching and Course Load Requirements

The standard at Brown is one instructor per class, and faculty are normally expected to teach at least one course a semester. For the purposes of teaching (but not service and residency) requirements, faculty may count either (but not both) one Wintersession or one summer course. Only courses that are given for regular Brown credit and are not separately compensated may be considered for academic-year teaching credit. As such, only a very limited number of summer courses will qualify. Exceptionally and with regard to certain subjects and in particular curricular contexts team teaching is allowed as a way of enhancing the quality of a course. Such collaborative teaching does not necessarily require less planning, less preparation, or less effort assuming that both instructors are fully engaged in the teaching of the class, attend all of the regular class meetings, and share in the grading of required work of the students. The decision to allow team teaching is left to the discretion of the department chair and, as with all courses, is subject to the approval of the CCC when the course in question is first proposed. Unless otherwise specified by the department chair the team-taught class counts for one whole course for each faculty member. When the team teaching is across multiple departments or units, enrollments will be divided and attributed accordingly to each of the relevant units. The criteria for approving team teaching to be followed by the department chair are as follows:

- There is a sound pedagogical rationale for team teaching the course
- The teaching assignment does not trigger a request for temporary teaching funds to cover a course not offered as a result of this arrangement
- The arrangement may count as a full course assignment for each instructor as long as (1) the effort put forward by each instructor is comparable to the effort put forward in a single-instructor course in the department, and (2) the instructors are fully engaged in all aspects of the course.

In addition, under certain circumstances, faculty in two-course-load departments may elect to teach both of their courses in one semester. Criteria for approving such “course bunching” are:

- Faculty must remain in residence and fulfill all service and advising responsibilities during the semester in which they are not teaching;
- faculty must use the semester without teaching to work on a project that is both too large to manage otherwise and would involve considerable benefits to colleagues and students at the University;
- requests to bunch courses require the prior approval of the faculty members’ chairs or directors, the Vice-President for Research, and the cognizant dean.

Appendix A. Faculty Committees and Advisory Boards

Standing Committees of the Faculty
(see the Faculty Governance website for committee memberships)

- Faculty Executive Committee (FEC)
- Tenure, Promotions, and Appointments Committee (TPAC)
- Academic Priorities Committee (APC)
- Committee on Faculty Equity and Diversity (CFED)
- Grievance (Committee on)
- University Resources Committee (URC)
- Honorary Degrees (Advisory Committee on)
- Medical Faculty Executive Committee (MFEC)
- Medical Faculty Appointments (CMFA) (Committee on)
- University Resources Management (Advisory Committee on)
- Nominations (Committee on)
- Faculty Retirement (Committee on)
- Public Health Executive Committee (PHEC)
- Procedural Integrity Committee (PIC)

Councils and Committees for the Curriculum
(see the Faculty Governance website for membership lists)

- College Curriculum Council (CCC)
- Graduate Council
- Academic Code (Standing Committee on the)
- Academic Standing (CAS) (Committee on)
- Commencement Speakers (Committee on)
- Resumed Undergraduate Education Policy and Admission Committee (FRUEPAC) (Faculty Committee on)

Administrative Advisory Boards
(see the Faculty Governance website for membership lists)

- Campus Life Advisory Board
- Diversity Advisory Board
- Human Resources Advisory Board
- Library Advisory Board
- Research Advisory Board

Research and Regulatory Committees

- Institutional Review Board
- Institutional Animal Care and Use Committee
- Conflict of Interest Review Board
- Embryonic Stem Cell Research Oversight Committee
- Institutional Biosafety Committee

Other Committees
(see the Faculty Governance website for membership lists)

- Student Conduct Board
- Brown University Community Council

Appendix B: Draft Department Letter for Soliciting External Reviews

*Templates for other types of actions (lecturer track promotions, appointments of senior lecturers, Professors of the Practice, and (Research) faculty) are available. Please contact dean_of_faculty@brown.edu for assistance.

Dear Professor ________________:

The Department of [dept name] is presently reviewing Assistant Professor [candidate name] for promotion to the rank of Associate Professor of [field], with tenure.

Or

The Department of [dept name] is considering Professor [name] for an appointment at the rank of Associate Professor/Professor, with/without tenure.

As is customary, we are soliciting confidential outside reviews of the candidate's professional achievements to help with this critical evaluation. I am writing now to ask you to be one of several reviewers of Professor [name]'s work.

We would be particularly interested to receive from you the following:

- Your evaluation of [name]'s published scholarship, including its depth, originality and the impact of the work on your discipline, nationally and internationally, as well as its future potential. Our interest is primarily in the academic quality of these publications, although the rate of production (i.e., quantity) also has significance. Of course, any comments you may have about [name]'s teaching or professional service will be welcome as well.

- Your assessment of the standing of [name] with others who are in the same sub-field and whose length of professional experience is similar to [name]'s. Please address the issues of depth, originality, impact, and potential. (ADD ONLY IF RELEVANT TO THE CANDIDATE: In making the comparison to others, you should be aware that Brown policy permits extending the probationary period for up to two years in recognition of parenting responsibilities or as a consequence of extraordinary circumstances.)

- Your candid estimate of whether you would be able to recommend [name] for a position such as the one contemplated for [them] at Brown at your own institution, or at other major research universities.

I enclose [name]'s current curriculum vitae and a number of [their] recent publications. Please let me know if you would like to have a copy of [their] recent book, [title], or if there are any other materials we could send you [MODIFY IF NECESSARY]. Because the department will need to formulate its own recommendation by [date] – sooner if possible, I would appreciate it if you could let me know by [date] if you are able to undertake this assignment.

Let me assure you that your evaluation will be held in strict confidence, available only to senior members of the department, the university review committee and senior administration.

Recognizing that the completion of an outside review can be an onerous task, as well as an essential mechanism for assuring continuing high quality in our profession, I want to thank you in advance for your kind consideration of this request.

Sincerely yours,

Josiah V. Carberry

Professor and Chair

Appendix C: The Dossier

Dossier Inventory

An internal candidate for reappointment, promotion or tenure is entitled to receive from their department a written itemized inventory of all items included in their dossier that is sent to TPAC. Please note that the dossier contents as detailed below is a complete listing for tenure cases with other faculty actions indicated in parentheses. The exact contents for specific faculty actions are listed on the Dean of the Faculty's Tenure and Promotion webpage.

Dossier Contents

The TPAC dossier should include all of the elements listed below unless one or more of these items is expressly excluded in particular cases by the following discussion. The contents of the dossier are as follows:

1. Cover memo to TPAC from the department (the template form for this memo is available on the Tenure and Promotion webpage). The cover letter should state in precise language the specific recommendation that is being made, including the start date of the proposed action (except in the case of a negative recommendation) and, in the case of a reappointment or the promotion of a term-appointed faculty member, the length of the proposed new term.

Any recommendation to TPAC must contain information on the following:

- the names of the faculty who attended the meeting at which the final recommendation to TPAC was agreed;
- the names of faculty who, though eligible to participate in this decision, did not attend the above meeting;
- the (numerical) vote upon which the final departmental recommendation is based;
- the department quorum at such meetings;
- a general explanation of the reasons for abstentions (if any);
- an explanation of the views of those voting in the minority;
- the academic unit's view of the importance of the candidate's academic specialty within the larger field or discipline; and
- in addition to the foregoing, a full and candid discussion of the issues raised in the department meeting relative to this candidacy.

The Chair is required to show a draft of their cover letter to all faculty members who participated in the vote upon which the unit's recommendation rests, and request their comments and suggestions. At this time, the Chair should also inform all such faculty that if any of them has a serious objection to the text of the proposed letter - an objection which the Chair is unable to resolve after reasonable efforts have been made to do so, such individuals may, if they wish, communicate their objections in writing to TPAC within ten (10) working days, individually or collectively. Any such minority report will be available for review to all members of the department who participated in the vote.

2. The department's written explanation provided to the candidate that outlines the reasons for the recommendation. (*Not required for external candidates*)

3. The candidate's written waiver of their right to a personal appearance before the department before the vote is taken should be included. If the candidate chose to appear, the department meeting minutes should include a summary of the appearance. (*Not required for external candidates*)

4. Department review of scholarship, teaching effectiveness, and service.

Tenure track: Candidates should be evaluated primarily on the basis of published and/or completed work that has elicited scholarly reaction and appraisal outside of Brown. Where appropriate and possible the department review of scholarship must include a summary of the impact of a candidate's work on the disciplinary area. The candidate's published record should show evidence of having developed projects beyond the dissertation or its equivalent (for promotion from assistant to associate professor) or professional and scholarly growth beyond the level at which tenure was originally granted (for promotion to full professor).

While evaluation of teaching effectiveness is an important element of all recommendations, the following guidance is of particular relevance for internal cases. Multiple modes of assessment should be used in the evaluation of teaching, including thorough discussion of students' qualitative evaluations (use of student quotations is encouraged), comparative data, review of teaching materials, and peer observation of teaching if this information is systematically collected by a department. If the candidate supervised independent study and/or engaged in mentoring, an assessment of these activities should also be included.

Service expectations vary depending on department and candidate rank, but a candidate should be evaluated following departmental standards and criteria for service to the department, the University, and the profession.

Departments should be particularly careful in documenting cases in which candidates are being proposed for promotion or tenure earlier than might be expected from the candidate's service in their current rank. Although TPAC aspires to apply a consistent standard of achievement to all cases of promotion and tenure of similar type, an important part of that standard is a judgment of the extent to which the candidate's dossier gives evidence of sustained and sustainable accomplishment in all areas of the candidate's professional life. Candidates who present relatively few years of such evidence may find it difficult to meet that standard.

Lecturer track: For reappointments at all lecturer ranks or promotions to Senior Lecturer and Distinguished Senior Lecturer, emphasis should be placed on sustained and documented teaching excellence. Multiple modes of assessment should be used in the evaluation of teaching, including thorough discussion of students' qualitative evaluations (use of student quotations is encouraged), comparative data, review of teaching materials, and peer observation of teaching if this information is systematically collected by a department. If the candidate supervised independent study and/or engaged in mentoring, an assessment of these activities should also be included.

Service expectations vary depending on department and candidate rank, but a candidate should be evaluated following departmental standards and criteria for service to the department, the University, and the profession.

While lecturer track faculty are not expected to conduct scholarly research, their contributions to their field may take different forms and they may become more engaged in external activities at the rank of senior lecturer and distinguished senior lecturer. Departments should consider the following in their review of lecturer track faculty, keeping in mind differences in rank:

- Professional reputation, as demonstrated by membership and active participation in local, regional, or national professional societies. At the rank of senior lecturer and distinguished senior lecturer this may be demonstrated through positions of leadership in executive committees, key roles in collaborative projects, and the organization of professional and academic workshops, symposia, and invited lectures
- A record of educational scholarship, which may take the form of instructional materials (including online materials), activities associated with the development and implementation of new assessment models, curricular innovation and configurations, publications, performances, or other works)
- Research effort within their discipline, particularly if it influences and informs their teaching

5. In the case of internal candidates, quantitative information on teaching should include:

- A summary of departmental teaching (i.e., course) evaluations
- class observations by peers, if available
- Teaching materials, such as syllabi
- If possible, provide comparative information, i.e. how the ratings compare to those from other similar courses.

(*Not required for external candidates, although teaching materials such as syllabi are welcome*)

6. All recommendations require submission of an updated curriculum vitae for the candidate. All publications listed therein should be completely cited following standard bibliographic practice, including for each entry

the year of publication and, for articles from journals, page numbers. Where there are multiple authors of published research, the cv should indicate accepted author order in the discipline. In multi-authored work it is advisable that the candidate annotate a select number of their most recent or most important multi-author publications, describing their specific contributions. Finally, graduate co-authors should be identified for each publication. Please see Brown's curriculum vitae guidelines here.

7. The candidate's own statement. All internal candidates are expected to prepare a brief written statement for inclusion in their dossier in which they reflect upon their professional accomplishments to date in research and teaching and their plans for the future. (*Not required for external candidates, although if they were submitted as part of the application, they may be included in the dossier*)

8. Annual or mid-contract reviews. This applies to all regular, untenured Brown faculty under consideration for reappointment or promotion. In all these cases, the dossier should include copies of all departmental annual or mid-contract reviews of the candidate that have been prepared since the last TPAC action, and the candidate's written response(s), if any. If, as is sometimes the case, a department has substituted in a particular academic year another sort of review (e.g. for reappointment) for the usual annual review, a copy of the former report should also be included. (*Not required for internal promotions to full professor or external candidates*)

9. Relevant department correspondence, including a sample of the letter sent to evaluators and all substantive correspondence from the evaluators. For example, any messages that discuss the candidate's qualifications or work should be included, as should all declinations to submit a letter. It is also requested that departments provide an evaluator chart (template available on the Dean of the Faculty's Tenure and Promotion page) in this section that lists the names, institutions, and responses (accept/decline/no response) of all persons solicited for external letters of recommendation, and also indicates if they were recommended by the candidate or the department. (*Not required for reappointment*).

10. External letters of evaluation (*not required for reappointment*). For internal promotion from Assistant Professor to Associate Professor, with tenure, a minimum of EIGHT letters from external evaluators are required. TPAC requires that the eight letters of recommendation should be from individuals who are not: (i) current or former dissertation or post-doctoral supervisors of the candidate, (ii) frequent or recent research collaborators of the candidate, or (iii) persons who previously provided written evaluations of the candidate at the time of appointment. Letters from such individuals may be included in the dossier for the information they convey, but only as additions to the minimum of eight letters required from external evaluators.

For internal promotions from Associate Professor to Professor (tenure previously granted) and external appointments to tenure (whether at the rank of Associate Professor or Professor), EIGHT letters are required. No fewer than FIVE of these letters should be from evaluators who are not close collaborators. The remainder of the letters may be from collaborators or scholars who have previously written letters of evaluation for the candidate. Please consult the Dean's office with questions about repeating the use of evaluators.

Promotions or appointments to Senior Lecturer, Distinguished Senior Lecturer, Associate Professor or Professor without tenure, Associate Professor (Professor of the Practice or (Research)) or Professor (Professor of the Practice or (Research)) require a minimum of FIVE letters of recommendation from distinguished scholars in one or more areas of the candidate's teaching area or research who can evaluate the significance and impact of their teaching or research (see 10.5 for further information on appropriate reviewers for these promotions and appointments).

Note that for any of these actions, the list of evaluators should be reviewed by the appropriate divisional dean before any letters are solicited. Departments that find the foregoing restrictions impractical in a particular case may appeal in writing to the appropriate divisional dean requesting an exemption. This may be granted, given sufficient convincing argumentation of the case. Such an appeal should be made as early as possible so that if it is denied by TPAC, the department can respond without unduly delaying the process overall.

All individuals invited to be external reviewers should be of a stature in their respective fields commensurate with that expected for the academic rank for which the candidate is being considered. For example, associate professors or their equivalent should not be asked to serve as external evaluators of candidates for promotion to full professor at Brown.

For promotions to associate professor with tenure and promotions to full professor, the final list of external evaluators to be contacted should include 3-4 names suggested by the candidate in addition to names from the committee. Ideally, the dossier should have more letters from committee-recommended evaluators, than from candidate-recommended evaluators.

For promotions requiring five letters in total (lecturer track, Professor of the Practice, and (Research) faculty), the number of names suggested by the candidate may be proportionally smaller (two names).

For any internal cases, the candidate has the right to identify evaluators who they prefer not be asked to write, and to provide a written statement describing the nature of the objection(s). This statement must become part of the dossier. A candidate's right to object to one or more external evaluators is not however a veto right; the department retains the prerogative to solicit the views of one or more external evaluators to which a candidate has registered an objection, although in this event it may be asked in its meeting with TPAC to explain its decision.

Letters of recommendation from external evaluators should comment in some detail upon the professional attainments of the candidate, and in particular compare the candidate, if possible, with others (by name) of similar career stage and/or experience in the same sub-field. In addition, the department should ask external evaluators whether they would be prepared to recommend the candidate for a position such as the one contemplated at Brown at their own institution, or at other major research universities, based on the candidate's scholarly ability and achievement. TPAC should receive as part of the dossier a copy of the letter sent by the Brown department to prospective external evaluators soliciting their assistance. See the solicitation letter template in Appendix B.

The suggested text may be reworded in consultation with the Dean's office, but all information specifically requested in the sample letter must be included.

In the event that a department later finds it necessary to "follow-up" its initial letter of solicitation with one or more additional communications with a prospective external referee, TPAC desires that these "follow-up" contacts be noted and briefly described.

The above paragraphs should not be read to preclude a department soliciting additional commentary on a candidate from professionals other than the external evaluators agreed to as above. But these additional individuals should be professionals - e.g., journal editors, teaching collaborators, chairs of committees on which the candidate has served, etc. - who by virtue of their previous or on-going professional relationship with the candidate can be expected to have a well-informed, if limited, special perspective on the candidate's work that the department might wish to have reported to it. In such cases, however, the department's standards and criteria must explicitly allow for special solicitations of such individuals and the process by which the names of such individuals will be chosen should be more clearly stated. Letters on a candidate from any source that have not been actively and officially solicited by a department, i.e., that are un-solicited, may not be placed in that candidate's dossier.

11. Professional biographies of external evaluators. (*not required for reappointment*). Where the candidate's dossier necessarily includes letters of recommendation from external evaluators, the department should provide a brief identifying statement for each such referee sufficient to indicate to TPAC why the opinions of that individual are given particular weight by the department. In presenting such biographical information on the external evaluators, departments should not only describe the credentials of each but also indicate the basis for selection, particularly in the case of evaluators who either have a working relationship with the candidate or have previously provided an assessment of the candidate.

12. Minutes. The dossier should include the minutes of the official meeting at which the vote was taken. Minutes should be a detailed transcript of remarks, providing a full accounting of the issues that arose in discussions of the

case. Minutes should be anonymized, and the speakers identified by a unique signifier such as a letter (Professor A, Professor B. etc).

If more than one candidate is discussed at the same meeting, the minutes should be redacted so that each candidate's dossier includes only a discussion of their case.

13. Standards and Criteria. TPAC requires a copy of the department's current Standards and Criteria for faculty reappointment, appointment, promotion and tenure so that TPAC members can evaluate the stipulations of this document against the arguments advanced by the department in support of the recommendation.

14. Actual publications/completed work. The dossier transmitted to TPAC should include the candidate's principal publications and/or completed work, ideally in electronic format. The department chair, committee chair, and candidate should determine which publications are to be included in the dossier; for some candidates, a representative sample of publications may be more appropriate than a complete corpus.

15. Course Feedback. All course feedback from students since the last TPAC review should be included, the exception being associate professors who have been at the rank for more than five years. In such cases, only course feedback from the previous five years is required. If this is the first time the candidate is being reviewed by TPAC, evaluations since the start of the appointment should be included.