Chapter 4. Faculty Searches

4.1 When is a Search Required?

Generally, nationally or internationally (as appropriate) advertised searches must be conducted to fill all multi-year faculty positions, including tenured and tenure-track positions, including assistant professor, associate professor, and professor; as well as non-tenurable positions, including teaching faculty, research faculty, professors of the practice, fellows and senior fellows, and postdoctoral positions.

A faculty position may be filled without a search with the prior approval of a search waiver by the appropriate Dean and the provost, and only under exceptional circumstances, such as an unexpected vacancy which must be filled in a time too short to conduct the required search, or, on those occasions allowing the timely hiring and/or retention of an outstanding faculty member who will enhance the stature of the University's educational and research missions.

4.2 Search Procedures

For the department Chair (and/or area, group, institute, or school lead), the first step in the process of making a new appointment is to submit a search request to the appropriate Dean. For tenure track and teaching track faculty searches, this is normally following a call for search requests by the Dean in the spring of the academic year before the search is to be conducted. For other types of searches, requests are reviewed on an ad hoc basis. A department can proceed with a search only after the request has been reviewed and approved by the Dean.

Once a search request has been reviewed and approved, the Dean's office will ask the department to create a search in Interfolio, which includes a hiring plan.[3] In a limited number of fields, searches may be conducted in field-specific online recruitment systems with prior approval from the Dean. In those cases, a separate hiring plan should be submitted to the Dean. The hiring plan should include the text of the advertisement and the names of the members of the search committee,[4] including the name of the Equal Employment Opportunity Representative. The hiring plan

[3] The search documents must be approved by the offices of the appropriate Dean and VPDI before the search is officially opened.

[4] Faculty, staff, and graduate students who participate in any search for new faculty with a full-time, multi-year contract must complete the online required non-discrimination and anti-harassment training prior to the review of any of the candidate's materials.

must also include the rubric by which candidates will be evaluated. A list of advertising venues is also required. Key components of any advertisement are:

- Scholarly area(s) of the position.
- The rank and term of the position.
- The educational level required.
- 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.
- Qualifications for the position, such as teaching experience and/or research experience.
- Application requirements, such as a cover letter, research statement, and/or teaching statement.
- A request for candidates to address in their materials (cover letter or statements) how they would contribute to the research and/or teaching missions of our diverse and inclusive university community.

Chairs are asked to indicate, as part of the hiring plan the types of recruitment strategies they plan to undertake to ensure a broad, deep pool, open and welcoming to all candidates regardless of their 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, and under University policies. Most importantly, the strategies must reveal: the method of broadening the pool and soliciting applications, including advertising in appropriate national journals and other broad, open outreach activities to a wider public designed to solicit the largest number of qualified applicants to the pool as possible with differing scholarly approaches and academic backgrounds. Brown strives to draw together a community that reflects the world beyond our campus, knowing that a diversity of perspectives, ideas, and experiences helps to overcome stereotypes and drives academic excellence, innovation, discovery, and a better understanding of the human condition. The appropriate Dean and the Vice President for Diversity and Inclusion (VPDI) I will review the search plan.

4.3 The Equal Employment Opportunity Representative

The role of the Equal Employment Opportunity (EEO) Representative is to ensure that a fair and equitable search is conducted, as well as to act as a full member of the search committee. The appointment of an EEO Representative is required on all faculty search committees. While it is expected that all faculty search committee members will act in accordance with equal employment opportunity, the EEO Representative will advocate for best practices as well as serve as a resource to their colleagues on the committee. The EEO Representative should ensure that the committee's advertising and other outreach activities are designed to solicit the largest number of qualified applicants to the pool as possible, and to ensure that all qualified persons are encouraged to apply regardless of their 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, and under University policies; and to further the University's commitment to diversity and inclusion as central to fulfilling its academic mission to advance knowledge and understanding. Below are some steps that can help the EEO Representative achieve these goals during the search process:

- Develop and distribute information on recruitment, such as availability data and best practices in recruiting within the respective field.
- Share information on minimizing bias in the evaluation of candidates.
- Assist in search activities: networking and identifying resources to attempt to bring as many qualified applicants as possible to the pool.

If, during or after the search, the EEO Representative has concerns that the process has not been fully compliant with the equal employment opportunity principle of nondiscrimination, then the EEO Representative may make a report of alleged discrimination to the Office of Equity Compliance and Reporting (OECR) pursuant to Brown's Nondiscrimination and Anti-Harassment Policy.

4.4 Applicant Tracking

The University has contracted with an online system (Interfolio) for managing searches, which departments must use unless the appropriate Dean has approved use of a different system. One feature of this system is the ability to record the final decision on each job candidate. 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 addresses
- 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)

4.5 The Proposed Short List and the Interim Pool Report

At the time that the search committee and the department agree upon a final group of candidates ("the short-list") to be proposed for invitations to the campus for in-person interviews, the department should complete and submit an Interim Pool Report Form via a web-based portal. Recommendations for candidates on the short-list must substantively reference the criteria in the rubric submitted in the initial hiring plan to explain why they are recommended.

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.
- 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 Interim Pool Report, these letters must be submitted.

All of these materials will be automatically routed to the office of the appropriate Dean. The appropriate Dean will provide approval of the Interim Pool Report shortlist after consulting with the Vice President for Diversity and Inclusion (VPDI).

In all searches for tenure-track faculty/teaching professors, prior to the arrival on campus of the first candidate, the department Chair shall call a meeting, attended by a quorum of the department's faculty, with the VPDI and the Office of General Counsel (OGC), to discuss the principles of non-discrimination and anti-harassment.

4.6 Recommending the Finalist and the Compliance Report

Recommendations to make an offer to a finalist, or to propose a slate of finalists from which the Dean will make a selection, should be submitted to the appropriate Dean through the submission of a Compliance Report. A recommendation from a department will be reviewed by the Dean and other offices as appropriate. The recommendation may be returned to the department for reconsideration or clarification, or may ultimately not be approved.

Note that tenure track appointments ultimately require Corporation approval, and appointments with tenure or to some positions at other Associate and Full Professor ranks require additional review and approval through department and university committees and processes.

When the department is ready to recommend that an offer of appointment be made to a candidate, a Compliance Report should be filled out through the faculty hiring portal.

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 in the rubric submitted with the hiring plan, led the department to its ranking of each of the finalists. General or vague statements, such as "better qualified" or “not a good fit,” should be avoided. The issue to be addressed is why one candidate is better qualified, or less well qualified, than others.

Candidates who were interviewed for the position and are not recommended for an offer should be listed along with the reasons that led the department to eliminate their candidacy, with reference to the rubric submitted with the hiring plan.

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 cover 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.)

If the department has determined that no offer is to be extended, the Compliance Report should state the reasons for this decision.

4.7 Waiver of Searches

Under exceptional circumstances, a department or another academic unit may propose to the appropriate Dean the appointment of a faculty member without the usual search process. If the appropriate Dean approves a request for an exception to the requirement for a search, the review of a candidate may proceed and must follow the standard procedures of review by faculty in the department or academic unit, by faculty committees (TPAC, CMFA, PHFA), and by senior academic administration. Search waivers for tenured, tenure track, and teaching track positions must be reviewed and approved by the appropriate Dean, the VPDI, and the Provost or their designees.

Departments must initially request approval for a search waiver. These requests must include:

- a complete job description for the position, including research and teaching responsibilities;
- a detailed, written justification of the circumstances requiring a search waiver, including the prospective candidate's CV.

After approval of the search waiver, the department should follow the same review processes they apply for applicants to any comparable position (including research or teaching presentations, solicitation of letters of recommendation, review of written or other materials, individual or group meetings with department members, faculty discussions, and votes on a potential offer). Should the department vote to recommend an offer to the candidate, a standard dossier of materials should be submitted to the Dean, including:

- candidate materials, including cover letters and/or statements, publications, teaching materials; as in all searches, candidates should address in their materials (cover letter or statement) how they would contribute to the research and/or teaching missions of our diverse and inclusive university community;
- 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 cover memo from the Chair summarizing the discussion and recommending that an offer be made to the candidate.

The request for an offer will be reviewed by the Dean, the provost, and the VPDI. Once approved, offer procedures are the same as for an offer resulting from a search.

If the offer carries tenure, or is at the Associate Professor or Professor rank, the case will need to go to the appropriate faculty body (TPAC, CMFA, PHFA) for review after the Dean has approved.

4.8 The Offer

Chairs should communicate to the appropriate Dean any special needs or expectations the candidate may have. After approval of the compliance report (or the request to offer after a search waiver) and consultation with the Dean, Chairs may 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.

The Deans' offices are responsible for generating the letter of appointment that constitutes the formal offer of employment. All financial commitments, including startup and salary, are specified in the appointment letter, as are any exceptions to University policies. The Dean will determine, in consultation with the department Chair, a deadline for the candidate to accept the offer. Appointments to tenured or other advanced-level positions are conditional on successful reviews by the appropriate university processes and committees.

The department Chair shall prepare a letter to accompany the Dean's appointment letter. The Chair's letter will provide 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 candidate, with a copy to the Chair and department staff. The department and Dean both retain copies of the offer letter and the countersigned acceptance of the offer (if applicable).

4.9 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. The two Chairs (or, when relevant, center, program, or institute director, or Deans) 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/or tenurable, then distribution of the departmental responsibilities, after discussion with and the approval of the appropriate 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.

4.10 Termination of Previous Employment

It is not appropriate for any faculty member to accept a tenure track or teaching track 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.

4.11 Questions Relating Specifically to Foreign Faculty Members

When an offer is made to a scholar who is not a U.S. citizen or legal permanent resident who will be appointed with a visiting title or other term faculty title, the department should send a completed DS-2019 Request form and supporting documentation to the appropriate faculty personnel office so that appropriate information about visa requirements may be included in the official letter of appointment.

Once the faculty personnel office processes an appointment letter for an international scholar, they either instruct the departmental administrator to forward it or they directly forward the DS-2019 Request documentation to the Office of International Student and Scholar Services (OISSS). OISSS then completes a review, issues the Form DS-2019 ("Certificate of Eligibility for Exchange Visitor Status"), and sends it to the prospective international scholar.

The general handling of matters pertaining to international faculty is a primary responsibility of OISSS. However, for particular assistance with J-visa extensions or J-visas for eligible dependent family members, and the like, the international 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 immigration status of a nonimmigrant faculty member officially changes, and all University employees should update their immigration status with University Human Resources (UHR) when such a change occurs.

4.12 Other Issues Pertaining to Faculty Searches

4.12.1 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.

4.12.2 Moving Expenses

Brown University will cover costs associated with moving household and personal goods for newly hired faculty, subject to the Faculty Moving Expenses Policy.

4.12.3 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 certified, new faculty should bring appropriate documentation to the University Human Resources office. Details about the I-9 process are included in the offer letter. Click this link for additional information