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 and Francophone 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, Dean of Engineering, Dean of Public Health, or Dean of International and Public Affairs (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) 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 Dean to which a particular department reports (i.e., Dean of the Faculty, Dean of Medicine and Biological Sciences, Dean of Engineering, Dean of Public Health, or Dean of International and Public Affairs).

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, teaching, and service, 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.
- Oversees curricular planning in the department, to ensure that students are well-served by course offerings and that enrollments align with the allocation of teaching resources.
- Oversees the submission of course information to Courses@Brown and proposals for new courses to the CCC and the Graduate Council.
- 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 UFund 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 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. They 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 Chairs control the current budget year, they are also planning for the next fiscal year.

2.4.1 Planning

The office of the appropriate 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 by 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. Department staff should access and review the appropriate reports in Workday as needed and consult with the Chair on deviations from budget-approved spending.

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.

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 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 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.
- 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 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.

2.6 Relevant Policies

Chairs are also responsible for being familiar with University policies, which are articulated throughout this Handbook, in the *Faculty Rules and Regulations*, on the University's policy website, and by those organs of the University who are responsible for them (the Graduate School, the College, the Controller's Office, etc.). Several specific policies are listed here, while others are found in Chapter 14, Legal Issues, and Chapter 15, Miscellaneous Matters.

2.6.1 Bias, Discrimination, and Harassment

Brown University does not tolerate unlawful bias, discrimination, and harassment. This is detailed in the University's Nondiscrimination and Anti-Harassment Policy. 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. Additional information on gender discrimination and sexual violence can be found on the website of the Title IX Office. Additional information on bias reporting can be found on the website for the Office of Diversity and Inclusion.

2.6.2 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.

Chapter 3. Academic Responsibilities and Ranks

3.1. Full-Time Appointments

An appointment to the tenure and Teaching Professor track faculty ranks 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 15.4), 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 members of the tenure and Teaching Professor track faculty 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, the Dean of Public Health, or the Dean of International and Public Affairs (hereafter referred to in this chapter as the "appropriate Dean").

Full-time 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 Assistant, Associate, and full Teaching Professors 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.

3.2 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 5.5) without written approval of the appropriate Dean. As noted above, faculty members with full-time tenure track or teaching track 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. 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 4.10 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, typically for one year or less. Approval may be granted if such an appointment is 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 5.5), must be approved by the appropriate Dean prior to acceptance of employment or extended consulting duties. Faculty must report outside employment or consulting on the Conflict of Interest Form required to be submitted annually.

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.

3.3 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 for an extended period of time 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.

3.4 Definitions of Academic Ranks

The following definitions apply to part-time as well as full-time academic staff of the University. Campus-based faculty who hold the titles of Instructor, Assistant Professor, Associate Professor or Professor (without prefix or parenthetical suffix) who are tenured or tenure-track or on research-, teaching, or clinician-track, individuals holding the title of Assistant, Associate, and full Teaching Professor, and 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 general responsibilities of 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 term faculty that it wishes to appoint.

3.5 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 engage in research and other scholarly undertakings, teach classes, advise students, 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.

A tenure-track appointment is based on the achievements and promise of an individual as both a scholar and a teacher, and carries the responsibility of a commitment to a career in which faculty fully engage in both of these activities. Faculty members are also expected to contribute significantly to the governance of the University. Although faculty members are generally expected to be equally committed to research and teaching excellence, faculty members may, on occasion or in different intervals of their careers, devote considerably more time to one of these activities than the other. Chairs of Departments and Directors of Institutes, Programs and Centers, in consultation with the appropriate Dean, are expected to establish the distribution of research, teaching, and service responsibilities for individual faculty members to maximize the effectiveness of the academic unit. Tenurable members of the faculty are expected to develop independent programs of research that have a major impact on their fields, and tenured members of the faculty are expected to engage in significant research and publication throughout their active careers in accordance with departmental and disciplinary standards. Teaching loads at Brown are based on the assumption that an appreciable amount of time of each faculty member will be devoted to research. Under exceptional circumstances, such as the time requirements of preparing or managing large collaborative projects and grant proposals, faculty may be given permission to consolidate teaching ("course bunching") with approval from the Department Chair and the appropriate Dean. See 15.4 for details. Teaching loads may also increase if faculty are less active in research.

Assistant Professor

Initial appointment at the rank of Assistant Professor is for a term of four years. The appointment may be renewed, following review (see Chapter 8), 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.

Professor

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

3.6 Research Faculty

3.6.1 Faculty on the Research Scholar track

Faculty appointments in the professorial ranks on the Research Scholar track 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. Individuals holding such positions are expected to conduct high-quality independent research and will have qualifications and a record of research and scholarship which are not distinguishable from those of faculty who hold an equivalent tenurable rank. Faculty on the Research Scholar track may also teach, advise and mentor, and engage in service to the Department and University, if required by their Department and/or School. Faculty on the Research Scholar track are voting members of the University faculty. Appointments and promotions of faculty on the research scholar track are handled by the Deans, Departments, and relevant faculty affairs committee (CMFA in Biology and Medicine, PHFA in Public Health, and TPAC for all others).

Assistant Professor of (Department), Research Scholar Track: 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. If teaching is required, the faculty member should have demonstrated ability as a teacher, advisor and/or mentor of undergraduates, graduate students, medical students, postdoctoral trainees, residents, or fellows.

Appointment at this rank is limited to three three-year terms.

Associate Professor of (Department), Research Scholar Track: A faculty member who has established an independent, well-recognized, productive research program, 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 will be given positive consideration if teaching and advising is expected by the Department and/or School. Excellent clinical skills will be given positive consideration in the School of Biology and Medicine and the School of Public Health. 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, highly-regarded, productive research program, and having a reasonable assurance of continuity and productivity. 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 demonstrated record of excellence in teaching, advising and/or mentoring will be given positive consideration if teaching and advising is expected by the Department and/or School. Excellent clinical skills will be given positive consideration in the School of Biology and Medicine and the School of Public Health. 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.

3.6.2 (Research) Faculty

Starting in AY 2025-26, the University is streamlining Research Faculty appointments. Part of this effort includes reducing new (Research) faculty appointments. New research faculty appointments should use Research Scientists and Assistant, Associate, and full Professor on the Research Scholar Track titles, except in exceptional circumstances. These circumstances could include (Research) appointments required for specific grants or other funding mechanisms, appointments for retiring or departing faculty who maintain grant-activity at Brown, and other similar circumstances.

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 should primarily come 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 quality of performance warrants such appointment. Appointments for more than one year, as well as reappointments, require a vote by eligible faculty in the appointing unit. 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 quality of performance warrants such appointment. Reappointment and promotion cases of (Research) faculty must be reviewed by the relevant faculty affairs committees (CMFA for appointments in Biology and Medicine, PHFA for the School of Public Health, and TPAC for all others).

Individuals holding such positions are expected to conduct high-quality, independent research and will have qualifications and a record of research and scholarship which are similar to those of faculty who hold an equivalent tenurable rank. They are voting members of the faculty and, as such, should be voting members of their home unit.

Although individuals in these positions may occasionally teach, such teaching will not normally be part of the continuing responsibility of the (Research) faculty member, and on those occasions when teaching is undertaken it should not exceed 50% of the effort of the individual faculty member. Faculty appointed as (Research) may advise students, perform Departmental and University service, and are generally expected to engage in the life of their Department.

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

3.6.3 Other Research Faculty

Research faculty include Research Associates, Investigators, Research Scientists, Research Fellows, Senior Research Scientists, and Distinguished Senior Research Scientists. These faculty do not have voting rights but are eligible to serve as principal investigators on grants. These individuals can be appointed to meet particular and defined needs of a project or program. These positions are generally contingent on available funds, and consequently, such individuals are appointed for limited terms. Some research faculty 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 faculty members (postdoctoral fellows who receive external fellowships) are not employees of the university.

- <u>Research Associates:</u> Research associates must have at least a Master's degree or equivalent skills, education, or experience. Research associates are appointed for a one-year term that may be renewed on a limited basis. Research associates are meant to be temporary appointments to carry specific, short-term research activities that cannot be done by staff. Postdoctoral researchers may also be appointed as Research Associates if they begin their appointment at Brown before earning their Ph.D.
- <u>Investigators:</u> Investigators must have a doctoral degree or equivalent. Their research experience is equivalent to a senior postdoctoral researcher. Investigators are appointed for a one-year term, renewable from year to year up to a maximum of three years.
- <u>Research Scientists:</u> Research scientists must have a doctoral degree and post-Ph.D. experience, such as a previous appointment as a postdoctoral researcher, or equivalent skills, education, and experience. Research Scientists should devote a substantial fraction of their effort to independent research and scholarship, and may also support the research programs of other faculty and centers. As such, they are intermediate between research staff who serve in supporting roles and Assistant Professors (Research), who work independently. Research Scientists can be appointed on a year-by-year basis for a maximum of four years.
- <u>Senior Research Scientists and Distinguished Senior Research Scientists:</u> Appointees are individuals with at least three years of service as a Research Scientist, or equivalent skills and experience. They must hold the Ph.D. (or equivalent). Reappointment at this rank may be for a period of up to four years and is renewable. Senior Research Scientists and Distinguished Senior Research Scientists should have strong records of independent research and scholarship, and may also serve in roles that support research by other faculty or centers. Senior Research Scientists should have at least five years of post-Ph.D. research experience and show clear capability to conduct high-quality independent research. Distinguished Senior Research Scientists should have a robust research program with clear evidence of contributions distinct from faculty with whom they collaborate, and should generally have at least twelve years of relevant post-Ph.D. experience.

3.7 Other Ranks

3.7.1 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. or other terminal degree 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. or other terminal degree 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. or other terminal degree. 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.

3.7.2 Assistant Teaching Professor

Assistant Teaching Professors 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 tenure-track members of the department, but who are not expected to fulfill the requirements of scholarly research that are expected of faculty who hold tenure-track positions.

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.

Teaching-track appointments are contingent upon ongoing funding availability and need for the courses and other duties outlined in hire and renewal documentation. In the case of financial exigency, or of a lack of ongoing need for the courses and other duties, Brown reserves the right to not renew a contract for reasons other than performance.

3.7.3 Associate Teaching Professor

Associate Teaching Professors have similar responsibilities as those defined for Assistant Teaching Professors, with a greater emphasis on service and excellence in teaching over a number of years. An Associate Teaching Professor may also have demonstrated professional accomplishments and recognition beyond that of an Assistant Teaching Professor (see 8.5.1 under Guidelines for Other Promotion Reviews). Individuals are normally eligible for promotion to Associate Teaching Professor only after the second consecutive three-year appointment as Assistant Teaching Professor, or after a total of six years of appointment in rank or equivalent experience at Brown or elsewhere. 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 Associate Teaching Professor.

3.7.4 Full Teaching Professor

Full Teaching Professors execute the responsibilities of Associate Teaching Professors 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 full Teaching Professor. Full Teaching Professors also demonstrate continued professional accomplishment beyond the level required of Associate Teaching Professors. Individuals are normally eligible for promotion to Full Teaching Professor after a minimum of six years from appointment as Associate Teaching Professor. 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 Full Teaching Professor.

3.7.5 Professor of the Practice

Professors of the Practice[2] are faculty whose qualifications are earned primarily through professional experience rather than scholarly credentials. 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 in teaching and/or research. 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, International and Public Affairs, 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. Reappointment depends on the

[2] 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.

needs of the program and demonstrated teaching and/or research effectiveness. 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/or researcher, 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 and/or researcher. 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/or researcher 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.

3.7.6 Adjunct Faculty

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

The appropriate track (ex. Teaching Professor 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 or staff who teach students or classes on a part-time or irregular basis should be designated as "Adjunct" faculty. 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.

Adjunct faculty may be appointed for definite terms of up to three years. They are renewable if this is justified by departmental need and supported by departmental resources.

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

3.7.7 Visiting Faculty

Visiting faculty (visiting being a prefix) are those individuals who are appointed to meet the short-term research or teaching needs of an academic unit. The standards of scholarship for holding a visiting appointment in the Teaching Professor 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 University. Visitors should be compensated for any work done for the University.

Visitors are non-voting members of the faculty.

3.7.8 Contingent and Concurrent Faculty

There are some cases in which a regular staff position includes some regular responsibilities that would normally be associated with a faculty appointment. In such cases, the incumbent may be appointed to an appropriate faculty rank, concurrent with and contingent upon the staff position. These positions are structured and defined so that individuals holding them are expected to perform these duties regularly. These duties are not compensated separately. Contingent and concurrent appointments may be made for a renewable term of up to three years for a Lecturer, and up to six years for a Senior Lecturer. Appointments or promotions to the rank of Distinguished Senior Lecturer are not normally considered appropriate for this rank, given that the primary role of the individual is as a staff member. Please note that those holding contingent and concurrent appointments at these ranks are not eligible for faculty leave types. These appointments are not appropriately made to accommodate a particular individual, nor to address temporary or irregular departmental needs. In those cases, an Adjunct appointment should be considered (see 3.7.6).

3.7.9 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.

3.7.10 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.

3.7.11 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 Ph.D. (or equivalent) at the time of appointment.

Postdoctoral Research Associates, Postdoctoral Fellows, and Postdoctoral Research Fellows are individuals in the preparatory or learning stages of their careers who are appointed to conduct research, often to meet particular and defined needs of a project or program under the supervision of a regular faculty member, teach, and engage in other professional training activities. Postdocs are appointed to terms of a minimum of one and up to three years, and may hold postdoctoral positions for a maximum of five years except in exceptional circumstances.

- Postdoctoral Research Associates (PDRA) are employees of the University: they receive a salary and all employee benefits for which they are eligible, and the sources of funding which support them are assessed accordingly. PDRAs are union-eligible.
- Postdoctoral Fellows (PDF) are in residence to conduct research supported by external fellowships that run through the University; they are normally paid stipends. Most Postdoctoral Fellows are not Brown employees, but they may participate in a University health and dental plan. If the fellowship does not fully meet Brown's pay minimums and/or expected institutional contribution to health and dental insurance, the appointing office must make sure that an appropriate source has been identified to supplement the fellowship. PDFs are union-eligible.

- Postdoctoral Research Fellows (PDRF) are in residence to conduct research supported by external fellowships that are paid directly to the fellow; they are normally paid stipends. Postdoctoral Fellows are not Brown employees and their stipends do not run through Brown. Before appointing a PDRF, the appointing office must make sure that the stipend meets Brown's pay minimums and supports purchase of a health insurance plan. In most cases, PDRFs may not participate in University health and dental insurance plans. PDRFs are not union-eligible.

3.7.12 Teaching Associates

Teaching Associates are appointed for temporary periods to teach one or more courses (or sections of courses) or otherwise support the instructional program of the University. See section 3.10 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.

3.8 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. Faculty in these ranks are expected to be in residence for some part of the year and to contribute to the intellectual life of the University.

They are not employees of the University.

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

3.9 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.

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 and in departmental governance documents.

Joint Appointment:

Joint appointments are made by the appropriate Dean, generally at the time of hire. Joint appointments signify a permanent split of effort and/or 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. Normally only faculty with titles in the Professor of the Practice, Teaching Professor, and tenure streams may hold joint appointments.

3.10 Other Non-Tenurable Faculty Appointments Common in the Division of Biology and Medicine and the School of Public Health

The Division of Biology and Medicine and School of Public Health appoint term faculty with several titles in addition to those described in Sections 3.5, 3.6, 3.7, and 3.8. These includes Assistant Professor (non-tenurable), Assistant, Associate, and Full Professors on the Teaching Scholar and Clinician Scholar tracks, Instructors, and Clinical Faculty appointments.

3.10.1 Teaching Scholar and Clinician Scholar Faculty Titles (renewable terms, non-tenured faculty)

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). Excellent clinical skills are considered foundational for all faculty who are engaged in clinical work. 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.

Assistant Professor of (), pre-track, non-tenurable:

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, who has demonstrated potential for scholarship in their chosen discipline. Demonstrated contributions to the research, clinical, teaching, and/or service missions of our diverse and inclusive community are required. Excellent clinical skills are expected for faculty members in this track who are clinically active. Faculty must designate their track by the beginning of the third term.

Appointment at this rank is limited to three 3-year terms depending on the needs of the department.

3.10.2 Teaching Scholar Track

Associate Professor of ():

A faculty member who has a major educational role in a University-sponsored or affiliated program, who exhibits excellence and innovation in teaching. In most cases the individual should have a national reputation in his/her area of expertise. A continuous record of scholarship since the last appointment or promotion, and demonstrated contributions to the research, clinical, teaching, and/or service missions of our diverse and inclusive community are required. Excellent clinical skills are expected for faculty members in this track who are clinically active. 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 5 years that may be renewed depending on the needs of the department.

Professor of ():

A faculty member who has exceptional teaching skills and who has continued to lead educational programs. Excellence and innovation in teaching is required. The individual must have a national reputation as an educator in his/her area of expertise. A continuous record of scholarship since the last appointment or promotion and demonstrated contributions to the research, clinical, teaching, and/or service missions of our diverse and inclusive community are required. Excellent clinical skills are expected for faculty members in this track who are clinically active. 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 5 years that may be renewed depending on the needs of the department.

3.10.3 Clinician Scholar Track

Associate Professor of ():

A faculty member who has a major clinical role in a University-sponsored or affiliated program, who exhibits clinical expertise and excellence in teaching, advising and/or mentoring. The individual must have a national reputation in his/her area of expertise. A continuous record of scholarship since the last appointment or promotion, and demonstrated contributions to the research, clinical, teaching, and/or service missions of our diverse and inclusive community are required. 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 5 years that may be renewed depending on the needs of the department.

Professor of ():

A faculty member who has exceptional clinical expertise and who has continued to lead and innovate in clinical programs. Excellence in teaching, mentoring and/or advising is required. The individual must have an international reputation as a clinician scholar in his/her area of expertise. A continuous record of scholarship since the last appointment or promotion, and demonstrated contributions to the research, clinical, teaching, and/or service missions of our diverse and inclusive community are required. 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 5 years that may be renewed depending on the needs of the department.

3.10.4 Instructor of ():

A faculty member who has completed training in his/her 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 an interest in scholarship. Demonstrated contributions to the research, clinical, teaching, and/or service missions of our diverse and inclusive community are required. Excellent clinical skills are expected for faculty members in this track who are clinically active.

Appointment at this rank is limited to two 2-year terms depending on the needs of the department.

3.10.5 Clinical Faculty Titles

Faculty who hold clinical titles may be physicians, or health and 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. Excellent clinical skills are considered foundational for all faculty who are engaged in clinical work. Faculty with titles listed below under Section B have voting rights only within their department and the Medical School 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.

3.10.6 Clinical Track Clinical Instructor of ():

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 and as a practitioner, and has demonstrated contributions to the research, clinical, teaching, and/or service missions of our diverse and inclusive community.

Appointment at this rank is for a term of up to 3 years that may be renewed depending on the needs of the department.

3.10.7 Clinical Professor Track

Clinical Assistant Professor of ():

A faculty member who has documented ability in teaching, advising and/or mentoring and as a practitioner or as a contributor to a clinical or research program and has demonstrated contributions to the research, clinical, teaching, and/or service missions of our diverse and inclusive community.

Appointment at this rank is for a term of up to 3 years that may be renewed depending on the needs of the department.

Clinical Associate Professor of ():

A faculty member who has demonstrated a high level of skill in teaching, advising, and/or mentoring, and as a practitioner, who has contributed actively to clinical or research programs. The individual must have a regional reputation in his/her area of expertise, and demonstrated contributions to the research, clinical, teaching, and/or service missions of our diverse and inclusive community. 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 5 years that may be renewed depending on the needs of the department.

Clinical Professor of ():

A faculty member who has demonstrated excellence 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 national reputation in his or her area of expertise. Evidence of scholarly activity and demonstrated contributions to the research, clinical, teaching, and/or service missions of our diverse and inclusive community are required. 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 5 years that may be renewed depending on the needs of the department.

3.10.8 Clinician Educator Track

Instructor of (), Clinician Educator:

A faculty member who participates in academic programs and interacts effectively with undergraduates, graduate students, medical students, postdoctoral trainees, residents or fellows through teaching, advising and/or mentoring, and as a practitioner. Demonstrated contributions to the research, clinical, teaching, and/or service missions of our diverse and inclusive community are required.

Appointment at this rank is for a term of up to 3 years that may be renewed depending on the needs of the department.

Assistant Professor of (), 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. Demonstrated contributions to the research, clinical, teaching, and/or service missions of our diverse and inclusive community are required.

Appointment at this rank is for a term of up to 3 years that may be renewed depending on the needs of the department.

Associate Professor of (), Clinician Educator:

A faculty member who has 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 his/her area of expertise. Scholarly activity and demonstrated contributions to the research, clinical, teaching, and/or service missions of our diverse and inclusive community are required. 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 5 years that may be renewed depending on the needs of the department.

Professor of (), Clinician Educator:

A faculty member who has 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 his or her area of expertise. Scholarly activity and demonstrated contributions to the research, clinical, teaching, and/or service missions of our diverse and inclusive community are required. 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 5 years that may be renewed depending on the needs of the department.

3.10.9 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.

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.

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

Chapter 5. 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 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 university non-discrimination policies apply to the setting of faculty salaries.

5.1 Annual Salary Review

The appropriate 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.

5.2 Schedule of Salary Payments

Brown University normally follows a practice of paying all tenure-track and teaching-track faculty in twelve equal installments for services rendered during the nine-month (or, in the Division of Biology and Medicine 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.

5.3 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 who are paid by the University for nine or more months of effort 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 Dean, in advance of the activity, and endorsed by the Chair 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 Division for Pre-College and Undergraduate Programs;
- 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.

5.4 Charging Academic Year Salaries to Grants and Contracts

5.4.1 Grant Incentive Fund

1. In some cases, faculty may be able to cover academic-year salary from external grants. In general, 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 11.) All exceptions require the approval of the Dean.

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 without prior approval.

5.4.2 Course Buy-Out

Faculty members are generally expected to teach during each semester of the academic year. In order to buy out of a course, the normal teaching load usually must be more than one course in a given semester. The funding required to buy out teaching is calculated from the faculty member's salary and benefits, their teaching load, and the effort allocated to teaching required of different faculty positions, schools, and divisions. The buy-out is subject to the following conditions:

1. 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.
2. For tenure-track faculty, the course buy-out rate equates to 15% of their academic-year salary and benefits. For instructional faculty (Teaching Professor-track and Professor of Practice-track), the course buy-out rate equates to 20% of salary and benefits.
3. Course buy-outs should generally be funded by external grants or GIF. In no cases may startup funds, annual research funds, departmental funds, or other University funds be used to pay for buy-outs.

5.5 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 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
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.

5.6 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 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.

5.7 Salary Equity Review

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 equity review. The Chair will share this with the Dean, who will review the faculty member's salary in light of all relevant data and send a written response.

5.8 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:

5.8.1 Faculty Research Travel Fund

The Faculty Research Travel Fund (FRTF) is available to voting members of the Brown campus-based faculty for assistance in meeting the costs of professional travel during any fiscal (budget) year, July 1-June 30. The FRTF is designated to support trips to attend conferences and to do scholarly research or field work. Faculty may apply for reimbursement for up to a maximum of three trips per year, with a total reimbursement cap set on an annual basis. Faculty are also eligible for a limited one-time supplement to present a paper at an international conference or to conduct research internationally. This supplement will not count against the total reimbursement cap. A faculty member on sabbatical leave may apply to the FRTF 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.

5.8.2 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 tenure-track and teaching-track faculty 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 except with prior approval by the appropriate Dean. 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.

5.8.3 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 6. 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. No academic unit may make an appointment to a faculty rank for which they do not have standards and criteria.

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 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) Research Faculty (ii) adjunct staff, or (iii) Assistant, Associate, and full Teaching Professors, and/or Professor of Practice 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 faculty ranks.

Chapter 7. Annual and Mid-contract Reviews of Faculty

7.1 Procedures

The appropriate Dean shall annually write to all non-tenured tenure-track 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 Assistant Teaching Professors are annual; reviews of Associate Teaching Professors and full Teaching Professors 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 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 untenured faculty member required to be reviewed will be conducted at a duly called meeting of faculty of the appropriate rank, 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 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.

7.2 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. The University uses an online system to ensure consistent collection of student feedback. Once feedback forms open, students can access the surveys by logging in to Canvas or brown.evaluationkit.com and submitting their feedback.

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.

7.3 Annual Reviews of Term Faculty

Department Chairs are responsible for ensuring that all term faculty employed by the University with multi-year contracts or shorter contracts that will be renewed receive regular reviews of their performance in research, teaching, and service, as appropriate to their position, with sufficient detail to ensure that they understand their progress toward reappointment or promotion. Assistant Professors on the Research, Teaching, or Clinician Scholar tracks, Assistant Professors (Research), Assistant Professors of the Practice, and Research Scientists should be reviewed and receive written feedback on their performance annually. Associate and full Professor (Research) faculty, Associate and full Professors on the Research, Teaching, or Clinician Scholar tracks, Associate and full Professors of the Practice, and Senior Research Scientists who are in their second or later contract may be reviewed less frequently, generally once per contract term, or more frequently if requested by the faculty member or deemed necessary by the department or center. The timing of these reviews within the academic year will vary depending on the practices of the School. Alternative review processes may be used for faculty who are affiliated with the University but employed by one of Brown's hospital affiliates.

In general, prior to the review the faculty member should provide their Chair or Director with an updated CV and other relevant materials, such as a statement describing their scholarship, teaching, and service activities, and/or copies of their publications. The Chair should produce a written document that includes explicit commentary on the individual's scholarship, and if appropriate their teaching and service during the preceding academic year(s), as well as guidance and suggestions for the candidate's progress. The letter should also include the timeline for the candidate's next reappointment or promotion in the review. In preparing the review, the Chair may consult with departmental faculty, mentoring committees, or faculty affairs committees as deemed necessary by the Chair, Department, School, or Dean. For faculty in professorial ranks, the draft should be reviewed by the relevant Dean who may request changes, and after those changes are made, the head of the academic unit will provide the faculty member with a copy of this written evaluation meet with them to discuss their performance. The evaluation will be kept on file in the department and in the Dean's office.

The reviewed faculty member will be asked to sign a confirmation of receipt form to verify that they received and read a copy of the annual or mid-contract review and had the opportunity to discuss the review with the department Chair. This statement will also confirm that the faculty member under review is familiar with the department's standards and criteria for reappointment and promotion. The faculty member may submit a written response to the annual or mid-contract review. This response will be kept on file with the review itself and will be submitted with the dossier at the time of reappointment or promotion review.

At least once per year, the results of the annual review process and the progress of each term faculty member in a professorial rank should be reviewed at a duly called meeting of the eligible voting faculty of the relevant unit. The faculty will review the faculty member's materials, including their CV, statement, and any other appropriate materials, such as student course feedback, class observations by peers, publications, etc.

Review of Professors of the Practice and adjunct or visiting faculty should follow the general process above, but the review, confirmation of receipt, and written response (if any) from the candidate may be maintained in the department. Similarly, research scientists and senior research scientists, and other research faculty appointments, should be reviewed regularly but the process need not be as formal as that for faculty in professorial lines. Generally, these research faculty appointments should be reviewed by the Department Chair or Center/Institute Director and the faculty PI in the area in which they work.

Chapter 8. Reappointments, Promotions, and Tenure Reviews

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.

8.1 Timely Review and Notification

The University and the *Faculty Rules and Regulations* require that Teaching Professor-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. Associate Teaching Professors) 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 7) 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 tenure-track 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.

8.2 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 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).

8.2.1 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 Dean at the same time as parental teaching relief (see 11.6.1) is granted. In any case where an untenured faculty member is caring 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.

8.2.2 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 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 acknowledging the request. Such requests will be subject to the approval of the Tenure, Promotions, and Appointments Committee and the Dean.[5]

8.2.3 Medical and Personal Leave

Personal leaves (including medical and maternity) are not counted as part of the probationary period. See Chapter 11.6.1.

---

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

8.3 Reappointment Reviews

Information regarding dossier contents may be found in the [TPAC Dossier Preparation Guide] on the Dean of the Faculty's website.

8.3.1 Assistant Professors, Tenure-Track

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:

- 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.

8.3.2 Assistant, Associate, and full Teaching Professors

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

8.3.3 Faculty on the Research, Teaching, and Clinician Scholar Tracks, (Research) faculty and Professors of the Practice

Faculty on the Research, Teaching, and Clinician Scholar Tracks, (Research) faculty and Faculty 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. Faculty on the Research, Teaching, and Clinician Scholar Tracks may be appointed to no more than three three-year terms as Assistant Professors. (Research) faculty, Faculty of the Practice, and Associate and full Professors on the Research, Teaching, and Clinician Scholar Tracks are not term-limited.

Prior to the evaluation of the reappointment case, and generally near the beginning of the final year of the faculty member's contract, the faculty member should provide their current CV, a statement describing their professional accomplishments, and other research and teaching materials as appropriate and required by Departmental Standards and Criteria to their Department Chair or Center/Institute Director. These materials should be reviewed and evaluated by the Chair or Director and relevant faculty committee (as determined by the School). The Chair and Committee shall evaluate the faculty member's progress and accomplishments and provide their evaluation to the appropriate Dean or their designee for review and approval. The Dean shall evaluate these materials and may request additional materials (such as minutes of the faculty/committee meeting at which the reappointment was considered, and any other information required by TPAC for faculty in units reporting to the Dean of the Faculty and in the School of Engineering). The Dean will notify the Department Chair and faculty member of their decision and, if the decision is positive, reappointment.

Reappointments of these faculty must be reported to TPAC, and the reappointment may be reviewed by TPAC, CMFA, or PHFA, as appropriate, if requested by the faculty member.

Reappointments of term faculty in other ranks (Senior Research Scientist, Instructor, Visiting Professors) need not be as formal as reviews of Faculty on the Research, Teaching, and Clinician Scholar Tracks, (Research) faculty and

Faculty of the Practice. In general, Department Chairs or Center/Institute Directors should evaluate each faculty member's accomplishments in consultation with their department faculty or the subset of the faculty with whom the term faculty member being reappointed works closely. The Chair or Director should provide their evaluation and recommendation to the relevant Dean, who will notify the Chair or Director whether the reappointment is approved and issue a new appointment to the faculty member.

8.4 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 the Tenure and Promotion page on the Dean of the Faculty's website.

Prior Experience

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 8.2). 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).[6]

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

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

candidate-recommended evaluators and should balance the requests to maintain the appropriate ratio. This list, 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). 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.[7] 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 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 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

---

[7] See 8.5 below for the evaluator letter requirements for other types of promotions.

be given the opportunity to appear before the department's tenured members before they vote on the case. The 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.[8] 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.

8.4.1 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.

8.4.2 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.

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

8.5 Guidelines for Other Promotion Reviews

8.5.1 Assistant Teaching Professor to Associate Teaching Professor

Academic units with Teaching Professor track faculty must have on file with the appropriate Dean an approved set of standards and criteria for promotion to the rank of Associate Teaching Professor. (See Chapter 6). 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 Associate Teaching Professor 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 evaluators 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 Teaching Professor 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 Associate Teaching Professor 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.

8.5.2 Associate Teaching Professor to full Teaching Professor

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 full Teaching Professor. Promotion to full Teaching Professor 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 full Teaching Professor 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 full Teaching Professor 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.

8.5.3 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.

8.5.4 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.

8.5.5 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. Department Chairs and unit directors should regularly discuss with associate professors their readiness to stand for promotion in view of the department's or unit's standards and criteria. Once a faculty member has served as associate professor for more than seven years, the Chair or Director should also be prepared to discuss progress toward promotion with the appropriate Dean as part of the annual salary recommendation meeting.

8.6 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 Associate Teaching Professor or full Teaching Professor

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)

8.7 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.[9]

8.8 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.

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

Various contingencies include:

- 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 Committee on Grievance and Procedural Integrity (GPIC) for review. The Dean's letter must inform the faculty member that the case will be reviewed by GPIC 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 8.1 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 9. Term Faculty

Term faculty members hold appointments other than those defined as tenure-track and Teaching Professor-track faculty. The titles include Adjunct or Visiting faculty, Faculty of Practice, Faculty on the Research, Teaching, or Clinical Scholar Tracks, Research Scientists, Senior Research Scientists, and Distinguished Senior Research Scientists, or Faculty (Research). For more detail regarding ranks and titles, see Chapter 3.

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

9.1 Yearly Performance Appraisal

As noted in Chapter 7 department Chairs are responsible for ensuring that term faculty at the level of Assistant on multi-year contracts receive annual reviews of their performance. These faculty members' performance should be evaluated using the department's Standards and Criteria, using processes similar to those employed for tenure-track faculty.

9.2 Contract Renewal and Reappointment of Part-Time or Short-Term Appointments

At the ranks of Assistant Teaching Professor (less than half-time), Fellow, Research or Teaching Associate, Investigator, or at any Adjunct, Visiting, or Contingent and Concurrent 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.

All term appointments are contingent upon ongoing funding availability and need for the courses and other duties outlined in hire and reappointment documentation. In the case of financial exigency, or of a lack of ongoing need for the courses and other duties, Brown reserves the right to terminate this contract. Contract terminations will happen no later than July 1 for responsibilities in the fall semester and December 1 for responsibilities in the spring semester.

9.3 Promotions of Research Faculty, Faculty of Practice, and other Term Faculty

Recommendations for promotions of Research Faculty, Faculty of Practice, and other term faculty with multi-year appointments will be carefully reviewed by the voting members of the department's faculty, the appropriate faculty affairs committee as needed, and the appropriate Dean.

The materials for promotion are described in the TPAC Dossier Preparation Guide (or following the equivalent CMFA or PHFA guidance). When promotion is to Associate or full Professor (Research), Associate or full Professor on the Research, Teaching, or Clinician track, or Associate or full Professor of Practice, the recommendation must be reviewed by TPAC, CMFA, or PHFA. Chairs/Directors should prepare these cases with commensurate care following the guidelines defined in the TPAC Dossier Preparation Guide (or following the equivalent CMFA or PHFA guidance). 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 cover 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 or other faculty affairs committee. After review by the appropriate faculty committee (TPAC, CMFA, or PHFA), the recommendation will be forwarded to the appropriate Dean.

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.

Promotion of faculty to the rank of Senior Research Scientist or Distinguished Senior Research Scientist is based on a candidate's record of research accomplishment, based on the faculty member's CV, research statement, and other materials as required by the Departmental Standards and Criteria and relevant Dean. The review should be conducted at the beginning of the final year of the faculty member's contract, and should be voted on by the unit faculty. The dossier, including at minimum a cover letter in which the recommendation is amply explained; minutes of the meeting at which the recommendation was discussed and voted, including a record of the vote; the curriculum vitae; and statement of accomplishment of the candidate for promotion must be provided to the relevant Dean for review. Once 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.

The timing of promotion varies among the different faculty ranks and appointments. However, Assistant Professors on the research scholar track must be evaluated for promotion to Associate no later than the penultimate year of their third three-year contract. If the promotion is not successful, or if the Assistant Professor chooses not to be reviewed for promotion, they may be appointed to the appropriate rank in the Research Scientist track, depending on their level of experience and accomplishment and as recommended by the Department and Dean. Generally, faculty may not be reviewed for promotion more than once, except in extraordinary circumstances.

Chapter 10. Designated Chairs, Endowed or Named Chairs, and University Professorships

10.1 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 appropriate Dean.

10.2 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.

10.3 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 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 each spring. Royce Professors will be selected by the Deans, Provost, and President.

10.4 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 Dean. The Provost's office will request recommendations from each Dean each spring. The Deans will advise the Provost on appointments of Endowed Assistant Professors.

Chapter 11. 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, not including medical or parental leaves, and no more than four semesters of leave (other than medical or parental leaves) are 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 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 on the BioMed Faculty Administration Forms and Documents page.

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.

11.1 Sabbatical Leave

Sabbatical leave is granted only to tenure-track faculty and such officers of the University as the President may nominate.[10] 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 appropriate 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

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

nine semesters, e.g. In cases where such off-cycle sabbaticals are approved, they will result in loss of credit toward 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.[11]

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 appropriate Dean and via the University's Conflict of Interest Reporting process.

11.1.1 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 Department 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.

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

11.1.2 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.

11.2 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 appropriate 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.

11.3 Scholarly Leave

Scholarly leave may be granted to Assistant Teaching Professors, Associate Teaching Professors and full Teaching Professors. 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."

Assistant Teaching Professors, Associate Teaching Professors and full Teaching Professors 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.

11.4 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 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.

11.5 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.

11.6 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.

11.6.1 Parental Leave and Parental Teaching Relief

Brown University provides six weeks of parental leave and, when appropriate, teaching relief for faculty members caring for newborn children or newly adopted children. The time used for teaching relief outside of the six weeks of parental leave 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 caring for an infant or newly adopted child.

Faculty in the ranks listed below 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 caring for the child 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 8.2.1, Parenting a New Child.

- Eligible Faculty:
    - Faculty eligible for parental leave and teaching relief are tenure-track faculty members, Teaching Professors, and faculty on the teaching scholar track at all ranks.
    - Faculty eligible for parental leave only are term faculty members holding the titles of Assistant, Associate, and full Professors of the Practice; Assistant, Associate, and full Professors (Research); Assistant, Associate, and full Professors on the Research Scholar and Clinician Scholar tracks; and Research Scientists, Investigators and Research Associates at all ranks. Postdoctoral Fellows, Postdoctoral Research Fellows, and Postdoctoral Research Associates are covered by the policies described on the Postdocs at Brown website.
    - To be eligible, the faculty member must average 75 percent effort or greater and who are on a contract of a year (defined as either 12 consecutive months or 2 consecutive instructional semesters) or more and who have been at Brown continuously for at least a year, who become natural or adoptive parents of a newborn or newly adopted child. Tenure-track faculty in their first year of employment and who become natural or adoptive parents of a newborn or newly adopted child are also eligible.
- Benefit:
    - As with all employees, faculty are eligible for full FMLA unpaid leave per RI and federal law per the FMLA University Policy.
    - Faculty who meet the above criteria will be eligible for up to six weeks of paid time off to care for a newborn or adopted child. Faculty can request to take the six weeks intermittently and the schedule must be approved by the supervisor(s). This leave is considered concurrent with the FMLA leave.
    - Faculty members must seek formal leave status through the relevant Faculty Affairs Unit to document leave dates.
- Funding Source:
    - In most cases, the salary while on approved and documented parental leave will be funded by non-grant sources at the school or department level. In some cases where grants or contracts support the faculty member, partial or full support may come from grants. Faculty should consult with their grants administrator and relevant Dean's office to determine funding avenues.

- Parental Teaching Relief:
    - Tenure-track faculty members and Teaching Professors are also eligible for Parental Teaching Relief in a time frame that is coordinated with the department/Dean and, if pre-tenure, an automatic one-year appointment extension. Teaching relief should be taken concurrently with six weeks of paid time off (reference handbook).
- Other Considerations:
    - In cases where a faculty member was paid less than full-time before the leave, the salary during parental leave will be equal to the average effort over the prior year.
    - The weeks of leave must be taken in increments of at least one full week within 365 calendar days consecutively and must be initiated within 12 weeks of the birth or placement for adoption. The weeks do not need to be taken consecutively but must occur within the individual's contracted appointment.
- Other Considerations in the School of Public Health:
    - Faculty in their initial salary guarantee period will have the salary guarantee extended for the period they are on documented medical/FMLA leave. Any other appointment extension will not extend the salary guarantee. Bridge funding may be available through the Bridge Funding Policy if faculty encounter gaps in grant funding.

11.6.2 Time Off for Postdoctoral Researchers

Postdoctoral Research Associates All Postdoctoral Research Associates who work 50 percent time or greater and are exempt employees shall accrue vacation time at a rate that results in a maximum accrual of twenty-four (24) working days per calendar year. Vacation days for part-time postdocs are paid in proportion to effort. Vacation time shall accrue on a monthly basis, beginning on the employee's first day of employment. Vacation time should always be arranged in advance with the PI or sponsoring department. Vacation time must be requested by the postdoc through the *Time Off* application in Workday and approved by the supervisor.

Postdoctoral Research Associates who have been employed by Brown for a year or more will receive payout for unused vacation time only 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.

Postdoctoral Fellows Postdoctoral Fellows are eligible to accrue vacation time at a rate that results in a maximum accrual of twenty-four (24) working days per calendar year. (Vacation days for part-time postdocs are paid in proportion to effort.) Vacation time shall accrue on a monthly basis, beginning on the employee's first day of employment. 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. Because Postdoctoral Fellows receive an external stipend and are not employees, they are not eligible to receive a payout for unused vacation time, unless otherwise specified by the fellowship's terms.

Postdoctoral Research Fellows Postdoctoral Research Fellows should follow the terms of their fellowship with respect to time off. While Postdoctoral Research Fellows are neither employees nor union-eligible, it is best practice to plan some personal time during the year, and it is recommended that their vacation time align with the time away for Postdoctoral Research Associates and Postdoctoral Fellows. Postdoctoral Research 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.

11.6.3 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.

11.7 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 Dean.

Chapter 12. Leaving the University

12.1 Expirations of Contracts and Terminations

Members of the faculty whose contracts are subject to simple expiration include all "temporary" faculty (see Chapter 3: Academic Responsibilities and Ranks). At least a month before the term appointment of such a faculty member is to lapse, the department should handle the termination process via the Human Resources system.

Under Faculty Rules, specific procedures need to be followed when the contracts of tenure-track or Teaching Professor-track members of the faculty are not being renewed:

- If a department is recommending the termination of employment of a faculty member in a tenure-track position, then the procedures for a complete tenure review must have already been followed (this normally occurs in the penultimate year of the contract; see Chapter 8), except in those cases where the untenured faculty member has stated in writing that no tenure review is desired. A contract may also end following a negative recommendation for reappointment that occurs prior to the tenure review, or if the reappointment review has been waived in writing by the candidate.

- For faculty in the Teaching Professor track, a review to consider whether the faculty member will be reappointed and/or promoted should normally have been conducted on the required timetable unless the candidate indicates that they will resign at the end of their term and/or waives the right to a review in writing.

- Contracts may also expire at the end of the appointment for individuals who were informed, as a condition of their employment, that their positions at the University could not lead to promotion, tenure, or reappointment, 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.

12.1.1 Termination of term faculty in advance of the contract end date

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.

12.2 Resignations

When a member of the faculty plans to resign from the University, the department Chair should send to the appropriate Dean's office a copy of the individual's official letter of resignation. The resignation letter will be acknowledged by the Dean.

The usual date of resignation is June 30 of any given year; occasionally a faculty member will resign effective December 31. 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 Dean or their designee will, whenever possible, interview all regular faculty members who resign positions at Brown University.

12.3 Retirement

Faculty who intend to retire from active service should send a letter to the appropriate Dean to this effect. Faculty seeking additional information about retirement options should contact the Provost's office for details.

12.3.1 Emeritus Status

When a faculty member retires, they may be eligible for appointment as Emeritus or Emerita. The University policy, effective July 1, 2024, is available here.

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.[12]

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.

12.4 Retired Faculty and Departmental Affairs

Certain privileges for emeritus faculty as well as 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 determines its own practices and is strongly encouraged to establish written guidelines governing the policy of the department regarding retired faculty.

Guidelines developed by the department should deal with matters under departmental control such as: mentoring students, conducting sponsored research, and service on committees. Emeritus faculty should be clearly informed regarding the degree to which the department permits or invites their participation.

12.4.1 Participation in Departmental Affairs

Retiring faculty who wish to maintain a connection with their departments and participate in some 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. It is advisable to have these understandings documented in writing in order to avoid possible future misunderstanding.

[12] 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)

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

- Mentoring Students

  Some departments welcome the assistance of emeritus faculty in mentoring students, especially in fields of their specialties. This may extend to serving on doctoral committees or supervising masters' or senior honors theses, subject to relevant policies regarding eligibility to serve as an advisor.

- Teaching

  The most common participation of emeritus faculty in the teaching program is giving guest lectures, on occasion or for a brief period when the regular instructor must be absent. When retired professors are enlisted to give a regular departmental course, they are normally appointed Professor Emeritus (Teaching) or Adjunct Professor and paid accordingly.

12.5 Other

12.5.1 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. The Office of the Provost is responsible for tracking these materials. Faculty members may not purchase a new computer within one year prior to their date of retirement with University funds, nor may they use University funds after the point of retirement for this purpose.

12.5.2 Access to Retiree Health and Dental Insurance

Brown University provides access to group post-retirement health and dental insurance for all eligible retirees and their spouses and/or partners. The University’s Benefit’s Office has the most up-to-date information on these plans.

Chapter 13. Conducting Research at Brown University

Research is an essential function of the University and its faculty, students, and staff. As such, Research is supported by many units in different levels of the University, including Departments, Schools, and central offices. Some Departments with large, active grant programs have staff to assist Faculty in the development, submission, and management of proposals and grants. At the School level, the Research Management Support group (RMS) supports faculty, staff, and students with proposals and grants in units within the Dean of the Faculty's office; the BioMed Research Administration (BMRA) serves as the research administration hub for faculty, staff, and students in the Division of Biology and Medicine; and the Research Administration team in the School of Engineering supports pre- and post-award management in ENGN. Central research management and support is led by the Division of Research. The Division oversees sponsored project management, limited-submission proposals, research integrity, internal grants, and approval of human-subject research, among other functions.

13.1 Research Management and Support

The Research Management Support (RMS) team provides hands-on assistance to faculty, staff and students throughout the life-cycle of an award. Support includes pre-award services, such as proposal preparation, submission, and budgeting, and post-award services, including financial management, monthly tracking reports, contract management and grant related hiring. The Research Management Support Group is a resource for the Social Sciences, Humanities, and Physical Sciences within the office of the Dean of the Faculty, and University Administrative Units such as the Library, Graduate School, and the Provost's office. Our team members have vast knowledge and can provide the tools you need to maximize your grant experience. The RMS team provides high-level comprehensive pre- and post- award management and has a broad scope and knowledge of research administration and financial matters.

13.2 BioMed Research Administration

The BioMed Research Administration (BMRA) office serves as the research administration hub for 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

Follow this link to the BMRA webpage

13.3 The Division of Research

The mission of Division of 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.

13.3.1 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 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.

13.3.2 Research Development

The Office of Research Strategy and Development (ORSD) helps faculty navigate the federal funding landscape and prepare competitive grant proposals. 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. 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. ORSD collaborates with school and college research development staff to support disciplinary proposals. Finally, the office also manages OVPR's internal research funding programs.

Follow this link to the ORSD website

13.3.3 Sponsored Projects

In collaboration with the school and college research administration hubs, 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 award acceptance providing the 'Authorized Organizational Representative" signature on contracts and grants; and dissemination of research policy information to campus. The Research Subcontracting Team is responsible for issuance of outgoing subcontract agreements with Brown's research collaborators and conducts subrecipient monitoring and reporting. The Grant & Contract Compliance Team is charged with management of the University's risk assessment and due diligence process for evaluating any reputational or legal risks pertaining to potential research sponsors. The Post-Award Team creates accounts in the Brown financial system to activate project spending, provides expertise on financial management of sponsored projects in the areas of expense reporting; cash management; monitoring of cost- share arrangements; coordination of the closeout process. The Research Financial Compliance Team is responsible for supporting sponsored project related audits including the university's annual audit of sponsored accounts, specialized financial reporting, financial quality assurance/quality improvement and effort reporting. The five 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 external funding agencies.

Follow this link to Sponsored Projects website.

13.3.4 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.

Follow this link to the Research Integrity webpage

13.3.5 Brown Technology Innovations

BTI is devoted to extending the impact of technology, goods, services and inventions resulting from research at Brown University. BTI acts as a one-stop-shop for Brown faculty and industry partners to evaluate inventions, file patents, commercialize intellectual property and launch startup companies. The BTI team helps Brown researchers navigate the patent process when research results in the creation of intellectual property, make connections with industry and entrepreneurs and translate technologies and inventions for the greater good. BTI works with faculty to protect their intellectual property, disclose their inventions and obtain patents and seek opportunities for licensing and translation.

BTI can help external companies and entrepreneurs seeking University research partners connect with Brown researchers specializing in their area of interest.

Follow this link to BTI webpage

13.3.6 Research Administration Information Systems (RAIS)

The RAIS team provides technical services to the research community for all electronic systems and data overseen by OVPR. The primary research systems of record at Brown: COEUS, InfoEd, and Huron. 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.

13.3.7 Research Agreements and Contracting

Research Agreements and Contracting (RAC) drafts, reviews, negotiates, and executes agreements and contracts which facilitate research at Brown, including material transfer agreements (MTAs), data use agreements (DUAs), unfunded or internally funded agreements, and other complex and unique contracts related to research at Brown that do not fall within the purview of any other offices on campus. For assistance with MTAs, please email MTA@brown.edu. For assistance with DUAs, please email DUA@brown.edu. For assistance with all other RAC research contracts, please email researchcontracts@brown.edu

Follow this link to the Research Agreements and Contracting website

13.3.8 Research Training Programs

Research Training Programs (RTP) works cross-functionally within the OVPR/Division of Research to develop and deploy learning opportunities and resources to Brown's Researchers. The team engages with researchers and research administrators in the areas of Sponsored Projects, Research Integrity, Research Strategy Development, Research Technology and Innovations and Research Administration Information Systems. The RTP team also collaborates with partners such as General Counsel, Talent Development and other critical research administration hubs, to develop and share research-related best practices and help deepen understanding and expertise in research administrative processes, policies, regulations and laws within the research enterprise.

Follow this link to the Research Training Programs website.

Chapter 14. 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.

14.1 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, 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. 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.

14.2 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 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.

14.3 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.

14.4 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 provides information relating to the rights of students under FERPA and Brown University's policies and procedures when complying with FERPA.

14.5 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.

14.6 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.

14.7 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 15. Miscellaneous Matters

15.1 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 report conflicts or the lack thereof annually, and 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 other 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 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.

15.2 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 can be found on the University Human Resources website.

15.3 Team Teaching

Generally team-taught courses involve multiple faculty with pre-existing Brown University appointments. Any deviations with this require approval from the appropriate Dean. The standard at Brown is one instructor per class, and faculty are normally expected to teach at least one course a semester. 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 should not 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 subject to the approval of the CCC when the course in question is first proposed, and whether it counts as one course for each faculty member is left to the discretion of the department Chair. Unless otherwise specified by the department Chair the team-taught class counts for one whole course for each faculty member. 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.

15.4 Course Load Requirements

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

- 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 and the appropriate Dean.

For the purpose of teaching (but not service or residency) requirements, faculty may count one course taught in Summer Session, but only if it is given for regular Brown credit and the teaching is not separately compensated.