

 <p><b>BROWN</b> Alpert Medical School</p>	<p><b>Faculty Preparation, Productivity, Participation, and Policies</b></p>	<p><b>POL: 04-00, includes:</b> POL No.: 04-03.01 POL No.: 04-03.02 POL No.: 04-04</p> <hr/> <p>Effective Date: August 2, 2019</p>
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## 1.0 Policy Purpose

The purpose of this policy is to govern preparation and appointments for potential and current faculty of the Warren Alpert Medical School of Brown University (AMS). This policy contains policies and guidelines related to the following:

- Qualification for Each Faculty Track (Element 3, Supporting Documentation 1)
- Procedures for Initial Faculty Appointment, Renewal of Appointment, Promotion, Granting of Tenure (if relevant), and Dismissal (Element 3, Supporting Documentation 2)
- Feedback to Faculty (Element 4)

Such policies are in place to ensure compliance with Liaison Committee on Medical Education (LCME) requirements for re-accreditation and correspond to elements of Standard 4 (Faculty Preparation, Productivity, Participation, and Policies).

## 2.0 To Whom the Policy Applies

All AMS community members and potential community members.

## 3.0 Policy Statement

### 3.1 Faculty Appointment Policies (POL No. 04-03.01 and POL No. 04-03.02)

#### 3.1.1 Qualifications Required for Each Faculty Track (POL No. 04-03.01)

##### Tenable Ranks

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

##### Other Ranks

##### **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. Upon certification that these requirements have been completed, promotion to the rank of Assistant Professor will normally follow. If the Ph.D. requirements are completed before the opening of the academic year, the promotion in rank and the attendant salary increase will be retroactive to July 1st. If, however, the Ph.D. is completed after the beginning of the academic year, promotion in rank will be effective at the beginning of the next semester, but the attendant salary increase will be effective on the first day of the calendar month following completion of the Ph.D. Instructors may perform the same duties as those in tenurable ranks, but their service in this rank is not counted as part of the probationary period.

### **Lecturer**

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

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

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

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

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

### **Distinguished Senior Lecturers**

Distinguished Senior Lecturers execute the responsibilities of Senior Lecturers at an exceptional level over a number of years, and demonstrate continued professional growth within their field. A consistent record of excellence in teaching and significant service to the department, University, and profession is required for promotion to Distinguished Senior Lecturer. Distinguished Senior Lecturers also demonstrate continued professional

accomplishment beyond the level required of Senior Lecturers. Individuals are normally eligible for promotion to Distinguished Senior Lecturer after a minimum of six years from appointment as Senior Lecturer. Reappointments at this rank may be made for periods of up to six years, according to the needs of the department.

### **Professor of the Practice**

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

Professors of the Practice are appointed based on their professional experience, on their ability to serve the projected needs of their program, and on their teaching effectiveness. Appointments 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 of any term length, 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, Public Health, or the School of Professional Studies, and do not require TPAC review. Reappointments at any rank and initial appointments at the ranks of Associate Professor and Professor of the Practice with a contract length of greater than one year require review by TPAC, the CMFA, or the PHFA as appropriate.

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

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

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

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

### **Adjunct Faculty**

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

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

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

Only those administrators whose administrative appointments are conditioned upon or result from regular (e.g. Instructors through Professors, and including Lecturers, Senior Lecturers, and Distinguished Senior Lecturers) faculty responsibilities may hold faculty titles without the prefix “Adjunct.” See above.

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

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

### **Visiting Faculty**

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

Visitors are non-voting members of the faculty.

### **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.

## **Research Faculty**

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

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

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

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

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

## **Appointments in Multiple Academic Units**

### *Affiliate Faculty:*

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

### *Secondary Appointment:*

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

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

Secondary appointments should only be made in cases where there is or will be an enduring engagement in the second unit. This engagement could take the form of teaching, advising,

research collaborations, or graduate and postdoctoral student training. Such details as voting rights, teaching expectations, and the term of the appointment should be articulated in a letter to the Dean requesting the appointment.

*Joint Appointment:*

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

**Non-tenurable Faculty Appointments Specific to the Division of Biology and Medicine and the School of Public Health**

**Research Scholar/Teaching Scholar Titles (renewable terms)**

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

*Instructor in (Department):* A faculty member who has completed training in 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 demonstrated with medical students and house officers, particularly through teaching, and will have demonstrated an interest in scholarship. Appointment at this rank is limited to two two-year terms, depending on the needs of the department.

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

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

*Professor of (Department), Research Scholar Track:* A faculty member who has established an independent or collaborative productive research program supported

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

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

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

### **(Research) Faculty**

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

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

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

*Professor of (Department) (Research):* A faculty member who has established an independent or collaborative program of high-quality, productive research supported by sustained, significant, external, peer-reviewed grants and who has continued to demonstrate research productivity since the appointment or previous promotion. For faculty in disciplines where collaborative, team-based research is the standard, the contribution should be substantive and distinct. An international reputation for research in

his/her area of expertise is required. Teaching, advising, and/or mentoring and service contributions to the University, its affiliates and the profession will be given positive consideration where a substantial role can be documented. Appointment at this rank is for a term of up to five years and may be renewed, depending on the needs of the department.

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

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

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

#### Clinical Titles include:

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

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

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

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

#### Clinician Educator Titles include:

*Instructor in (Department), Clinician Educator:* A faculty member who participates in academic programs and who interacts effectively with undergraduates, graduate students, medical students, postdoctoral trainees,

residents or fellows through teaching, advising and/or mentoring. Appointment at this rank is for a term of up to three years and may be renewed, depending on the needs of the department.

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

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

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

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

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

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

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

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

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

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

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

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

### 3.1.2 **Initial Faculty Appointment, Renewal of Appointment, Promotion, Granting of Tenure (if relevant), and Dismissal (POL No. 04-03.02)**

#### **Recommending the New Appointment, and Follow-up Steps**

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

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

#### **The Compliance Report**

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

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

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

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

#### **Pre-Selected Candidates**

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

#### **Tenure, Promotions, and Appointments Committee**

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

#### **The Offer**

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

A letter of appointment that is signed by the Dean and mailed to every prospective regular faculty appointee is the official and legally-binding offer of a faculty appointment at Brown

University. All financial commitments, including startup and salary, are specified in the appointment letter, as are any variations with University policies.

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

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

### **Joint Appointments**

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

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

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

### **Questions Relating Specifically to Foreign Faculty Members**

The appropriate Dean should be informed of the non-U. S. citizenship status of any individual for whom a regular faculty appointment is proposed. Faculty who are non-resident aliens, and who are appointed to tenure-track positions at Brown, are individually supported by the University in seeking appropriate U.S. visas. The expenses of this process are considered part of the "start-up" costs of appointing a new faculty member and should be negotiated with the appropriate Dean by the Chair at the time an offer to such an

individual is ready to be made. It is necessary in such cases for the foreign faculty members to consult with (and of course to follow the recommendations of) the Office of the General Counsel in attempting to procure an appropriate visa, but the University can in no case itself guarantee the granting of any U.S. Government document.

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

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

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

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

## **REAPPOINTMENTS, PROMOTIONS, AND TENURE REVIEWS**

### **Timely Review and Notification**

The University and the Faculty Rules and Regulations require that for regular faculty notice shall be given 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 for candidates being reviewed for promotion to associate professor with tenure. The deadline for submitting materials for other contract renewals (e.g. Senior Lecturers) is March 1.

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

The following should be noted:

- Unless an extension of contract is granted (see below), eight years of full-time service is the maximum amount of time a non-tenured faculty member may serve in a tenure-track position.
- In the case of a department's consideration of an untenured faculty member for contract renewal (i.e., reappointment), all of the evidence mandated for consideration by the department at the time of the individual's previous annual reviews (See Chapter 9) shall again be considered, plus any such new information of the same kind as the department and/or the candidate should deem relevant.

In the event of a departmental recommendation not to reappoint or to promote an untenured regular faculty member at the end of his/her 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 he/she has the right to appear before TPAC at the time the Committee takes up the department's recommendation.

## **Reappointment Reviews**

### *Assistant Professors*

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

- 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 himself or herself 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 letter should state in precise language the specific recommendation being made, including (except in the case of a negative recommendation) the 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 information on the following:

- 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.

More details regarding required documentation may be found in Appendix C of the Handbook of Academic Administration.

### **Lecturers, Senior Lecturers, and Distinguished Senior Lecturers**

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

### **(Research) faculty**

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

### **Department Procedures for Tenure Review**

The promotion of an assistant professor without tenure to the rank of associate professor with tenure is of course a major milestone in any academic career, indeed perhaps the most important professional review that a career scholar is likely to undergo. Accordingly, the procedural requirements and safeguards of this review process have been developed with

the greatest care and are now exceptionally well-codified. Note that many of the steps in the tenure review process are relevant for other types of promotion, to any rank. For a detailed treatment of these requirements and of the specific documentation that is involved, see Appendix C of the Handbook of Academic Administration and 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 reappointment or tenure decision must take account of a candidate's complete range of accomplishments over time.

The review for promotion from assistant professor to associate professor is to be conducted no later than the seventh year of the probationary period (except in cases of extension, described in 10.2 of Handbook of Academic Administration). 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. The timing of the tenure review is thus 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. When the candidate and the department agree to proceed with an "early" review, the end date of the contract will be adjusted to provide for one terminal year in the event of a negative review; the candidate shall be informed of this and indicate his or her agreement to the change in writing.

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).<sup>9</sup>

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, each department, center or program shall have a separate tenure committee meeting and make

separate evaluations and recommendations unless a different process for review has been specified at the time of the initial appointment.

The candidate will prepare for the tenure committee a short list of outside individuals (3-5 names) who would be appropriate external reviewers. The candidate may also prepare a list of any individuals whom s/he would prefer not be asked to serve in this capacity, along with the reasons for excluding them; these list(s) should be included in the dossier that is ultimately forwarded to TPAC. The candidate's objections to particular evaluators must be considered by the tenure committee but do not constitute a binding veto on the composition of the final list of evaluators. At the same time, and without knowledge of the names the candidate has supplied, the tenure committee will independently identify individuals who are acknowledged scholarly and/or educational leaders in the discipline from whom to seek confidential written comments on the quality of accomplishment of the individual under review.

The tenure committee will then review the candidate's suggestions, and will compile a single combined list of evaluators, which must include no fewer than three names from the candidate's list. The committee should bear in mind that the completed dossier should have more letters from committee-recommended evaluators, than from candidate-recommended evaluators and should balance the requests to maintain the appropriate ratio. This list, which is not to be shared with the candidate, will be forwarded to the appropriate division's dean along with brief biographies, for review and comment.

After the list of evaluators has been finalized, the department shall request confidential assessments of the candidate's scholarly work, using the standard format for such requests (a template is available on the DOF website, and in Appendix B of this Handbook). Note that at least eight letters are required for tenure review, and that these should be from individuals who are not former advisers or close collaborators of the candidate, or persons who previously provided written evaluations of the candidate at the time of initial appointment at Brown.

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

Before the dossier is submitted to TPAC, a statement of its contents (as detailed in Appendix C, and on the DoF's Tenure and Promotion webpage) shall be given 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 copies of any of the materials or publications held by the tenure committee shall also be sent to those tenured faculty members in the department not in residence, upon request. Tenured faculty not in residence shall be requested to send written statements concerning the candidate to the chair of the tenure committee, but failure to receive the statements from absent members shall not prevent completion of the evaluation and recommendation process.

At a duly called meeting of the tenured faculty, with at least a week's notice, the tenure committee will present the evidence on scholarship, teaching and service. At this meeting, or at another scheduled meeting, the candidate must be given the opportunity to appear before the department's tenured members. 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.<sup>11</sup> 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 s/he chooses 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.

### **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.

### **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.

### **Guidelines for Other Promotion Reviews**

#### *Lecturer to Senior Lecturer*

Academic units must have on file with the appropriate dean an approved set of standards and criteria for promotion to the rank of senior lecturer, if this is appropriate in their case. (See Chapter 8). While there may be some considerations that are unique to a particular department or program, common criteria include the following: (a) excellence in teaching over several years; (b) long-term need for the appointment in light of the needs of the department; (c) service, including advising students and participating in departmental affairs; and (d) professional accomplishments and recognition. In terms of (d), it is not necessarily the case that professional accomplishment will be demonstrated through research and scholarship. Although this may be true in some cases, professional accomplishment may take different forms, e.g., participation in professional societies in the field of the candidate's expertise, work on pedagogy, development of instructional materials, and so on.

Promotion to senior lecturer follows the same requirements for documentation as for other promotions, including the solicitation of letters from evaluators, though in this case the required minimum number of letters is five. The department should seek a similar ratio between candidate- and department-recommended reviewers as that ratio used for tenure cases, and the final list of reviewers submitted to the dean should have two candidate-recommended reviewers. Because of the fact that the emphasis in lecturer appointments is on teaching, it is not always necessary or appropriate to require that all letters be from evaluators outside of Brown (see Appendix C for recommendations on evaluators). 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 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 (including letters from evaluators outside Brown), and after a vote taken at a duly called meeting of the faculty of the department, at which a quorum is present. The timing and procedures should be consistent with those followed for promotion from the rank of assistant professor to associate professor.

#### *Senior Lecturer to Distinguished Senior Lecturer*

For promotion to take place, the academic unit must have on file with the appropriate dean a set of standards and criteria for promotion to the rank of distinguished senior lecturer. The criteria for promotion to distinguished senior lecturer require important contributions to teaching and professional service at Brown and beyond as evidenced by most of the following: (a) sustained and documented teaching excellence as attested by student and peer evaluations; (b) service to the department, university, profession, and community; (c) recognition as a role model, advisor, and mentor for undergraduate and/or graduate students as well as colleagues; (d) 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); (e) a record of outstanding educational scholarship (this 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); (f) research effort within their discipline (while not normally required this may be taken into account as appropriate).

Promotion to distinguished senior lecturer follows the same requirements for documentation as other promotions, including the solicitation of letters from external evaluators. Five letters from evaluators external to Brown are required. They should be from individuals who are best suited to provide assessment, who serve in positions similar to the distinguished senior lecturer role or are tenured faculty engaged in pedagogical research or related programs at other institutions. Letters may be solicited from individuals who have previously written for the candidate's appointment or promotion, keeping in mind that the majority of letters should be from new evaluators. Additional letters may be solicited from individuals at Brown (but not in the candidate's department). The department should seek a similar ratio between candidate- and department-recommended reviewers as that ratio used for tenure cases, and the final list of reviewers submitted to the dean should have two candidate-recommended reviewers. 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 and procedures should be consistent with those followed for promotion from the rank of lecturer to senior lecturer.

*Instructor to Assistant Professor*

Promotion occurs upon completion of requirements for the Ph.D. degree. The academic unit should send a letter addressed to the appropriate dean requesting the change, with a copy of the certification of completion of the requirements for the Ph.D. degree (supplied by the faculty member's graduate school).

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

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

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

*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](#). Though the Faculty Rules do not explicitly require this, 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.

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

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

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

TPAC reviews personnel recommendations coming from departments or other academic units for:

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

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 which 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 he/she feels 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 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.

Peer esteem, both within and outside the university, is a valuable indicator of scholarly ability and achievement. Established scholars who come to Brown with tenure must be widely recognized as leaders in their disciplines. Younger scholars must have achieved a level of scholarly accomplishment and recognition that stands on its own, and moreover signifies great promise. In either case, the quality and not the quantity of scholarly production should be paramount. (Faculty Rules and Regulations, Part 1, Section 2, VI.B.1.c)

Promotion to full professor at Brown is contingent on fulfillment of the promise on which tenure was originally granted. Specifically, full professors will have produced a distinguished body of scholarship since their previous promotion; will have achieved standards of excellence in teaching; and will have contributed regularly to faculty governance as well as to the intellectual life of their department, university, and profession.

All recommendations for appointment, reappointment, promotions and tenure at regular faculty ranks are sent to the appropriate division's dean.

### **Non-Regular Faculty**

Non-regular faculty members hold appointments other than those in the professorial ranks (including assistant, associate, and full professor) or those in the lecturer/senior lecturer/distinguished senior lecturer category. The titles held ordinarily include a prefix (Adjunct or Visiting) or suffix (Research). For more detail regarding ranks and titles, see above herein, and Chapter 4 of Handbook of Academic Administration.

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

### **Contract Renewal and Reappointment**

At the ranks of Lecturer (less than half-time), Fellow, Research or Teaching Associate, Investigator, or at any Adjunct or Visiting ranks, or when one has been initially appointed at any rank, regular or non-regular, 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 non-regular appointments of whatever duration are understood to be terminal appointments, and therefore do not require specific advance notice from the University regarding possible reappointment.

### **Promotions**

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

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

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

## **EXPIRATIONS OF CONTRACTS AND TERMINATIONS**

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

Under Faculty Rules, procedures more involved than these need be followed when the contracts of regular members of the junior faculty are not being renewed. If a department is recommending the termination of employment of someone who is in the penultimate year of the probationary period, then the procedures for a complete tenure review must have already been followed (see above and Chapter 10 of Handbook of Academic Administration), except in those cases where the untenured faculty member has stated in writing that no tenure review is desired. Another exception to this

requirement is allowed for individuals who were informed, as a condition of their employment, that their positions at the University could not lead to promotion or tenure, or who were informed as a result of an earlier review that their current contract is the final one.

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

### **Non-Regular Faculty Terminations**

On rare occasions departments or principal investigators will encounter mid-contract problems with non-regular 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 non-regular 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 non-regular faculty hiring, enumerating expectations he or she is 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 he or she 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.

## **3.2 Feedback to Faculty (POL No. 04-04)**

### **ANNUAL AND MID-CONTRACT REVIEWS OF FACULTY**

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

#### **Procedures**

The appropriate Dean shall annually write to all non-tenured regular faculty apprising them of the requirement for a review of their performance and of the existence of written departmental standards and criteria for contract renewal and promotion. Reviews of Assistant Professors and Lecturers are annual; reviews of Senior Lecturers and Distinguished Senior Lecturers must take place once in the middle of the term of appointment, and 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 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 his/her scholarly publications
- Material on teaching performance (including student teaching evaluations and tabulations), 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 his/her dossier, so that it contains up-to-date material on, as appropriate, teaching (including courses taught, student evaluations from courses and tabulations, 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 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 thus relevant to the evaluation.

Some departments at the time of their annual 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 tenure decision, relying instead during the interim on the judgments of external editorial boards 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 review of each regular faculty member required to be reviewed will be conducted at a duly called meeting of the tenured faculty, where the contents (except for salary letters) of the individual's dossier will be reviewed and his/her 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 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. The written review should be circulated among the faculty who participated in the review to ensure the accuracy of the consensus or reports of any disagreements and the draft should be submitted to the appropriate divisional Dean of 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 him or her with a copy. A copy of this report shall be placed in the individual's official department (division) file, and a copy should also 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 final evaluation report, and such comments shall also be placed in his/her 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. 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.

### **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 face decisions on reappointment, promotion, and tenure should undergo teaching evaluation on a regular and comprehensive 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 evaluations solicited from students, 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 him/herself. 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 evaluations, syllabuses and course material (including online course material), and peer observations of teaching. Guidelines for peer observation may be found on this page of the Dean of the Faculty's website.

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

6. A summary evaluation of each teaching activity will be given in the department Chair's annual review of junior members of the faculty. At the same time, reasonable opportunity should be given for such an individual to review, rebut or comment upon his/her 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, or other such appropriate materials, unless they are being catalogued elsewhere.

#### **Annual Reviews of Non-Regular Faculty**

Department Chairs are also responsible for ensuring that untenured adjunct faculty and research faculty on multi-year contracts also receive annual reviews of their performance. The process for reviewing the performance of non-regular faculty need not be as formal as that for regular faculty. Adjunct and Research Faculty as well as Post-doctoral Fellows may be reviewed by their faculty research supervisor and/or the PI(s) on the grant(s) from which they draw salary. A written record of the review, including the points covered and responses made by the faculty member under review, should be maintained at the departmental level but need not be forwarded to the Dean's office.

#### **4.0 Definitions**

For the purpose of this policy, the terms below have the following definitions:

- 4.1 **AMS:** The Warren Alpert Medical School of Brown University
- 4.2 **CFAC:** Clinical Faculty Advisory Committee's mission is to represent the clinical and clinician educator faculty and to acknowledge and promote their essential role in the success of the academic/educational enterprise at AMS.
- 4.3 **Council of Clinical Chairs:** Comprised of the 14 clinical department chairs and the two hybrid department chairs (Pathology and Medical Science). This council advises the Dean on issues relevant to AMS.
- 4.4 **MFEC:** Medical Faculty Executive Committee serves as a central steering committee for the hospital-based faculty of the Warren Alpert Medical School. Its charge includes investigation of matters of particular concern to the medical faculty, including grievances.

#### **5.0 Responsibilities**

All individuals to whom this policy applies are responsible for becoming familiar with and following this policy. University supervisors are responsible for promoting the understanding of this policy and for taking appropriate steps to help ensure compliance with it.

Responsibilities include the department/office of the subcommittee responsible for the Standard; for Standard 4, this is primarily Senior Associate Dean of Academic Affairs and Assistant Dean of Women in Medicine and Science.

#### **6.0 Consequences for Violating this Policy**

Failure to comply with this and related policies is subject to disciplinary action, up to and including suspension without pay, or termination of employment or association with the University, in accordance with applicable (e.g., staff, faculty, student) disciplinary procedures.

Brown's Ethics and Compliance Reporting System allows anonymous and confidential reporting on matters of concern, including privacy issues, through the EthicsPoint platform.

Failure to comply with this policy will be referred to the appropriate individual or group, specifically the Committee on the Learning Environment for issues with the learning environment or the Senior Associate Dean of Academic Affairs for issues with faculty.

## 7.0 Related Information

The following information complements and supplements this document. The information is intended to help explain this policy and is not an all-inclusive list of policies, procedures, laws and requirements.

### 7.1 Related Forms:

- Data Collection Instrument for Standard 4: Faculty Preparation, Productivity, Participation, and Policies, as submitted to the LCME in July 2020.
- Link to Handbook of Academic Administration: <https://www.brown.edu/about/administration/dean-of-faculty/handbook-academic-administration>

### 7.2 Other Related information:

- **LCME Standard 4: Faculty Preparation, Productivity, Participation, and Policies.** The faculty members of a medical school are qualified through their education, training, experience, and continuing professional development and provide the leadership and support necessary to attain the institution's educational, research, and service goals.
  - Standard 4, Element 3: Faculty Appointment Policies. A medical school has clear policies and procedures in place for faculty appointment, renewal of appointment, promotion, granting of tenure, remediation, and dismissal that involve the faculty, the appropriate department heads, and the dean, and provides each faculty member with written information about his or her term of appointment, responsibilities, lines of communication, privileges and benefits, performance evaluation and remediation, terms of dismissal, and, if relevant, the policy on practice earnings.
  - Standard 4, Element 4: Feedback to Faculty. A medical school faculty member receives regularly scheduled and timely feedback from departmental and/or other programmatic or institutional leaders on his or her academic performance and progress toward promotion and, when applicable, tenure.

## 8.0 Policy Owner and Contact(s)

8.1 **Policy Owners:** Subcommittee Standard Offices related to this policy: Office of Academic Affairs

8.2 **Policy Approved by:** MFEC, CFAC, the Council of Clinical Chairs, Dean of Medicine and Biological Sciences

8.3 **Subject Matter Contact:** Senior Associate Dean of Academic Affairs  
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## 9.0 **Policy History**

9.1 **Policy Effective Date:** January 1, 2017, and August 2, 2019. See 9.3 below.

9.2 **Policy Last Reviewed:** August 2, 2019

9.3 **Policy Update/Review Summary:** Handbook of Academic Administration, in which the policies herein are found, undergoes annual review with the most recent update on August 2, 2019. The changes to faculty track policies (POL 04-03.01 and POL 04-03.02) were made for Clinical Department titles, and standards and criteria for appointments and promotions. Such changes were last finalized and approved by MFEC, CFAC, the Council of Clinical Chairs, and the Dean of Medicine and Biological Sciences in August 2016, and went into effect on January 1, 2017. The entire Handbook of Academic Administration was approved by the chairs of MFEC and CFAC. Formatted to comply with the new University Policy template.

**Key Words:** faculty, appointment, track, tenure, promotion