

**Review of Faculty Governance
Report by the Faculty Executive Committee
February 2008**

A. Background and procedures

The Task Force on Faculty Governance mandated that a review of the new system of faculty governance implemented in July 2003 be undertaken after three years by the Faculty Executive Committee (FEC). The intent behind this review was to ensure critical examination of the sweeping changes in the Faculty Rules and Regulations and administrative procedures and to determine if they had in fact succeeded in strengthening (a) faculty self-governance in matters affecting the Faculty, such as faculty appointments, promotions, tenure, creation and abolition of academic units, evaluation of faculty merit and salaries, and academic budgets, and (b) the participation of the Faculty in setting the academic priorities for Brown.

Taking up this charge, the FEC conducted an exhaustive review of the clarity of charges to committees, councils and advisory boards, the extent to which the charges are being covered, and the effectiveness of the work being done. It distributed a survey (see Appendix I) last year to the faculty chairs and vice-chairs of committees, councils and advisory board for feedback about the effectiveness of their respective bodies. The FEC has also received input from faculty chairs and vice-chairs through their regular annual reports to the faculty and at luncheons hosted by the FEC. Open informal meetings have been held this year for all faculty members to discuss faculty governance issues with the FEC. Additionally, issues related to faculty governance arose in the discussions the FEC had with department chairs, junior faculty and others on the Plan for Academic Enrichment. The FEC has also spent considerable time in its meetings discussing the new system of faculty governance and the FEC Officers and/or members have met with the chairs and/or members of several committees including the Tenure, Promotions and Appointments Committee, the Committee on Diversity in Hiring, and the Committee on the Status of Women.

This report summarizes what the FEC has learned through its review about the strengths and weaknesses of the revised system of faculty governance. The main body of the review is divided into four sections. The first section deals with the two committees designed to bring the faculty and Senior Administration together to make decisions about academic priorities and the allocation of university resources. The second section addresses the four committees that cover faculty personnel issues such as hiring, reappointment, tenure, promotion, diversity, equity and compensation. The third section evaluates the committees, councils and advisory board that oversee the undergraduate and graduate curricula. The final section reports on the remaining committees and advisory boards. In each section, recommendations are presented that strengthen those areas where faculty input or the governance structure is weak, and that eliminate overlap in charges of different committees that have muddled the lines of authority and responsibility. Recommendations to modify charges and procedures are also presented in response to concerns among the faculty about the limitations of some current practices.

Brown University has a proud and distinguished tradition of independent faculty self-governance that is envied by her peers. The 2003 revision of the governance system strengthened our faculty voice in important areas particularly those concerning academic directions, budgetary recommendations and faculty tenure and promotion recommendations. However, there are some areas where our voice was weakened. The FEC is concerned about two in particular, one related to the work of the former Affirmative Action Monitoring Committee (AAMC) and the other involving curricula matters. These are explained in detail in sections B.II and B.III respectively. The adjustments that we recommend for consideration by the Brown faculty are intended to

strengthen the process, and hence the quality of the outcomes, of faculty self-governance. The FEC welcomes critical evaluation of and comment on its report and recommendations.

B. Review of Faculty Self-Governance

B.I. Setting academic priorities and allocating resources

The creation of the Academic Priorities Committee and the replacement of the Advisory Committee on University Planning (ACUP) with the University Resources Committee by the Task Force on Faculty Governance promised significant advances in faculty self-governance and represented exciting opportunities for substantive faculty input into high level decision making about the academic directions of the university and the allocation of resources to support new directions and initiatives. For the most part, these committees have functioned very well and the faculty members serving on them have reported largely positive experiences. The FEC considers both committees to have strong potential for the faculty to exercise a powerful influence on the decisions affecting the future of Brown. However, it is worth noting some issues that were raised about the committees particularly in the years immediately following their creation as they speak to the need for and importance of good communication between governance structures and the Faculty at large.

B.I.a. The Academic Priorities Committee (APC). Survey feedback indicated a consensus of the committee that its work is important and that the meetings are productive and efficient. Comments about leadership were positive although there was no clear understanding about the nature and responsibilities of the position of the faculty vice-chair. The FEC was pleased to learn that committee members felt the Provost made good use of the committee and hopes that they can do more to dispel the perception of faculty at large that the elected faculty on APC may not be as independent of the Provost as they could be or should be. In the early days, there was a sense that the only initiatives to get approval by the APC were those initiated and/or supported by the Provost. Skepticism was further exacerbated by a lack of transparency in the process used to select faculty to run in the ballot election and in the process used to appoint the vice-chair. Per the APC charge, ballots are constructed by the Committee on Nominations “in consultation with” the Provost. This phrase has meant a lot of different things over the years. We should replace the language to make it clear just what the Provost's role is in the process.

B.I.b. The University Resources Committee (URC). There is no doubt that URC represents a considerable improvement on its predecessor, ACUP. Members of the URC are engaged in meaningful discussions of budgetary issues. The annual reports of the URC budget recommendations reflect the important and careful work of the committee. Some committee members have expressed suspicions that budget decisions are reached by administrators on the committee in advance of the general meetings. There is also some frustration that the budget for capital projects is not vetted by the URC. BioMed faculty have been especially discouraged by the lack of faculty input into budgetary decisions in the Division of Medicine and Biological Sciences. The faculty at large has been critical of the lack of transparency in the process used to select faculty members to run in the ballot election. Per the URC charge, ballots are constructed by the Committee on Nominations “in consultation with” the Provost. As is the case with the APC, this has meant quite different things.

B.I.c. Recommendations

- 1. It is recommended that “in consultation with the Provost” be replaced with language to make it clear just what the Provost’s role is in the process to construct ballots for APC and URC. If “in consultation with” means that candidates are in fact**

- selected by the Provost, it may be more honest to acknowledge this explicitly in the charge for each committee and on the ballots.
2. **It is recommended that the URC process provide more faculty involvement in scrutinizing the budget for capital projects.** While there have been enormous strides in giving the faculty a voice in academic directions and the annual operating budget, decisions concerning capital projects still rest exclusively in the hands of the administration.
 3. **It is recommended that the BioMed budget be subjected to more thorough faculty review.** This could be achieved through the URC process or through a review process by BioMed chairs or some subset of BioMed chairs reporting to the Dean of BioMed. In either case, there needs to be transparent decision making within the BioMed budget and faculty involvement in the process.

B.II. Committees relating to faculty personnel issues.

B.II.a. Tenure, Promotions and Appointments Committee (TPAC). Arguably the most important committee in the university, the Tenure, Promotions and Appointments Committee (TPAC) is responsible for making personnel decisions that affect the professional lives of individual faculty and the overall quality of the University's academic departments. Twelve tenured members of the faculty active in research and teaching, three each from the Humanities, Social Sciences, Physical Sciences, and Life Sciences, constitute the voting members. No more than one member of each academic division may have the rank of associate professor. Voting members serve staggered three year terms. The TPAC is chaired by a Full Professor in his or her third year of service. Non-voting members of the TPAC are the Dean of the Faculty, the Dean of the Graduate School, the Dean of Medicine and Biological Sciences, and the Dean of the College. The single most significant difference between the TPAC and its predecessor, ConFRaT, is that faculty personnel decisions on tenure, promotions and reappointments are now placed exclusively in the hands of the elected faculty members.

The initial operation of the TPAC was far from smooth. Confrontations with the Provost dominated the first year of its work but points of contention were eventually resolved following intervention by the FEC and the President. Among the most important agreements reached were that the Provost would act promptly on TPAC's recommendations, that the Provost would keep a written record of conversations with any external referees contacted in the Provost's own review of a candidate, and that the Provost would meet with the TPAC to explain those cases in which the TPAC's recommendation was reversed by the Provost. There have been two substantive changes to the TPAC charge since the committee was created in 2003. First, a negative recommendation by TPAC is now sent to the CDH after (rather than before) the Provost makes a decision and then only if that decision is in agreement with TPAC's; second, TPAC no longer considers the institutional needs in its evaluation of an individual faculty member.

At the beginning of the 2007-2008 academic year, the FEC Officers met with the TPAC to discuss a number of concerns regarding TPAC's membership and charge. These concerns included potential impact of lack of continuity in membership, of repeated representation of associates from the same department, and of member absences and quorums, the weighting of the number of outside letters, out of context reviews of departmental Standards and Criteria and outcome of recommendations for revisions to these documents, CDH's review of TPAC's negative recommendations, and interpretation of the charge to determine whether the academic unit's decision "was consistent with (1) the Corporation Statement on Non-discrimination".

Overall, the FEC is confident that the TPAC has served as a more effective vehicle than did ConFRaT for faculty personnel decisions. However, the FEC has been concerned about the composition of the TPAC, particularly its occasional lack of diversity and lack of membership stability. At one time, the active membership was all male; at another time, the elected membership was all white. There has also been substantial turnover in membership which can seriously jeopardize consistency in decision making across years. Other issues have been brought to the attention of the FEC by junior and senior faculty members, by some department chairs, and by some current and former members of the TPAC. These concerns cover a range of issues including a lack of responsiveness to the problematic funding climate, associate professors in rank for more than 10 years, timing of CDH's review of negative TPAC recommendations and a failure of the administration to provide follow up on TPAC's concerns about inconsistencies between a department's Standards and Criteria and the review process. These concerns will be described in detail as we outline our recommendations for change.

B.II.b. Recommendations

- 1. Promotion to Full Professor.** Brown has an alarming number of tenured faculty who have remained at the rank of associate professor for more than 10 years. The majority have never been brought forward for a promotion to Full review. This profile is not found at our peer institutions and is in conflict with the university's own expectation and practice that promotion to Full Professor is normally attained after six years in rank. The FEC agrees with the TPAC that the current situation is not a healthy one for the university. The following steps are proposed by the TPAC and endorsed by the FEC to offset further worsening of this situation.
 - a. It is recommended that a promotion to Full Professor review be conducted no later than a candidate's tenth year in rank at the associate level. A provision should be made for a candidate to opt out of the review.** (see Appendix II for the TPAC's full proposal)
 - b. It is recommended that the Dean of the Faculty write to department chairs asking for their plans, in writing, to bring forward for promotion review to Full Professor associate professors in their fifth year in rank, with a copy to the candidates.**
 - c. It is recommended that the TPAC and the Dean of the Faculty develop a timetable to bring forward for promotion review any associate professor in rank for more than 10 years who has never been considered by TPAC or ConFRaT for promotion to Full Professor.**

- 2. Initial appointments and extension of the tenure clock.** There is substantial concern at all levels of the university about the current timing of reappointment and tenure reviews. Much of this concern stems from the increasingly bleak prospects of attaining federal funding for research in the sciences (Life/Medical and Physical) within two or three years of the initial appointment. The current schedule also leaves less time for adequate appraisal at reappointment of teaching accomplishments in the sciences due to the release time given for laboratory set up. To begin to address these problems, the FEC asks the TPAC to consider the implications of reversing the durations of the initial appointment and the reappointment. The impact of this change, if implemented, should be assessed prior to experimenting with a flexible tenure clock.
 - a. It is recommended that the TPAC develop a proposal for making the initial appointment be for 4 years and the reappointment be for 0 or 3 years.**

- 3. TPAC membership.** The FEC recognizes the importance and value of the work done by the TPAC and the heavy burden that all faculty endure serving on this committee. The time commitment is extremely demanding, especially in the Spring semester. However, although the FEC does not propose changing details about eligibility for service on the TPAC, we agree with former and current members of the committee that the demands on time are generally unsuitable for tenured faculty at the associate rank. The FEC also agrees that any associate professor on TPAC who is up for promotion creates multiple conflicts of interest and should recuse him or herself for the academic year in which his or her promotion is considered. In order to minimize the disruptive effect on consistency in decision making of vacancies due to leaves and recusals, the FEC proposes the establishment of a pool of former TPAC and ConFRaT members from which to fill these short-term vacancies. The FEC will work more closely with the Committee on Nominations in selecting candidates for the ballot election to the TPAC. This will provide an additional check on diversity and other membership issues such as repeated representation through successive terms from the same department.
- a. **It is recommended that an associate on TPAC up for promotion to Full recuse him or herself for the entire year.**
 - b. **It is recommended that a pool of past TPAC and ConFRaT members be established to fill short-term vacancies on TPAC and that these vacancies be filled promptly before the start of the semester.**
 - c. **It is recommended that the FEC develop a closer working relationship with the Committee on Nominations to help identify candidates for election to TPAC.**
- 4. TPAC charge and operation.** There is little clarity with respect to what it means for the TPAC to determine if an academic unit's decision "was consistent with (1) the Corporation Statement on Non-discrimination". The FEC suggests that the TPAC ask the Office of Institutional Diversity for written guidelines for making such a determination and for examples of the kind of evidence that would show that a decision was not consistent with this statement. Other issues that have come up this semester as the FEC further scrutinized the TPAC charge include the inadvertent consequences of a motion approved in Spring 2006 to processes that previously allowed a candidate to request, in writing, the rationale for the TPAC's decision, be it positive or negative. The FEC would also like to bring the language in the charge related to an appeal to the President in line with current practice. Finally, the FEC would like the TPAC to consider incorporating into its charge procedures described in the Handbook of Academic Administration for cases in which a departmental recommendation is against reappointment, promotion or tenure.
- a. **The FEC recommends that the TPAC ask the Office of Institutional Diversity for written guidelines for executing that part of its charge to determine whether the academic unit's decision "was consistent with (1) the Corporation Statement on Non-discrimination".**
 - b. **The FEC endorses TPAC's plan to schedule out of context reviews of Departmental Standards & Criteria on a 5 year cycle and the Dean of the Faculty's plan to post examples of well crafted statements on his website.**
 - c. **The FEC recommends that the Dean of the Faculty or Dean of Medicine and Biological Sciences provide, as appropriate, follow up to TPAC regarding (i) TPAC's suggestions for revisions to a Department's Standards & Criteria or (ii) cases where TPAC finds a discrepancy between process and the Standards & Criteria.**

- d. **The FEC recommends restoring processes that were inadvertently altered by changes proposed in a motion approved 4/4/06 that were only intended to remove redundancy. Thus, the FEC recommends that language be added to ensure that at the end of its review, TPAC shall, upon request, inform the individual and Chair concerned of the rationale for its decision, be it positive or negative. Time limits need to be placed on providing this information and for the candidate to respond before the CDH review process is initiated.**
 - e. **The FEC recommends that in an appeal to the President, a candidate may be granted an opportunity to discuss the recommendation and to present materials in writing.**
 - f. **The FEC recommends that the TPAC charge incorporate the procedures described in the Handbook of Academic Administration for cases in which the department's recommendation was against reappointment, promotion or tenure. Specifically, the following text should be added to the TPAC charge: If the department's recommendation was against reappointment, or promotion, or the awarding of tenure, and the TPAC, upon reviewing the recommendation, find reason to question either the substance of the recommendation or the manner in which it was reached, the Committee will ask the department to make whatever further explanations are considered necessary; or the department may be asked to reconsider its recommendation; or a specially convened extra-departmental committee may be asked to consider it. Whenever a departmental recommendation is so questioned by the Committee, final disposition of the tenure case shall not have been made until the Provost either accepts the original recommendation or overturns it.**
5. **Other issues.** The FEC discussed at length the question of whether a candidate should be informed of the departmental vote regardless of whether it was positive or negative. In the course of its review, it became clear to the FEC that there is no consistent policy across departments on this matter. The FEC recommends that the TPAC take up this issue and make a recommendation for a general policy. The FEC was especially concerned about cases in which there was a mixed but positive vote. A candidate informed that the vote was 6-5 rather than the vote was positive might make a (different) presentation to the TPAC that could affect the outcome of his or her case.
- a. **The FEC recommends an annual orientation to TPAC at the beginning of the Fall. This orientation should include presentations from University Counsel and from the FEC Officers. The TPAC chair should provide an orientation to new members in the Spring.**
 - b. **The FEC recommends that the TPAC discuss and make a recommendation on whether candidates should be informed of the department's vote regardless of whether it is positive or negative.**
 - c. **The FEC recommends that the Senior Administration continue to be responsible for judging the value of an individual to the institution but that the Provost keeps TPAC informed of cases in which institutional needs contribute to a reversal of TPAC's recommendation.**

B.II.c. Faculty Affairs Committee (FAC), Committee on Diversity in Hiring (CDH) and Committee on the Status of Women (CSW). The Faculty Affairs Committee (FAC) was created to review and make recommendations on faculty personnel issues such as compensation, benefits, leaves and diversity. While some of the responsibilities of the Affirmative Action Monitoring

Committee (AAMC) were assigned to FAC, others were absorbed by CDH (formerly SDH, a sub-committee of the FAC but established as an independent committee by vote of the faculty in 2004) but in a modified form. Thus, CDH reviews summary reports of search materials on a monthly basis (not whenever they are submitted) and all negative decisions by the TPAC (not just those of women and minorities). The charge to CSW was not altered under the new system of faculty governance as the committee was deemed to be appropriately constituted and performing well.

From the beginning of the revised system of faculty governance, the relationships among FAC, CDH and CSW have been troubled. Many of the difficulties can be attributed to overlap in the charges for these committees. The FEC is extremely concerned that this overlap has interfered with self-governance by preventing critical follow up of the important work of these committees. Problems were further exacerbated by the establishment of the Office of Institutional Diversity where again boundary issues added to confusion about areas of responsibility. In a good faith effort to resolve some of these problems, CDH and CSW submitted a proposal last year to FEC to merge their committees. After consideration of this proposal and concerns about the distributed oversight of equity and competitiveness in faculty compensation especially with regards to gender and minority status, the FEC proposes taking an additional step and merging the three committees into one to be called the Committee on Faculty Equity and Diversity (CFED). The FEC is convinced that this merger will considerably strengthen faculty oversight of a wide range of personnel issues. The FEC is also confident that this new committee, modeled structurally after the FEC, will solve past membership problems that have included poor attendance, infrequent meetings, lack of continuity and high turnover, and difficulty in finding leadership.

A draft charge for CFED is attached in Appendix III. In brief, CFED is charged to represent the Faculty in personnel issues such as compensation, benefits, leaves, equity, diversity and advancement. CFED will recommend policy concerning faculty salary, benefits and leaves, review annually and supervise periodic professional (external) assessment of the competitiveness of faculty salaries, benefits and leaves. CFED will assess the diversity (gender and minority status) of the Faculty by rank and department, conduct periodic reviews of hiring procedures and the role of the departmental Affirmative Action Representative, and advise on faculty retention, recruitment and advancement policies. CFED will monitor the progress of current searches by reviewing monthly reports of searches provided by the Dean of the Faculty and the Dean of Medicine and Biological Sciences, and review denials of promotion, tenure, and re-appointment. These reviews will include comparison of the procedures used in the denial with those used by the academic unit in comparable cases that received a positive recommendation.

It would be remiss not to point out in this review of faculty governance some concerns that the FEC has had about past implementation of the CDH's review of promotion and tenure denials. Notable differences between the CDH process and that of the AAMC raised questions that the current process is not as effective as it might be and once was under the AAMC. The charge to CDH states that CDH shall: "d. Review denials of promotion, tenure, and re-appointment for adherence to the Corporation Statement on Nondiscrimination and submit findings, in writing, to the TPA and the Provost." As was the case with TPAC, this statement had no clear meaning for the CDH. The FEC was especially concerned that the CDH did not meet to review cases receiving negative decisions and that associate professors were reviewing promotion cases involving other faculty at the rank of associate professor. The FEC asked the CDH to consider several points and to devise a set of operating procedures that might form the basis of a systematic process for the CDH to conduct reviews. Among the issues raised by the FEC were:

1. What constitutes a complete dossier for review? Should the dossier include the TPAC vote, the TPAC minutes and any additional materials solicited by TPAC? Should the dossier include TPAC's written statement to the department chair, the Provost's written response to the TPAC and/or the Dean's written confirmation of the Provost's decision and the reasons for it to the academic unit Chair or Director.
2. What information is needed for CDH to review a case "for adherence to the Corporation Statement on Nondiscrimination"? The FEC believes that the CDH must have access to other comparable files from the department as did the AAMC.
3. Why are meetings of the committee not held to discuss each case? The FEC has serious concerns about not meeting to discuss individual cases and distributing draft letters and other sensitive communication by email (an insecure form of communication).
4. Why are associate professors reviewing cases involving faculty at the same rank or higher? The FEC asked for a review of this practice given that it is at odds with past and present departmental and TPAC operations (associates may not participate in promotion reviews of other associates).
5. Why does CDH not have a record of general nonidentifiable information about the nature of problems that have been found in previous reviews? The FEC recommends that these should become part of the guidelines for what constitutes a failure to adhere to the Corporation Statement on Nondiscrimination, and thus the kinds of things the committee should be looking for.

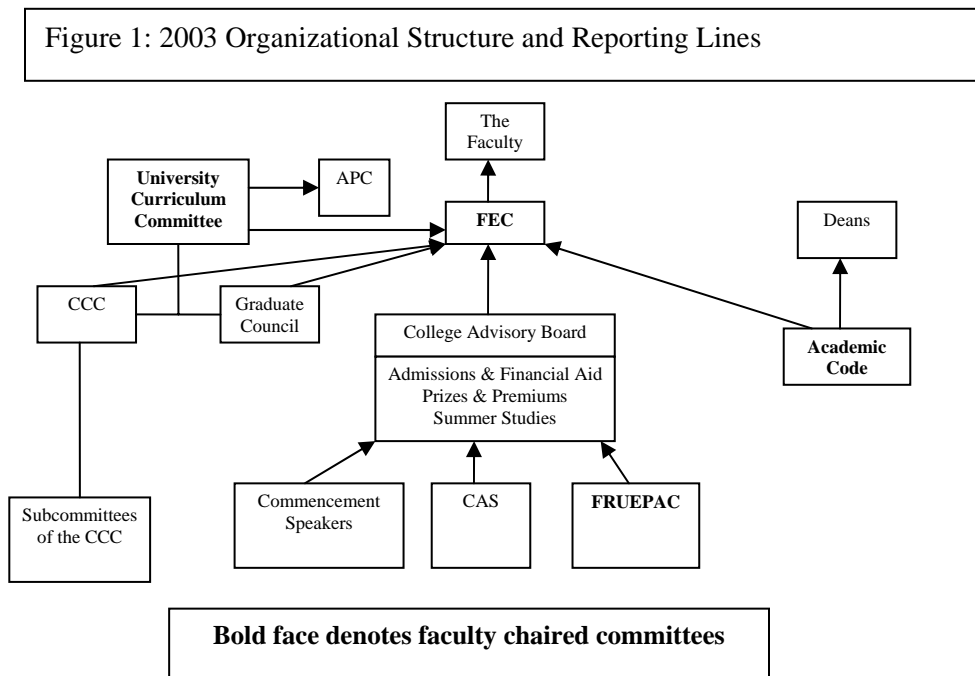
The CDH has worked hard over the past few weeks to respond to our concerns and has submitted a proposal that will be incorporated into the CFED review process should the Faculty approve the new committee structure. The CDH also proposed returning to its original charge with regard to the timing of its review of negative decisions. One advantage of having the CDH complete its review before the Provost makes a decision is to eliminate administrative embarrassment when the President is forced to overturn the decision of the chief academic officer, the Provost. The FEC has discussed this issue many times and is now leaning towards a proposal that CDH review decisions after the first negative recommendation, whether by the TPAC or by the Provost. Finally, the FEC has debated at length what the CDH review should involve. There is a strong consensus that this committee should look for discrimination in the procedures for putting the case together, in the department's decision-making (thus minutes are necessary), and in TPAC's adjudication. It is also the opinion of the FEC that the CDH must have access to other comparable files from the department as did the AAMC.

B.II.d. Recommendations

- 1. It is recommended that the Faculty establish the Committee on Faculty Equity and Diversity (CFED) and dissolve the FAC, CDH and CSW.**
- 2. It is recommended that the CFED (CDH) reviews decisions after the first negative recommendation, whether by the TPAC or by the Provost.**
- 3. To ensure compliance with its charge, the FEC recommends that the CFED (CDH) review of negative recommendations be conveyed in writing by the chair of the CFED (CDH) to the chair of the TPAC.**
- 4. It is recommended that associates recuse themselves from reviewing cases involving other associate professors.**

B.III. Curriculum committees, councils and advisory board

The revised faculty governance system ushered through some dramatic changes in the organization of committees overseeing the curriculum. Two new bodies were established with very important responsibilities: the University Curriculum Committee (UCC) and the College Advisory Board (CAB). The main function of the UCC was to consider issues that affected both graduate and undergraduate programs, an aspect of curricular management that was absent in the preceding governance structure. Its membership was a subset of the College Curriculum Council (CCC) and the Graduate Council, and it was chaired by an elected faculty member from one of those two councils. The primary functions of the CAB were to advise the Dean of the College, to oversee three standing committees, and to assume the responsibilities of three committees dissolved under the new governance system. Faculty members were appointed by the Dean in consultation with the Committee on Nominations, with one serving as vice-chair. Figure 1 shows the organizational structure and reporting lines for faculty governance of the curriculum.



B.III.a. The new committees. Unfortunately, the UCC has struggled almost from the outset to fulfill its charge as constituted under the new system. Records in the Office of Faculty Governance indicate that the UCC has rarely been convened and that it has never reported directly to the faculty. Currently, review of new courses (at the 1000 level) available to both undergraduate and graduate students is handled by a specially convened joint sub-committee of the College Curriculum Council and the Graduate Council. This screening sub-committee is co-chaired by two associate deans of the College and Graduate School both of whom have faculty appointments carrying tenure. The Deans of the College and Graduate School report that this joint sub-committee is working well and that they would like to see the arrangement continue. The CAB had a more auspicious start, met regularly and reported annually to the faculty for several years. At some point, some members of the CCC raised concerns about boundary issues with the CAB. The CAB was disbanded almost two years ago when a new Dean of the College took office

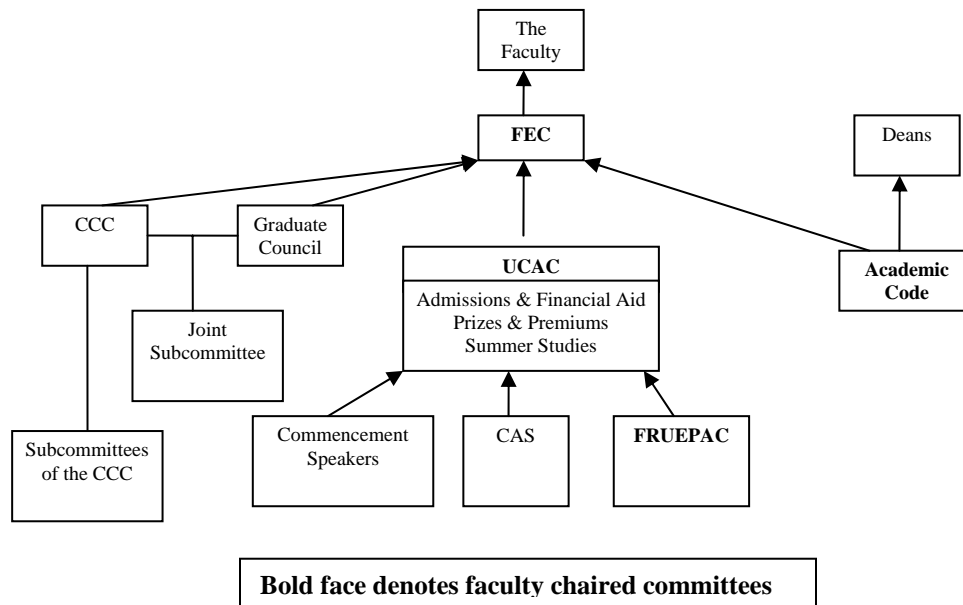
in 2006. The FEC has done its best to assume some of the responsibilities of the CAB with respect to the standing committees but this situation is far from optimal and was not intended to be a permanent one.

The profound commitment of the Brown faculty to student education and to the quality of the educational programs is renowned nationally and without doubt contributes to Brown's impressive standing among institutions with substantially superior endowments. Yet nowhere is the Administration's lack of consultation with the Faculty and its disregard for the Faculty Rules and Regulations more conspicuous than in the management of the University's educational programs. Individual faculty have protested the implementation of wide ranging policy changes such as those concerning how we distribute graduate support, what must be done to established policies and practice by way of accommodating Banner, and how certain committees and councils have been re-organized to increase administrative control. Where the new system of faculty governance was originally intended to bring the Faculty and Administration together in policy development and academic decision-making, these unauthorized (by the faculty) changes have had precisely the reverse effect. As a first step in response to concerns expressed by the faculty, the FEC proposes some structural changes to give the faculty an independent voice in curricular matters and to provide a more stable structure for oversight of standing committees and other responsibilities allotted to the CAB.

The FEC proposes a new faculty committee with the responsibility to provide leadership and broad oversight of undergraduate and graduate educational matters. The FEC envisages this committee as a place for individual faculty and students to bring curriculum concerns for discussion and resolution. It is also expected to conduct outreach to different constituencies so that it is well informed about faculty and student educational concerns. Its other responsibilities will be derived from the current charges to the UCC and to the CAB. This new committee will be named the University College Advisory Committee (UCAC). It will be chaired by a faculty member and its faculty membership will be elected by the faculty. It will have student representation and four ex officio but non-voting administrators (Dean of the College -KB, Dean of the Graduate School - SB, Dean of Campus Life - MK and the Registrar -MP). A draft charge of the UCAC is attached as Appendix IV. The FEC proposes to recognize the new joint subcommittee of the CCC and the Graduate Council that has been operating very successfully this year to screen courses proposed for graduate and undergraduate students. The current UCC and CAB will be dissolved under this new structure. Figure 2 shows the proposed organizational structure and reporting lines for faculty governance of the curriculum.

The FEC considers it necessary to launch a comprehensive examination of other issues raised in its review of faculty governance of the curriculum. This examination will go well beyond the scope of the current review. The FEC will charge the UCAC, assuming that it is approved by the Faculty, to investigate these matters which include the balance of deans, faculty and students on the CCC, the operating procedures of the CAS, the introduction of a new grading system, the consequences of eliminating crosslisting of courses, management of the UTRA program and changes in reporting unsatisfactory writing. The FEC will ask the UCAC to report its findings and recommendations to the Faculty in the late Fall of 2008 or early Spring of 2009.

Figure 2: Proposed Organizational Structure and Reporting Lines



B.III.b. Recommendations

1. **It is recommended that the Faculty establish the University College Advisory Committee and dissolve the UCC and the CAB.**

B.IV. Remaining Committees and Administrative Advisory Boards

B.IV.a. The Faculty Executive Committee (FEC), the Committee on Nominations, and the Committee on Grievance. The FEC remains a powerful instrument of the faculty in university life. Its major function is to serve as a central steering committee for faculty governance. In that capacity, it gathers information that may be of concern to the faculty, supervises and coordinates the operations of faculty committees, and consults on a regular basis with the President, other officers of the administration, student groups, and the Corporation. Under the new system, the FEC is no longer responsible for invoking the grievance process. Wisely, this responsibility was given to the Committee on Grievance created in 2003 for the exclusive purpose of hearing faculty grievances. For a brief period, the FEC acquired the task of making nominations to Faculty committees and making recommendations of Faculty members for service on administrative advisory boards. Although the motivation for this change was thoughtful, the task was evidently too onerous for the FEC given its other responsibilities and the Committee on Nominations was resurrected in 2005 to handle the business of staffing committees. However, the FEC continues to be responsible for making nominations to the Committee on Nominations. Finally, in 2003, the FEC took over responsibility for making recommendations to the Faculty for the Susan Colver Rosenberger Medal of Honor, the highest honor awarded by the Faculty.

There is probably no committee with the appearance and sense of having a more thankless task than that of the Committee on Nominations. Yet its work is absolutely crucial to successful

governance as more often than not the effectiveness of a committee, council or board is determined by its membership. Calling busy colleagues and asking them to devote precious time to faculty governance can get terribly discouraging after the third or fourth refusal to serve. Until a greater premium is placed on the value of service to the university by the Administration, we must remain dependent to a large extent on an individual's sense of duty and obligation to contribute his or her time to faculty governance. The FEC has begun to work with the Administration to find ways to increase the visibility of and appreciation for faculty contributions to the university. The new President's awards for excellence in faculty governance are a wonderful start. In the meantime, there is clearly more the FEC can do to assist the Committee on Nominations. The FEC is in a better position to judge the needs of individual committees and their respective work loads; FEC members are knowledgeable about the contributions made by former committee, council and board members; the Office of Faculty Governance now has complete records in a searchable database of membership profiles and rosters dating back to 2003. The FEC should work more closely with the Committee on Nominations both in an advisory role and by supplying lists of potential nominees for faculty committees and councils to the Committee on Nominations. The final selection of names for committees and councils should still be determined by the Committee on Nominations which should of course be entirely responsible for contacting faculty to stand for election.

The Committee on Nominations has repeatedly raised concerns about the potential impact of the enhanced leave policy on more frequent vacancies on committees, councils and advisory boards. The FEC is mindful of the additional work that more frequent leaves may create for the Committee on Nominations. To this end, the FEC has recommended creating a pool of former TPAC and ConFRaT members to fill short-term vacancies on TPAC. The FEC also recommends that faculty serving on advisory boards not be replaced when they go on leave. Of course, the FEC will continue to work hard to ensure that faculty time spent on committees, councils and advisory boards is meaningful and productive. It has certainly been our impression on the FEC that a reluctance to serve stems more often than not from a perception that the work is inconsequential. Thus, the FEC should continue working closely with committee and council chairs to determine agendas for the year, to review recommendations and to develop timetables for action on recommendations.

The Committee on Grievance has functioned relatively smoothly. Since the establishment of a part-time Faculty Ombuds Office, the Committee on Grievance has not heard any cases and has none pending at the time of this report. The FEC is pleased with the progress that has been made in providing faculty with several resources for resolving conflict and other work-related issues.

B. IV.b. Recommendations

- 1. It is recommended that the number of members on the Committee on Nominations be reduced from nine to six.**
- 2. It is recommended that the ballot election for the Committee on Nominations be replaced with a slate presented by the FEC for faculty vote at the University Faculty Meeting.**
- 3. It is recommended that the FEC work more closely with the Committee on Nominations both in an advisory role and by supplying lists of potential nominees for faculty committees and councils to the Committee.**
- 4. It is recommended that one semester vacancies on advisory boards be left vacant.**
- 5. It is recommended that the FEC work closely with committee and council chairs to determine agendas for the year, to review recommendations and to develop timetables for action on recommendations.**

B. IV.c. Administrative Advisory Boards. There has been mixed faculty reaction to the creation of administrative advisory boards which rendered several faculty committees obsolete. Some faculty view these boards as an innovative strategy that relieves faculty of day to day management of administrative chores while providing the senior administrator with the opportunity to solicit faculty advice on important issues. Other faculty view these boards as tools for the Administration to appear as if faculty input is solicited but in practice removes essential faculty participation in decisions affecting academic operations.

The FEC has found considerable variability in the reported effectiveness of the boards and in the way they are managed. In an effort to respond to some of these problems, the FEC has provided guidelines to the senior administrators who serve as Board Chairs. These include setting specific terms for members and bringing their operations into line with the description of the board in the Faculty Rules and Regulations. However, to be effective, the Senior Administrator must view his or her board as an important and valuable resource for ideas and planning. Thinking of it as a group that must meet once a month and be fed a diet of dog-and-pony entertainment will render the board as nothing more than window dressing and a wasteful drain on faculty time. One way for the chair to demonstrate the value of faculty participation would be to provide an annual summary to board members showing how their input has been used and how their discussions ultimately affected the senior administrator's planning and decisions.

Feedback from members of the Library Advisory Board, the Research Advisory Board, the Diversity Advisory Board, the Campus Life Advisory Board, and the Human Resources Advisory Board has been generally positive; feedback from the Computing Advisory Board and the Campus Planning Advisory Board was less so but members are working constructively and congenially with their respective board chairs to address these matters internally; and two boards (the College Advisory Board and the Faculty Development Advisory Board) were disbanded by their respective chairs.

B.IV.d. Recommendations

- 1. It is recommended that faculty membership on boards be capped at six faculty with no change in the minimum number of four faculty.**
- 2. It is recommended that the term of faculty vice-chair be for one year and that the vice-chair be elected by the board in its last meeting of the academic year.**
- 3. It is recommended that the charge of the Faculty Development Advisory Board be deleted from the Faculty Rules and Regulations.**
- 4. It is recommended that chairs of advisory boards report annually to members on how their input has been used in planning and decision making.**
- 5. It is recommended that a moratorium be held on the creation of any new advisory boards.**

C. Going Forward

The FEC sincerely hopes that this report will stimulate discussion of our revised system of faculty governance and will precipitate further careful evaluation of the strengths and weaknesses of our current procedures. The FEC invites comment on its report at the next (March) University Faculty Meeting. Other opportunities to convey feedback to the FEC will be available throughout the month (e.g. TalkBack on Friday March 7, junior faculty lunch on March 14). A Faculty Forum will be arranged if there is interest in one. The FEC welcomes feedback through email and is willing to meet with different faculty constituencies. Collectively, this feedback will influence the

crafting of specific motions and help to determine the order in which they are brought to the Faculty for a vote in April and May. Although not all of the recommendations will require a change in Faculty Rules and Regulations, the FEC would like to get a sense of faculty support for them nevertheless.

It was impossible not to be impressed by the work of the Task Force in 2003 as we conducted our review of the new system of faculty governance. We hope in no way to diminish the accomplishments of that group by presenting our recommendations for additional change. Rather we see our efforts as building on their efforts to strengthen faculty governance so that the best possible practices are employed to yield the best possible decisions. We thank all those colleagues who have contributed their wisdom to this review. Finally, we express our deepest gratitude to our many colleagues who so freely and willingly devote their time and energy to carry out the work of our various committees, councils and advisory boards. It is through the dedicated efforts of these faculty peers that we ensure a powerful faculty influence on what Brown is and what Brown will be.

Appendix I

SURVEY OF FACULTY COMMITTEES AND ADVISORY BOARDS 2006-07

As part of the mandated review of the new Faculty Governance system implemented in 2003-04, the FEC is asking Chairs of Faculty Committees and Vice Chairs of Advisory Boards to examine how well their groups are working. We encourage you to discuss the following questions with your committee/board members and to prepare answers to present at the time when you deliver your annual report to the FEC.

For All Committee and Advisory Board Faculty Heads:

1. Your Charge:
 - a) How clear and appropriate is the current charge to your committee/board, as contained in the Faculty Rules and Regulations?
 - b) Are there areas outside your charge that you are often asked to consider, and/or think should be part of your charge?
 - c) Are there parts of your charge that you feel should be deleted or altered?

2. Activities and Accomplishments:
 - a) Are your routine meetings as a committee/board important? In what ways? In what ways are they not as useful as they could be?
 - b) What impediments or barriers exist to accomplishing what your committee/board wants to do?
 - c) What facilitates your efforts?
 - d) How well does the committee/board work together? What issues arise?
 - e) What have been your most important achievements over the length of time that members have served?
 - f) Bottom line: should your committee/board continue to exist as is?

3. Membership:
 - a) How good is attendance at your regular meetings?
 - b) Has turnover been an issue for you? How does it impact your functioning?
 - c) What forms of “institutional memory” exist for your committee? E.g., do members leaving the committee meet with new members for a briefing session?
 - d) Are there other membership issues – e.g., with reference to the composition of the committee/board?

Additional Questions for Advisory Boards:

1. Is your Vice Chair suitably empowered? What changes are needed?
2. Who sets your agenda? Is change needed here?
3. Have the recommendations you have made been implemented? What types of feedback have you received on them?

Appendix II

November 15, 2007

To: Ruth Colwill
Chair, Faculty Executive Committee
From: Martin Maxey
Chair, Tenure, Promotion, Appointments Committee

Among TPAC's responsibilities is the review of recommendations for promotion from tenured Associate Professor to tenured Professor. In contrast to the carefully developed guidelines and timetable for the review of Assistant Professors for promotion to Associate Professor with tenure, there are few specific guidelines governing the review for promotion to full Professor, nor is there a pre-determined timetable on which such a review should take place. Few departmental standards and criteria address this question directly; and there are in any event variations from one department to another, but it is the sense of the Committee that promotion is often considered after a faculty member has served for about six years at the rank of Associate Professor (a promotion after four years, while perhaps justified, might appear "early"; after eight years it would seem to be somewhat late). And yet it is also clear that there are some faculty members who serve considerably longer in the rank of Associate Professor. At times this is because the promise that seemed apparent at the time of the tenure review has not been fulfilled, but there are also times when the scholarly productivity of a faculty member has slowed somewhat, even while there is continued excellent teaching and service.

The appropriate timetable for judging productivity can, of course, vary quite considerably from field to field, and it is certainly true that a consideration of the entire publication record and its impact is more important than applying a rigid timetable. Yet it is also true that there are cases in which an individual may serve for a prolonged period at the rank of Associate Professor, perhaps as a consequence of inadequate mentoring by senior colleagues as to what is required for further promotion, or possibly as a result of lack of appropriate attention to the full range of their contributions to the University.

A faculty member may, of course, request the initiation of a promotion review at any time, following the usual procedures. But – in keeping with the commitment to mentoring and to attentiveness to colleagues' work and contributions – it would also be desirable for departments to conduct formal internal assessments of Associate Professors on a regular basis, say every four years. The faculty member could meet with the department chair and a group of peer colleagues to review scholarship, teaching and service. (Faculty from outside the department may be involved if this is deemed helpful.) This would be in the form of a mentoring discussion where the faculty member might receive feedback from senior colleagues and also be asked to comment on how they see their academic career progressing; a summary of the discussion should be documented in writing and reviewed by all parties. Such a conversation could lead to assistance with seeking research support or to other steps intended to promote or reinvigorate the faculty member's scholarship and/or teaching. It would also provide a clear sense of when a full review for promotion might best be undertaken.

In considering when to undertake the promotion review, TPAC would encourage departments to think about the candidate's full range of accomplishments, including scholarship, teaching, and

service. We would also recommend that there should be a maximum period of service as Associate Professor after which a review for promotion ought to be undertaken.

Tenured Associate Professors who have completed 12 years in rank and are continuing to make important contributions to the University must be reviewed for promotion to Professor.

Any such review would follow the usual procedures as detailed in departmental standards and criteria and in the Handbook of Academic Administration. In assessing candidates who are recommended for promotion through such a mandatory review, TPAC will use its judgment in its weighing of the contribution of teaching, research and service to the life of the University. The prior decision to award tenure has already made the individual a permanent member of the University's faculty, and in many cases there is much to be gained by creating a process through which the contributions of long-serving Associate Professors may be assessed and, when appropriate, recognized by promotion to Professor.

It should be noted that there is among TPAC members an agreement that candidates ought to be permitted to opt out of the promotion review by writing a letter to that effect to the Dean. In other words, the burden should be on departments to offer to undertake such reviews, not on the candidate to be reviewed if this is not desired. But the periodic conversations with the chair and/or senior colleagues ought to take place even in cases in which the candidate would prefer not to be reviewed by TPAC.

cc: President Ruth Simmons
Provost David Kertzer
Dean Eli Adashi
Dean Rajiv Vohra

members of TPAC

Professor Nancy Armstrong
Professor Kim Boekelheide
Professor Roberta Bickford
Professor Andrew Campbell
Professor Dennis Hogan
Professor Coppelia Kahn
Professor Sharvan Kumar
Professor Philip Leis
Professor Carle Pieters
Professor Joan Richards
Professor Gary Wessel

Dean Katherine Bergeron
Dean Sheila Bonde

Appendix III

Draft of Charge for the Committee on Faculty Equity and Diversity (CFED)

1. Charge

The CFED shall represent the Faculty in personnel issues such as compensation, benefits, leaves, equity, diversity and advancement.

a. It shall recommend policy concerning faculty salary, benefits and leaves, and supervise periodic professional assessment of the competitiveness of faculty salaries, benefits and leaves. It shall review annually faculty salaries, benefits (including the Faculty Travel Fund) and leaves for equity in accordance with the Corporation Statement on Nondiscrimination and for competitiveness with peer institutions,.

b. It shall assess the diversity of the Faculty by rank and department, conduct periodic reviews of hiring procedures and the role of the departmental Affirmative Action Representative, and shall advise on faculty retention, recruitment and advancement policies.

c. It shall assess, promote, and review University policies and practices relating to diversity and non-discrimination, as defined in the Corporation non-discrimination statement, in support of which it shall be provided reports on faculty hiring annually by the Office of Faculty Personnel.

d. It shall conduct periodic reviews of the status of women and minority faculty at Brown, and work with the Associate Provost and Director of Institutional Diversity, the Dean of the Faculty and the Dean of Medicine and Biological Sciences to articulate goals for a more diverse faculty and help these officers to achieve these goals. These reviews will include periodic departmental reports of faculty composition by rank, gender and ethnicity.

e. It shall monitor the progress of current searches by reviewing monthly reports of searches provided by the Dean of the Faculty and the Dean of Medicine and Biological Sciences. These reports shall list current searches, job descriptions and summary statistics from interim pool reports, short lists, and final hiring decisions. When indicated, the Deans shall refer cases of concern to the CFED for expedited review. The Dean shall provide information about individual ongoing searches on request.

f. It shall review denials of promotion, tenure, and re-appointment for adherence to the Corporation Statement on Nondiscrimination and submit findings, in writing, to the TPAC, to the Provost, and to the President. These reviews will include comparison of the procedures used in the denial with those used by the academic unit in comparable cases that received a positive recommendation. Associate Professors will recuse themselves from reviews of faculty at rank or higher.

g. It shall report its findings and recommendations to the Faculty and to the Faculty Executive Committee.

2. Membership

There shall be nine tenured faculty members: three officers; Chair, Vice Chair, and Past Chair; and six others. The Deans of the Faculty and Medicine and Biological Sciences, the Associate Provost and Director of Institutional Diversity and the Past-chair of the FEC serve ex-officio and are non-voting.

a. The members shall be distributed among the four groups listed in Section 12, II, in such a way that at least one member from each group and no more than three from one group are on the

Committee at one time. The position of Chair of the Faculty shall rotate among the four so that no person from one group shall become Chair until a member of each of the other three groups has served.

b. There may not be more than one member from any department unless that department has more than fifty regular faculty members on its rolls.

3. Term of Office

Each year a Vice Chair shall be elected by electronic ballot from the Faculty at large. The year following

service as Vice Chair, that person shall become Chair, and the year after serving as Chair, that person shall become Past Chair.

4. Method of Election

a. The Committee on Nominations will solicit nominations from the voting Faculty, and may add names to the list of nominees.

b. The Committee on Nominations shall place the candidates into as many categories as there are vacancies, in such a fashion as to insure reasonable balance and wide representation among the groups listed in Section 12,II. Each category shall contain nominees from at least two departments.

c. The Vice Chair of the CFED must be elected by a majority of those voting for that position. In the event that no nominee for Vice Chair receives a majority of votes, there shall be a run-off election by electronic ballot between the two candidates who have received the largest number of votes.

d. Non-officers of the CFED shall be elected by a plurality of those voting for each category. In the event of a tie vote, a run-off election by electronic ballot will be held to decide the winner.

5. Resignations

a. Officers of the CFED.

i. Chair — If the Chair is unable to continue in office, he or she shall be replaced by the Vice Chair, who shall hold office for the unexpired term of the resigned Chair and for the year that he or she would in the normal course of events be Chair.

ii. Vice Chair — To replace a Vice Chair who has taken the office of a resigned Chair, an election shall be held; the elected person shall hold the office of Vice Chair for the unexpired term of the Vice Chair being replaced and for the following year. To replace a Vice Chair who resigns, an election shall be held.

iii. Past Chair — In the event of a vacancy in the office of Past Chair, the CFED shall select one of its third year members to be Past Chair. The Committee on Nominations shall then fill the vacancy in the CFED created by one of its members becoming Past Chair in accordance with the rule for filling vacancies in the CFED.

b. Non-Officers

The Committee on Nominations shall make an interim appointment of a non-officer of the CFED, subject to review by the Faculty at its next Faculty meeting. Such interim appointments shall last only until the next election.

Appendix IV

Draft of Charge for the University College Advisory Committee (UCAC)

- 1. Charge** The Faculty delegates certain of its powers with respect to Undergraduate and Graduate Education to the University College Advisory Committee (UCAC). Its duties are:

 - a. To advise the Deans of the College and Graduate School, and other senior officers as appropriate, on resources and priorities with regard to the College and the Graduate School.
 - b. To oversee all aspects of undergraduate and graduate degree programs and the development of criteria and standards for them.
 - c. To make recommendations to the Academic Priorities Committee and the Faculty concerning the changing curricular needs of Brown undergraduate and graduate students and the balance between the undergraduate and graduate programs.
 - d. To review and make recommendations regarding the University's policies and programs concerning the curriculum, academic support services, and the undergraduate and graduate student experience to the extent those policies and programs are not under the purview of another Advisory Board and/or Standing Committee.
 - e. The committee may create standing and ad hoc committees and sub-committees to handle specific matters under its broad charge. These will include: a standing committee on Academic Standing; a standing committee on Commencement Speakers; and a standing committee on the Resumed Undergraduate Education Policy and Admission. When it deems that it can do so without creating a sub-committee, it will assume the responsibilities of other previously existing committees concerned with College matters, such as Admissions, Financial Aid, Prizes and Premiums, and Summer Studies
- 2. Membership** Six faculty members broadly representative of the university nominated by the Committee on Nominations and elected by the Faculty to serve staggered three-year terms; the Deans of the College, Graduate School and Student Life, and the Registrar, all serving ex officio and non-voting; two undergraduate members (one from UCS) and two graduate student members (one from GSC) each to be chosen by the respective councils. The Chair shall be a faculty member elected from among the Committee's elected members by the Committee.
- 3. Organization** The Committee shall convene monthly during the academic year and report annually to the Faculty.