



BROWN

Faculty Rules & Regulations

Version 14.1, December 20, 2016

Contents

Part 1 Membership, Meetings, & Committees.....	8
Section 1. Membership and Meetings.....	8
I. Faculty Membership	8
A. Voting Members of the Faculty	8
B. Non-Voting Members	8
II. Officers of the Faculty.....	8
III. Faculty Governance	9
IV. Meetings	9
A. Types of Meetings.....	9
B. Conduct of Meetings	10
C. Faculty Forums.....	12
Section 2. Committees: Faculty Members Elected by the Faculty	13
I. Types of Committees.....	13
A. Standing Committees	13
B. Ad hoc Committees	13
C. Adjunct Committees.....	13
D. Subcommittees	13
E. Administrative Advisory Boards	14
II. General Rules for Faculty Committees	14
A. Membership	14
B. Terms of Office	14
C. Method of Election.....	15
D. Resignations and Leaves	15
E. Organization	15
F. Recall	16
G. Conflict of Interest	16
III. Standing Committees	16
A. Faculty Executive Committee (FEC).....	16
B. Academic Priorities Committee (APC).....	19
C. University Resources Committee (URC).....	20

D. Committee on Faculty Equity and Diversity (CFED).....	22
E. Honorary Degrees.....	24
F. Medical Faculty Executive Committee (MFEC).....	25
G. Committee on Nominations	27
H. Committee on Faculty Retirement	28
IV. Councils and Committees for the Curriculum	29
A. College Curriculum Council (CCC)	29
B. Graduate Council.....	30
C. Standing Committee on the Academic Code	31
D. Academic Standing (CAS).....	32
E. Commencement Speakers	32
V. Medical Faculty Bodies	33
A. The General Assembly.....	33
B. The Biomedical Faculty Council.....	33
VI. Committees Reporting to the President	35
A. Advisory Committee on Corporate Responsibility in Investment Policies	35
B. Tenure, Promotions, and Appointments Committee (TPAC)	37
C. Committee on Medical Faculty Appointments (CMFA)	41
D. Committee on Public Health Faculty Appointments (PHFA)	43
VII. Administrative Advisory Boards.....	45
A. Administrative Advisory Boards	45
B. Library Advisory Board	45
C. Campus Planning Advisory Board.....	46
D. Information-Technology Advisory Board	47
E. Human Resources Advisory Board	48
F. Campus Life Advisory Board.....	49
G. College Advisory Board.....	50
H. Research Advisory Board	51
I. Diversity Advisory Board.....	51
Section 3. Committees: Faculty Members Not Elected by the Faculty	53
I. Committees Reporting to the Corporation.....	53
A. Student Conduct Board (SCB).....	53
Part 2 Academic Programs.....	54
Section 4. The College.....	54

I. Admission to the College	54
A. Requirements	54
B. Admission with Advanced Standing	54
C. Readmission of Students	54
D. Resumed Education Program	54
E. Admission to the Summer Session	55
II. Course of Instruction	55
A. Year Courses	55
B. Two-semester Sequence	55
C. Summer Reading Courses	56
D. Independent Study Program (ISP) and Global Independent Study Program (GLISP)	56
E. Group Independent Study Program (GISP)	56
F. Departmental Independent Study Program	56
G. Summer Program	57
III. Baccalaureate Degree Requirements	58
A. Guidelines for A.B. and Sc.B. Degrees	58
B. Quantity and Progress Requirements (see also Part 3, Section 8.I)	59
C. Writing Requirement	60
D. Concentration Requirement	61
E. Residence Requirement	64
F. Honors Program	64
G. Degrees with Distinction	64
IV. Five-year Bachelor of Arts and Bachelor of Science Combined Degree Program	65
V. Program Leading to a Concurrent Baccalaureate–Master’s Degree	65
VI. Five-Year Baccalaureate–Master’s Degree Program	66
VII. Combined Five-Year Program Leading to a Baccalaureate Degree and a Master of Arts in Teaching	66
Section 5. The Graduate School	68
I. Master of Arts and Master of Science	68
II. Additional Master Degrees	68
III. Doctor of Philosophy	69
IV. Ph.D. Program in Integrative Studies	69
V. Summer Program	70
Section 6. The Brown Medical School	71

I. Doctor of Medicine.....	71
II. Combined M.D./ Ph.D. Degree	72
A. Admission Requirements	72
B. Degree Requirements	72
Section 7. Certificate Programs	73
I. Graduate and Post-Baccalaureate Certificates.....	73
A. Procedures for Establishing Certificate Programs	73
B. Coursework and Credit in Certificate Programs	73
C. Review of Certificate Programs	74
II. Advanced Specialization in Graduate Programs.....	74
Part 3 Rules Governing Academic Programs	75
Section 8. The Academic Calendar.....	75
I. Principles Governing the Academic Calendar.....	75
A. Semester I.....	75
B. Winter Session.....	75
C. Semester II.....	75
D. Summer Session.....	76
II. Principles Governing Reading Period	76
Section 9. Registration in Courses (see Section II.3.B).....	77
I. Required Course Load.....	77
II. Class Lists	77
III. Enrollment without Academic Credit	77
A. Auditing	77
B. Vagabonding	78
IV. Courses Involving Vertebrate Animals	78
Section 10. Grading System & Examinations.....	79
I. Semester Reports of Standing.....	79
II. Undergraduate Students	79
A. Grades	79
B. Course Performance Reports.....	81
C. Procedure for having course performance reports and other material sent out with an official transcript.....	81
D. Undergraduate Attendance.....	81
III. Medical Students: Grading Policies.....	81

IV. Graduate Students: Grade Requirements for Advanced Degrees	83
V. Examinations and Written Work.....	83
A. Final Examinations	83
B. Special Examinations	84
C. Dishonesty in Written Work	85
Part 4 Faculty Resolutions, Policies & Procedures.....	86
Section 11. Faculty Rules Pertaining to the Faculty & Students	86
I. Professional Affairs of the Faculty	86
A. Committee on Grievance (Standing Committee of the Faculty).....	86
B. Complaint Process Against Faculty Respondents Pursuant to the University Sexual and Gender-Based Harassment, Sexual Violence, Relationship and Interpersonal Violence and Stalking Policy.....	91
C. Academic Freedom	103
D. Part-time Faculty Appointments	103
E. Faculty Hiring, Review, Promotion and Tenure	104
F. New Departments, Programs, Centers and Institutes	118
G. External Funding of Research.....	122
II. Pertaining to Students & Faculty	122
A. Graduate Student Grievance Procedures.....	122
B. Medical Student Grievance Procedures	124
C. Scheduling of Final Examinations	126
D. Academic Advising.....	126
E. Teaching Evaluation.....	126
F. Undergraduate Teaching Assistants	128
III. Pertaining to the University and Community	129
A. Status and Employment of Women at the University.....	129
B. Nondiscrimination Statement.....	130
Part 5 Corporation and Administration Policies	132
Section 12. University Regulations.....	132
I. Pertinent Corporation Rules relating to the Faculty	132
A. Conditions of Tenure and Faculty Reappointments.....	132
B. Procedures Governing Dismissal of a Member of the Faculty	134
C. Statement on Academic Freedom for Faculty and Students	138
D. Definition of Policies Concerning Sabbatic Leave of Members of the Faculty	139
E. Policy on Retirement Benefits.....	140

F. Conflict of Interest, Statement and Procedure (the Faculty)	140
G. Patent and Invention Policy	141
II. Pertinent Administration Rules relating to the Faculty	141
A. Policies and Procedures Relating to Copyrights	141
B. Policy on and Procedures to be followed in Cases of Allegations of Dishonesty or Misconduct in Research	143
C. Statement on Faculty Responsibilities	144
D. Statement of Faculty Responsibilities for Faculty in the Clinical Departments of the Medical School	147
Part 6 Appendices	151
Section 13. Endnotes	151
I. Voting Status for Lecturers	151
A. Procedure	151
B. Criteria for Voting Status	151
C. Designation	151
II. Academic Divisions	151
A. Humanities	151
B. Life and Medical Sciences	152
C. Physical Sciences	153
D. Social Sciences	154

Part 1 Membership, Meetings, & Committees

Section 1. Membership and Meetings

I. Faculty Membership

A. Voting Members of the Faculty

1. The voting membership of the Faculty shall consist of the President; the Provost; the Dean of the Faculty; the Dean of Medicine and Biological Sciences; the Dean of Public Health; the Dean of the College; the Dean of the Graduate School; and the Vice President for Research; the University Librarian; and faculty members with the titles Professor, Professor of (Specialty); Associate Professor of (Specialty); Assistant Professor of (Specialty); Distinguished Senior Lecturer in (Specialty); Senior Lecturer in (Specialty); Lecturer in (Specialty) for faculty whose sole appointment is as Lecturer, and Instructor in (Specialty), if not a registered student at Brown University. Faculty members with the above titles followed by (Research) shall have voting rights. Examples of eligible titles include: Professor of History, Assistant Professor of Surgery, and Instructor in Medical Science. Lecturers with multiple University positions who meet the criteria for voting status described in Section 12.I shall have voting rights.

Emeritus professors who also hold a faculty or University committee assignment to which they have been elected by the Faculty and/or a teaching assignment shall have voting rights.

2. Faculty members not in one of these categories, but who were voting members during the 1973-74 academic year, shall retain the right to vote.

B. Non-Voting Members

Non-voting members of the Faculty shall include the vice presidents who are not otherwise voting members of the Faculty; administrators who serve on faculty committees; administrators who chair administrative advisory boards; professors, associate professors, assistant professors and instructors associated with The Warren Alpert Medical School (hereafter referred to as “the Medical School”), and the School of Public Health and having Clinical in their titles; professors, associate professors, and assistant professors having Practice in their titles; professors and associate professors emeriti; the Faculty Ombudsperson; officers of instruction with titles other than those required for voting membership, and such other officers of the administration as may be designated by the Faculty Executive Committee (FEC). Administrators who are also members of the Brown Faculty with voting privileges retain their title of voting members of the Faculty.

II. Officers of the Faculty

The Officers of the Faculty shall be the Chair, Vice Chair, and Past Chair of the FEC, the Secretary of the Faculty; and the Parliamentarian.

III. Faculty Governance

The Office of Faculty Governance shall assist the FEC and other faculty committees, and shall keep the record of the *Faculty Rules and Regulations* up to date.

IV. Meetings

A. Types of Meetings

1. Regular Meetings

Regular meetings shall be held at 4:00 p.m. on the first Tuesday of each month from October to December, and February to May, except that when the first Tuesday of one of these months falls in a vacation period, the meeting shall be held on a subsequent Tuesday. The President, in consultation with the FEC, may change the date of the regular monthly meeting or cancel it because of the absence of prospective business.

No University exercises or meetings requiring attendance of faculty members shall be scheduled at a time which will interfere with the attendance of a voting member of the Faculty at Regular Faculty Meetings.

2. Restricted Session and Executive Session

A Restricted Session of the Faculty shall consist of the voting and non-voting members of the Faculty.

An Executive Session of the Faculty shall consist of the voting members of the Faculty.

3. Special Meetings

Special Meetings may be called by the President, or, in his or her absence, by the Provost, or by the FEC. A Special Meeting, which is also a Restricted Session, is held annually on the Friday before Commencement for recommending degrees and honors at Commencement.

The FEC shall call a Special Meeting of Faculty upon written request of twenty voting members of the Faculty. Such a request shall specify the purpose of the proposed meeting and this purpose shall be stated in the written announcement of the meeting.

4. Faculty Forums

Faculty Forums¹ serve such deliberative purposes as the Faculty may prescribe, and have no authority to take determinative action save to report back to the Faculty. Faculty Forums in no way limit the right of University committees or other bodies to hold hearings on any subject matter within their respective jurisdictions.

Faculty Forums may be called by a motion at a faculty meeting, by a petition of twenty or more voting members of the Faculty, or by the FEC. A motion made at a Regular or Special Faculty Meeting to refer a matter to a Faculty Forum is in effect a motion to postpone to a certain time. It requires a majority vote.

¹ See procedures pertaining to Faculty Forums, specified in Section 1.IV.C, below.

B. Conduct of Meetings

1. Rules of Order

Unless otherwise specified in the *Faculty Rules*, the Parliamentarian shall refer to “Robert’s Rules of Order” to provide the guidelines for conducting the meetings and resolving disputes over parliamentary procedures.

2. Presiding Officer

The President shall preside at each meeting of the Faculty, or, in his or her absence, the Provost or, in his or her absence, the Chair of the FEC. The Presiding Officer shall also be entitled to vote.

3. The Secretary of the Faculty

The Secretary of the Faculty shall keep a permanent record of the proceedings of faculty meetings, and shall send to each member of the Faculty, as occasion requires, copies of minutes, notices, proposed legislation, reports, etc.

The Secretary shall be nominated annually by the Committee on Nominations and elected by the Faculty.

4. The Parliamentarian

When called upon by the Presiding Officer or by a voting member of the Faculty, the Parliamentarian shall offer authoritative information, and his or her opinion on and interpretation of standard parliamentary procedures that pertain to the conduct of faculty meetings. The Parliamentarian shall be nominated annually by the Committee on Nominations and elected by the Faculty.

5. Agenda

The agenda for each Regular Faculty Meeting shall be sent to the voting members of the Faculty at least seven days in advance of the meeting. Each academic year, non-voting members of the Faculty shall each be offered the opportunity to receive the agenda package, also seven days in advance of each Regular Faculty Meeting. The agenda for each meeting shall be set by the FEC in consultation with the President, the Secretary of the Faculty, and the Parliamentarian.

6. Order of Business

At Regular Faculty Meetings the order of business shall be (1) approval of minutes; (2) report and recommendations by the FEC and introduction of motions; (3) report by the President; (4) report by the Provost; (5) reports and recommendations of committees; (6) unfinished business; and (7) new business. This order can be changed by a vote adopted by two-thirds of the members attending the meeting.

7. Quorum

One hundred voting members shall constitute a quorum. A quorumless meeting may commence business and continue if no one openly challenges or questions the presence of a quorum; it is presumed to be present until someone openly doubts it. A point of no quorum may be raised at any time during a meeting.

- a. *Business valid unless challenged.* Business that has been transacted in the unascertained absence of a quorum is legal unless it is ascertained that there is an absence of a quorum before other business has intervened. If no other business has been taken up, the business that has been transacted just prior to determining the absence of a quorum is automatically null and void.
- b. *Business in absence of a quorum.* If it has been determined that a quorum is not present, the subsequent business transacted is deemed illegal, null and void, unless ratified or approved either later at the same meeting when there is a quorum, or at a subsequent meeting. The following procedural business can be legally transacted in a quorumless meeting (1) fix a time for an adjourned (continued) meeting; (2) adjourn; (3) recess; or, (4) take any measures to procure a quorum.

8. Substantive Motions

Definition: A substantive motion is a motion (1) changing the *Faculty Rules*; (2) establishing standing committees of the Faculty; (3) involving significant relations of the Faculty or University with bodies, agencies, or individuals outside the University; (4) involving significant relations of the Faculty to student organizations; or (5) concerning any other matter which, according to prior designation by the FEC or by ruling of the Presiding Officer, involves the general policies of the University or may have an important influence on the University as a whole. Decisions as to substantiality by the Presiding Officer may be appealed to the meeting and decided by majority vote.

- a. *Prior notice.* Unless copies of the motion have been sent out to the Faculty at least seven days before a meeting, a substantive motion must lie over until the next faculty meeting, when it shall be considered as unfinished business.
- b. *Drafting motions.* The FEC shall review motions before placing them on the agenda, and, when appropriate, assist in drafting them. (Such assistance shall apply to the rewording of the texts for the sake of clarity, and not to changing their contents.)
- c. *Minority reports.* Whenever a committee of the Faculty remains divided as to its findings or recommendations on matters of substance, it may submit both majority and minority reports.

9. Motion to Table

The Faculty has stipulated that a Motion to Table, that is, a motion to postpone indefinitely, shall require a two-thirds vote for passage.

10. Motion to Change the Type of Meeting

Any voting member of the Faculty may “rise to a question of privilege” and request that the Faculty go into (1) Restricted Session, or (2) Executive Session, for the remainder of the meeting or for a particular discussion. Such a motion may be disposed of by a ruling of the Presiding Officer, or upon appeal, by a majority vote of the Faculty.

11. Administrator participation

The President, Provost and FEC may invite administrators who are not members of the voting or non-voting faculty to attend each faculty meeting. The names of those invited shall be given to the Secretary of the Faculty at the beginning of each academic year.

12. Student participation

Twenty students shall be invited to attend each faculty meeting, ten to be selected by the Undergraduate Council of Students and ten by the Graduate Student Council. The names of those selected shall be given to the Secretary of the Faculty at the beginning of each semester.

13. Invited Guests

In advance of a meeting a member of the Faculty may propose to the FEC that an individual or group of individuals be invited to attend a meeting or part of a meeting either as observers or as participants in a particular discussion. With the concurrence of a majority of the FEC, the Secretary of the Faculty may issue invitations to such individuals. In addition, the Faculty may admit observers or participants in a given discussion by voting to “suspend the rules regarding admission to faculty meetings,” a non-debatable motion requiring a majority vote.

14. Reporters

Reporters representing the student press and the public press may attend faculty meetings after having been approved by the Secretary of the Faculty. Reporting shall be limited to the written word: cameras, tape recorders, and other electronic devices are not permitted.

C. Faculty Forums

1. Officers

The presiding officers of Faculty Forums shall be the Chair of Faculty Forums and the Secretary of Faculty Forums. Both shall be nominated by the Committee on Nominations for annual terms and elected by the Faculty. In the absence of one or both officers, the Secretary of the Faculty shall appoint temporary replacements.

2. Prior Notice

When a Faculty Forum has been authorized,² the Secretary of the Faculty shall give written notice to the Faculty seven days prior to the meeting of a meeting time and place, and of the following:

- a. the precise subject or subjects to be discussed;
- b. the categories of persons other than voting and non-voting members of the Faculty to be admitted and/or invited to participate;
- c. notice if the same restrictions on the way reporters may report Regular Faculty Meetings are to be changed.

3. Procedural Motions

No motions or resolutions shall be in order at a Faculty Forum except procedural motions relating to the conduct of the meeting. A procedural motion designed to alter the previously announced items to be discussed shall require a two-thirds vote.

4. Reporting to the Faculty

A written report of the discussion shall be given to the Faculty at the next faculty meeting.

² See Faculty Forums as a type of meeting: Section 1.IV.A.4, above.

Section 2. Committees: Faculty Members Elected by the Faculty

I. Types of Committees

The Faculty has the opportunity and obligation to provide service to the University through service on committees, councils, etc. The advantages to the University include the following: (1) Over a period of time, faculty members become acquainted with the operation of the University from a perspective larger than that of their department. (2) Recommendations and decisions affecting the University as a whole can be made with input from faculty representing the diverse interests within the University community. (3) Issues can be examined and discussed, and choices determined, by interested persons.

Included in the *Faculty Rules* is reference to all those committees to which the Faculty elects, appoints, or consults in the appointment of members (Section 2)³. These are of two main types: those created by the Faculty, and those created by either the President, Corporation, or administrative officers. A third type (see Section 3.I Committees Reporting to the Corporation) includes committees to which faculty members are appointed rather than elected by the Faculty. The first type will be referred to as “faculty committees.” Faculty committees are of the following kinds:

A. Standing Committees

Committees created by the Faculty to carry out a charge that is continuous.

B. Ad hoc Committees

Committees created from time to time by the Faculty or as specified by the *Faculty Rules* to study and make recommendations regarding a particular issue. When an ad hoc Committee has completed its task as determined by the creating authority it goes out of existence.

C. Adjunct Committees

Committees created by the Faculty or by an authorized faculty committee to assist a committee in carrying out its charge. They are hybrid committees usually consisting of members of the parent committee and additional members chosen at large.

1. To create an Adjunct Committee, besides those specifically authorized in the *Faculty Rules*, information about the charge, membership, and plan of operations must be provided to the Faculty Executive Committee (FEC). On approval the FEC will convey this information to the Faculty.
2. The Chair of an Adjunct Committee shall be a faculty member.
3. Adjunct Committees report to the original committee they serve, but they may also be asked to report directly to the Faculty or the FEC.

D. Subcommittees

Committees created by committees from their own membership to carry out specified tasks.

³ **NOTE:** The FEC and the Office of Faculty Governance will annually publish a directory of committees, excluding departmental committees, on which faculty members serve.

E. Administrative Advisory Boards

Administrative Advisory Boards are recognized and approved by the Faculty upon request from a senior administrator, in accordance with the requirements set forth in Section 2.VII. Faculty members are appointed by the appropriate senior administrator in consultation with the Committee on Nominations.

II. General Rules for Faculty Committees

A. Membership

1. Faculty Membership

Unless stipulated otherwise

- a. The President of the University is an ex-officio member of all faculty committees, except the Faculty Executive Committee and the University Resources Committee, and is listed in a committee's membership only when he or she is Chair of the Committee;
- b. Faculty members of all Standing Committees shall normally be Voting Members;
- c. Committee memberships should reflect a reasonable balance of rank and academic grouping, as listed in Section 12.II, whenever possible.

2. Student Membership

Unless stipulated otherwise

- a. Undergraduate, graduate, and medical student members of faculty committees shall be selected for one-year terms in the manner designated by their governing bodies, the Undergraduate Council for Students, the Graduate Student Council, and the Medical Student Senate, respectively;
- b. In the absence of the appointment of student members, faculty committees are empowered to continue to discharge their functions until an interim or permanent means for the selection of student members has been devised;
- c. Committees which have student members may have one student alternate member. Student alternates shall be non-voting members of committees. They shall replace regular student members as voting members only in the event of resignation of a regular student member.

3. Ex-officio Members

Unless stipulated otherwise, ex-officio members shall be voting members of committees.

B. Terms of Office

Unless stipulated otherwise, faculty members of committees shall:

1. serve for staggered terms of three years each;
2. be eligible for election or re-election to that committee for a full term, if they have served less than a full term;
3. not be eligible for re-election until one year has elapsed, if they have served a full term.

C. Method of Election

Unless stipulated otherwise

1. Voting members shall be nominated by the Committee on Nominations and elected by the Faculty.
2. Elections to faculty committees except URC shall be made at the last Regular Faculty Meeting for the academic year, appointments to begin on the following July 1. (See Section 2.III.G.3.)

D. Resignations and Leaves

1. Barring exceptional circumstances, if a committee member is absent for more than three meetings annually he or she is considered to have resigned.
2. If a member of a committee takes a leave, or for any other reason is unable to serve on a committee for a semester, he or she shall inform the committee, who will request the Committee on Nominations to provide a temporary replacement. If a member of a committee is unable to serve for more than one semester, he or she shall be considered to have resigned from that committee and the Committee on Nominations shall nominate someone else to replace him or her for the remainder of the term of service. When not replaced, a member shall return after a sabbatical or leave to complete his or her term of office.⁴

E. Organization

1. To conduct their business efficiently and effectively, committees should consult with the FEC, directly or through liaisons appointed by the FEC, the administration, and other committees with related charges.
2. Committees shall keep the Faculty informed of important questions being considered, and make a reasonable effort to obtain as open and as informed discussions as possible among all concerned members of the University community.
3. The Chair of a faculty committee, unless stipulated otherwise, shall be
 - a. a faculty member of the Committee;
 - b. elected for a one-year term, renewable, by the Committee members;
 - c. elected prior to the expiration of the term of the incumbent Chair.
4. If the Chair of a faculty committee is absent or declines to call a meeting, a meeting may be called by two of its members.
5. Faculty committees shall annually report on their activities to the FEC, which shall forward these reports to the Faculty.
6. Recommendations for changes in committee duties or structure may be included in an annual report, but motions should be presented under the conditions described for “Substantive Motions” in the *Faculty Rules*.

⁴ The term of office, however, remains specific; therefore, a member taking a leave in the last year of his or her appointment could not return to the committee after the expiration of the elected term.

F. Recall

1. By majority vote at a faculty meeting, the Faculty may initiate a recall of a faculty committee or of any of its members. Otherwise, on written petition of one hundred voting members of the Faculty, the Secretary of the Faculty shall initiate a recall.
2. In the event of a recall, the Committee on Nominations, or, if that is the Committee being recalled, the FEC, shall prepare new slates for replacements.

G. Conflict of Interest

In the course of selecting persons to serve on committees, and in the face of unknown items to come to the agendas of some committees, it is inevitable that some faculty will find themselves in conflict-of-interest situations. The burden of decision rests initially on the faculty member to determine the existence of a conflict of interest. In case of doubt, a committee member can consult with the Chair of the Committee, or with the officers of the FEC. If the conflict affects only an occasional item of business, the faculty member should withdraw from the meeting until the next item of business is introduced; but if the conflict is of a recurring nature, the faculty member should resign.

III. Standing Committees**A. Faculty Executive Committee (FEC)****1. Charge**

The FEC shall serve as a central steering committee for faculty business.

- a. To investigate matters of concern to the Faculty not in the purview of other faculty committees, and report and make recommendations concerning them to the Faculty.
- b. To refer such issues and other matters pertaining to faculty business to the Faculty, to the appropriate faculty committee, or to an ad hoc faculty committee that it may create to investigate and make recommendations regarding the issue.
- c. To receive and discuss the annual reports of committees which it shall forward as part of the agenda of a faculty meeting to all members of the Faculty.
- d. To call Special Faculty Meetings and Faculty Forums.
- e. To set the agenda for faculty meetings after consultation with the President, the Secretary of the Faculty and other interested parties.
- f. To act for the Faculty in emergencies, provided that it keeps the Faculty informed of such actions and brings them to the Faculty for approval as soon as possible.
- g. To serve as a conduit between the Faculty and the administration, Corporation, and students concerning faculty issues. Every faculty member shall have access to the FEC for purposes of voicing his or her concerns regarding general matters relating to faculty business.
- h. To draw up ballots whereby the Faculty shall elect members of the Committee on Nominations. For those ballots, the FEC shall solicit nominations from the voting members of the Faculty, and may add names to the list of nominees. The FEC shall not nominate any of its own members to the Committee on Nominations.

- i. To report annually to the Faculty on the composition by protected groups of faculty members serving on faculty committees and administrative advisory boards.
- j. To receive from senior administrators charges to administrative advisory boards for possible faculty approval and inclusion in *Faculty Rules and Regulations*.
- k. To periodically review faculty governing structures to ascertain their efficiency and efficacy in carrying out faculty objectives and to report its findings and recommendations to the Faculty. Reviews of faculty governance shall be done at least once every ten years.
- l. It shall be authorized, in consultation with the Secretary of the Faculty, the Parliamentarian, and such administrative officers as are appropriate, to insert and amend descriptions of administrative advisory boards and administratively-appointed committees of major interest to the Faculty in the listing of committees in the *Faculty Rules and Regulations*. These descriptions are to include a statement of the membership and charge in each case, similar to the format of entries of faculty-approved and elected committees. All changes, including additions and deletions, are to be presented to the Faculty by the FEC annually as a printed addendum to the *Faculty Rules and Regulations*, and current versions are to be incorporated when new versions of the *Faculty Rules and Regulations* are distributed to the Faculty.
- m. The Susan Colver Rosenberger Special Honor Medal is intended to be awarded by the Faculty to one or more individuals for notable achievement in scholarship, public welfare, or any other achievement deemed appropriate by the Faculty. Each year the Committee shall gather nominations for recipients of the award from the Faculty, and recommend one or more possible recipients of this award to the Faculty.

2. Membership

There shall be ten faculty members: three officers; Chair, Vice Chair, and Past Chair; and seven others. The Chair of the Medical Faculty Executive Committee or his/her designee shall be invited to attend, ex-officio, with voting privileges.

- 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.
- c. At least one member of the Committee shall have an academic rank of Assistant Professor. One member shall have the rank of Lecturer, Senior Lecturer or Distinguished Senior Lecturer. At least five members of the Committee shall have an academic rank of associate or full professor.

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. Only tenured faculty may serve as Vice Chair, Chair or Past Chair of the FEC.

Faculty members holding an academic rank of Assistant Professor, Lecturer, Senior Lecturer or Distinguished Senior Lecturer shall be elected for two-year terms.

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 Faculty/FEC 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 ballot between the two candidates who have received the largest number of votes.
- d. Non-officers of the FEC 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 and Leaves

- a. Officers of the Faculty Executive Committee
 - i. Chair — If the Chair either resigns or takes a one-semester leave, members of the FEC will elect an acting Chair from its standing members. The Committee on Nominations will provide a temporary replacement from the appropriate division to serve as a regular committee member (not an officer). The acting chair shall hold office for the unexpired term of the Chair, or until the Chair returns from leave (whichever comes first). If the Chair returns from a leave, the elected Chair may take up the position appropriate to the term of service.
 - ii. Vice Chair — If the Vice Chair takes a one-semester leave, the Committee on Nominations will provide a temporary replacement from the appropriate division to serve as a regular committee member (not an officer). Members of the FEC will elect an acting Vice Chair from its standing members. Returning from leave, the originally elected Vice Chair may take up the position appropriate to the term of service. 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 — If the Past Chair resigns or takes a one-semester leave, the Committee on Nominations will provide a temporary replacement from the appropriate division to serve as a regular committee member, not an officer. Members of the FEC will elect an acting Past Chair from its standing members. Returning from a leave, the elected Chair may take up the position appropriate to the term of service.

b. Non-Officers

The Committee on Nominations shall make an interim appointment of a non-officer of the FEC, subject to review by the Faculty at its next faculty meeting. Such interim appointments shall last only until the next election. If there are more than two vacancies to be filled, a special election to fill them shall be held as soon as possible.

B. Academic Priorities Committee (APC)

1. Charge

The Academic Priorities Committee is responsible for making recommendations to the President concerning the general direction of academic programs.

- a. To make recommendations on the strategic allocations of academic resources for operational, instructional and research purposes.
- b. To review all major academic budgetary proposals prepared for submission to the University Resources Committee.
- c. To review proposals to establish and/or renew departments, centers, programs, and institutes and make recommendations thereon for approval by the Faculty.
- d. To review proposals for new graduate degree programs and new undergraduate concentrations, in coordination with the Graduate Council and College Curriculum Council, so as to assess their impact on academic resources. The Academic Priorities Committee plays a consultative role, with final approval for graduate degree programs and undergraduate concentrations to be made by the Faculty and the College Curriculum Council, respectively.
- e. To supervise external reviews of and changes in the status of academic units and make recommendations thereon.
- f. To receive reports on appointments to named chairs and review policies for making such appointments.
- g. To review proposals for new University-level joint efforts with other institutions and make recommendations thereon to the President.
- h. It may itself also initiate proposals for the development of academic programs.
- i. To review policies on student admissions and aid that shape the composition of the University.

2. Membership

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

3. Method of Election

Each year a ballot will be prepared with two positions with two faculty members per position. Candidates for each slate are to be chosen by the Committee on Nominations in consultation with the Provost after seeking nominations from the voting faculty. Candidates should be representative of the divisions of knowledge in the University and diversity in the Faculty. The candidate on each slate with the majority of the votes will serve on APC; the other candidate will serve as an alternate in the event of a protracted absence of the candidate with the majority of the votes.

4. Operations

The Academic Priorities Committee shall appoint such subcommittees as it sees fit for the performance of its charge. Proposals come to the Committee in written form specified by the Committee from clusters of faculty, programs, centers, and departments.

C. University Resources Committee (URC)

1. Charge

- a. The Committee shall serve to review, to analyze, and to offer recommendations to the President on all budgetary plans, proposals, and priorities, both current and future, affecting the University.
- b. The Committee shall be responsible for maintaining a level of awareness of budgetary matters throughout the University that will encourage the development of informed opinions and the articulation and discussion of issues.
- c. The Committee shall review, analyze and make recommendations regarding the allocation of University resources for the coming fiscal year and for long-range plans developed by the administration or by other duly constituted committees.
- d. The Committee will conduct its business in closed session. The Committee will, however, host University-wide forums as necessary and appropriate to allow the Committee to hear the concerns and priorities of the University community.
- e. The Committee shall, at appropriate points during the preparation of the University budget, report in written form to the President its analysis and its policy recommendations concerning the allocation of resources within the University.

2. Membership

There shall be seven faculty members. One faculty member shall have the rank of Lecturer, Senior Lecturer, or Distinguished Senior Lecturer. There shall be six administrators as ex-officio members, seven students appointed by their respective elected representative governing body in consultation with the Provost, and two staff members appointed by the Staff Advisory Committee in consultation with the Provost. The administrators include the Provost, Executive Vice President for Planning, Executive Vice President for Finance and Administration, the Dean of the Faculty, the Dean of Medicine and Biological Sciences and the Dean of Public Health. The student members shall include four from The College, two from the Graduate School and one from the Medical School. Student members appointed to the Committee may not concurrently serve as officers of their respective governing body (the Undergraduate Council of Students, the Graduate Council and the Medical Student Senate, respectively).

The Provost is the Chair ex-officio. The Vice Chair shall be a faculty member in his/her second year of service on the Committee. Normally the Vice Chair shall be elected by the Committee at the start of the term of new members.

3. Term of Office

Professorial faculty member terms shall be three years, Lecturer/Senior Lecturer/Distinguished Senior Lecturer member terms two years. Graduate and undergraduate student member terms shall be two years. The medical student terms shall be two years with the option of serving for one year. Staff terms shall be two years.

Terms of office shall normally begin on March 1 following the election held or appointment process conducted earlier that same winter.

4. Method of Election

- a. Each year a ballot will be prepared with two positions with two faculty members per position for election by electronic ballot by the Faculty. Candidates for each slate are to be chosen by the Committee on Nominations in consultation with the Provost after seeking nominations from the voting faculty. The candidate on each slate with the majority of the votes will serve on URC; the other candidate will serve as an alternate, as appropriate. Candidates should be representative of the divisions of knowledge in the University and diversity in the Faculty. Upon the expiration of his or her term, a member shall not be eligible for reelection until one year has elapsed, except that those persons elected for terms of one year or less may be candidates to succeed themselves.
- b. Chairs of academic divisions and departments, and faculty members holding appointments as administrative officers, are not eligible for elected membership on the Committee. Members of the Faculty elected to the Committee may not concurrently serve as members of the FEC.

5. Operation of the Committee

The following outlines proposed operations and schedule for the Committee:

- a. The Committee will meet from September through May.
- b. The Committee's work will begin each academic year with an orientation on the short and long-term budget picture for the University that will present the most significant parameters affecting the University's budget, important changes in the University's financial situation since the Committee last met, and assumptions regarding future budget variables (including tuition, indirect cost recovery rates, development projections, changes in projects costs, etc.)
- c. The Committee will hear reports from senior administrative officers about the current budgetary framework as well as short- and long-term issues facing specific major budgetary units. The Committee will also hear recommendations from senior administrative officers about proposed new initiatives in their respective areas of operation and oversight.
- d. The Committee may form or appoint ad hoc subcommittees to further investigate specific issues or proposals.
- e. After presentations from the senior academic officers and after holding any necessary University-wide forums, the Committee will engage in a series of

deliberative meetings about the University's short- and long-term budget priorities.

- f. The Committee will make an annual report to the President of its recommendations on the University priorities, and other reports as the Committee deems necessary.

D. Committee on Faculty Equity and Diversity (CFED)

1. Charge

The Committee on Faculty Equity and Diversity (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 Nondiscrimination⁵ 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 Diversity 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 Statement on Non-discrimination and in the context of the Diversity and Inclusion Action Plan, in support of which it shall be provided reports on faculty hiring and advancement annually by the Office of Institutional Diversity and Inclusion, the Dean of the Faculty, the Dean of Public Health, and the Dean of Medicine and Biological Sciences..
- d. It shall conduct periodic reviews of and submit annual reports on the status of women and minority faculty at Brown, in accordance with the Corporation Statement on Nondiscrimination. It shall make recommendations to improve the status of women and minority faculty where inequities, as defined in the Corporation Statement on Nondiscrimination, are identified and it shall work with the Vice President for Academic Development, Diversity and Inclusion, the Dean of the Faculty, the Dean of Public Health, and the Dean of Medicine and Biological Sciences to articulate goals for a more diverse faculty and help these officers to achieve these goals in accordance with the Corporation Statement on Nondiscrimination. These reviews will include periodic departmental reports of faculty composition by rank, gender, and ethnicity.
- e. It shall review denials of promotion, tenure, and re-appointment for procedural fairness and for adherence to the Corporation Statement on Nondiscrimination

⁵ Corporation Statement on Nondiscrimination (see Part 4, Section 10.III.B below): Brown University does not discriminate against any person because of race, color, religion, age, national or ethnic origin, disability, status as a veteran, sexual orientation, gender identity, gender expression, or sex, except where sex is a bona fide occupational qualification. The University will develop and from time to time update an affirmative action program and will insist on a good-faith effort on the part of its employees to comply with the program. The University will request and expect its agents and those with whom it conducts its affairs to meet the commitments of this important program.

and submit findings, in writing, to TPAC, to the Provost, and to the President (as appropriate). Untenured and ex-officio members may not participate in these reviews. Associate Professors shall recuse themselves from reviews of faculty at their rank or higher. Members of the Committee must recuse themselves from reviews of faculty members in an academic unit in which they hold an appointment.

- f. It shall report annually to the Faculty and to the Faculty Executive Committee.

2. Membership

There shall be nine faculty members: three officers; Chair, Vice Chair, and Past Chair; and six others including one from the off-campus hospital-based faculty. Three administrators, the Dean of the Faculty or his/her designee, the Dean of Medicine and Biological Sciences or his/her designee, the Dean of Public Health or his/her designee, the Vice President for Academic Development, Diversity and Inclusion, and the Past-Chair of the FEC serve ex-officio and are non-voting.

- a. The campus-based 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 is a full professor and no more than three from one group are on the Committee at one time. The position of chair of the CFED shall rotate among the four groups so that no person from one group shall become chair until a member of each of the other three groups has served. The chair will serve as a member on the Diversity and Inclusion Oversight Board (DIOB).
- 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.
- c. All campus-based members of the Committee shall have a tenured academic rank. At least four campus-based members of the Committee shall have the rank of full professor.

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. Only tenured faculty may serve as Vice Chair, Chair or Past Chair of the CFED. Associate and Assistant Professors must recuse themselves from the Committee for the year in which they are considered for promotion review by TPAC.

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 and Leaves

a. Officers of the CFED

- i. Chair — If the Chair either resigns or takes a one-semester leave, members of CFED will elect an acting Chair from its standing members. The Committee on Nominations will provide a temporary replacement from the appropriate division to serve as a regular committee member (not an officer). The acting chair shall hold office for the unexpired term of the Chair, or until the Chair returns from leave (whichever comes first). If the Chair returns from a leave, the elected Chair may take up the position appropriate to the term of service.
- ii. Vice Chair — If the Vice Chair takes a one-semester leave, the Committee on Nominations will provide a temporary replacement from the appropriate division to serve as a regular committee member (not an officer). Members of the CFED will elect an acting Vice Chair from its standing members. Returning from leave, the originally elected Vice Chair may take up the position appropriate to the term of service.
- iii. Past Chair — If the Past Chair resigns or takes a one-semester leave, the Committee on Nominations will provide a temporary replacement from the appropriate division to serve as a regular committee member, not an officer. Members of the CFED will elect an acting Past Chair from its standing members. Returning from a leave, the elected Chair may take up the position appropriate to the term of service.

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.

E. Honorary Degrees

1. Charge

- a. The Committee shall seek nominations for honorary degrees from the Faculty and students.
- b. It shall prepare a list of candidates for honorary degrees during early fall semester each year and submit it to the Board of Fellows for consideration the later part of the same semester.
- c. It shall consult with the Board of Fellows on the criteria for selection as well as on the merits of all candidates for honorary degrees.

2. Membership

There shall be seven faculty members; two undergraduate students, and one graduate student.

3. Organization

- a. The Committee shall elect its chair from among the faculty members who have served at least one year.
- b. The Committee shall be allotted a small budget for mailing, computer printouts, etc.

F. Medical Faculty Executive Committee (MFEC)

1. Charge

The Medical Faculty Executive Committee (MFEC) shall serve as a central faculty representative committee for the Brown Medical School Faculty in clinical departments.

- a. It shall investigate matters that are of particular concern to the Medical Faculty, and report, make recommendations, and suggest priorities to the Medical Faculty and, as necessary, the full Faculty. It shall refer matters pertaining to Medical Faculty business to the Medical Faculty, appropriate existing Medical Faculty bodies (e.g. *Faculty Rules and Regulations* Part 1, Section 2.V) or hospital/health care system education & research foundations/committees, or to an ad hoc Medical Faculty committee that it may create to investigate and to make recommendations regarding an issue. It shall maintain close communication and coordination with the Faculty Executive Committee.
- b. Changes in medical school policies and procedures relating to faculty appointments, reappointments, promotions, and other matters relevant to faculty in clinical departments will be provided to the MFEC for review and comment prior to action by the Biomedical Faculty Council and/or the FEC.
- c. It shall be authorized to call Faculty Forums and Special Meetings of the Faculty of the Medical School.
- d. It shall receive and discuss the annual reports of the Committee on Medical Faculty Appointments, the Medical Curriculum Committee, the Medical Committee on Academic Standing, the Graduate Medical Education Committee, and the Continuing Medical Education Advisory Committee.
- e. It shall consult on a regular basis with the Dean of Medicine and Biological Sciences and advise the Dean on matters pertaining to Medical School faculty in clinical departments. It shall work in consultation with the Dean of Medicine and Biological Sciences.
- f. It shall consult on a regular basis with the administration and trustees of affiliated hospitals and foundations that employ Medical Faculty and advise the administration and trustees of these hospitals/health care systems and foundations on matters pertaining to Medical Faculty in clinical departments.
- g. It shall consult on a regular basis with the Brown University Corporation Medical School Committee, or its equivalent council.
- h. It shall report to the Medical Faculty in person or by mail and/or internet on a regular basis.
- i. Every (voting and nonvoting) Medical Faculty member shall have access to the MFEC for purposes of voicing his or her concerns regarding general matters relating to faculty business.

- j. It shall be designated as the agent to resolve or recommend resolution of grievances (relating to faculty status or academic issues) of both voting and non-voting faculty in clinical departments in accordance with the Grievance Procedures outlined in Part 4, Section 10.I.A.7.
- k. It shall periodically review Medical Faculty governing structures to ascertain their efficiency and efficacy in carrying out faculty objectives and shall report its findings and recommendations to the FEC and the Biomedical Faculty Council.
- l. It shall periodically review the status of Medical Faculty interactions and relationships across institutional lines, including those with campus based faculty, and shall report its findings and recommendations to the FEC and the Biomedical Faculty Council.
- m. An officer of the MFEC who is in an academic track shall be designated annually to serve as a voting member of the Faculty Executive Committee.
- n. An officer of the MFEC who is in an academic track shall be designated annually to serve as a member of the Biomedical Faculty Council.

2. Membership

- a. There shall be twenty faculty members: three officers; Chair, Vice Chair, and Past Chair and seventeen others who shall be elected from the academic faculty and from faculty in the Clinician Educator track. The chair of the FEC or his/her designee shall be invited to attend, ex-officio, with voting privileges.
- b. There shall be at least 2 members from each of the following Medical Faculty tracks: (1) teaching scholar, (2) research scholar, (3) (research), (4) undeclared. There shall be at least one member from the Clinician Educator track.
- c. At least one member shall be elected from the faculty with rank below associate professor.
- d. The Dean of Medicine and Biological Sciences or his/her representative, the Associate Dean for Clinical Affairs or his/her representative, the President of the University or his/her representative, the Presidents/CEOs of the hospitals/systems or their representatives will be invited to attend, ex-officio, without vote.

3. Term of Office

- a. Six or more members as needed of the Committee will be elected each year for three year terms.
- b. Each year a Vice Chair shall be elected by electronic ballot from academic faculty with the title of Associate or Full Professor. 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 Subcommittee on Nominations of the MFEC shall consist of three members of the MFEC and will solicit nominations from the academic faculty and from faculty in the Clinician Educator track, members of the MFEC and the FEC to develop a panel of potential nominees.
- b. The Subcommittee on Nominations shall place the candidates into as many categories as there are vacancies, in such a fashion as to insure a reasonable balance and wide representation among groups, being cognizant that inclusion of

women and minorities in the MFEC and balanced representation from among the hospitals, departments, faculty tracks, and academic degrees, are considered to be essential in order for the Committee to fulfill its charge.

- c. The members will be elected by the voting members of the academic Medical School Faculty and medical school faculty in the Clinician Educator track from a ballot of candidates selected by the Subcommittee on Nominations of the MFEC.
- d. The Vice Chair of the MFEC must be elected by a plurality of those voting for that position from a slate proposed by the Subcommittee on Nominations.
- e. Non-officers of the MFEC 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 and Leaves

a. Officers of the MFEC

- i. Chair - If the Chair either resigns or takes a one-semester leave, members of MFEC will elect an acting Chair from its standing members. The Committee on Nominations will provide a temporary replacement from the appropriate division to serve as a regular committee member (not an officer). The acting chair shall hold office for the unexpired term of the Chair, or until the Chair returns from leave (whichever comes first). If the Chair returns from a leave, the elected Chair may take up the position appropriate to the term of service.
- ii. Vice Chair - If the Vice Chair takes a one-semester leave, the Committee on Nominations will provide a temporary replacement from the appropriate division to serve as a regular committee member (not an officer). Members of the MFEC will elect an acting Vice Chair from its standing members. Returning from leave, the originally elected Vice Chair may take up the position appropriate to the term of service.
- iii. Past Chair - If the Past Chair resigns or takes a one-semester leave, the Committee on Nominations will provide a temporary replacement from the appropriate division to serve as a regular committee member, not an officer. Members of the MFEC will elect an acting Past Chair from its standing members. Returning from a leave, the elected Chair may take up the position appropriate to the term of service.

b. Non-officers

The Subcommittee on Nominations shall make an interim appointment of a non-officer for the MFEC, subject to review by the Faculty at its next faculty meeting. Such interim appointments shall last only until the next election. If there are more than two vacancies to be filled, a special election to fill them shall be held as soon as possible.

G. Committee on Nominations

1. Charge

The Committee on Nominations shall make nominations at faculty meetings of persons to fill all committee vacancies to which faculty are elected according to the nominations rules of each committee, unless otherwise specified in the *Faculty Rules and Regulations*.

- a. The Committee on Nominations shall not nominate its members to other committees.
- b. The Committee on Nominations shall consult with the Provost in the selection of candidates for election by the Faculty to the University Resources Committee, Academic Priorities Committee and the Tenure, Promotions, and Appointments Committee.
- c. The Committee on Nominations shall advise senior administrators chairing administrative advisory boards on the appointment by the administrator of faculty members to the board or, in conjunction with the senior administrator, to nominate faculty members to be elected to the board by the Faculty either at a faculty meeting or by electronic ballot.
- d. When a committee is created by the Faculty, the Committee on Nominations shall appoint one member of the new committee to convene it.

2. Membership

There shall be nine faculty members broadly representative of the major divisions of the University. They shall serve staggered three-year terms.

3. Method of Election

The FEC shall solicit nominations from the voting members of the Faculty, and may add names to the list of nominees. The FEC shall present its slate of candidates for election by the Faculty at the last Regular Faculty Meeting for the academic year, appointments to begin on the following July 1. In the event of a vacancy on the Committee, the FEC shall make an interim appointment subject to review by the Faculty at the next faculty meeting. Such interim appointments shall last only until the next election.

H. Committee on Faculty Retirement

1. Charge

To facilitate the transition of faculty to retirement and help retirees to continue to use their experience and wisdom for the benefit of the University, the Committee shall

- a. consult with individual retired faculty and with independent organizations of retired faculty at Brown (Society of the Elderbears) and other universities;
- b. act as a resource for faculty considering retirement;
- c. communicate with administrators and other faculty committees who can assist the Committee in fulfilling its charge and work carefully with the Committee on Faculty Equity and Diversity (CFED);
- d. issue reports as appropriate; and
- e. make recommendations for faculty and administrative action.

2. Membership

The Committee shall consist of six faculty members at least three of whom shall be faculty emeriti. Members will serve staggered three-year terms. In choosing emeriti members, the Committee on Nominations may consult with the Society of the Elderbears.

IV. Councils and Committees for the Curriculum

A. College Curriculum Council (CCC)

1. Charge

- a. The College Curriculum Council shall review curricular offerings to ensure that academic standards and the goals of the undergraduate curriculum are properly met. When goals are not being met, the Council shall propose to the Faculty the means for doing so.
- b. It shall review curricular offerings with a view to coordinating them and avoiding needless duplications.
- c. The Council shall have the power to examine, evaluate and approve all educational offerings in the undergraduate curriculum, including all courses offered for credit, all concentration programs, and all independent study programs. It shall refer all educational offerings that come to it that have a significant graduate component to the joint subcommittee on undergraduate and graduate instruction.
- d. It shall have jurisdiction over special educational programs such as the internship program, the honors program and advising programs; and it shall oversee prizes and premiums.
- e. It shall periodically conduct reviews of undergraduate educational programs of departments, centers, and programs and shall make recommendations for changes to the academic units concerned and to the administration. The Council may also make general recommendations for improvements in the undergraduate curriculum to the administration and to the departments, centers, and programs.
- f. It shall refer to the joint subcommittee on undergraduate and graduate instruction (which in turn will refer to the Academic Priorities Committee) all questions that require faculty action pertaining to: (a) educational matters that affect all students in the University; (b) changes in the requirements of the Graduate School, the Medical School, or of the School of Public Health that impinge on undergraduate education.
- g. It shall hear reports annually from the Dean of Admission and the Director of Financial Aid.
- h. It shall make annual reports to the Faculty of its activities during the preceding year.

2. Membership

There shall be eight faculty members; five students, four from the College and one from the Graduate School; and five administrators, ex-officio members, including the Dean of the College, an associate dean named by the Dean of the College; the Associate Dean for Undergraduate Biology Education; and the Registrar.

3. Organization

The Dean of the College shall be the Chair of the Council; the Registrar shall serve as Secretary. The Vice Chair, who shall be elected annually by the entire Council from among the faculty members, shall preside in the absence of the Chair. An Executive Committee

shall consist of the Chair, the Vice Chair, the Registrar, and one student elected annually by the entire Council. The Executive Committee shall call meetings and establish the agenda, which, however, may be changed by majority vote of the Council at a meeting. The Council shall meet regularly at least once a month. Its meetings shall be open to the University community, but the Council may go into executive session when it sees fit.

In order to assist the Council in its work, the Council is authorized to establish subcommittees.

The Council shall delegate authority to the Registrar for administering the mechanics of the curriculum. The Registrar shall be responsible for informing the Council of the specific mechanisms he or she devises.

B. Graduate Council

1. Charge

The Faculty delegates certain of its powers with respect to Graduate Education to the Graduate Council. The duties of the Graduate Council are:

- a. to set policy for the Graduate School subject to the approval of the Faculty and the Board of Fellows, such policy to include the conditions for admission to the Graduate School and the procedures for the award of graduate fellowships and scholarships;
- b. to supervise degree requirements;
- c. to approve new courses and other modifications of existing degree programs; and to approve and recommend to the Faculty new degree programs. It shall refer all educational offerings that come to it that have a significant undergraduate component to the joint subcommittee on undergraduate and graduate instruction.
- d. to review graduate programs periodically, but at least once every five years, in consultation with the departments; and
- e. to make annual reports to the Faculty of its activities during the preceding year.
- f. It shall refer to the Academic Priorities Committee all questions that require faculty action pertaining to: (a) educational matters that affect all students in the University; (b) changes in the requirements of the Graduate School or of the Medical School that impinge on undergraduate education.

2. Membership

The Graduate Council shall consist of the Dean of the Graduate School, Chair; the Associate Dean of Medicine (Graduate and Postdoctoral Studies); the Associate Dean of Public Health for Academic Affairs; the University Librarian; the associate deans of the Graduate School, non-voting; all ex-officio; and eight other members of the Faculty and four graduate students chosen in the manners specified below.

Each department of the University shall select one member of its staff as its Representative for Graduate Work. These Representatives shall be available to furnish liaison between the department and the Graduate Council and to act as an advisory body on matters relating to graduate instruction.

3. Method of Election

The Committee on Nominations shall be responsible for nominating candidates for Council membership, at least one from each of the four divisions listed in Section 12.II. Council members shall not succeed themselves nor shall two consecutive terms be filled from any one department.

The Graduate Student Council shall elect to the Graduate Council four graduate students, no two students to be from the same department. The term of a graduate student's membership shall be one year, renewable at the Graduate Student Council's pleasure for a second year. The Graduate Student Council shall also elect annually one student alternate member of the Graduate Council. The student alternate shall be a non-voting member, and shall replace a regular student member as a voting member only in the event of resignation in order to serve for the remainder of the term of office of the member who has resigned.

4. Organization

The Council shall annually elect a Vice Chair from among its elected faculty members; the Vice Chair shall preside in the absence of the Chair. The Chair shall appoint a Secretary from among the associate deans of the Graduate School. The Council shall meet regularly, at least once a month. Its meetings shall be open to the University community, but the Council may go into executive session when it sees fit.

5. Recommendation for Degrees

Candidates for graduate degrees shall be recommended to the Board of Fellows by the Faculty. An officer of instruction of professorial rank at Brown University may not be a candidate for an advanced degree.

C. Standing Committee on the Academic Code

1. Charge

To hear cases involving charges of Academic Code violation, to determine guilt or innocence, and to determine penalty for the guilty.

2. Membership

Six faculty members nominated by the Committee on Nominations and elected by the Faculty to serve staggered three-year terms, and four deans, one each representing the Division of Biology and Medicine, the School of Public Health, the College, and the Graduate School.

3. Reporting

The Committee reports annually in writing to the Faculty and to the Dean of the College, Graduate School, or Biology and Medicine, or Public Health, as appropriate, for administrative action.

4. Chair and Staffing

The Committee shall be chaired by a faculty member. The Vice Chair is elected in his/her second year on the Committee and becomes Chair in his/her third year. The Committee is staffed by the office of the Dean of the College.

D. Academic Standing (CAS)

1. Charge

The Committee shall be responsible for actions concerning undergraduate academic status (including Warning, Serious Warning, and Suspension); for readmission of undergraduate students; for making exceptions to the *Faculty Rules* if it seems wise academically in individual cases; for advising the administrative officers in matters concerning undergraduate students' academic programs; and in general for making recommendations to the Faculty for any actions necessary to insure the fulfillment of basic policies set by the Faculty.

2. Membership

There shall be four faculty members and four administrators, who are ex-officio members. The administrators shall include the Deputy Dean of the College, the Registrar of the University, and two associate deans of the College. The Deputy Dean will be designated by the Dean of the College to act as Chair.

3. Appeals

The Dean of the College will preside over appeals.

4. Procedures

The Committee shall report annually, in writing, to the Faculty Executive Committee and to the Faculty.

E. Commencement Speakers

1. Charge

- a. The Committee shall adopt procedures for the selection of undergraduate students from the graduating Senior Class to be commencement speakers.
- b. It shall select two, preferably, or three students, based on the expectations that the students will meet the requirements of the occasion and continue the traditions of student speakers at the University's commencement exercises.
- c. It shall prepare the students to speak at the commencement exercises.
- d. At the discretion of the Committee one of these speakers may be the winner of the Gaston Medal.

2. Membership

There shall be four faculty members, including an instructor in public speaking, the Dean of the College, and five undergraduate students.

3. Term of Office

The students shall be elected annually by the senior class.

4. Organization

The Chair shall be appointed by the Dean of the College who shall also fix the term of office.

5. Procedures

The Committee shall report annually to the College Curriculum Council.

V. Medical Faculty Bodies

A. The General Assembly

The General Assembly of the Faculty of the Division of Biology and Medicine includes all academic, clinical and research faculty members of the departments and sections of the Division. The General Assembly convenes at least twice a year to provide a forum for faculty input into the decision-making process of the Division and to assist in policy development. The Dean of Medicine and Biological Sciences chairs the General Assembly and solicits suggestions for agenda items from the faculty. Recommendations of the General Assembly are brought by the Dean of Medicine and Biological Sciences to the Biomedical Faculty Council (see below) for its consideration.

B. The Biomedical Faculty Council

1. Duties

The Biomedical Faculty Council shall advise the Dean on substantive matters pertaining to the governance of the Division of Biology and Medicine and shall normally be consulted before decisions are reached. Recommendations of the Biomedical Faculty Council pertaining to such matters will become policy unless sent back for reconsideration by the Dean.

In consultation with the Dean of Medicine and Biological Sciences, the Biomedical Faculty Council will discuss and formulate recommendations on academic policy matters and interdepartmental and supra-departmental affairs, including:

- a. Development of academic policies for the Division of Biology and Medicine, consonant with general University policy.
- b. Review of criteria and process for admission of medical students.
- c. Review of criteria and process for retention and promotion of medical students, awarding of academic honors and prizes, and recommendations to the University faculty for granting of the MD degree
- d. Hearing of appeals and grievances of medical students and faculty arising from the Medical School, Division of Biology and Medicine, or departmental committee actions.

For the purpose of discharging some of these responsibilities, the Biomedical Faculty Council will operate through standing committees whose membership may include faculty as well as department chairs. Appointments to all standing committees are made by the Dean of Medicine and Biological Sciences:

- a. Medical Curriculum Committee: To review and recommend new courses, consider curricular changes, and supervise the implementation of the curriculum leading to the MD degree. A subcommittee, the PLME Undergraduate Affairs Committee, will oversee PLME undergraduates' educational planning and accomplishments while they are still formally enrolled in the College, and will report to the Dean of the College as well as to the Dean of Medicine and Biological Sciences.
- b. Biology Curriculum Committee: To review and recommend new undergraduate and graduate-level courses, consider curricular changes and oversee the programs

and policies leading to fulfillment of undergraduate concentrations in the biological sciences. This committee makes its recommendations to the Program in Biology Faculty, to the College Curriculum Council, and in matters concerning graduate-level courses, to the Graduate Council.

- c. Graduate Medical Education Committee: To review residency and fellowship programs and develop criteria for recognition as University-sponsored programs.
- d. Medical Committee on Academic Standing: To review at regular intervals the academic performance of all medical students in a timely fashion; make recommendations to the Dean of Medicine and Biological Sciences concerning retention and promotion; to review all candidates for the MD degree and make recommendations to the Biomedical Faculty Council for the granting of that degree. A subcommittee, the PLME Undergraduate Affairs Committee, will report on the academic progress of PLME students during their undergraduate college years to the full Medical Committee on Academic Standing.
- e. Appeals and Grievances Committee: To evaluate formal complaints by medical students or non-tenurable medical school faculty. The rules and procedures governing medical student grievances are described in Section 10.II infra; those governing grievances involving non-tenurable medical school faculty are described in Section 10.I.A infra.
- f. Continuing Medical Education Advisory Committee: To assist the Continuing Medical Education Office in the development of standards and policies necessary for the production of high quality educational programs. Its responsibilities include needs assessment, long-range planning, and consideration of ethical issues and co-sponsorship issues in Continuing Medical Education.

In addition to these standing committees, various ad hoc committees or working groups will be appointed by the Dean of Medicine and Biological Sciences for special purposes.

2. Membership

- a. Voting membership in the Biomedical Faculty Council shall consist of the following:
 - i. Chairs of all academic departments and sections who report directly to the Dean, or their representatives
 - ii. Directors of biomedical centers, institutes, and programs, or their representatives
 - iii. A member of the Faculty Executive Committee or a designate
 - iv. The President of the Medical Student Senate
 - v. Student representative of the Graduate Programs in Biology
- b. Ex-officio members serving without voting privileges shall include:
 - i. The Dean
 - ii. The associate deans
- c. Officers
 - i. The schedule for the Biomedical Faculty Council meetings shall be published at the first meeting of the calendar year and subsequent changes in those dates will require notification of at least seven days in advance of the meeting.
 - ii. Special meetings may be called at the behest of the Dean, any four members of the Biomedical Faculty Council, or any 20 members of the Faculty.
 - iii. Quorum: One half of the voting members shall constitute a quorum.

- iv. Recommendations of the Biomedical Faculty Council shall require simply a majority vote of those present provided that a quorum is present, or the agenda and notice of the meeting was distributed to the members at least three days in advance of the meeting and only topics listed on the agenda are acted upon, (except under special circumstances this provision may be waived by a unanimous vote of those present).

VI. Committees Reporting to the President

A. Advisory Committee on Corporate Responsibility in Investment Policies

1. Charge

The Advisory Committee on Corporate Responsibility in Investment Policies (hereafter “Committee”) shall:

- a. consider issues of moral responsibility in the investment policies of Brown University. The Committee shall evaluate information on such questions that are submitted to the Committee from individuals, groups, and organizations within and outside the University community;
- b. examine all proxy resolutions that are presented to the University as a shareholder in any company and that raise issues of social responsibility. The Committee shall develop guidelines for voting on proxy resolutions and from time to time, as appropriate, amend these guidelines. The guidelines and any amendments shall be submitted to the Advisory and Executive (A&E) Committee for their review and approval. After A&E approval of such guidelines, each proxy resolution shall be reviewed and, if the resolution clearly is covered by the guidelines, that resolution shall be voted in accord with the guidelines. If a particular proposal is not covered by the guidelines, that proposal shall be considered by the Committee. If the Committee recommends voting against the proposal, that vote will be cast. If the Committee recommends voting in favor of a proposal or abstaining from a vote, that recommendation will be sent to the Proxy Committee of the Corporation, for its review and action;
- c. consider requests by any member of the Brown community to examine issues of alleged "social harm" with respect to the activities of corporations in which the University is an investor. Social harm is defined for the purpose of this charge as the harmful impact that the activities of a company or corporation have on consumers, employees, or other persons, or on the human or natural environment;
- d. carefully balance (in making its judgment on any specific question of social harm) the gravity of the social harm, the potential effectiveness of various means of influencing corporate policy, the University's need to maintain a sound financial policy, and the consistency of various proposed courses of action with the maintenance of an environment at Brown conducive to teaching and scholarly inquiry. In no event will a recommendation be made that an endowment security be selected or retained solely for the purpose of encouraging or expressing approval of a company's activities or, alternatively, for the purpose of placing or leaving the University in a position to contest a company's activities;

- e. not recommend action on any proxy resolution or other aspect of investment that advances a position on social or political questions unrelated to the conduct of the company's business or the disposition of its assets;
- f. have the power to recommend one or more of the following actions if it deems a proxy or other issue raises a significant question of "social harm" (as defined above):
 - that letters of inquiry and/or protest be directed to the corporation(s) involved, expressing the University's concerns and requesting further information, and that (in appropriate cases) such letters establish specific terms and deadlines for the correction of the social harm involved and suggest that the University might divest itself of its shares in that corporation if these terms are not met;
 - that the University make its views on these issues known to the public;
 - that a representative of the University appear at the shareholders' meeting where the proxy is to be voted and present on behalf of the University its views on the issue;
 - that the University cooperate with other interested groups and institutions to exert additional pressure upon the company (or companies) involved to correct the social harm; and
 - that the University pursue any other measures the Committee deems likely to be constructive.
- g. recommend divestiture (keeping in mind the fundamental principle of sound financial policy, the legal responsibilities of the Corporation to sustain fiscal soundness and stability of the endowment fund, and the kinds of balanced judgment called for above) when divestiture will likely have a positive impact toward correcting the specified social harm, or when the company in question contributes to social harm so grave that it would be inconsistent with the goals and principles of the University to accept funds from that source;
- h. conduct open meetings, except when the Committee specifically votes that they should be closed; and
- i. report annually to the University community on its actions by posting this report on the Committee's website.

2. Membership

There shall be three faculty members to be elected by the faculty; three students, two to be elected by the undergraduates and one by the graduate students, for terms to be decided by their councils; three alumni to be chosen by the President, in consultation with the Board of Directors of the Associated Alumni, for such terms as they may recommend, and two University staff members, serving staggered two-year terms, recommended by the Staff Advisory Council and approved by the President. Staff of the Investment Office shall not serve as voting members of the Committee. Faculty members shall serve for three-year terms, and can be elected for successive terms.

3. Organization

The Committee shall establish its own by-laws for election of officers, and for conducting its business. Committee members may participate in decisions by their presence at meetings, by participation via telephone conferencing or by e-mail voting.

4. Assistance to the Committee

In order that the Committee may carry out its charge with efficiency and dispatch it is recommended:

- a. that the President make available to the Committee the reports of a reputable proxy issue research service but that additional material for information and evaluation also be sought;
- b. that the University join in any consortium with sister institutions of higher learning that would be mutually beneficial to the fulfillment of its corporate responsibilities in investment; and
- c. that the President arrange for the appointment of a research assistant to help the Committee in its investigations and analysis.

B. Tenure, Promotions, and Appointments Committee (TPAC)

1. Charge

- a. The Committee will review recommendations concerning (1) the renewal of appointments of Instructors, Assistant Professors, Senior Lecturers, Distinguished Senior Lecturers, and Professors of the Practice, (2) the promotion to the ranks of Senior Lecturer, Distinguished Senior Lecturer, associate and full Professor (including Professor of the Practice), and (3) the awarding of tenure to untenured faculty members in light of each academic unit's written criteria for contract renewal, promotion, and tenure.⁶ The Committee will review recommendations of appointments to tenured positions, to the rank of Senior Lecturer and Distinguished Senior Lecturer, and to the ranks of Associate and Professor of the Practice. The Committee will transmit such recommendations to the appropriate dean as well as to the Provost. After receiving recommendations from the Committee and the appropriate dean, the Provost will submit his or her recommendation to the President and the Corporation for final action. This charge applies to all appointments and promotions noted above, except for non-tenurable positions within the Medical School, which are reviewed by the Committee on Medical Faculty Appointments, or within the School of Public Health, which are reviewed by the Committee on Public Health Faculty Appointments.
- b. The Committee will review departmental statements of standards and criteria and will make recommendations to the appropriate dean, when necessary, to bring them in line with generally accepted University practices.
- c. In reviewing recommendations for tenure and promotion, the Committee is guided by the following statements:

⁶ Further description of the tenure, promotion, and appointment process can be found in Part 4, Section 10.I.D and Part 5, Section 11.I.A.

Candidates for tenure and promotion at Brown must show evidence of outstanding scholarship. They must also be highly effective teachers, and be positive contributors to faculty governance as well as to the intellectual life of their department, university, and profession. Demonstrated ability in teaching and service are necessary but not sufficient conditions for tenure and for subsequent promotion to Professor.

Peer esteem, both within and outside the University, is a valuable indicator of scholarly ability and achievement. In all cases, it is important to consider the quality and not only the quantity of scholarly production.

- d. In its review the Committee shall give due weight to the statements and evidence gathered by the academic units sponsoring the recommendation, including all evidence submitted by the individual under review. The Committee may solicit additional evidence from within or without the sponsoring group. The Committee's review shall consist primarily of the evaluation of professional qualifications and shall consider whether proper procedures have been followed. The review shall also determine whether the decision was consistent with (1) the Corporation Statement on Non-discrimination, (2) the academic unit's written standards and criteria for contract renewal, promotion, and tenure on file with the Dean of the Faculty, and (3) procedural regulations of the University.
- e. The Committee shall, in its advisory capacity, either accept or reject the recommendation of the department or make a recommendation of its own.
- f. Recommendations for appointments, reappointments, and promotion of faculty members other than specifically described above shall be reported to TPAC. The Committee may review any of these it feels requires such review. In all cases, when a review is requested, the Committee shall undertake such a review. A review may be requested by the candidate concerned, the Provost, the President, or the Chair of the academic unit.
- g. The Committee shall report on its deliberations annually to the Faculty and to the CFED.

2. Membership

The Committee shall have as non-voting members the Dean of the Faculty, the Dean of the Graduate School, the Dean of Medicine & Biological Sciences, the Dean of Public Health, and the Dean of the College. The voting members will be twelve tenured faculty members active in research and teaching, three each from the Humanities, Social Sciences, Physical Sciences, and Life Sciences. No more than one member of each academic division shall have the rank of associate professor. Associate professors will recuse themselves when cases involving candidates at their rank or higher come before TPAC. The Vice Chair shall hold the position of full professor and be elected from among the current TPAC members in their second year of service on the Committee and shall become Chair during his or her third year on the Committee. Committee members shall be representative of the diversity of the Faculty.

3. Method of Election

- a. Each year a ballot will be prepared with two faculty members per vacant position. Candidates for each slate are to be chosen by the Committee on Nominations in

consultation with the Provost after seeking nominations from the voting faculty. Candidates should be representative of the divisions of knowledge in the University and diversity in the Faculty. It is the sense of the Faculty that after seeking nominations from the Faculty and advice from the Provost, the Committee on Nominations will exercise its independent judgment in establishing the candidate slates for TPAC.

- b. Faculty members shall be elected to serve staggered three-year terms.
- c. Upon expiration of his or her term, a member shall not be eligible for reelection until one year has elapsed, except that persons elected for terms of one year or less may be candidates to succeed themselves.
- d. The nominee within each category receiving a plurality will be elected. In the event of a tie vote, a runoff election by electronic ballot will be held to determine the winner.
- e. Chairs of academic departments and divisions, as well as programs and centers authorized to make faculty appointments, are not eligible for membership on the Committee. Members of the Faculty elected to the Committee may not concurrently serve as members of the Academic Priorities Committee, Committee on Faculty Equity and Diversity, Faculty Executive Committee, or University Resources Committee.

4. Resignations

- a. Officers
 - 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 or who has resigned, the Committee shall elect a replacement from among its members; the elected person shall hold the office of Vice Chair for the unexpired term of the Vice Chair being replaced, and that of Chair for the following year.
- b. Non-Officers – The Committee on Nominations shall make an interim appointment to replace any resigned non-officer member, subject to review by the Faculty at its next faculty meeting. Such interim appointments shall last only until the next election.

5. Operation

- a. The Committee shall act only through the Chair of the Committee or, in his or her absence, the Vice Chair or his or her representative.
- b. Upon receipt of a recommendation, be it positive or negative, regarding the renewal of appointment, promotion, or the award of tenure, the Dean of the Faculty shall inform the faculty member concerned that such a recommendation is under review.
- c. Prior to the conclusion of its review, the Committee shall, upon request, permit the faculty member under review an opportunity to appear before the Committee and/or present materials he or she deems significant to this review.

- d. The Committee shall keep minutes and the outcome of every review shall be recorded with the names of the voters and their votes; the minutes will contain the reasons for the Committee's decision. These minutes shall be confidential.
- e. Members of the Committee, with the exception of the Dean of the Faculty, the Dean of Medicine & Biological Sciences, and the Dean of Public Health, must recuse themselves from cases involving faculty members in an academic unit in which they hold an appointment.
- f. The Chair of the Committee shall present a summary report of the Committee's activities at the first meeting of the faculty each academic year.
- g. The Committee shall establish its own procedures, consonant with its charge and the applicable rules of the Corporation and the Faculty, and make a written statement of these procedures available to every faculty member.
- h. If the Committee finds reason to question the recommendation of the academic unit, it may ask the academic unit to make further explanations. In such a case the Committee may ask the academic unit to reconsider its recommendation.
- i. At the conclusion of the Committee's discussion of a department's recommendation, a vote will be taken on whether the Committee accepts the recommendation before it. The record of the vote, the Committee's recommendation, and all other documents in the Committee's possession, shall be supplied to the Provost and to the appropriate dean. The decision of the Committee shall also be conveyed to the department chair by the Chair of the Committee soon after that decision is reached, and the department chair shall promptly communicate this information to the candidate, though underscoring for the candidate that it is still not necessarily the University's final decision. In the event of a denial of the department's recommendation, the Chair of the Committee shall provide to the department chair in writing a statement of the rationale for its decision within three weeks of the date of its decision. The appropriate dean will convey his or her recommendation to the Provost. The Provost, thereafter, shall declare his or her acceptance or rejection of the recommendation(s), and, in the case of rejection, provide the Committee with a written response. The Provost will recommend action for the approval of the President and Corporation, if such is called for by the decision.
- j. As soon as the Provost's decision is made, the Provost will notify the academic unit chair or director of that decision and of the reasons for it. This oral notification will be followed by a written confirmation of the decision and the reasons from the appropriate dean to the academic unit chair or director. It is expected that the chair or director will notify the candidate informally as soon as possible.
- k. (i) If the departmental recommendation was for reappointment, promotion and/or tenure and if, after review by the Committee, the Provost approved it, notice shall be given to the faculty member that, subject to the approval of the President and the Brown Corporation, the reappointment, promotion and/or tenure has been awarded.
(ii). If the departmental recommendation was for reappointment, promotion and/or tenure and if, after review by the Committee, the Provost's decision is negative, notice shall be given to the faculty member that the reappointment, promotion has been denied and/or that tenure has not been awarded.
- l. The President, or in the President's absence, his or her designee, shall grant to an academic unit Chair or Director, or a faculty member under review, if he or she is

dissatisfied with the Committee's recommendation and/or the Provost's decision, an opportunity to discuss the recommendation with the President, or his or her designee, in person, or to present materials in writing.

C. Committee on Medical Faculty Appointments (CMFA)

1. Charge

The Committee on Medical Faculty Appointments (CMFA) is responsible for review of recommendations for senior level appointments and promotions of non-tenure track Brown Medical School faculty in clinical departments. CMFA has the responsibility of ensuring that senior level appointments and promotions are in accordance with the academic standards of the Medical School.

Appointment and promotion of senior faculty are reviewed by departmental promotions committees, composed of senior faculty using uniform criteria approved by the Biomedical Faculty Council. Department recommendations for appointment and promotion of senior faculty are presented to CMFA by the department chairperson or his/her representative. CMFA will review recommendations for appointment and promotion of associate professors and professors. After review by CMFA, the recommendations of CMFA are forwarded to the Dean of Medicine and Biological Sciences. The Dean of Medicine and Biological Sciences will recommend action to the Provost for the approval of the President and Corporation, if such is called for by the decision. The authority and responsibility of CMFA is comparable to that of the Tenure, Promotions, and Appointments Committee of Brown University.

The specific actions which will require review by CMFA are:

- a. Initial appointments at the ranks of Associate Professor and Professor, including those whose titles are prefixed by "Clinical" or suffixed by "(Research)" or "(Clinical)," and at the rank of associate or full "Professor of the Practice."
- b. Promotions to the ranks of Associate Professor and Professor, including those whose titles are prefixed by "Clinical" or suffixed by "(Research)" or "(Clinical)," and at the rank of associate or full "Professor of the Practice."
- c. All negative departmental recommendations for reappointment at the faculty ranks of Associate Professor or Professor if review is requested by the candidate or the Dean of Medicine and Biological Sciences, except that such review may be precluded if the hospital or employing entity has previously indicated its intention to terminate the employment of the candidate.
- d. All negative recommendations for promotion to Associate Professor or Professor, if requested by the department chair or the candidate or the Dean of Medicine and Biological Sciences.

The CMFA will not ordinarily review appointments and reappointments of junior level full-time faculty, (that is, Instructors or Assistant Professors), Visiting and Adjunct faculty (any rank), Lecturers, Research Associates, Teaching Associates, Investigators, Senior Investigators, or Emeritus faculty. However, any recommendation by a Department may be reviewed by the CMFA at the request of the President, the Provost, the Dean of Medicine and Biological Sciences, the

department chair, the candidate, or a majority of the members of CMFA. The CMFA will not review appointments and reappointments of junior clinical faculty (Instructors or Assistant Professors).

In its review the CMFA will give due weight to the statements and evidence submitted by the department putting forward the recommendation, including evidence submitted by the individual under review. The Committee is guided by uniform standards and criteria approved by the Biomedical Faculty Council. The Committee may request additional documentation from the candidate and/or the department. The Committee review shall include consideration of the procedures followed by the department, evaluation of qualifications of the candidate and determination of whether the candidate meets the educational and research standards for faculty in clinical departments of Brown Medical School. In its advisory capacity, the Committee may either endorse the departmental recommendation or make a recommendation of its own to the Dean of Medicine and Biological Sciences.

2. Membership

There shall be ten voting members: Five faculty members from clinical departments of the Medical School, elected by the Medical Faculty; one faculty member from the Program in Biology and one faculty member from the School of Public Health, elected by the respective faculties; three Brown University faculty members from outside the Division of Biology and Medicine, elected by the Faculty.

All faculty members will have the rank of Professor. All faculty from clinical departments will be in the full-time tracks. Committee members shall be representative of the diversity of the Faculty. Department chairs are not eligible to serve on CMFA. Faculty members shall ordinarily be elected to serve staggered three-year terms. Faculty can be re-elected to CMFA after having been off the Committee for at least one year.

The CMFA will be chaired by the Associate Dean of Medicine (Faculty Affairs) who does not vote. In the absence of the CMFA chair, a chair pro-tem will be designated from among the Brown Medical School faculty members.

The Dean of Medicine and Biological Sciences attends the meetings as a non-voting member. The Deans of the Faculty and Graduate School and the Vice-President for Research or their designees are invited to attend as observers.

3. Organization

The Chair shall report the recommendations of CMFA to the Dean of Medicine and Biological Sciences on behalf of the Committee with minutes that include a review of the discussion.

The Dean of Medicine and Biological Sciences will report to the Provost with recommendations for action, taking into account the recommendations of the CMFA.

The Provost will review and report recommendations for action to the President and the Corporation.

D. Committee on Public Health Faculty Appointments (PHFA)

1. Charge and overview of procedure

The Committee on Public Health Faculty Appointments (PHFA) is responsible for the review of recommendations for non-tenure-track, senior level appointments and promotions for Brown School of Public Health faculty. “Senior-level” is defined as faculty who will be promoted to, or appointed at, the ranks of Associate and Full Professor, in non-tenure tracks. The titles of these faculty may be modified by a prefix or a suffix. PHFA has the responsibility of ensuring that these appointments and promotions are done in accordance with the academic standards of the Brown School of Public Health and its respective Departments. Tenure-track and Lecturer/Senior Lecturer and Distinguished Senior Lecturer actions will continue to be processed through the Tenure, Promotions, and Appointments Committee (TPAC).

Appointments and promotions of senior faculty are reviewed by departmental promotions committees, composed of senior faculty using the standards and criteria approved by the respective department. Department recommendations for appointment and promotion of senior faculty are presented to PHFA by the department chair or his/her representative. PHFA will review recommendations for appointment and promotion of associate professors and professors. After review by PHFA, the recommendations of PHFA are forwarded to the Dean of Public Health. The Dean of Public Health will make her/his recommendation to the Provost. The Provost will in turn make his/her recommendation to the President and Corporation, if their action is necessary. The authority and responsibility of PHFA is therefore comparable to the Committee on Medical Faculty Appointments (CMFA) in the Division of Biology and Medicine

The specific actions which will require review by PHFA are:

- a. Initial appointments at the ranks of non-tenure-track Associate Professor and Full Professor prefixed by “Clinical” or suffixed by “(Research)” or “(Clinical),” and at the rank of associate or full “Professor of the Practice.” Promotions to the ranks of Associate Professor and Full Professor, prefixed by “Clinical” or suffixed by “(Research)” or “(Clinical),” and at the rank of associate or full “Professor of the Practice.”
- b. All negative departmental recommendations for reappointment at the faculty ranks of Associate Professor or Full Professor, if review is requested by the candidate or the Dean of Public Health, except that such review may be precluded if the employing entity has previously indicated its intention to terminate the employment of the candidate.
- c. All negative departmental recommendations for promotion to Associate Professor or Full Professor, if requested by the department chair or the candidate or the Dean of Public Health.

The PHFA will not ordinarily review appointments and reappointments of junior level, full-time faculty, that is, Instructors or Assistant Professors, Clinical faculty, Visiting and Adjunct faculty (any rank), Lecturers, Research Associates, Teaching Associates, Investigators, Senior Investigators or Emeritus faculty. However, any recommendation by a Department may be reviewed by the PHFA at the request of the President, the Provost, the

Dean of Public Health, the department chair, the candidate or a majority of the members of PHFA.

In its review the PHFA will give due weight to the statements and evidence submitted by the department putting forward the recommendation, including evidence submitted by the individual under review. The Committee is guided by standards and criteria approved by the respective departments in the School of Public Health. The PHFA may request additional documentation from the candidate and/or the department. The PHFA review shall include consideration of the procedures followed by the department, evaluation of qualifications of the candidate and determination of whether the candidate meets the educational and research standards for faculty in the Brown School of Public Health. In its advisory capacity, the PHFA may either endorse the Departmental recommendation or make a recommendation of its own to the Dean of Public Health.

2. Membership

There shall be eight (8) voting members: Six (6) faculty members from the School of Public Health; one (1) faculty member from the Division of Biology and Medicine; and one (1) faculty member from Departments reporting to the Dean of the Faculty. The Dean of Public Health may attend PHFA meetings, but cannot vote.

All faculty members will have the rank of Full Professor. Committee members shall represent the tenure-track and non-tenure track faculty [(Research), Teacher Scholar, Research Scholar, Clinical Voluntary]. Each of the Public Health Departments must be represented on PHFA. Department chairs are not eligible to serve on the PHFA.

Nominations for the Public Health seats will be made by the department chairs in consultation with center/institute directors, and representatives to PHFA will be elected by the School of Public Health's voting faculty (composed of all faculty with a primary appointment in public health regardless of type of appointment).

The School of Public Health Executive Committee will work with the Division of Biology and Medicine and the faculty's Committee on Nominations to identify and solicit the potential PHFA members from outside the School. The Division of Biology and Medicine representative and the general University representative will be elected, respectively, by ballot through the Division of Biology and Medicine and through the Office of Faculty Governance.

Faculty members shall ordinarily be elected to serve staggered three-year terms. Faculty can be re-elected to PHFA after having been off the Committee for at least one year.

The PHFA will be chaired the Associate Dean of Public Health for Academic Affairs, as a non-voting member. In the absence of the PHFA Chair, a chair pro-tem will be designated from among the Brown School of Public Health faculty members.

3. Organization

The Chair shall report the recommendations of PHFA to the Dean of Public Health on behalf of the Committee along with the dossier and minutes that include a review of the discussion.

The Dean Public Health will report to the Provost with recommendations for action, taking into account the recommendations of the PHFA.

The Provost will review and report recommendations for action to the President and the Corporation.

VII. Administrative Advisory Boards

A. Administrative Advisory Boards

As needed, senior administrators shall create administrative advisory boards consisting of faculty, and as appropriate, students and staff. The following is a description of a minimal set of requirements on such boards for them to be recognized by the Faculty. For a board to be recognized and approved by the Faculty, the senior administrator to whom the board reports must seek approval from the Faculty Executive Committee of an appropriate description of the board for inclusion into the *Faculty Rules and Regulations*.

1. Charge

To advise a senior administrator on resources and priorities for which the senior administrator has responsibility.

2. Membership

The members shall consist of the senior administrator and a minimum of four faculty members but no more than six who shall serve staggered terms lasting at least two years. Students and staff may serve, as appropriate.

3. Chair and Staffing

The Board Chair shall be the senior administrator. The Vice Chair shall be a faculty member who is elected by the board at the end of his/her first year of service and who shall serve for one year. The Board shall be staffed by the office of the senior administrator.

4. Procedures

An Executive Committee, consisting of at least the Chair and Vice Chair, shall set the agenda for board meetings. The Board shall meet at least once per semester.

The Board shall report annually in writing to the Faculty. The report is to be given by the Vice Chair or, in his/her absence, by the Chair.

5. Election

Faculty members are either appointed by the senior administrator with advice from the Committee on Nominations or are nominated by the Committee on Nominations in consultation with the senior administrator and elected by the Faculty, either at a faculty meeting or by electronic ballot.

B. Library Advisory Board

1. Charge

The Library Advisory Board shall serve to advise the University Librarian, and other senior officers as appropriate, on resources and priorities with regard to the University Library System. The Library Advisory Board shall review and make recommendations about the University's policies concerning the Library and its operations; shall help monitor the effectiveness of library services; and will comment on planning and implementation of plans for current and proposed Library policies and programs. The Board shall review and

make recommendations with regard to policies consistent with the goals and objectives of the University for the proper use of library resources by faculty, staff, and students; the enhancement of the faculty and student academic environment through the effective use and support of the Library; appropriate Library support for research; and the enhancement of Library resources and support. The Library Advisory Board shall coordinate its agenda and work with the Computing Advisory Board as appropriate.

2. Membership

The members shall consist of the University Librarian, six faculty members, and two undergraduate and two graduate students. Members shall serve staggered two-year terms. The Vice President for Computing and Information Services shall be an ex-officio member.

3. Chair and Staffing

The Board Chair shall be the University Librarian. The Vice Chair shall be a faculty member who is elected by the Board at the end of his/her first year of service. The Board shall be staffed by the Office of the University Librarian.

4. Procedures

An Executive Committee, consisting of the Chair and Vice Chair, shall set the agenda for Board meetings. The Board shall meet at least once per semester.

The Board shall report annually in writing to the Faculty. The report is to be given by the Vice Chair or, in his/her absence, by the Chair.

5. Appointment of Members

Faculty members will be appointed by the University Librarian with advice from the Committee on Nominations. Student members will be appointed by the University Librarian with advice from the appropriate student government.

C. Campus Planning Advisory Board

1. Charge

The Campus Planning Advisory Board shall serve to advise the Executive Vice President for Planning, and other senior officers as appropriate, on resources and priorities concerning the utilization and development of the physical campus. The Campus Planning Advisory Board shall review and make recommendations concerning the University's Master Plan for the physical campus; matters relating to the long-range development of the physical campus; proposals for new facilities and significant renovations or landscaping projects; and other matters related to the current and future utilization of the physical campus. The Board will also organize its work with other boards and committees where there are special issues of overlapping interest, particularly on housing.

The Campus Planning Advisory Board shall, through the Chair and Vice Chair, provide regular input and feedback on matters pertaining to the physical campus to the President and the Corporation Committee on Facilities & Design.

2. Membership

The members shall consist of the Executive Vice President for Planning, the Associate Provost designated to deal with campus planning issues, four faculty members, two staff

members, and one undergraduate, one graduate, and one medical student. Members shall serve staggered two-year terms. The Provost or his or her designee, the Associate Vice President for Facilities Management and the Director of Planning shall serve as ex-officio, non-voting members.

3. Chair and Staffing

The Board Chair shall be the designated Associate Provost. The Vice Chair shall be a faculty member who is elected by the Board at the end of his/her first year of service. The Board shall be staffed by the Offices of the Executive Vice President for Planning and the Associate Vice President for Facilities Management.

4. Procedures

An Executive Committee, consisting of the Chair and Vice Chair, shall set the agenda for Board meetings. The Board shall meet at least once per semester.

The Board shall report annually in writing to the Faculty. The report is to be given by the Vice Chair or, in his/her absence, by the Chair.

5. Appointment of Members

Faculty members will be appointed by the Executive Vice President for Planning with advice from the Committee on Nominations. Staff members will be appointed by the Executive Vice President for Planning with advice from the Staff Advisory Committee (SAC). Student members will be appointed by the Executive Vice President for Planning with advice from the appropriate student government.

D. Information-Technology Advisory Board

1. Charge

The Information-Technology Advisory Board shall serve to advise the Chief Information Officer, and other senior officers as appropriate, on resources and priorities concerning all aspects of computing, information management, and communication technology. The Information-Technology Advisory Board shall review and make recommendations concerning the University's planning and implementation of plans for current and proposed computing and information technologies. The Board shall review and make recommendations with regard to policies consistent with the goals and objectives of the University for the proper use of computing resources by faculty, staff, and students. Its goals include the enhancement of the faculty and student academic environment through the effective use of computing and communication technology, including appropriate computing, information, and communication support for teaching and research. The Information-Technology Advisory Board shall also be a source of input and feedback regarding matters of administrative computing, communication, and information technology needs and requirements.

2. Membership

The members shall consist of the Chief Information Officer, six faculty members representative of academic grouping as listed in Section 12.II whenever possible, two staff members, two undergraduates, two graduate students, and one medical student. Faculty members shall serve staggered three-year terms. Staff and student members shall serve

staggered two-year terms. The University Librarian and Director of the Center for Computation and Visualization shall be ex-officio members.

3. Chair and Staffing

The Board Chair shall be the Chief Information Officer. The Vice Chair shall be a faculty member who is elected by the Board at the end of his/her first year of service and shall serve as such for one academic year. The Board shall be staffed by the Office of the Chief Information Officer.

4. Procedures

An Executive Committee, consisting of the Chair and Vice Chair, shall set the agenda for Board meetings. The Board should meet at least once a month during the academic year. The Board shall report annually in writing to the Faculty. The report is to be given by the Vice Chair or, in his/her absence, by the Chair.

5. Appointment of Members

Faculty members will be appointed by the Chief Information Officer with advice from the Committee on Nominations. Staff members will be appointed by the Chief Information Officer with advice from the Staff Advisory Committee (SAC). Student members will be appointed by the Chief Information Officer with advice from the appropriate student government. At least one undergraduate member shall be chosen from the membership of the Committee on computing of the Undergraduate Council of Students (UCS), if such a committee exists.

E. Human Resources Advisory Board

1. Charge

The Human Resources Advisory Board shall serve to advise the Vice President for Human Resources, and other senior officers as appropriate, on resources and priorities with regard to human resources, personnel matters, and the strategic direction for human resource management. The Human Resources Advisory Board shall review and make recommendations concerning policies, programs, and initiatives designed to support and promote the intellectual and professional development of the University's administrative work force. The Board shall consider such matters as the training and support provided to staff and faculty serving in administrative roles; orientation and support for new members of the work force; and the promotion of a healthy community within and between departments. The Board shall review and make recommendations concerning existing and proposed hiring and recruitment procedures and policies and compensation and benefits policies and programs for University faculty and staff. With regard to faculty benefits and awards, the Human Resources Advisory Board shall coordinate with, and not duplicate, the work of the Committee on Faculty Equity and Diversity.

2. Membership

The members shall consist of the Vice President for Human Resources, four faculty members, and six staff members. Members shall serve staggered two-year terms. The Director of Benefits shall serve as an ex-officio, non-voting member.

3. Chair and Staffing

The Board Chair shall be the Vice President for Human Resources. The Vice Chair shall be a faculty member who is elected by the Board at the end of his/her first year of service. The Board shall be staffed by the office of the Vice President for Human Resources.

4. Procedures

An Executive Committee, consisting of the Chair and Vice Chair, shall set the agenda for Board meetings. The Board shall meet at least once per semester.

The Board shall report annually in writing to the Faculty. The report is to be given by the Vice Chair or, in his/her absence, by the Chair.

5. Appointment of Members

Faculty members are appointed by the Vice President for Human Resources with advice from the Committee on Nominations. Staff members are appointed by the Vice President for Human Resources with advice from the Staff Advisory Committee (SAC).

F. Campus Life Advisory Board

1. Charge

The Campus Life Advisory Board shall serve to advise the Vice President for Campus Life & Student Services, and other senior officers as appropriate, on resources, planning and priorities with regard to campus life and student services. The Campus Life Advisory Board shall review and make recommendations regarding the University's policies and programs concerning students' extracurricular and non-academic activities. In particular, the work of this group will focus on the non-academic offerings and operational units of the University that fall within Campus Life (i.e., Dining Services, Athletics and Physical Education, the Office of the Chaplains & Religious Life, the Office of Residential Life, the Office of Student Life, Psychological Services, the Sarah Doyle Women's Center, the Student Activities Office, the Brown Center for Students of Color, and University Health Services) and related areas. The Campus Life Advisory Board will coordinate its work with the College Advisory Board and relevant boards or committees focusing on diversity issues.

The Campus Life Advisory Board may create standing and ad hoc subcommittees to handle specific matters under its broad charge. These will include a standing subcommittee on athletics and physical education. Charges and memberships of the various committees and subcommittees shall be consistent with the charge and membership guidelines governing the creation of Administrative Advisory Boards and shall be made known to the campus by the Office of the Vice President for Campus Life & Student Services.

2. Membership

The membership shall consist of the Vice President for Campus Life and Student Services; the Senior Associate Dean for Student Life; one associate dean of the College and one associate dean of the Graduate School; a minimum of four faculty members, and a minimum of two undergraduate students, one graduate student, and one medical student. Members shall serve staggered two-year terms.

3. Chair and Staffing

The Board Chair shall be the Vice President for Campus Life and Student Services. The Vice Chair shall be a faculty member who is elected by the Board at the end of his/her first year of service. The Board shall be staffed by the Office of the Vice President for Campus Life and Student Services.

4. Procedures

An Executive Committee, consisting of at least the Chair and Vice Chair, shall set the agenda for Board meetings. The Board shall meet at least once per semester.

The Board shall report annually in writing to the Faculty. The report is to be given by the Vice Chair or, in his/her absence, by the Chair.

5. Appointment of Members

Faculty members will be appointed by the Vice President for Campus Life and Student Services with advice from the Committee on Nominations. Student members will be appointed by the Vice President for Campus Life and Student Services with advice from the Undergraduate Council of Students, the Graduate Student Council and the Medical Student Senate. The Associate Dean of the College and the Associate Dean of the Graduate School will be appointed in consultation with the deans of their respective areas.

G. College Advisory Board

1. Charge

The College Advisory Board shall serve to advise the Dean of the College, and other senior officers as appropriate, on resources and priorities with regard to the undergraduate College. The College Advisory Board shall review and make recommendations regarding the University's policies and programs concerning the curriculum, academic support services, and the undergraduate student experience to the extent those policies and programs are not under the purview of another advisory board and/or standing committee. In particular, the College Advisory Board will coordinate its work with the College Curriculum Council and the Campus Life Advisory Board.

2. Membership

The members shall consist of the Dean of the College, one associate dean of the College, the Senior Associate Dean for Student Life, a minimum of four faculty members, and a minimum of two undergraduate students. Members shall serve staggered two-year terms.

3. Chair and Staffing

The Board Chair shall be the Dean of the College. The Vice Chair shall be a faculty member who is elected by the Board at the end of his/her first year of service. The Board shall be staffed by the Office of the Dean of the College.

4. Procedures

An Executive Committee, consisting of at least the Chair and Vice Chair, shall set the agenda for Board meetings. The Board shall meet at least once per semester.

The Board shall report annually in writing to the Faculty. The report is to be given by the Vice Chair or, in his/her absence, by the Chair.

5. Appointment of Members

Faculty members will be appointed by the Dean of the College with advice from the Committee on Nominations. Student members will be appointed by the Dean of the College with advice from the Undergraduate Council of Students.

H. Research Advisory Board

1. Charge

The Office of the Vice President for Research Advisory Board shall serve to advise the Vice President for Research, and other senior officers as appropriate, on resources and priorities with regard to University research. The OVPR Advisory Board shall review and make recommendations regarding the University's policies and programs concerning the Office of Sponsored Projects, the Research Protections Office, the Technology Ventures Office, research funding, external collaborations, interdepartmental communications, and other matters within the purview of the OVPR.

The OVPR Advisory Board may create standing and ad hoc committees and subcommittees to handle specific matters under its broad charge. Charges and memberships of the various committees and subcommittees shall be consistent with the charge and membership guidelines governing the creation of Administrative Advisory Boards and shall be made known to the campus by the Vice President for Research.

2. Membership

The members shall consist of the Vice President for Research and a minimum of four faculty members who shall serve staggered terms lasting at least two years. Students and staff may serve, as appropriate.

3. Chair and Staffing

The Board Chair shall be the Vice President for Research. The Vice Chair shall be a faculty member who is elected by the Board at the end of his/her first year of service. The Board shall be staffed by the Office of the Vice President for Research.

4. Procedures

The Executive Committee, consisting of at least the Chair and Vice Chair, shall set the agenda for the Board meetings. The Board shall meet at least once per semester. The Board shall report annually in writing to the Faculty. The report is to be given by the Vice Chair or, in his/her absence, by the Chair.

5. Appointment of Members

Faculty members will be appointed by the Vice President for Research with advice from the Committee on Nominations.

I. Diversity Advisory Board

1. Charge

The Diversity Advisory Board is a broadly representative, deliberative group that meets to consider matters that concern the campus community, especially with regards to diversity. Its mission concerns the well-being of the community—its capacity for collegiality and the pursuit of the commonweal while preserving an excellent education for all students.

The goals of the Board shall include, but not be limited to the following:

- a. To work with and advise the Vice President for Academic Development, Diversity and Inclusion and other senior officers as appropriate concerning the promotion of diversity and the development of a welcoming and inclusive campus climate.
- b. Identify ways to educate the community about diversity and provide guidance for dealing with community issues.
- c. To develop an effective means of communication about diversity issues with all segments of the community.

2. Membership

The membership shall consist of the Vice President for Academic Development, Diversity and Inclusion, the Vice President for Campus Life and Student Services, a minimum of three faculty members, a minimum of two undergraduate students, two graduate students, two medical students, one student from public health, and a minimum of four staff members. Members shall serve staggered two-year terms.

3. Chair and Staffing

The Board Chair shall be the Vice President for Academic Development, Diversity and Inclusion. The Vice Chair shall be a faculty member who is elected by the Board at the end of his/her first year of service. The Council shall be staffed by the Office of Institutional Diversity.

4. Procedures

An Executive Committee, consisting of at least the Chair and Vice Chair, shall set the agenda for Board meetings. The Board shall meet at least twice per semester.

The Board shall report annually in writing to the Faculty. The report is to be given by the Vice Chair or, in his/her absence, by the Chair.

5. Appointment of Members

Faculty members will be appointed by the Vice President for Academic Development, Diversity and Inclusion with advice from the Committee on Nominations. Student members will be appointed by the Vice President for Academic Development, Diversity and Inclusion with advice from the Undergraduate Council of Students (UCS), the Graduate Student Council (GSC), and the Medical Student Senate. Staff members will be appointed by the Vice President for Academic Development, Diversity and Inclusion with advice from the Staff Advisory Council (SAC).

Section 3. Committees: Faculty Members Not Elected by the Faculty

I. Committees Reporting to the Corporation

A. Student Conduct Board (SCB)

The Senior Associate Dean for Student Life may refer offenses that involve possible separation from the University or a transcript notation to the Student Conduct Board for a hearing. The Council will review the evidence, hear testimony, and receive information. The Council further determines whether the respondent(s) is responsible for violations of the Standards of Student Conduct, and, as appropriate, assigns a sanction.

Complete information regarding the Student Conduct Board and the Non-Academic Disciplinary Procedures can be found in the Student Handbook, available from the Office of the Vice President for Campus Life and Student Services and on the web at:

http://www.brown.edu/Student_Services/Office_of_Student_Life/judicial_affairs/index.htm

1

Part 2 Academic Programs

Section 4. The College

I. Admission to the College

A. Requirements

Effective for students entering after July 1, 1986, applicants for admission to the baccalaureate degree programs should have completed the following at the secondary school level:

Four years of English with significant emphasis on writing, continued through the senior year; at least three years of college preparatory mathematics, preferably continued through the senior year; at least three years of foreign language study resulting in speaking or reading competence in one language, preferably continued through the senior year; at least two years of laboratory science above the freshman-year level; at least two years of history, including American History; at least one year of course work in the arts; and at least one year of elective academic subjects. Prospective science or engineering concentrators should have taken both physics and chemistry and as advanced a level of mathematics as possible. Familiarity with a computer programming language is recommended for all applicants.

NOTE: Exceptions may be made. The Board of Admission welcomes applications from students of varying educational backgrounds who have shown outstanding intellectual promise. Exceptionally able students who are well prepared to enter college before completion of secondary school may also be admitted.

B. Admission with Advanced Standing

Course credit shall be granted only when, in the judgment of individual departments, advanced placement work is at a level of competence sufficient to qualify the student for continued work at an advanced level in a course of study undertaken at the University.

C. Readmission of Students

1. Students who have withdrawn from the University and students who have been dismissed for disciplinary reasons may be readmitted by an appropriate dean.
2. In cases where a student has been suspended for academic reasons, readmission must be approved by the Committee on Academic Standing.
3. If changes in degree requirements have occurred during the period of absence of any student readmitted to the University, the Committee on Academic Standing shall determine whether the new or old requirements must be met.

D. Resumed Education Program

This program shall involve the admission to degree candidacy of applicants who have been away from formal study for five or more years. They shall be admitted as new students, readmitted students, or transfer students.

E. Admission to the Summer Session

1. Brown undergraduate and graduate students are admitted to the Summer Session without application. Brown students not enrolled in University or University approved courses during the academic year must receive approval from the Office of the Dean of the College, and in some cases the Committee on Academic Standing, to enroll in Brown summer courses. Students who are suspended from Brown or who are assigned the status of Refused Registration by the Committee on Academic Standing may attend the Summer Session only with the express permission of the Committee.
2. Students who have graduated from Brown may enroll in Brown summer courses.
3. Brown employees and individuals covered by the Tuition Aid Program may enroll in Brown summer courses.
4. Students from Rhode Island School of Design may enroll in Brown summer courses.
5. Visiting students from other four-year degree-granting institutions or graduate schools, students who have completed all but their final year in high school, and other students meeting qualifications for study (including pre-college students and college graduates) shall be admitted to the Summer Session, providing their academic records indicate that they are capable of meeting the academic standards at Brown. Student applications are evaluated by the Office of Summer Studies with guidance from The College Admission Office.
6. Graduates of other colleges or universities who wish to enroll in Brown summer courses may do so if they have been granted Special Student status at Brown through the Post-Baccalaureate Special Student Program.

II. Course of Instruction

A. Year Courses

A year course is one in which the subject matter has continuity over two semesters.

Neither semester may be elected independently without special permission. The grade at the end of the first semester is temporary. A permanent grade based on the work of the entire year is given at the end of the second semester and is the final grade for both semesters of the course.

In any year course when a change of instructor occurs at the end of the first semester, two independent grades, one at the end of each semester, may, at the discretion of the department involved, be given. Whenever independent final semester grades are given in a year course for this reason, such grades shall be given to all students registered in the year course whether or not different sections are involved.

B. Two-semester Sequence

A two-semester sequence is one in which the subject matter has continuity over two semesters. The grade at the end of each semester is final. The final semester may or may not be prerequisite to the second as specified by the department. The department may also specify that neither semester may be taken independently except by special permission.

C. Summer Reading Courses

With the approval of the department and the Committee on Academic Standing, students may satisfy a course requirement by completing specified reading assignments during any summer under the supervision of a faculty member and passing a final examination on the material covered. The student will be required to pay the full tuition charge for such a course. This privilege is restricted to exceptionally capable students and in no case may be used to satisfy a deficiency resulting from a failure.

D. Independent Study Program (ISP) and Global Independent Study Program (GLISP)

1. Any student may register for an independent study course or courses for any semester. Each such course must have the approval of a Brown University instructor who shall be responsible for the scrutiny of the proposal, the evaluation of the work done, and the assignment of a grade. GLISP courses must be part of a Brown-approved plan for study abroad. ISP and GLISP sponsors are not expected to give regular tutorial instruction.
2. Proposals for ISP and GLISP courses will be reviewed by the College Curriculum Council to assure the academic quality of the proposed course and to avoid undue duplication. Proposals for the fall semester should be turned in by April of the preceding spring semester; proposals for the spring semester are due in November of the fall semester (precise deadlines are listed on the Dean of the College website). Proposals submitted after these dates, but not later than the first day of classes of the pertinent semester, will be considered only upon clear justification to the College Curriculum Council of the late submittal.
3. ISP and GLISP courses appear on the transcript with a unique course number and title.

E. Group Independent Study Program (GISP)

1. Group Independent Study courses are cooperative inquiries in which participating students bear major responsibility for both planning and conduct of the work. They provide an opportunity for academic pursuits, which might not be available in regular courses. They carry course credit.
2. Each group study is sponsored by a Brown University instructor whose central functions are to assess the proposed study, to provide advice during the work, and to be responsible for the evaluation of each student's work. GISP courses permit instructors to interact with more students than independent studies can realistically permit. A teaching assistant or teaching associate may sponsor a GISP course if the department chair recommends that he or she be permitted to do so.
3. Proposals for GISP courses will be reviewed by the College Curriculum Council to assure the academic quality of the proposed study and to avoid undue duplication. Proposal deadlines for the fall and spring semesters are the same as those for ISP courses.
4. GISP courses appear on the transcript with a unique course number and title.

F. Departmental Independent Study Program

5. Departmental Independent Study courses allow students to pursue a reading, research, or thesis project with a Brown University instructor. Because the course appears on

- the transcript with a generic course number and title, no additional approval from the CCC is necessary.
6. The CCC has prepared a set of recommended guidelines for departmental independent studies, which can be found on the website of the Office of the Dean of the College, and on the Registrar's website.
 7. The last day to register for a departmental independent study shall be the end of the fourth week of classes.

G. Summer Program

The University sponsors a formal program of summer study. Summer course offerings serve a variety of functions by enabling students to take courses that are oversubscribed during the academic year; by enabling departments to offer courses that are particularly appropriate for summer study; and by helping to facilitate the introduction of educationally innovative courses.

During the six weeks of instruction, courses meet approximately 7 hours per week. Courses do not meet on observed holidays, e.g. Independence Day. A seventh week is devoted to a brief reading period and an examination period.

The teaching staff of the Summer Session should have a predominantly Brown character. Visiting summer faculty should be screened in accordance with academic-year departmental procedures for selecting teaching faculty, and selected by the departments in concurrence with the Office of the Dean of the Faculty and the Office of Summer Studies.

The Summer Session shall also offer field courses, as appropriate. These courses may run for fewer than seven weeks, but, via the approval of the College Curriculum Council, shall always carry sufficient contact hours and be of academic quality expected of all course offerings at Brown.

1. Brown summer courses carry full academic course credit. Hence, they may be offered in partial fulfillment of graduation requirements at Brown. No more than four summer courses may be counted toward the graduation requirements. Students may elect no more than two summer courses in any given summer. Courses elected in order to fulfill concentration requirements must be approved by the appropriate academic department or agency.
2. Successfully completed summer courses are recorded by the Registrar's Office as part of the student's permanent academic record. Transcript records indicate that these courses were taken in the summer.
3. The Committee on Academic Standing takes student performance in Brown summer courses into consideration as it reviews the quality of the student's work in order to establish academic status.
4. Brown summer courses carry a course fee charge; they do not carry a tuition charge. Successful completion of four Brown summer courses may allow a student to receive a waiver of the eighth semester's tuition. Students must apply to the Dean of the College for such a waiver. Brown summer courses cannot be offered in fulfillment of tuition requirements on a course-by-course basis.
5. The Dean of the College shall determine the applicability of summer course work to degree, residency, and tuition obligations of transfer and Resumed Undergraduate Education students.

6. Summer courses taken elsewhere and transferred after matriculation may not be combined with Brown summer courses to request a waiver of the final semester of tuition.
7. Although Brown Summer Program course credits earned by pre-college students prior to matriculation do become part of the student's academic record at the University, these course credits will not automatically count toward the minimum requirements for the baccalaureate degree. However, Brown students may petition to use Brown Summer Program course credits earned prior to matriculation in the same manner as they would for course-credits earned pre-matriculation at another institution. Students interested in applying pre-matriculation course credits to their degree progress should refer to the guidelines for Advanced Standing.
8. Tuition regulations dictate that courses taken prior to matriculation may not be combined with courses taken after matriculation in order to achieve Advanced Standing and tuition credit; hence, Brown summer courses cannot be so combined.
9. Independent Study Courses are not offered under the auspices of the Office of Summer Studies. They are specially approved by the College Curriculum Council, are of full summer duration, and carry the full tuition charge.
10. Group Independent Study Projects are rarely offered in the summer and are not offered under the auspices of the Office of Summer Studies. When they are offered, they are approved by the College Curriculum Council, are of full summer duration, and carry the full tuition charge.

III. Baccalaureate Degree Requirements

NOTE: All degree requirements are subject to the approval of the Board of Fellows.

At Brown University, the purpose of education for the undergraduate is to foster the intellectual and personal growth of the individual student. The student, ultimately responsible for his or her own development in both of these areas, must be an active participant in framing his or her own education. A central aspect of this development is the relationship of the student with professors and fellow students and with the material they approach together. Structures, rules, and regulations of the University should facilitate these relationships and should provide the student with the maximum opportunity to formulate and achieve his or her educational objectives. Accordingly, the following curricular structure reflects these purposes.

A. Guidelines for A.B. and Sc.B. Degrees

- a. Two baccalaureate degrees shall be awarded — the Bachelor of Arts and the Bachelor of Science. Which of the two degrees is awarded shall be determined by the nature of the concentration program. Guidelines have been approved by the former Educational Policy Committee (now College Curriculum Council) to make reasonably uniform its decisions as to which of the two degrees is to be awarded.
- b. The guidelines for A.B. and Sc.B. approved by the former Educational Policy Committee are as follows:
 - a. The Sc.B. degree recognizes a science concentration that demonstrates both breadth and depth in science beyond the minimum requirement for

the A.B. degree in the same field. An Sc.B. program normally will follow these guidelines:

- i. An Sc.B. concentration, with the exception of Engineering, shall require no more than ten courses in any one department. The total number of concentration courses required shall not exceed twenty (twenty-one for Engineering).
- ii. At least one semester course of independent study, research, or design in the concentration discipline must be included.
- iii. Additional electives must be chosen to meet the quantity requirement for all baccalaureate degrees.
- iv. The following guidelines are intended to clarify the description of an Sc.B. program:
 - a) The introductory sentence provides a concise qualitative description of the differences between an Sc.B. and A.B. program.
 - b) The specification of a minimum number of courses goes on to indicate minimum breadth, and also suggests that the ideal number be somewhat less than the maximum.
 - c) The requirement of independent study, research, or design is intended to provide the student with an opportunity to achieve additional depth in his concentration and to perceive the unity among its parts, goals which are essential to the concept of the Sc.B. degree.
- b. An appropriate department or interdepartmental group may offer several concentration programs, some of which lead to the Sc.B., some to the A.B., and some to the combined A.B./Sc.B. degree. The standard concentration programs are to be presented to the College Curriculum Council.
- c. Department or discipline designations will not appear on the diploma. However, the transcript will specify the student's concentration.
- d. A student, with the approval of the Faculty member who has agreed to be the concentration advisor, may propose to the College Curriculum Council an independent concentration, together with the recommended type of degree and the name of the program. The name of the concentration must be distinct from that of any standard departmental or interdepartmental concentration.

B. Quantity and Progress Requirements (see also Part 3, Section 8.I)

1. Each student is required to take from three to five courses each semester. Each student is normally expected to enroll in 4 courses in each of 8 semesters for a total of 32 courses. (Tuition payments, by decision of the Corporation, are based on the norm of 32 courses and 8 semesters of full-time residence at Brown.)

2. Beginning in May of 1993, all candidates for baccalaureate degrees must successfully complete a minimum of 30 courses for graduation. This minimum is intended to encourage risk-taking in the planning of educational programs and to provide a degree of flexibility in individual programs. The maximum number of courses that may be completed in 8 semesters is 40.
3. To remain in good academic standing, Brown students must satisfactorily complete at least seven (7) courses by the end of the first year, fifteen (15) by the end of the second year, twenty-two (22) by the end of the third year, and thirty (30) by the end of the fourth year. In addition, students making satisfactory academic progress will complete a minimum of seven courses in any two consecutive semesters. Students who do not meet these requirements will have their cases referred to the Committee on Academic Standing for action, which may result in academic status of Warning, Serious Warning, or Suspension. The status designations of Warning and Serious Warning will be posted to the internal academic record of the student's next term of active enrollment. A student may not be enrolled in fewer than 3 courses in any semester without written permission from the Dean of the College for short-work.
4. Academic standing is determined on the basis of courses completed at Brown, including Brown summer courses, as well as on post-matriculation transfer credits or study abroad courses approved by departments to count toward an undergraduate's Brown degree credits. A.P. credit will not figure in the determination of academic standing. A maximum of 4 summer school courses from accredited, degree-granting, four-year institutions or regionally-accredited, two-year institutions may be acceptable for transfer credit, with preliminary approval of the Committee on Academic Standing and appropriate faculty and departmental support. Summer transfer credit may not be used to advance a student's date of graduation.
5. Students who apply for transfer credits toward completion of the requirements for their Brown baccalaureate degree must complete successfully at least 15 courses and 4 full-time semesters of course work at Brown (effective in May 1993 for all baccalaureate degree candidates). For any semester to count as a full-time semester of residence, a minimum of 3 courses must be taken. Resumed Education students may study either on a part-time or full-time basis.
6. A.P. credits may only be used as full-time semester equivalents above and beyond the 30 minimum course requirements for all those graduating in May of 1993 or after.⁷

C. Writing Requirement

1. Since its founding, Brown has stressed the importance of writing. Competence in reading and writing is required for all degrees. Beyond competence, Brown seeks to develop the quality of writing in courses throughout the University.
2. In general, the entering student is expected to have demonstrated the ability to write by superior performance in secondary school or college courses. Students who, in the opinion of the Dean, have not clearly demonstrated such competence will be directed by

⁷ To clarify this requirement a note was added to the Faculty Meeting Minutes of May 18, 1982: A.P. credits relate directly to tuition regulations; that is, semester equivalent tuition credits will be awarded for advance placement (A.P.) credits. A.P. credits, however, although carrying academic course credit, may not be applied to the minimum requirements of satisfactory completion of 30 courses.

the Dean to enroll during their first semester in a designated course that requires significant reading and writing.

3. As they continue at Brown, all students are expected to pursue a high level of performance in their writing. Students, who in the opinion of their instructors, fail to maintain an appropriate level of competence in reading or writing, should be referred to the Dean for placement in a course offering the opportunity to improve their abilities. If students do not complete such a course satisfactorily or are judged by the Dean to be incompetent in writing, they will be refused registration by the Committee on Academic Standing until they complete the writing requirement. Information regarding fulfillment of the requirement will be kept on the Dean of the College website.

D. Concentration Requirement

1. The Goals of a Concentration

- a. A concentration program is the focal point of a student's undergraduate education. A concentration program offers the student the opportunity to reach advanced levels of achievement and to attain mastery of the principal ideas and techniques of a particular discipline or interdisciplinary area. It also provides the experience of intensive study and of sustained and focused direction in a significant field of knowledge. A student is expected to explore within reasonable limits the full breadth of the discipline(s) included in the concentration program. In a liberal education, a concentration program includes consideration of the methodology and values forming the bases of specialized fields of knowledge.
- b. In concentration the student will be undertaking an extensive inquiry into an area which is personally significant. The concentrator will be expected to integrate the large amounts of material with personal experiences. The very nature of a long and painstaking inquiry will aid the student in assessing his or her capabilities and limitations.
- c. A concentration should be undertaken in ways that will maximize contact with professors who will guide and work with the concentrator, and with fellow students who are working in related areas.
- d. A concentration may coincide in some ways with specific prerequisite training for a student's professional goals, but professional training is not the central aspect of the concentration process. Concentration is designed to carry out the processes of intellectual and personal development, which are at the center of the undergraduate educational experience.
- e. A concentration program should have sequence and structure and should afford students the opportunity to integrate their studies and to see the relationships among the various parts of the whole field. Where appropriate and possible, a concentration should include a project such as a thesis, seminar, research project or recital, to serve as a capstone of the program.

2. Advising and the Concentration

- a. Each department shall designate for itself one or more Supervisors of Concentration and one or more Supervisors of Honors. These faculty members will be consulted by students who have decided to concentrate in a department about academic programs in their junior and senior years.

- b. The advising process should make the student aware of integration and continuity among courses and develop understanding of interrelations among the various parts of his or her academic program. In considering such relationships, advisor and student should bear in mind the desirability of further study in such basic skills as mathematics and foreign languages and the appropriateness of other disciplines and interdisciplinary courses to the concentration. The advisor should also identify special tracks within the concentration when appropriate.
- c. The academic department, faculty group, or individual faculty member directing a concentration program is responsible for advising students about programs and academic plans both before and after declaration of concentration.
- d. Departments should annually designate one or more faculty members to serve as Concentration Advisors and should create channels through which potential concentrators may obtain information about the nature and goals of a concentration program. The description of the concentration in the Course Announcement should include full information on prerequisites, honors programs, and all other requirements and options. The description should also include the name(s) of the current Concentration Advisor(s). Departments should encourage a sense of intellectual community through such means as Departmental Undergraduate Groups, concentration seminars and discussions, undergraduate journals, and the like.

3. Standard Concentration Programs

- a. A department or interdepartmental group of faculty may establish a standard concentration program subject to the approval of the College Curriculum Council. The CCC shall review all concentration programs at regular intervals.
- b. In the sciences, a concentration program may lead either to an A.B. or to an Sc.B. degree. Generally, an Sc.B. program requires a larger number of courses in the specific field of concentration and related sciences, whereas an A.B. program permits a broader range of courses in other sciences or in humanities and social sciences.
- c. Standard departmental concentration programs for the A.B. degree shall require no fewer than 8 and no more than 10 semester courses. Concentration programs for the Sc.B. degree — with the exception of Engineering — and standard interdepartmental A.B. programs shall require no more than 10 courses in any one department. The total number of concentration courses required for the Sc.B. degree and for standard interdepartmental A.B. programs shall not exceed 20 (21 for Engineering). None of these limits need preclude a reasonable number of pre- or co-requisites, but when passing upon any concentration program, the College Curriculum Council shall also review the number of these pre- or co-requisites.

4. Independent Concentration Programs

- a. A student may devise, in consultation with one or more appropriate faculty members, an independent concentration program centered on a discipline or disciplines, problem, theme, or broad question. A written proposal presenting a statement of the major objectives of the concentration program and a list of the specific courses to be taken shall be signed jointly by the student and faculty advisor, and submitted to the College Curriculum Council for approval. The number and nature of courses

constituting any proposed con-centration program submitted to the College Curriculum Council should be consistent with the objectives stated in the proposal and also with the general objectives of a concentration as described above. The faculty advisors for an approved concentration program will be expected to meet regularly with the student throughout the period of concentration, to provide guidance, and to assess, with the student, progress made toward attaining the goals embodied in the concentration program.

- b. At the discretion of the College Curriculum Council, minor changes in independent concentration programs may be arranged with the approval of the faculty advisors. Major alterations in independent concentration programs, involving either changes in courses or in faculty advisors, will require the approval of the Council or its designated subcommittee.
- c. In the case of independent concentrations which overlap with areas of study covered by departmental or interdepartmental programs, the College Curriculum Council shall inform the appropriate departmental officer(s) of all substantive actions taken on submitted proposals. An active exchange of opinion between these components of the University is desirable for two reasons: first, a clear statement of the Committee's reasons for arriving at specific judgments should assist the departments and interdepartmental groups in the continuing evaluation of their standard concentration programs; and second, the comments transmitted by the departments and interdepartmental groups to the College Curriculum Council should be of considerable value to its members in the review of future proposals.

5. Declaration and Review of the Concentration

All students must declare a field of concentration by filing an appropriate concentration program form with the Registrar no later than the end of Semester IV. No student will be permitted to register for a fifth semester unless a declaration of concentration has been filed. Students failing to complete registration on time because of the failure to file a concentration declaration will be subject to the same action taken by the University as for all cases of late registration. Changes in declaration are permissible in accordance with the procedures available from the Registrar's Office. Students who wish to declare a second (or third) concentration must do so no later than the end of their penultimate semester. For most students, the deadline will be the end of Semester VII. Students graduating in six or seven semesters (because of advanced standing or accelerated graduation) may declare additional concentrations through the end of Semester V or Semester VI respectively. The penultimate semester for students in five-year degree programs may be Semester VII, VIII, or IX, depending on the student's use of advanced standing or accelerated graduation.

- a. The form for declaration of concentration will consist of three parts:
 - i. a list of the courses that the student plans to take in order to fulfill his or her purpose,
 - ii. the approval of the student's program by the departmental concentration advisor or by the faculty member responsible for directing the concentration,
 - iii. a statement by the student of his or her reasons for selecting the program of concentration and plans for completing it. All courses in the concentration program must be satisfactorily completed.
- b. Students shall notify the concentration advisor of changes in their programs.

- c. At least once each academic year, the Registrar shall send to the student and concentration advisor written confirmation of the courses declared as part of the concentration and a transcript of the courses completed by the student. The student and the concentration advisor shall review the concentration at regular intervals. These reviews should take place no less than once in Semester V and once before mid-semester of Semester VII.
- d. A student who satisfactorily completes more than one concentration program may have the fact indicated on his/her permanent record. In such cases the student must have filed a concentration form with the Registrar for each concentration. Sponsorship and authorization of each concentration program shall follow the usual procedures.

E. Residence Requirement

1. Every candidate for a baccalaureate degree must be enrolled for at least four semesters as a full-time student, except those enrolled in the Resumed Education Program, who may study either on a part-time or a full-time basis, and must complete satisfactorily a minimum of fifteen courses at Brown.
2. Every student must spend sufficient time in concentration studies to permit faculty evaluation of his or her concentration.

F. Honors Program

1. The University shall, at graduation, grant Honors to students whose work in a field of concentration has demonstrated superior quality and culminated in an Honors Thesis of distinction.
2. The designation "Honors" shall be included on the student's transcript and diploma.
3. Each department (by which is meant department, center, program, or appropriate committee) should prepare a statement of specific Honors program goals and objectives and should make this readily available to faculty and students. Evaluation of honors work should be performed by more than one person. Departments should take an active role in the approval and review of Honors candidates. The department as a whole should participate in the decision about recommendation for Honors, or delegate the decision to a Departmental Honors Committee.
4. Students considering Honors work should consult their departmental or independent concentration advisor.
5. The College Curriculum Council shall administer the Honors Program. It will:
 - a. assume overall responsibility for the program and conduct periodic reviews via a standing or ad hoc committee to insure that the goals and objects stated by the department as described above are consistently achieved; and
 - b. arrange to issue timely procedural reminders to students and to departmental and independent concentration advisors.

G. Degrees with Distinction

The Faculty recommends that, at the end of each semester, the Registrar send to each instructor, together with the Report on Academic Standing, a statement similar to the following in intent and language:

1. The Faculty has reiterated its support of the policy of awarding Degrees with Distinction. Accordingly, approximately 20% of each year's senior class will be awarded the Bachelor's Degree *magna cum laude*. Such awards are to be made by the Committee on Academic Standing on the basis of the student's cumulative academic record. In order to accumulate evidence for such judgments, you are requested to award an S with distinction to those students taking a course S/NC whose academic performance in this course is equivalent to an A.
2. The information thus accumulated concerning a student's academic performance will be transmitted at the appropriate time to the CAS, together with whatever other information the CAS may deem relevant, to serve as a basis for the identification of those students eligible to receive the Bachelor's degree *magna cum laude*. This information will be made available to the student upon request, and also to members of the Faculty where reasonable need exists, as, for example, for purposes of nomination for post-graduate fellowships or election to academic honor societies.
3. This information will not be entered upon the student's official transcript, and will not be released outside the University.

IV. Five-year Bachelor of Arts and Bachelor of Science Combined Degree Program

The requirements for the award of the combined degree, Bachelor of Arts and Bachelor of Science, include the following:

1. Satisfactory completion of:
 - a. The Sc.B. requirement for a standard concentration program in life sciences or physical science and mathematics, or an approved independent Sc.B. program spanning one or more of these areas.
 - b. The A.B. requirement for a standard or independent concentration in the humanities or social studies.
2. A minimum of 38 courses passed. Transfer credits to conform to general University regulations governing other undergraduate programs.
 - a. At least three years in residence.
 - b. Declaration of intent either by indicating degree candidacy at admission, or by change of degree status no later than the fifth semester.

V. Program Leading to a Concurrent Baccalaureate–Master's Degree

1. Some students are prepared to complete the Master's degree in four years as a result of college entrance with advanced placement credits; others may move unusually rapidly through the undergraduate concentration doing summer research projects and study. Such students may begin their concentration early and be prepared to work out a concentration in depth, beginning in the sophomore year.
2. Subject to the prior approval of the departments involved, the Graduate Council, and the Committee on Academic Standing, exceptionally capable students may be permitted, in their junior year, to enter a graduate program of study leading to the earning of both a baccalaureate and Master's degree at the end of eight or nine semesters.

3. Students granted this permission will be expected to complete the specific requirements for both degrees although two courses may be used for credit toward both degrees.
4. It is assumed that the Concurrent Baccalaureate–Master’s candidate will be a student of unusual ability whose academic goals include breadth in undergraduate preparation as well as depth in the area of concentration. Listed below are the requirements as determined by the University Curriculum Council in April 2004:
 - a. Students are expected to complete a minimum of 34 courses within nine semesters.
 - b. With the exception of interdepartmental concentrations, students will normally be expected to complete at least 10 courses *outside* their fields of concentration.
 - c. Evidence will be sought that candidates have performed at more than minimally “Satisfactory” level.
 - d. Normally no more than two courses counted toward the undergraduate concentration may be used to fulfill the requirements of the graduate degree.
 - e. The proposed program should be presented to the Committee on Academic Standing and the student must apply to be admitted to the department’s Master’s program, both *no later than Semester VI*. If approval is given by the Committee on Academic Standing and the student is accepted by the department, the application is then forwarded to the Graduate Council.
 - f. After action by the Graduate Council, the student will be notified by letter from the Dean of the Graduate School of the combined decision of the Committee on Academic Standing and the Graduate Council.

VI. Five-Year Baccalaureate–Master’s Degree Program

Departments may submit to the Graduate Council for its approval proposals to establish a 5th-year master’s program leading to the successive awarding of the bachelor’s degree and the master’s degree. Such programs would allow Brown students, after completing their Baccalaureate degrees, to continue at Brown for their Master’s degrees and use courses taken while undergraduates to satisfy some of their Master’s course requirements. Students must apply for this program before they complete their undergraduate study. For every eight courses required for the Master’s degree, two may be completed while the student is an undergraduate, even if taken before the student was admitted to the Master’s program. At least six semester courses must be taken while in residence as a graduate student at Brown University. Admission must be approved by the department in which the Master’s degree is sought and by the Graduate School. While a student must be enrolled as an active undergraduate student at the time of application, admission to the graduate program can be deferred for up to two years with approval of the department.

VII. Combined Five-Year Program Leading to a Baccalaureate Degree and a Master of Arts in Teaching

The Combined AB/MAT program leads to the simultaneous awarding of the baccalaureate and MAT degrees at the end of five years. Candidates must apply through the Education Department during their sophomore year. During the first four years, candidates must complete 32 courses and complete all baccalaureate requirements. They will enroll in two graduate courses during the summer following their fourth year.

In their fifth year they will be placed in a one-year internship teaching in a high school and complete one graduate level course in each semester.

Section 5. The Graduate School

NOTE: All degree requirements are subject to the approval of the Board of Fellows.⁸

I. Master of Arts and Master of Science

While the accumulation of credits is by no means sufficient for the acquiring of a degree, it is necessary in first-year graduate work to use some unit as a basis in describing the proficiency expected of a candidate. The following paragraphs are to be interpreted from this point of view.

The program of study leading to a Master's degree, whether it lies in one department or in a group of departments, must represent some definite aim; such work may be pursued by attending regular courses or individually under the direction of a professor. Ordinarily at least one-half of the student's work must be done in one department, called the department of the major. The program must be approved by the Graduate Council and must be completed with distinction.

The student's work will be under the direction of a representative of the department of the major, who shall approve the schedule of courses and recommend in writing the granting of the degree.

The minimum requirement for a Master's degree for a graduate of an approved college, who is well prepared in a special subject, consists of eight semester credits in advanced work. Additional requirements for specific degrees may be set by the departments, subject to the approval of the Graduate Council. Exception to the eight semester credit rule may be made for 5th year master's students who may designate up to two courses taken as a Brown undergraduate student toward the master's degree with the approval of the program Director of Graduate Studies (DGS).

Normally, all work to be used toward fulfilling the requirements for a Master's degree must be completed within a period of five years.

II. Additional Master Degrees

The following degrees at the Masters level are also offered at Brown. While each degree satisfies the minimum requirements for the awarding of a Masters degree from Brown as stipulated in Section I above, some degrees have additional requirements. Descriptions of program structure and requirements reside with the organizing entity of each program.

- A. Master of Arts in Teaching (Department of Education)
- B. Master of Public Policy (Taubman Center)

⁸ A Motion passed by the Faculty, October 5, 1993: "Credit for Brown courses taught to students off-campus may be applied toward graduate degrees at Brown University and fulfill residency requirements. Proposals (new or renewal) for off-campus credit programs in which at least half the courses for the graduate degree will be taken off-campus should be subjected to a review by the Graduate Council. The review shall include adequate faculty involvement, as determined in each instance by the Graduate Council, to consider the balance of possible side effects - positive and negative - on the campus as well as the potential benefits to the larger community. The relevant graduate program shall report annually to the Graduate Council on the courses offered, their content, enrollments and the progress of students."

- C. Master of Public Affairs (Taubman Center)
- D. Master of Public Health (School of Public Health)
- E. Master of Fine Arts (Department of Theater Arts and Performance Studies (Literary Arts Program))
- F. Master of Science in Innovation Management and Entrepreneurship (PRIME in the School of Engineering)
- G. Executive Master of Healthcare Leadership (School of Professional Studies)
- H. Masters of Business Administration (joint Brown/IE degree)

III. Doctor of Philosophy

- A. In no case will the degree be granted for less than the equivalent of three years of graduate study (or twenty-four semester course credits, including dissertation) without the approval of the Dean of the Graduate School.
- B. The program of study must be planned in consultation with the department concerned and must be approved by the Graduate Council.
- C. A student becomes a candidate for the degree of Doctor of Philosophy when he or she has satisfactorily completed all the requirements, departmental and general, requisite to formally begin work on the dissertation. Candidacy is determined by the department of the degree. The candidate must present a dissertation on a topic related to a major subject that shall embody the results of original research and give evidence of high scholarship. The dissertation will be accepted only when approved by the dissertation committee relevant to the particular candidate for the Doctor of Philosophy.
- D. After the dissertation is submitted via the Electronic Theses and Dissertation (ETD) system, the Graduate School confirms receipt of the accompanying material and recommends awarding the degree.
- E. A candidate for the degree of Doctor of Philosophy must complete all the requirements for the degree within five years after admission to candidacy. Exceptions to this rule may be made by the Dean of the Graduate School or designee for an additional two years. Extensions beyond seven years require Graduate Council approval.

IV. Ph.D. Program in Integrative Studies

- A. Any student who, after at least one year of graduate study at Brown University, wishes to undertake toward the Ph.D. further scholarly work which cannot be accommodated within an existing departmental or interdepartmental program, may draw up his or her own plans and on this basis petition the Graduate Council for approval and for permission to enroll as a doctoral student in Integrative Studies. Such a petition must have the support of at least three members of the University Faculty who agree to sponsor the student's program, one of whom shall act as the program supervisor. Individual programs must meet all general requirements of the Graduate School for the Ph.D., and it shall be the responsibility of the Graduate School to make sure that the facilities and resources necessary to implement the program are already at hand or within reach. The title of a degree sought in this manner must be worked out and agreed to by the student and his or her advisors in

consultation with the appropriate departments and must have the approval of the Graduate Council.

- B. Each three-member advisory committee shall be responsible for the administration, as well as for the academic direction, of the program which it sponsors. Each advisory committee shall have among its functions: (1) to determine and certify candidacy; (2) to approve the dissertation; (3) to make final certification that all requirements have been satisfactorily completed and to recommend awarding the degree.

V. Summer Program

A. Course Credit

Graduate students may count no more than two Brown Summer Session courses toward academic requirements for advanced degrees. Each course counted must be approved by the student's graduate program in advance. Such courses must be at the 1000-level or above for graduate credit, or the student must have registered for extra work for graduate credit with the instructor's permission, as is the case for courses given during the academic year.

B. Tuition Credit

Graduate students may receive tuition credit towards the residency requirement for advanced degrees upon payment of a tuition unit for each course instead of the course fee charge, subject to the approval of their graduate program and the Dean of the Graduate School.

Section 6. The Brown Medical School

NOTE: All degree requirements are subject to the approval of the Board of Fellows.

I. Doctor of Medicine

- a. The Brown Medical School is a four-year program in general medical education.
- b. Every candidate for the degree of Doctor of Medicine must complete satisfactorily at least the last two years of the Brown Medical School as a full-time student at Brown University. During the last two years, students engage in clinical academic activities and other elective academic activities together, totaling at least 80 weeks.
- c. The curriculum of the Brown Medical School consists of a sequence of core courses or their equivalent in the biological, behavioral, social, and medical sciences and a sequence of core clinical clerkships as determined by the M.D. Curriculum Committee and approved by the Biomedical Faculty Council of the Division of Biology and Medicine
- d. The Brown Medical School is included, for most students, in an integrated program of liberal arts, premedical and medical education at Brown University designated the Program in Liberal Medical Education (PLME).
- e. Students admitted into the PLME are selected from among those admitted to the freshman class at Brown University.
- f. Students in the PLME are required to satisfactorily complete a baccalaureate program in any area of concentration at Brown University. Students who satisfactorily complete a baccalaureate program will receive the appropriate degree and are eligible for the M.D., M.M.Sc. and the Ph.D. degrees and other degrees offered by Brown University if requirements of these programs are fulfilled.
- g. Students, other than those in the PLME, who possess a baccalaureate degree from any college or university and who have fulfilled the necessary premedical requirements may be admitted to the first year of the Brown Medical School. In addition, students may be nominated for admission by those colleges and universities with which Brown University has established early identification programs and by those colleges and universities that conduct a premedical post-baccalaureate program with which Brown University has established agreements for early provisional acceptance into the Brown Medical School. Students from any college or university may apply for acceptance into the first year of the Brown Medical School and the Graduate School as M.D./Ph.D. students.
- h. Students enrolled in other medical schools may apply for transfer into the third year of the Brown Medical School.
- i. Students in the Brown-Dartmouth School of Medicine are expected to transfer into the third year of the Brown Medical School from the Dartmouth Medical School when requirements for the first two years of medical school are fulfilled.
- j. A candidate for the degree of Doctor of Medicine must complete all the requirements for that degree within six years of admission to the Brown Medical

School. A candidate for the degree of Doctor of Medicine and Doctor of Philosophy must complete all the requirements for both degrees within nine years of admission to the Brown Medical School. Exception to this rule may be made only with the joint consent of the faculty unit responsible for the student's graduate program, and the Biomedical Faculty Council.

- k. Those students who have successfully completed the academic requirements of the Brown Medical School and have been approved by the Faculty Medical Committee on Academic Standing of the Brown Medical School shall be recommended for the M.D degree.

II. Combined M.D./ Ph.D. Degree

This option is for highly qualified students who wish to combine their preparation toward the degree of Doctor of Medicine with graduate studies leading to the Doctor of Philosophy in an area related to medicine.

A. Admission Requirements

1. Students already enrolled in the first or the second year of the Brown Medical School or after their junior year in Brown's Program in Liberal Medical Education may apply to the Graduate School for admission to either a Graduate Program in the Division of Biology and Medicine or any other Ph.D. program of the University.
2. Admission is limited to medical students who have a high level of performance in their pre-clinical studies, whose application indicates a strong likelihood for success in graduate work, and who are recommended by the appropriate Graduate Program Admissions Committee.
3. Other students seeking admission after completion of baccalaureate studies are generally expected to apply simultaneously to the Brown Medical School and to the Ph.D. Program of their choice, in which case, admission to combined M.D/Ph.D. studies is contingent upon admission to both.
4. Students in the combined M.D/Ph.D. studies are expected to spend one or more summers on research prior to their first or second year of pre-clinical basic medical sciences. Entry to the formal full-time graduate component of the M.D./Ph.D. studies generally will take place after either the first or the second year of the Medical School.

B. Degree Requirements

1. Students in combined M.D/Ph.D. degree studies must complete satisfactorily all of the requirements of the Graduate Program in which they enroll, whether in the Division of Biology and Medicine or in another Graduate Program of the University.
2. Students in combined M.D/Ph.D. degree studies are given graduate credit for the equivalent of eight semester course credits (eight tuition units or one year of full time study and residence) effective and upon satisfactorily completing the pre-clinical basic medical science courses of the Medical School at Brown. This graduate credit is applicable toward part of the credit requirements for the Ph.D. degree. It also satisfies the minimal tuition credit requirements for the Master of Science degree. Depending on the student's preparation, additional courses beyond those meeting the minimal tuition credit may be required by a Graduate Program for

the Sc.M. degree.

Section 7. Certificate Programs⁹

I. Graduate and Post-Baccalaureate Certificates

Certificate programs are intended to serve adult learners who are not otherwise enrolled for a degree at the University; such students have normally already earned a baccalaureate or other degree, at Brown or elsewhere. These programs consist of a minimum of 3 courses. Graduate certificate programs serve to enhance students' qualifications in professional areas. Post-baccalaureate certificate programs permit students to deepen existing academic interests and prepare for future study in a field. In both cases, the following guidelines apply:

A. Procedures for Establishing Certificate Programs

1. Any certificate program will be overseen by one or more academic units, which ensure the academic integrity of the program by:
 - a. Developing the curriculum and any specialized courses to be offered in it;
 - b. Engaging in regular review of courses and programs;
 - c. Recommending the appointment of adjunct or visiting faculty teaching in the Program;
 - d. Overseeing student admission and evaluation; and
 - e. Confirming successful completion of the requirements for the program.
2. Courses developed for certificate programs will be reviewed by the relevant councils and committees for the curriculum (e.g., the Graduate Council, the Medical College Curriculum Committee), applying the same standards that apply to courses in degree programs. These bodies will also review the overall curriculum of certificate programs.
3. Once the relevant curricular committee has approved a certificate program, the proposal will be reviewed by the Academic Priorities Committee (APC). At an early stage in its review, the APC, through the office of the Faculty Executive Committee, will notify the Faculty as a whole of the proposal and make it available for review and comments.
4. The APC will forward a recommendation regarding the establishment of new programs to the Faculty Executive Committee (FEC).
5. The Faculty will consider the recommendation of the APC and will vote to approve or reject the proposal. The vote will be forwarded to the President and subsequently to the Board of Fellows.

B. Coursework and Credit in Certificate Programs

1. Courses offered in certificate programs carry academic credit and are recorded by the Registrar.

⁹ The Faculty has approved the establishment of certificate programs on a trial basis for a period of five years from July 1, 2016. A comprehensive review of such programs will be conducted no later than academic year 2019-2020.

- a. Students seeking graduate certificates may enroll as appropriate in courses that are offered to students enrolled in graduate degree programs, with the permission of the instructor.
 - b. Courses designed for certificate programs may be taken by students enrolled in graduate degree programs, with the permission of the instructor. These may be used to meet degree requirements if approved by the graduate program director.
 - c. Certificate candidates who successfully complete graduate courses as part of certificate programs may apply those credits toward degree requirements, if the student is subsequently admitted to a graduate degree program through standard admission processes and if the credit transfer is approved by the program.
2. Students will be admitted to certificate programs on a selective basis with application requirements similar to those for master's programs.
 3. Students must successfully complete all coursework and other requirements before being awarded the certificate. Completion of requirements will be verified by the faculty representative(s) of the academic unit(s) overseeing the program and reported to the relevant certificate-awarding authority (Graduate School or Alpert Medical School) and to the Registrar. At such time, and regardless of the semester in which it happens, the Registrar will officially indicate the awarding of the credential on the official transcript and issue an official document indicating both the content and the non-degree nature of the program completed.

C. Review of Certificate Programs

Certificate programs will be reviewed on a regular basis by the Academic Priorities Committee, in conjunction with the unit(s) offering the program and the appropriate curricular committee.

II. Advanced Specialization in Graduate Programs

Academic units may propose clusters of 3 to 5 courses that enable Ph.D. candidates to acquire interdisciplinary training extending beyond the doctoral program in which they are enrolled. Such proposals will be reviewed and approved by the Graduate Council. Students' enrollment in such programs and their progress in meeting requirements will be overseen by the academic unit. Successful completion of this coursework (and any associated capstone or other required learning component) will be recognized on the transcript with a notation indicating the field of advanced specialization. Although approved programs may be informally described as "certificates," no separate document will be awarded by the Registrar.

Part 3 Rules Governing Academic Programs

Section 8. The Academic Calendar

I. Principles Governing the Academic Calendar

A. Semester I

1. Sunday before the first Monday in September (Labor Day). Orientation begins.
2. Tuesday following the first Monday in September, Convocation.
3. Wednesday following the first Monday in September. Opening of the (year minus 1800 plus 37) Academic Year.
4. Second Monday in October (Indigenous Peoples' Day). No University exercises.
5. Third Saturday in October. Mid-semester.
6. Wednesday (noon) to Monday (8:00 a.m.), including fourth Thursday in November. Thanksgiving Recess.
7. December 8 (or December 7 in years when December 13 or December 21 falls on a Sunday). Beginning of Reading Period.
8. December 12, 6:00 p.m. (or December 11 when December 13 or December 21 falls on a Sunday). Classes for Semester I end.
9. December 13 (or December 12 when December 13 or December 21 falls on a Sunday). Beginning of Final Examination Period.
10. December 21 (or December 20 when December 21 is a Sunday). End of Final Examination Period.
11. January 6 (or preceding Friday when January 6 falls on a weekend). First semester grades due.

B. Winter Session

1. Winter Session courses take place between the last day of Final Examination Period of Semester 1 and the first day of Semester II.
2. Members of the faculty offering Winter Session courses are required to deliver 48 contact hours between the end of Semester I final exams and the beginning of the first day of Semester II. The timing of coursework is flexible and can include on-line content, Saturday classes, or evening classes. Faculty must observe the Martin Luther King Holiday and allow for at least one day for reading period.
3. Given the compressed nature of the Winter Session, the CCC will set administrative deadlines prior to each Winter Session registration period with regard to course changes, grade option changes, and final grade due dates.

C. Semester II

1. Wednesday (8:00 a.m.) preceding last Sunday in January. Classes of the second semester begin.
2. Fourth Monday and Tuesday of second semester. Long weekend. No University Exercises.
3. Saturday preceding second Sunday in March. Mid-semester.
4. Saturday to Monday (8:00 a.m.) including last Wednesday in March. Spring Recess.

5. Reading Period. Approximately twelve days prior to the examination period of the second semester.
6. Tuesday (6:00 p.m.) preceding the second Friday in May. Classes of the second semester end.
7. Wednesday to Friday inclusive, omitting Sunday (9 week days, ending on the third Friday in May). Final Examination Period of the second semester.
8. On the Sunday before the last Monday in May (year minus 1800 plus 32) Commencement.

NOTE: It is not ordinarily within the discretion of an individual member of the Faculty to determine that, for his or her particular class, a vacation period shall begin or end at a different time from that specified by the Calendar.

D. Summer Session

1. Third or fourth Monday in June. Summer Classes Begin.
2. Third day of term. Last Day for Course Changes.
3. Second Monday of term. Grade Option Declaration Deadline.
4. Fourth of July. Holiday observed according to University regulations.
5. Sixth Friday of term. Last Day of Summer Classes.
6. Sixth Saturday through the following Tuesday of term. Reading Period.
7. Seventh Wednesday of term through the Friday of the same week. Examination Period.
8. First Monday following the end of Exams. Summer Session grades are due.

E. The Wintersession will be reviewed in 2018-2019.

II. Principles Governing Reading Period

1. Departments may stipulate that certain courses will not observe the Reading Period but will continue to hold regularly scheduled classes.
2. In courses observing the Reading Period, assignments will depend on the nature of the courses; e.g. reading which might be tested on the final examination, special laboratory work, etc.
3. Reading Period assignments shall be announced as early as possible, but no later than mid-semester.
4. The amount of work assigned for the Reading Period should be comparable to the amount of work assigned during the semester over an equivalent period; each instructor should keep in mind that one course should occupy no more than one quarter of a student's time.

Section 9. Registration in Courses (see Section II.3.B)

I. Required Course Load

1. Each student is required to take from three to five courses each semester. Each student is normally expected to enroll in 4 courses in each of 8 semesters for a total of 32 courses. The student may withdraw from a course at any time provided that he or she notifies the instructor of this intent.
2. The student must satisfactorily complete at least seven courses by the end of the first year, fifteen courses by the end of the second year, twenty-two courses by the end of the third year, and thirty courses by the end of the fourth year. In addition, students making satisfactory academic progress will complete a minimum of seven courses in any two consecutive semesters. Students who do not meet these requirements will have their cases referred to the Committee on Academic Standing for action which may result in academic status of Warning, Serious Warning, or Suspension. A student may not be enrolled in fewer than three courses in any semester without written permission from the Dean of the College for short-work.
3. Students may take no more than two single-credit courses or one double-credit course in each Summer Session.
4. Each student may receive up to four summer course credits, from Brown or any other institution, in total during their academic career at Brown.

II. Class Lists

1. The names of the students in each course are sent to the instructor in charge by the Registrar. The instructor shall not add or delete any names on the official class list without notification from the Registrar.
2. No student, without special permission from the Dean, may enter a course after the fourth week of the semester.

III. Enrollment without Academic Credit

A. Auditing

1. An auditor is a student who is enrolled in a course without credit under the following conditions:
 - a. the student must be properly registered for it;
 - b. the usual course fee must be paid except as noted in the next paragraph;
 - c. the student is entitled to all instruction in the course, including conferences, the criticism of papers, tests, and examinations.
2. A student who is enrolled for credit in at least three courses may be permitted to audit additional courses in any semester without charge. With the concurrence of the instructor, on the basis that the course work completed is acceptable as an audit, the fact that a course has been audited shall be entered on the permanent record of any student electing this privilege. The status of a course in which a student has been enrolled as a free auditor may not be changed from audit to credit after mid-semester.

3. Students may not audit Summer Session courses.

B. Vagabonding

A “vagabond” is a student, who with the permission of the instructor involved, visits a given course occasionally or regularly without payment of a fee. It is understood that such a student will not be entitled to participation in classes and activities, including discussions, conferences, and papers, unless the instructor approves.

IV. Courses Involving Vertebrate Animals

1. A course may require all enrolled students to carry out laboratory exercises involving vertebrate animals if this requirement is announced in writing at the beginning of the course. Students enrolled in courses in which such a requirement has not been announced may substitute alternative exercises, not involving vertebrate animals, as approved by the instructor.
2. Selected Sc.B., M.S. and doctoral degree programs may require appropriate laboratory experience with vertebrate animals. However, no A.B. degree program may obligate a student to take a course in which the use of vertebrate animals is mandatory.

Section 10. Grading System & Examinations

I. Semester Reports of Standing

1. At the end of each semester, the instructor shall assign grades for all members of his or her classes and shall report these grades on the Reports of Standing which are furnished by the Office of the Registrar. These Reports of Standing shall be returned to the Office of the Registrar within 72 hours from the time of the final examination, except for courses which have the final examination scheduled on the last day; grades for these courses shall be due within 48 hours. In May, however, seniors will be listed on separate Reports of Standing and grades for these students shall be due within 48 hours from the time of the final examination except for courses that have the final examination scheduled on the last day; grades for these courses shall be due within 24 hours.
2. In reporting unsatisfactory grades, each instructor is required to inform the Committee on Academic Standing, on the Academic Performance Reports which are provided, as exactly as he or she can, concerning the cause of the student's deficiency.
3. Final grades are given in semester courses. A tentative grade is given at the end of the first semester in year courses (indicated by a dash between course numbers); at the end of the second semester, examinations in such courses cover the work of the two semesters, and a final grade for both is assigned at that time (see also statement concerning year courses under Section 8, Registration in Courses).

II. Undergraduate Students

A. Grades

1. All courses will be graded, subject to the conditions listed below, on one of the two following bases:
 - a. A, B, C/No Credit, or
 - b. Satisfactory/No Credit.
2. Although there is no minimum letter grade equivalent for "Satisfactory", such an evaluation should be interpreted as comparable to the A,B,C/No Credit alternate system.
3. Courses may be designated as graded on a mandatory "Satisfactory/No Credit" basis for all students enrolled, on the initiative of the instructor. The designation of a course by an instructor to be graded mandatory S/NC must be announced no later than the first day of classes and entails the responsibility for writing Course Performance Report (CPR) forms for all students who request them. An asterisk shall accompany the listing on the transcript of any course that has been designated by the instructor to be graded on the basis of mandatory S/NC, with an appropriate explanation of the symbol provided.
4. Any student regularly enrolled in a course may request a CPR. In courses offered on a mandatory S/NC basis, the instructor will write a CPR for any enrolled student

- who requests one. In courses that can be taken either for A,B,C/NC or for S/NC, the decision to fulfill the requests for a CPR will be at the instructor's discretion.
5. A student enrolled in a course designated by the instructor as an "A,B,C" course may opt to take this course as a "Satisfactory" course. The student's option must be exercised by the end of the fourth week of the semester. No distinction, either with regard to requirements or to the processes of evaluation, may be made on the basis of the grade option which the student has chosen.
 6. Courses from which a student withdraws, or which he or she does not complete satisfactorily, will not be entered on the permanent record.
 7. Incompletes
 - a. In exceptional circumstances, a course may be left incomplete (except for a regularly scheduled final examination — see paragraph 8 below), with the instructor's consent. In such cases a grade of I will be assigned provided that the student has filed a request for extension of time to complete the work of the course and the instructor has consented to such a request (forms for this purpose are available from the Registrar's Office and departmental offices). Unless an earlier date is specified by the instructor, grades of I should be made up as follows: for Semester I, by mid-semester of Semester II; for Semester II, and the Summer Session, by the first day of classes of the following semester. Extensions beyond these dates for any period of time up to but no more than one year from the end of the semester in which the course left incomplete was taken may be granted by the instructor by written instruction to the Registrar.
 - b. When a course has been completed in the time allotted by these procedures, the instructor should communicate the appropriate grade change promptly in writing to the Registrar. If a course is not completed by the designated date, a grade of NC will be assigned unless the instructor indicates that sufficient work has been completed to justify course credit by submitting, as appropriate, a grade change from I to A,B,C, or S. A grade of NC assigned in accordance with these procedures may be changed subsequently, but only if the work is completed no later than one calendar year after the end of the semester in which the course was taken.
 8. If a student is absent from a regularly scheduled final examination for a course, the instructor will assign a grade of ABS. If the absence from the final examination is excused by a dean designated by the Dean of the College, the student will be permitted to take a Special Examination. The Special Examination will be administered by the Registrar in accordance with the provisions in the *Faculty Rules* for such examinations, unless other arrangements are agreed to by the instructor and the student, and communicated to the Registrar. If the absence from the final examination is not excused by the Dean, the student will receive no credit for the course.
 9. A grade of I, ABS will be assigned if appropriate and will be resolved in accordance with the provisions of 7 and 8 above.
 10. All grade changes, other than those covered by 7 and 8 above, are subject to approval by the Committee on Academic Standing. Such changes should be submitted by the instructor, in writing, to the Registrar with an indication of the

reason for the change. Normally, such grade changes should be submitted by mid-semester of the semester following the one in which the course was taken.

B. Course Performance Reports

1. Students may request the instructor of any course they take to complete a Course Performance Report form. Normally, this request will be made during the semester in which the course is taken. Instructors of mandatory S/NC courses are obliged to honor the request. For all other courses, the instructor, at her or his discretion, may decline to submit such report. Particular consideration should be given to requests from students for whom the course is part of their concentration program. Copies of Course Performance Reports will be made available to:
 - a. the student,
 - b. the Dean's Office, and
 - c. the student's concentration advisor.
2. While not part of the official record, Course Performance Reports may be sent out of the University at the student's request as information on his or her work at Brown University.

C. Procedure for having course performance reports and other material sent out with an official transcript

An official transcript shall consist of a copy of the permanent record card listing courses passed and grades received. A statement shall be added to all transcripts explaining the grading system and indicating that the student may elect to include other material with the official transcript. In such cases the student will provide copies of all the material to be enclosed at the time he or she requests an official transcript. The student will choose this material in consultation with his or her advisor. The University will mail this material in one envelope along with the official transcript.

D. Undergraduate Attendance

1. It is in the interest of every student to attend all sessions of the classes in which he or she is registered, and each student has an obligation to contribute to the academic performance of all by full participation in the work of each class.
2. A student is always fully responsible for any course work missed because of absences and will be assigned failing grades in examinations missed without excuse from the Office of the Dean or the University Health Service.
3. No student organization shall make any appointment for undergraduates which conflicts with college exercises unless permission has been obtained from the Dean's Office.

III. Medical Students: Grading Policies

Definitions: For the purpose of this subsection, the term medical students shall mean those students who are enrolled in the Brown Medical School. They are identified by the Registrar as school code M and pay medical school tuition. Visiting medical students from other medical schools are also included within this definition.

For the purpose of this subsection, the term medical school course shall mean all 300-level courses and those other 100- and 200-level courses within the Division of Biology & Medicine that are generally taken as part of the medical school curriculum.¹⁰

1. All medical students will be graded in all their courses on an "Honors/Satisfactory/No Credit" basis unless the course is mandatory Satisfactory/No Credit. Medical school courses may be designated mandatory Satisfactory/No Credit only with the approval of the MD Curriculum Committee. The instructor must justify to the MD Curriculum Committee why the "Honors/Satisfactory/No Credit" basis would not be appropriate.
2. Courses from which a student withdraws, or in which he or she receives a grade of "No Credit" will not be entered on the permanent record.
3. A student who completes a medical school course and receives a grade of "No Credit" may be allowed by the course leader, with the concurrence of the Medical Committee on Academic Standing, to take a special examination to demonstrate that she or he has met the course requirements. If successful, a notation will be entered in the remarks section of the permanent record that the student has met the requirements for the course by special examination.
4. A grade of "Existing Deficiency" (ED) may be used in 300-level courses. This temporary grade indicates that the student has performed below the minimum standard of performance in a limited number of components of the course, but whose overall performance was deemed satisfactory. This grade option is used when the instructor believes that a reasonably small amount of additional effort or study would remedy these deficiencies and result in satisfactory performance in all course components. When assigning the grade of ED, the instructor must specify in writing the exact nature of the deficiency, a plan for remediation, the manner in which the student will be reassessed, and a timetable for completion. The ED should be remedied within three months of the last day of the course or clerkship in which the deficiency occurred. Extensions up to one year may be granted by the Associate Dean for Medical Education. Course work not completed within the timetable will result in the grade being changed to No Credit (NC). When the student successfully remedies the deficiency, the instructor will change the course grade to "Satisfactory," and the student will receive full credit for the course or clerkship. If the student fails to remedy the deficiency, then the course grade will be changed to "No Credit." A grade of "Honors" may not be assigned to a student who has received an ED in that course or clerkship.
5. In exceptional circumstances a course may be left Incomplete with the instructor's consent. The grade of "Incomplete" should be assigned only for work that the student was unable to complete due to circumstances beyond the student's control (e.g., lab problems, unavailability of resources for a paper). The grade of "Incomplete" should not be used for a failure on or absence from a scheduled examination. A grade of "I" will be assigned provided that the student has filed a request for extension of time to complete the work of the course and the instructor had consented to such a request. Unless an earlier date is specified by the instructor, grades of "I" should be made up within three months of the date or last day of the

¹⁰ At present, these are Biomed 117, 128, 130, 158, 181, 184, 189, 261, 262, 273, 274, 278, 279, 280, 281, and 282.

incomplete class. Extensions beyond this may be granted by the instructor but for not longer than one year from the end of the incomplete courses. Course work not completed within the timetable will result in the grade being changed to No Credit (NC).

6. A grade of "Absent" (ABS) is assigned to students who are absent from a regularly scheduled final examination. If the absence from the examination is excused by the Dean, the student will be permitted to take a special examination. If the absence from the final examination is not excused by the Dean, the student will receive No Credit for the course.
7. A grade of I, ABS will be assigned if appropriate and will be resolved in accordance with the provisions of 5 and 6 above.
8. In the event that an instructor submits a letter grade (i.e., A, B, or C) for a medical student, the grade will be changed to reflect the "Honors/Satisfactory/No Credit" grading system. Grades of A will be changed to Honors, and grades of B or C will be changed to Satisfactory. In the event of mandatory Satisfactory/No Credit courses, letter grades of A, B, or C will be changed to Satisfactory.
9. All grade changes, other than those covered by 4, 5, 6 and 8 above, are subject to approval by the Medical Committee on Academic Standing. Such changes should be submitted by the instructor, in writing, with an indication of the reason for the change. In general, such grade changes should be submitted by mid-semester of the semester following the one in which the course was taken. No retroactive change in course grades will be made due to subsequent changes in the student's status. For example, a student in the combined-degree Program in Liberal Medical Education who took a medical school course as an undergraduate for Satisfactory/No Credit may not petition to have that grade changed to the Honors/Satisfactory/No Credit basis once in Medical School. Likewise, a student in the Graduate School may not petition to have grades changed for courses taken as a graduate student should that student be admitted to the medical school.

IV. Graduate Students: Grade Requirements for Advanced Degrees

1. A minimum grade of either Satisfactory or C in a 100-level or 200-level course carries credit toward all advanced degrees. Individual departments may, subject to the approval of the Graduate Council, set higher grade requirements.
2. Graduate students may be required to register in courses primarily for undergraduates (numbered 1-99); these courses do not carry graduate credit. On occasion, however, and with approval of the student's department and the Dean, a student may register for such a course with extra work for graduate credit. This course then has the same standing as a 100-level course, and a G should be affixed to the course number on the transcript. This provision for extra work does not apply to courses of the level 1-99 taken for graduate credit by students in the M.Sc. program.

V. Examinations and Written Work

A. Final Examinations

1. All courses, both undergraduate and graduate, shall be assigned to a final examination group by the Registrar, regardless of whether or not a written final examination is to

be used, and grades shall be due in accordance with faculty rules concerning Semester Reports.

2. The time and room schedule for the conduct of written final examinations shall be prepared by the Registrar and, after the publication of this schedule, no changes shall be made in the time or place of any examination without the specific approval of the Registrar.¹¹ The conduct of final examinations is a responsibility of the members of the teaching staff — a responsibility which in the case of large courses may be distributed among the members of a department. The proctoring of examinations may be regarded as a part of the duties of graduate assistants.
3. Before the beginning of each examination period, the Registrar shall prepare a list of examinations to be held in each examination room during each examination period. A member of the teaching staff who is responsible for the conduct of a course in which an examination is being held is immediately responsible for the conduct of the examination. He or she should be present in the examination room (or rooms) during a major portion of the examination period, and when absent, should be replaced by a proctor from the department. In the case of large courses the Registrar may indicate that additional proctors should be provided, in which case the person in charge of the conduct of the course shall make arrangements with the Chair of the Department for the assignment of such additional proctors. When a final examination in a particular course is conducted in two or more rooms, the person in charge of the conduct of the course should be present in each such examination room during a portion of the examination period. Students appearing for an examination later than five minutes after the time set for the examination shall be admitted only with the approval of the Chair of the Examination. Students who have been admitted to the examination shall be required to remain in the examination room for at least one hour. In keeping with the general regulations of the University, smoking will not be permitted in the examination rooms. Students admitted to an examination room must remain in the examination room until they have handed in their examination book. Exceptions to this regulation may be made only by the person in charge of the examination.

B. Special Examinations

1. Special examinations are given only with the approval of a dean designated by the Dean of the College to students absent from final examinations. Special examinations on the work of the first semester are given during a stated examination period in the second week of the subsequent semester. A student eligible for such a special examination must file an application with the Registrar, not later than the second Wednesday of the second semester.
2. Special examinations on the work of the second semester are given in the week preceding the opening of the academic year. A student eligible for such a special examination must file an application with the Registrar not later than August 15.
3. The Registrar shall allow at least one week for the preparation of any special examination by a faculty member. In no case shall the Registrar request such an examination unless the application for such an examination has been approved by a

¹¹ See Faculty resolution regarding scheduling of examinations and other written assignments Part 4, Section 10.II.C.

dean designated by the Dean of the College. No faculty member should permit a student to take a special examination without prior notification from the Registrar.

C. Dishonesty in Written Work

All cases of dishonesty shall be referred to the Dean of the College, the Dean of the Graduate School, the Dean of Medicine, and the Dean of Public Health. Each instructor shall explain to each class at the first opportunity the attitude of the department toward copying, collaboration, citation of sources, and the like, in order to make perfectly clear what is considered honest and dishonest in the preparation and presentation of academic work.

Part 4 Faculty Resolutions, Policies & Procedures

Section 11. Faculty Rules Pertaining to the Faculty & Students

I. Professional Affairs of the Faculty

A. Committee on Grievance (Standing Committee of the Faculty)

1. Charge

- a. The Committee on Grievance shall review petitions of the following types:
 1. A charge of one of the following types by a faculty member or other person with a teaching or research appointment at Brown University that his or her rights during a term appointment or tenure have been violated by specified actions of a faculty member(s) or member(s) of the teaching or research staff or academic administration:
 - i. a violation of academic freedom;
 - ii. failure of the University to follow prescribed procedures in matters relating to reappointment or promotion;
 - iii. violation of the Corporation Statement on Nondiscrimination;
 - iv. abridgement of rights as members of the University academic community as generally understood or articulated in the *Faculty Rules* or other policy statements approved by the Faculty and the Corporation.
 2. A charge contesting a finding by the President that specified actions by a faculty member warrant dismissal, during either a term appointment or tenure.
 3. A charge by a student that his or her rights as a member of the University community have been abridged by specified actions of a member or members of the Faculty or a person with a teaching or research appointment at Brown University.
 4. Matters arising from or related to the University Sexual and Gender-Based Harassment, Sexual Violence, Relationship and Interpersonal Violence and Stalking Policy, including appeals, are not within the charge of the Committee on Grievance and are handled solely in accordance with the *Faculty Rules and Regulations* "Complaint Process Against Faculty Respondents Pursuant to the University Sexual and Gender-Based Harassment, Sexual Violence, Relationship and Interpersonal Violence and Stalking Policy," found at Part 4, Section 11, I.B.
- b. The Committee on Grievance may require reconsideration of the application of procedures or of a decision by a body involved in the petition of grievance.
- c. The Committee on Grievance shall not substitute its substantive judgment for that of a body whose actions are questioned by the petition of grievance.

- d. Access of Medical School and School of Public Health faculty not employed by Brown University to grievance procedures within the University shall be limited to issues arising from their role as faculty members in activities under control of the University. The University understands that the employers of such faculty have in place appropriate grievance mechanisms for employees and medical staff for issues arising from their hospital duties.
- e. These procedures are intended to address matters that are unique to the academic community. The Committee is not intended to serve as an appeals body for decisions reached under other University procedures, except for the appeals by a faculty member of any actions taken by the Provost stemming from charges of sexual harassment, as specified in Part 4, Section 10.I.A.5. Where other institutional procedures exist within the University to address the rights of members of the University community, those procedures take precedence. Also see Graduate Student Grievance Procedures, Section 10.II.A and Medical Student Grievance Procedures, Section 10.II.B.

2. Procedures

- a. If any faculty member or student thinks that he or she has cause for grievance in any matter over which the Committee on Grievance has responsibility, as specified in the Charge for this committee, that faculty member or student may present a petition to the Chair of the Committee on Grievance for consideration. The petition shall be in writing, shall set forth in detail the nature of the grievance, and shall state against whom the grievance is directed. It shall contain the data that the petitioner deems pertinent to the review of the case. The Committee shall offer the parties to a grievance the opportunity to mediate the matter in advance of any formal consideration of it.
- b. The Committee shall have the right to request more information before it decides whether or not to conduct an investigation.
- c. The Committee shall have the right to decide whether or not the charge and supporting materials are sufficient to proceed with the grievance and/or whether further investigation is necessary. The Committee shall notify the petitioner in writing whether the petition has been accepted and, if not, why. Submission of a petition will not automatically entail such an investigation. Normally, the Committee shall initiate consideration of the petition within one week of submission of the petition, and shall act with all reasonable speed.
- d. Normally the completed petition of grievance with supporting material should be filed within six month of the decision or action that is the cause for the petition. The Committee shall have the right to decide whether or not a petition has been filed too late to be reviewed. The Committee may consider special circumstances, such as an allegation with supporting materials of a long-term pattern or practice, in making its determination as to whether the petition has been filed in a timely manner.
- e. The Committee shall give timely notice of the specific charges to the party or parties against whom the petition is filed. The respondent shall be given the same privileges and opportunities in both responding and appearing as are

provided to the petitioner. If the acts of other parties are considered as part of the allegation, those parties shall be notified of any allegations or assertions that relate to them. The Committee shall make adequate arrangements to receive the response of such parties, providing them with the opportunity to appear before the Committee or to present a response in writing.

- f. In conducting an investigation, the Committee shall, upon written request, have access to all documents that it deems pertinent to the case and may invite individuals or groups to appear before it. The Committee shall be empowered to indicate to each department, committee, and administrative body or office a reasonable date by which information must be received. If requested information is not forthcoming in the time allotted and if the Committee finds no compelling reason for the delay, the Committee shall proceed using its best judgment.
- g. In case the Committee finds a violation of academic freedom, failure of the University to follow prescribed procedures in matters relating to reappointment or promotion, violation of the Corporation Statement on Nondiscrimination, or an abridgment of a faculty member's rights as a member of the University community and requires reconsideration of the decision, the Committee may suspend further steps in the implementation of that decision until the reconsideration is completed and all reports relating to the reconsideration are filed with the Committee on Grievance. Should the reconsideration involve non-reappointment, and reconsideration results in maintenance of the decision not to reappoint, the original date of notification of non-reappointment shall stand.
- h. If, in the judgment of the Committee on Grievance, reconsideration is warranted, it shall so state in a report both to the petitioner and to those to whom it is referring the case for reconsideration. The report shall specify the respects in which the Committee considers violations of academic freedom, failure of the University to follow prescribed procedures in matters relating to reappointment or promotion, violation of the Corporation Statement on Nondiscrimination, or an abridgment of a faculty member's rights as members of the University community to have occurred. If reconsideration of an administrative process is involved, the Committee shall inform the President and the Provost of the requested reconsideration.
- i. In the event that the Committee on Grievance finds that there is sufficient reason to believe that a member of a unit (the administration, department, and/or the Tenure, Promotions, and Appointments Committee) may have acted in violation of the University's non-discrimination policy, it shall refer the matter for reconsideration by said administrator, department, and/or committee for a timely response. In cases where the Committee on Grievance has decided that such violation may have had a material effect on the substance of (as distinguished from the procedures for reaching) a decision, such reconsideration shall be conducted in the presence of a monitor, who may participate in the discussions leading to the reconsidered decision, but who may not vote. Each monitor shall be a tenured faculty

member, and shall be chosen by the Chair of the Committee on Grievance, after consultation with the Committee on Grievance.

- j. After any reconsideration by a unit is completed, the monitor shall submit a brief report to the petitioner, the unit, the Committee on Grievance, and the next unit/person to which/whom the decision would pass indicating the monitor's opinion as to whether and in what respect, if any, the decision upon reconsideration has been affected by discrimination, and identifying any areas that may need special attention in its reconsideration.
- k. After any reconsideration by the Tenure, Promotions, and Appointments Committee is completed, the monitor shall file a report with the Provost, indicating the monitor's opinion as to whether, and in what respect, if any, the decision upon reconsideration has been affected by discrimination. Copies of this report shall be sent to the Chair of the Tenure, Promotions, and Appointments Committee, to the department chair, to the petitioner, and to the Committee on Grievance.
- l. Any failure of a department or administrative unit to act in accordance with the terms of these provisions shall be referred to the Provost for final action. If the Provost is a party to the grievance, the matter shall be referred to the President for final action.

Note: Items i., j., and k. apply only to grievances relating to reappointment, tenure, and promotion.

3. Membership

- a. The Committee on Grievance shall consist of six tenured members of the faculty, of whom at least four shall be full professors.
- b. Three members of the faculty shall stand in reserve for service on the Committee if one or more of the regular members should be disqualified for consideration of a case by a conflict of interest. At the beginning of each case, the question of whether a conflict of interest exists for a member of the Committee shall be decided, and the choice of the alternate member shall be made by the regular members of the Committee on Grievance, the member(s) in question abstaining.
- c. No members of the administration, including chairs, deans or directors of departments, programs, centers or institutes, or of the Tenure, Promotions, and Appointments Committee shall be eligible for election or service on the Committee on Grievance.

4. Method of Election

- a. The faculty members elected by the Faculty shall be representative of the distribution of faculty members by division and diversity, and serve staggered three-year terms.
- b. The Vice Chair shall be elected from among the full professors in their first or second year of service on the Committee. The Vice Chair shall become Chair during his/her second or third year, respectively, on the Committee.
- c. The Committee on Nominations will solicit nominations from the voting Faculty, and may add names to the list of nominees.

- d. The Committee on Nominations shall prepare an electronic ballot in which there are as many categories as there are vacancies and each category has at least two candidates, 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. Provision for write-in candidates shall be provided for each category.
- e. The Office of Faculty Governance will send an electronic ballot to all voting members of the Faculty. The Faculty Executive Committee will be responsible for counting the ballots and certifying the winner in each category.

5. Suspensions

The President shall use his or her power to suspend an accused faculty member from duties during proceedings only if immediate harm to the member or others is threatened by his or her continuance. During this suspension, regular salary shall be continued.

- 6. Grievances which concern a faculty member in the Brown Medical School not employed by Brown University shall be dealt with according to the following procedures:
 - a. An attempt shall be made by a three person Grievance Mediation Subcommittee of the MFEC to settle grievances by direct discussion among the parties involved.
 - b. If the matter cannot be terminated by mutual agreement between the parties within a reasonable time the Grievance Mediation Subcommittee of the MFEC shall so report to the Appeals and Grievances Committee. This committee shall follow procedures in dealing with grievances which shall conform to those outlined in Section 10.I.A.2 above.
 - c. The Appeals and Grievances Committee shall be chosen by the MFEC and consist of three faculty members of the Brown Medical School, one of whom should be a member of the Biomedical Faculty Council. If the department of a member is involved in a grievance, that member should disqualify himself or herself. Accordingly, an alternate member shall be appointed to serve in the event of disqualification of a member of the Committee.
 - d. The report of the Appeals and Grievances Committee shall be sent to the Dean of Medicine and Biological Sciences, who shall initiate relevant decisions and actions. If the Dean is a party to the dispute, the report shall be transmitted to the Provost.
 - e. If the report does not provide the basis for a mutually satisfactory resolution of the grievance, either party may appeal to the Provost for further mediation and recommended action.
 - f. Access of Brown Medical School faculty not employed by Brown University to grievance procedures within the University shall be limited to issues arising from their role as faculty members in activities under control of the University. It shall be the duty of the mediating committees to establish the relevance of the grievances which may be brought to it. The University understands that the affiliated hospitals have in place appropriate grievance

mechanisms for employees and medical staff for issues arising from their hospital duties.

7. Grievances which concern a faculty member in the Brown School of Public Health not employed by Brown University shall be dealt with according to the following procedures:
 - a. The Public Health Executive Committee (PHEC) shall appoint a subcommittee, not to include the Dean of Public Health.
 - b. An attempt shall be made by the subcommittee of the PHEC to settle grievances by direct discussion among the parties involved.
 - c. If the matter cannot be terminated by mutual agreement between the parties within a reasonable time the subcommittee of the PHEC shall submit a report of its actions and findings to the Dean of Public Health, who shall initiate relevant decisions and actions. If the Dean is a party to the dispute, the report shall be transmitted to the Provost.
 - d. If the report does not provide the basis for a mutually satisfactory resolution of the grievance, either party may appeal to the Provost for further mediation and recommended action.
 - e. Access of Brown School of Public Health faculty not employed by Brown University to grievance procedures within the University shall be limited to issues arising from their role as faculty members in activities under control of the University. It shall be the duty of the mediating committees to establish the relevance of the grievances which may be brought to it. The University understands that the faculty member's employer may have in place appropriate grievance mechanisms for employees for issues arising from their duties.

B. Complaint Process Against Faculty Respondents Pursuant to the University Sexual and Gender-Based Harassment, Sexual Violence, Relationship and Interpersonal Violence and Stalking Policy

Brown University provides impartial and reliable processes to address Complaints of alleged violation of the University Sexual and Gender-Based Harassment, Sexual Violence, Relationship and Interpersonal Violence and Stalking Policy ("the University policy"). This is the University's process for addressing Prohibited Conduct (as defined in the University policy) alleged to have been committed by members of the faculty. The process is grounded in fairness and support for all parties, and includes procedural protections that ensure notice and meaningful opportunities to participate, and recognizes the dynamics involved in Prohibited Conduct. Prohibited Conduct is defined as Sexual and Gender-Based Harassment, Sexual Assault, Sexual Exploitation, Relationship and Interpersonal Violence, Provision of Alcohol and/or Other Drugs for Purposes of Prohibited Conduct, Stalking (all defined terms), and Retaliation. For additional information, including definitions, see the University Sexual and Gender-Based Harassment, Sexual Violence, Relationship and Interpersonal Violence and Stalking Policy.

<http://www.brown.edu/web/documents/title-ix/brown-university-title-ix-policy.pdf>

I. TO WHOM THIS PROCESS APPLIES

This process applies to alleged acts of Prohibited Conduct committed by any Brown faculty member or other person with a teaching or research appointment at Brown University whether or not employed directly by the University (“faculty”)¹² when:

- (1) the conduct occurs on Brown University premises; and/or
- (2) the conduct occurs in the context of a Brown University employment, education, or research program or activity, including but not limited to Brown University-sponsored study abroad, research, internship, mentorship, summer session, or other affiliated programs or premises; and/or
- (3) the conduct occurs outside the context of a Brown University employment, education, or research program or activity, but has a direct adverse effect on a Brown University employment, education, or research program or activity.

This process governs when the alleged Prohibited Conduct by a faculty member arguably violates either Title IX of the Education Amendments of 1972 or Title VII of the Civil Rights Act of 1964.

II. INITIAL ASSESSMENT

When the Vice President for Academic Development, Diversity and Inclusion¹³ (“the VP for Inclusion”) becomes aware directly by a potential complainant or a third party of an incident which may involve a violation of the University policy by a faculty member, an Initial Assessment meeting will be conducted by the VP for inclusion (or her/his designee) together with the Senior Dean¹⁴ (or her/his designee¹⁵) to whom the faculty member reports to gain a basic understanding of the nature and circumstances of the report. At this meeting, the potential complainant and/or third party will be provided with information about resources, procedural options, and remedial measures and an opportunity to discuss the University’s policies.

A reasonable assessment of the safety of the individual and of the campus community will be made by a small interdepartmental team which will include the appropriate Senior Dean or designee. The team will consider the interest of the complainant and the complainant’s expressed preference for the manner of resolution. Where possible and as warranted by the

¹² Alleged acts of Prohibited Conduct committed by scholarly visitors and/or guests of academic departments, who do not have appointments with Brown University, will be handled by the Vice President for Academic Development, Diversity and Inclusion on an expedited basis through the informal resolution process described herein.

¹³ Who is also the Title IX Deputy Coordinator for Faculty

¹⁴ The Senior Deans for purposes of this process are the Dean of the Faculty, the Dean of Medicine and Biological Sciences, the Dean of Public Health, the Dean of Professional Studies, and the Dean of Engineering.

¹⁵ In the case of the VP for Inclusion, her/his designee would be a member of the VP’s office and in the case of a Senior Dean, her/his designee would be an associate or assistant dean report to the Senior Dean.

facts and circumstances, the University will seek action consistent with the complainant's request.

II. FILING A COMPLAINT

If the potential complainant wishes to proceed with a resolution process, the potential complainant ("they"¹⁶) will submit a written Complaint to the VP for Inclusion. Upon receipt of a Complaint, the VP for Inclusion or her/his designee will be responsible for making the following determinations in consultation with the appropriate Senior Dean or her/his designee:

- (1) Is the respondent a covered person as defined in Section I (To Whom This Process Applies)?; and
- (2) Do the facts set forth by the potential complainant, if substantiated, constitute a violation of the University's Sexual and Gender-Based Harassment, Sexual Violence, Relationship and Interpersonal Violence and Stalking Policy?

If the answer to either question is no, the VP for Inclusion does not have the authority to resolve the Complaint and the potential complainant will be referred to the appropriate resources.

If the answer to both questions is affirmative, the VP for Inclusion or his/her designee has the authority to investigate in consultation with either the appropriate Senior Dean or her/his designee, the Complaint and to make a recommendation to the Provost concerning the respondent's responsibility and a proposed sanction.

IV. STANDARD OF EVIDENCE

In all stages of the process, Brown will apply the preponderance of the evidence standard (more likely than not)¹⁷ when determining whether the University policy has been violated.

V. ADVISERS

Complainants and respondents are entitled to be accompanied and assisted by an adviser of their choosing at both formal and informal meetings, investigation interviews and, if applicable, a subsequent hearing. The University maintains a pool of trained advisers, but there is no requirement that the adviser be chosen from this pool or be an individual from the Brown community. Advisers may not participate in the process or speak on behalf of the complainant or respondent, although they may ask to suspend any meetings, interviews, or hearings briefly to provide consultation. Complainants and respondents may choose to have an attorney serve as their adviser, but accommodations, including scheduling of interviews or hearings will not be made for any advisers, including attorneys, if they unduly delay the process. No party in a hearing may engage in any behavior which has a disruptive

¹⁶ Throughout this policy, the pronouns "they" "them" "their" are being used intentionally to be inclusive of all genders.

¹⁷ Use of the preponderance of the evidence standard is consistent with guidance promulgated by the Office for Civil Rights of the United States Department of Education.

or deterrent effect on the hearing proceedings. The Chair shall have the authority to dismiss any such persons from the hearing.

VI. INFORMAL RESOLUTION PROCESS

In recognition that a wide spectrum of behaviors can constitute violations of University policies, the VP for Inclusion or his/her designee in consultation with the appropriate Senior Dean may resolve reports informally and appropriately, based on the circumstances. Informal resolutions generally are pursued when the complainant, having been fully informed of all available options, has explicitly made that choice. An informal resolution process is voluntary, and a complainant can ask to end the informal resolution process at any time before its completion. If an informal resolution process is ended by request, any information obtained may be used in a subsequent formal resolution process and hearing. Once a Complaint has been resolved through an informal resolution process, the matter will be closed.

For some limited types of alleged violations of the University policy an informal resolution may include mediation. Mediation is not an appropriate option for cases involving a Complaint of sexual assault and/or relationship and interpersonal violence, or for circumstances involving severe misconduct.

In all cases, the VP for Inclusion or her/his designee in consultation with the appropriate Senior Dean or her/his designee will have discretion to determine whether or not informal resolution or mediation is appropriate to the circumstances.

VII. FORMAL RESOLUTION PROCESS

A formal resolution process will occur when (a) a report of a violation of the policy is made and the complainant seeks a formal resolution; or (b) the VP for Inclusion or her/his designee, after consultation with the appropriate Senior Dean or her/his designee, determines that a formal resolution process is necessary after considering the safety of the broader campus community. In the situation when there is a serious threat to the University community, but the potential complainant cannot or does not wish to proceed with the formal process, the VP for Inclusion or her/his designee may assume the role of a complainant.¹⁸

A. Formal Resolution Process Brief Overview (See Sections B and C for additional information.)

1. A written Complaint is submitted to the VP for Inclusion or her/his designee and the respondent faculty member receives notice of the allegations and a copy of the written Complaint at a meeting with the appropriate Senior Dean

¹⁸ If at any time during the course of the proceedings the appropriate Senior Dean or her/his designee comes to believe that the alleged violation of the University policy, if true, may be adequate cause for the dismissal of the faculty member, then the faculty member respondent will be put on notice in a meeting with the Senior Dean that dismissal is being considered.

- or her/his designee and the VP for Inclusion or her/his designee.
2. The respondent faculty member has ten (10) business days from the date of receiving notice of the allegations and a copy of the written Complaint to submit a statement.
 3. An investigator is appointed by the VP for Inclusion or her/his designee in consultation with the appropriate Senior Dean or her/his designee.
 4. The investigation is conducted, witnesses are interviewed, information is gathered, and an initial investigation report is prepared and shared with both the complainant and the respondent faculty member as well as the VP for Inclusion or her/his designee and the appropriate Senior Dean or her/his designee.
 5. Within five (5) business days following receipt of the investigation report, both the complainant and the respondent faculty member may provide a written response to the investigator.
 6. The investigation report is finalized and shared with both the complainant and the respondent faculty member, as well as the Chair of the Title IX Council, the VP for Inclusion or her/his designee and the appropriate Senior Dean or her/his designee.
 7. If the complainant is a faculty or staff member, the Faculty Executive Committee (“FEC”) or the Medical Faculty Executive Committee (“Medical FEC”), as appropriate, after consultation with the VP for Inclusion and the Chair of the Title IX Council, will appoint an Ad Hoc Hearing Committee (“AHHC”) consisting of three (3) members of the Faculty who have been trained in resolution of disputes under the University policy¹⁹. Members of the AHHC shall have had no involvement with or relationship to the complainant or respondent or the circumstances under review.
 8. If the complainant is a student (undergraduate, graduate or medical) the FEC or the MFEC, as appropriate, after consultation with the VP for Inclusion and the Chair of the Title IX Council, will appoint an Ad Hoc Hearing Committee (“AHHC”) consisting of four (4) members of the Faculty and one (1) student who have been trained in resolution of disputes under the University policy. Members of the AHHC, including the student member, shall have had no involvement with or relationship to the complainant or respondent or the circumstances under review.
 9. The complainant and the respondent faculty member may submit a written statement to be considered by the AHHC. The appropriate Senior Dean or her/his designee may submit a statement if the Senior Dean, based on the investigative report, believes that the alleged violation of the University policy provides adequate cause for the dismissal of the respondent faculty member. Written statements must be submitted twenty-four (24) hours before the scheduled hearing.
 10. The Chair of the Title IX Council provides AHHC members with the investigation report and any written statements from the parties and/or the

¹⁹ The FEC and the MFEC in consultation with the VP for Inclusion and the Chair of the Title IX Council will appoint faculty to the Title IX Council who will be trained to hear matters arising under the policy. The FEC and the MFEC, as appropriate, can appoint additional faculty to the Title IX Council or to an individual AHHC as needed.

Senior Dean or her/his designee.

11. The AHHC will convene a hearing with the investigator present to answer questions related to the investigation report.
12. Parties may appear before the AHHC to make an oral statement and present evidence. The appropriate Senior Dean or her/his designee may attend the hearing and present evidence if the Senior Dean or her/his designee, based on the investigative report, has come to believe that the alleged violation of the University policy provides adequate cause for the dismissal of the respondent faculty member.

The AHHC will convene to deliberate and render a recommendation to the Provost, by majority vote, regarding whether the respondent faculty member has violated the University policy.
13. If there is a recommended finding of responsibility for any violations, the AHHC will also deliberate and make a recommendation to the Provost as to an appropriate sanction.
14. The Chair will prepare a written recommendation and rationale within five (5) business days, from the date the AHHC made its recommendations(s), which will be forwarded to the Provost for consideration and shared simultaneously with the parties.
15. The Provost, after reviewing the AHHC's recommendation and rationale, and after reviewing any part of the record before the AHHC that the Provost deems appropriate, and after meeting with the members of the AHHC to discuss their recommendation and rationale, will render a decision on whether the respondent has violated the University policy and if so what the sanction shall be. If the Provost determines that there is adequate cause for the termination of a term appointment or revocation of tenure and that such should be the sanction, then such a determination will be a recommendation to the President that such sanction be imposed.
16. Any recommendation by the Provost to terminate a respondent's term appointment or to revoke a respondent's tenure will be considered by the President along with the report of the AHHC. If the President determines that the circumstances require a recommendation to the Corporation that the member of the faculty be dismissed during either a term appointment or tenure, the President shall so recommend in writing to the Corporation.

B. Meeting with Faculty Respondent; Investigation

The Faculty respondent shall receive notice of the allegations and a copy of the written Complaint. The member of the faculty shall be asked to meet with the appropriate Senior Dean or her/his designee and the VP for Inclusion or her/his designee to respond to the allegations.

The respondent faculty member will have ten (10) business days from the date of receiving notice of the allegations and a copy of the written Complaint to submit a written statement. Following receipt of a response statement, the VP for Inclusion or her/his designee, after consulting with the appropriate Senior Dean or her/his designee, will appoint an investigator to the matter. The VP for Inclusion or her/his designee will have the discretion

to determine whether the investigator will be internal (an employee at Brown) or external (an individual outside of the Brown community), or a combination of both internal and external investigators. The role of the investigator will be to gather additional information through interviews of the complainant, respondent, and witnesses and synthesize the information in a report that will be provided to the complainant, the respondent, the Chair of the Title IX Council, the VP for Inclusion or her/his designee, and the appropriate Senior Dean or her/his designee. The investigator has the discretion to determine the relevance of any witness or other evidence and may exclude information from the investigation report if the information is irrelevant, immaterial, or more prejudicial than informative.

i. Witnesses

Both the complainant and respondent faculty member are permitted to provide names of potential witnesses to the investigator. The investigator will determine which of those potential witnesses, or other persons, may have relevant information about the alleged conduct and may request statements, either orally or in writing. Witnesses may include individuals outside the Brown community. Witness statements should not be character evaluations, as all parties will be presumed to have good character. In addition, how individuals present themselves in other contexts (*e.g.*, friendly, kind, and well-liked) has little probative value in evaluating whether particular conduct occurred. Moreover, the sexual history of the parties will not generally be deemed relevant, as described below.

ii. Additional Evidence

Both the complainant and the respondent faculty member are permitted to provide other relevant evidence to the investigator. Evidence includes any facts or information presented in support of an assertion and may include but is not limited to text messages, email exchanges, timelines, receipts, and photographs. Any documentation shared by the complainant or the respondent faculty member with the investigator will be provided to the other party. The investigator may also consider additional documents, items or other relevant information.

Information that does not directly relate to the facts at issue, but instead reflects upon the reputation, personality, qualities, or habits of an individual is character evidence and is not relevant to the determination of whether there is a policy violation.

Pattern Evidence: Evidence of an occurrence or occurrences of Prohibited Conduct so distinctive and so closely resembling either party's version of the alleged encounter as to tend to prove a material fact may be considered. Where there is evidence of a pattern of similar Prohibited Conduct, either before or after the conduct in question, regardless of whether there has been a prior finding of a policy violation, this information may be deemed relevant to the determination of policy violation or assigning of a sanction. Instances will be rare and the determination of relevance will be based on an assessment of whether the previous or subsequent incident was substantially similar to the conduct cited in the report or indicates a pattern of behavior and substantial conformity with that pattern.

Prior Sexual History of the Parties: An individual's character or reputation with respect to other sexual activity is not relevant and will not be considered as evidence. Similarly, an individual's prior or subsequent sexual activity is typically not relevant and will only be

considered as evidence under limited circumstances. For example, prior sexual history may be relevant to explain the presence of a physical injury or to help resolve other questions raised by the report. The investigator will determine the relevance of this information and both parties will be informed if evidence of prior sexual history is deemed relevant.

Prior Sexual History Between the Parties: Even in the context of a relationship, consent to one sexual act does not, by itself, constitute consent to another sexual act, and consent on one occasion does not, by itself, constitute consent on a subsequent occasion. Where the parties have a prior sexual relationship, and the existence of consent is at issue, the sexual history between the parties *may* be relevant to help understand the manner and nature of communications between the parties and the context of the relationship, which may have bearing on whether consent was sought and given during the incident in question. However, this does not assume that the prior sexual history was consensual and this should be a factor in considering relevance.

iii. Investigation Report

The investigator will produce a written report that contains the relevant information and facts learned during the investigation, and may include direct observations and reasonable inferences drawn from the facts and any consistencies or inconsistencies between the various sources of information. The investigator may exclude statements of personal opinion by witnesses and statements as to general reputation for any character trait, including honesty. The investigator will not make a finding or recommended finding of responsibility. The investigator's report will include credibility assessments based on their experience with the complainant, respondent, and witnesses, as well as the evidence provided.

The investigation report will be shared with the VP for Inclusion or her/his designee and the appropriate Senior Dean or her/his designee as well as the complainant and the respondent faculty member to review before it is finalized. Within three (3) business days from the date of receiving the investigation report the complainant and respondent faculty member may offer additional comment, clarify information previously shared, suggest additional witnesses, or identify any other relevant information or evidence to assure the thoroughness and sufficiency of the investigation. When the report is finalized, it will be delivered to both parties, the VP for Inclusion or her/his designee, the appropriate Senior Dean or her/his designee, the Chair of the University Title IX Council, and the Chair of the FEC or the Medical FEC, as appropriate. The complainant and respondent may only share the investigation report for the purpose of receiving counsel or advice related to the University process.

C. Title IX Council and Ad Hoc Hearing Committee: Role, Procedure and Responsibility

If the complainant is a faculty or staff member, the FEC or the Medical FEC, as appropriate, will appoint, after consultation with the VP for Inclusion or her/his designee and the Chair of the Title IX Council, an Ad Hoc Hearing Committee ("AHHC" or "the Committee") consisting of three (3) members of the faculty drawn from the Title IX Council or who have been trained in resolution of disputes under the University policy to review the information presented in the investigation report and to conduct a hearing and to

make a recommendation to the Provost, by majority vote, regarding whether the respondent has violated the University policy. If there is a recommended finding of responsibility for any violations, the AHHC will deliberate and make a recommendation to the Provost as to an appropriate sanction. Members of the AHHC shall have had no involvement with or relationship to the complainant or respondent or the circumstances under review.

If the complainant is a student (undergraduate, graduate or medical) the FEC or the MFEC, as appropriate, after consultation with the VP for Inclusion and the Chair of the Title IX Council, will appoint an Ad Hoc Hearing Committee (“AHHC”) consisting of four (4) members of the Faculty and one (1) student who have been trained in resolution of disputes under the University policy. Members of the AHHC, including the student member, shall have had no involvement with or relationship to the complainant or respondent or the circumstances under review.

i. Role of the Chair

The Chair of the Council (who is a tenured member of the faculty) will serve as Chair of the AHHC (“the Chair”) as a non-voting member. The Chair is responsible for the administration of the hearing process, including procedural matters and decisions leading up to the hearing, determinations about information that will be considered or not, appropriate and inappropriate lines of questioning, and the overall decorum and conduct of the proceedings.

The Chair of the AHHC shall:

- i. confirm that the complainant and the respondent have received written notification and supportive information regarding the alleged conduct/misconduct including the investigator’s report
- ii. provide the complainant and the respondent with a copy of these procedures;
- iii. determine, in consideration of the evidence to be presented and the witnesses to be heard, the schedule and location of hearings and notify all parties promptly of them. Hearings shall be scheduled not less than twenty-one (21) days after the respondent faculty member receives notice of the charges, unless an earlier date is agreed upon by all concerned.

ii. Hearing Process and Deliberations

The AHHC will receive the investigation report ten (10) days in advance of the hearing. Complainants and respondents may submit a written statement to the AHHC. The appropriate Senior Dean or her/his designee may submit a statement if, based on the investigative report, the Senior Dean or her/his designee believes that the alleged violation of the University policy provides adequate cause for the dismissal of the respondent faculty member. Statements must be submitted to the Chair twenty-four (24) hours before the hearing. The AHHC shall not be bound by rules of legal evidence, and it may elect to admit any evidence that it deems of probative value in determining the issues, making every effort to consider any information which it deems to be both reliable and relevant in order to safeguard the rights of the parties to a fair adjudication. All proceedings, deliberations,

records and documents reviewed and generated by the AHHC, shall be maintained as confidentially as possible.

The AHHC will convene the hearing with the investigator present for the panel to ask any questions they may have related to the investigation report. The complainant, the respondent faculty member and the appropriate Senior Dean or her/his designee will not be present in the hearing room during the panel's examination of witnesses but will have audio access to the hearing via telephone. The AHHC may also request to hear from one or more of the witnesses, although the presumption is that the investigator has identified and interviewed all relevant witnesses and supplied the information necessary for the AHHC to make its recommendation to the Provost concerning responsibility and sanctions. It is rare for witnesses other than the investigator to appear before the AHHC. If any additional relevant information is gathered after the investigation report is finalized, that information will be shared with both parties and where applicable the appropriate Senior Dean or her/his designee and each may submit a written response to the Chair within five (5) days of the date the information is received.

The complainant and the respondent may appear before the AHHC to present information orally and/or through written materials. When the Senior Dean or her/his designee, based on the investigative report, believes that there is adequate cause for dismissal of the respondent faculty member, the Senior Dean or her/his designee may make the first presentation to the Committee concerning the allegations of the Complaint and the reasons why the Senior Dean or her/his designee is recommending termination. Following the Senior Dean or her/his designee's presentation, the complainant and then the respondent faculty member shall have the opportunity to make a presentation to the Committee of information orally and/or through written materials. Any party intending to include written materials in their presentation should submit the materials to the Chair at least five (5) business days in advance of the hearing. When not making a presentation to the Committee, a party may have audio access to the hearing via telephone. The AHHC may ask questions. Again, the presumption is that the information necessary to make a recommendation to the Provost concerning responsibility and an appropriate sanction is in the investigation report, so extended presentations by the parties or questioning by the AHHC is usually unnecessary.

The AHHC will convene to deliberate and render a recommendation to the Provost, by majority vote, regarding whether or not the respondent has violated the University policy by a preponderance of the evidence. No member may abstain.

iii. Recommendation Regarding Responsibility and Sanction

If the AHHC recommends to the Provost that the respondent is responsible for one or more violations of the University Policy, it will then deliberate as to an appropriate sanction to recommend to the Provost. The AHHC will be permitted to consider prior policy violations in determining an appropriate sanction. The Chair prepares the AHHC's written recommendation and rationale, including a finding of responsibility or non-responsibility, and, if applicable, the recommended sanction and rationale. Within five (5) business days, from the date the AHHC made its recommendation(s), the report of the AHHC will be forwarded to the Provost and will be provided simultaneously to the complainant and the respondent. The report of the AHHC will also be provided to the VP for Inclusion or her/his

designee, the appropriate Senior Dean or her/his designee, as well as the Chair of the FEC or the Chair of the Medical FEC, as appropriate.

D. The Provost's Determination Concerning Responsibility and The Provost's Determination or Recommendation Concerning Sanction

The Provost shall consider the report of the AHHC setting out its recommendation and rationale, and consider any part of the record before the AHHC that the Provost deems appropriate. The Provost shall meet with the members of the AHHC, in person, to discuss their recommendation and rationale. The Provost may afford the complainant and the respondent the opportunity to discuss the recommendation with the Provost, in person. The Provost will render a decision on whether the respondent has violated the University policy and will also make a determination or recommendation concerning an appropriate sanction.

The Provost's determination of responsibility for violation of the University policy will be final unless either the complainant or the respondent appeals.

If the Provost determines that termination of a term appointment or revocation of tenure is the appropriate sanction for the violation of the University policy, then such a determination will be a recommendation to the President that such sanction be imposed and will be forwarded to the President for consideration²⁰.

If the Provost determines that a lesser sanction is appropriate (other than termination) then that sanction will be final unless either the complainant or the respondent appeals.

The Provost's determination and/or recommendation will be communicated in writing to the complainant and the respondent, as well as the President, the VP for Inclusion or her/his designee, the appropriate Senior Dean or her/his designee, and the Chair of the FEC or the Chair of the Medical FEC, as appropriate.

E. The Appeals Process/President's Consideration of Recommendation of Termination

The complainant and respondent have the right to appeal the Provost's final determination of responsibility for violation of the University policy and/or the Provost's final determination of a lesser sanction (other than termination) based on the limited grounds of substantial procedural error that materially affected the outcome and/or material, new evidence not reasonably available at the time of the hearing. Written requests for appeal must be submitted within three (3) business days following delivery of the notice of the outcome. Each party may respond in writing to any appeal submitted by the other party. Written responses must be submitted within three (3) business days following delivery of

²⁰ As noted in Part 5 section 11.I.B.1 of the Faculty Rules, the dismissal of a member of the faculty during either a term appointment or tenure is a rare event. When circumstances arise that might lead to such an action, they must be handled fairly and expeditiously. It is essential to have a process that protects the rights of a complainant, the member of the faculty, and the University. Adequate cause for dismissal of an individual during either a term appointment or tenure refers to: demonstrated incompetence which substantially impairs the individual's fulfillment of institutional responsibilities; dishonesty in teaching, research, scholarship, or other academic responsibilities; substantial and manifest neglect of duty; personal conduct which substantially impairs the individual's fulfillment of institutional responsibilities; or illegal activities which have a substantial negative impact on the University's operations or obligations. The responsibility for establishing cause for dismissal of a member of the faculty with tenure or a member of the faculty during a term appointment rests upon the University administration.

the notice of the written appeal. Written requests for appeal submitted by one party will be shared with the other party.

Appeals are heard by the President, who will determine if there was substantial procedural error that materially affected the outcome and/or new evidence not reasonably available at the time of the hearing. If the President finds either or both grounds, then the appeal will be granted. If the appeal is denied, the matter is closed.

If the President grants the appeal:

- (1) due to a substantial procedural error, the matter will be heard by a new AHHC.
- (2) due to the discovery of new evidence not reasonably available at the time of the initial hearing, the matter will be returned to the same AHHC which originally heard the matter for reconsideration in light of the new evidence.

In the event of a reconsideration, the President will give the AHHC instructions regarding the nature and extent of its reconsideration. The AHHC will act promptly to reconsider the matter consistent with those instructions and will expeditiously make a revised report to the Provost following its reconsideration. Post appeal, the Provost's determination of responsibility for violation of the University policy and the Provost's determination that a lesser sanction is appropriate (other than termination) will be final and not subject to further appeal.

The President will consider any recommendation by the Provost to terminate a respondent's term appointment or to revoke a respondent's tenure. In considering the Provost's recommendation, the President may also review the recommendation report of the AHHC and any part of the record before the AHHC that the President deems appropriate. The President may afford the complainant and the respondent the opportunity to discuss the recommendation with the President, in person. If the President determines that the circumstances require a recommendation to the Corporation that the member of the faculty be dismissed during either a term appointment or tenure, the President shall so recommend in writing to the Corporation. The Corporation's decision on the President's recommendation will be final.

VII. WITHDRAWAL OF A COMPLAINT

The complainant may request to withdraw a Complaint at any time. The University reserves the right to make a determination whether to approve or deny this request, but will strongly consider the complainant's wishes.

IX. TIMEFRAME FOR COMPLETION OF INVESTIGATION AND DISCIPLINARY PROCESS

The University cannot promise the definitive timeframe of this process, but ordinarily will complete its investigation and disciplinary process, if any, within sixty (60) days. This time period does not include the time for an appeal. The U.S. Department of Education has made clear that the length of investigations may vary with the complexity and unique factors in each case. Examples of such factors include, without limitation, circumstances in which critical witnesses are unavailable or if law enforcement requests the University temporarily

halt its investigation for a brief period of time. Accordingly, all timeframes set forth in this policy may be altered by the VP for Inclusion or her/his designee for good cause. The University's overarching goal is that all Complaints be investigated in a prompt, fair, and impartial manner.

X. SUSPENSION OF FACULTY MEMBER PENDING DETERMINATION

The President shall have the power to suspend a member of the faculty accused of any conduct which could warrant dismissal if there is a threat of immediate harm to the member or others or sustained harm to the University by his/her continued active employment during the intervening period. During the period of this suspension, the regular salary and benefits of the member of the faculty shall be continued.

C. Academic Freedom

Academic freedom is essential to the function of education and to the pursuit of scholarship in universities.²¹

1. Therefore, Brown University, mindful of its historic commitment to scholarship and to the free exchange of ideas, affirms that faculty and students alike shall enjoy full freedom in their teaching, learning, and research.
2. Brown University also affirms that faculty and students shall have the freedom of religious belief, of speech, of press, of association and assembly, of political activity inside and outside the University, the right to petition the authorities, public and University, to invite speakers of their choice to the campus, and that students and faculty as such should not be required to take any oath not required of other citizens. The time, place, and manner of exercising these rights on the campus shall be subject to reasonable regulation only to prevent interference with the normal functions of the University.

D. Part-time Faculty Appointments

In recognition of the fact that employment of part-time faculty members can benefit both specific individuals and the University, the Faculty recommends the following administrative guidelines on part-time faculty appointments.

1. Two categories of part-time faculty shall exist: Special and Clinical.²²
 - a. Special part-time non-regular faculty shall be paid for specific limited duties only. Their titles shall include the word "Visiting" or "Adjunct," and as such they shall be non-voting members of the faculty. They shall not be permitted tenure or sabbatical leave.
 - b. Clinical part-time faculty appointments recognize the teaching provided by practicing physicians and hospital staff members who volunteer their services toward specific needs of the Brown Medical School. Clinical part-

²¹ This paragraph is an amendment voted by the Faculty 5/3/83, and repeats the Statement on Academic Freedom for Faculty and Students, Part 5, Section 11.I.C.

²² n.b. Current practice is that part-time employment arrangements are ordinarily only made in association with a phased retirement agreement (2013).

time faculty members shall be non-voting members of the Faculty. They shall not be permitted tenure or sabbatical leave. Notice concerning renewal of appointment shall follow the rules established by the Brown Medical School. Clinical faculty in the School of Public Health teach and mentor students and are public health practitioners and others from the community. Clinical part-time faculty members shall be non-voting members of the Faculty. They shall not be permitted tenure or sabbatical leave. Notice concerning renewal of appointment shall follow the rules established by the Brown School of Public Health.

2. Part-time Special and Clinical faculty shall not constitute more than a small fraction of the membership of any department.
3. The regulations concerning conflict of interest (Part 5, Section 11.I.F) shall apply to part-time faculty. There shall be no other restrictions on the nature of the outside activities of part-time faculty.

E. Faculty Hiring, Review, Promotion and Tenure

Note: These procedures are to be used in implementation of the policies described in *Faculty Rules* in Part 5. Section 11.I.A.

1. Hiring

Hiring plans and searches shall be required in accordance with the following regulations:

- a. A hiring plan is required to fill any appointed faculty position and must be approved by the Dean of the Faculty, the Dean of Medicine & Biological Sciences, or the Dean of Public Health and the Associate Provost and Director of Institutional Diversity before any search takes place to fill such position.
- b. A search shall be required to fill the following faculty positions: regular faculty, and faculty in ranks for which a search is normally required but whose appointments are temporary, for example, an Assistant Professor whose position is not tenure track. It is generally best practice to conduct an open search for any non-regular faculty position of a year or longer, though this is not always practical.
 - i. A center, department, division or program must file a hiring plan and conduct a nationally or internationally (where appropriate) advertised search to fill a regular faculty position.
 - ii. A center, department, division or program must file a hiring plan and conduct a nationally or internationally (where appropriate) advertised search to fill any position which changes from non-regular to regular. The incumbent faculty member may become a candidate for the changed position along with other qualified candidates, but should not be pre-selected.
- c. Exceptions to the above procedures may be allowed when an unexpected vacancy must be filled in a time too short to conduct the required search for such a position, or on those rare occasions when there are exceptional

circumstances allowing the hiring and/or retention of an outstanding faculty member, thus conspicuously enhancing the stature of the University faculty and – where possible – furthering the goals of diversity and equal opportunity.

- i. To fill an unexpected vacancy (e.g. due to illness, disability, death, or resignation), the center, department, division or program must file a Faculty Action Form and hiring plan. In no case shall such a position be filled for more than one year without filing a hiring plan and conducting the required search for the position.
 - ii. A center, department, division or program may hire a non-regular faculty member without filing a hiring plan or conducting the required search for the position, as long as appropriate documentation is submitted to the Vice President for Academic Development, Diversity and Inclusion, and to TPAC (as appropriate) confirming the visiting faculty member's credentials prior to appointment.
 - iii. In the usual cases of appointments of exceptional faculty or other arrangements intended to retain faculty without a full search, the center, department, division or program must file a Faculty Action Form (FAF) and a hiring plan and detail the circumstances which merit the exceptional treatment. Any such request for an exception to the requirement for a search must follow the standard procedures of review by faculty in the Center, Department, Division or Program, by faculty committees (TPAC, CMFA) and by senior academic administration, including the Vice President for Academic Development, Diversity and Inclusion, as is the case for appointments following normal procedures. The President shall review and approve such an appointment before it is confirmed.
- d. A search should identify and encourage the maximum number of qualified women and other underrepresented minority candidates as possible to apply for the position.
- e. In any search procedures, the center, department, division or program must include a description of the specific efforts made to find and consider qualified women and minority group candidates and must include a statement of the parameters of the search and the steps taken to assure its adequacy.
- f. Communication with prospective faculty initiated by members of the University other than those whose office requires it can embarrass or impede the University in its search for qualified faculty. Consequently, such communication should be undertaken, if at all, only after careful deliberation. The malicious use of such communication to prevent or discourage the legitimate appointment of a qualified faculty member is entirely objectionable.
- g. Although we recognize that students may play a valuable role in the evaluation and recruitment of prospective faculty members, the ultimate responsibility for this process rests with the Department faculty and the

University Administration. Therefore, Departments which utilize student input should establish clear guidelines as to the exact role and extent of student involvement in the hiring process.

2. Faculty Salaries

Note that all faculty are entitled to comparative salary information from the appropriate dean and may bring a grievance case to the Committee on Grievance (see *Faculty Rules*, Section 10.I.A).

a. Policy

Faculty salaries are set by Brown University on the basis of the rank of the position and the merit of performance of the individual in that position. Salary levels are meant to be competitive with those offered at peer institutions in the United States and these levels are also influenced by the “market” in terms of supply and demand, that is, in terms of the supply of faculty available in certain disciplines. Average salaries may thus differ in different departments because of the disciplinary market forces. Brown University’s policy is to determine salaries on the basis of merit, performance, and disciplinary-market considerations, and not to discriminate against female or under-represented minority or any other faculty in the setting and administration of faculty salaries, and to maintain a fair balance within departments and the University.

b. Annual Salary Review

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

c. Salary Complaints and Grievances

If a faculty member believes that his or her salary is inappropriate, the faculty member should normally express the concern to the department chair and request a salary review. In this review, he or she may meet with the appropriate dean, and then the Provost, should this be necessary to address the concerns raised. The Dean of the Faculty shall supply the faculty member with a copy of the annual report on salaries. If the faculty member is not satisfied and believes that the situation is due to discrimination against women and/or underrepresented minorities, the faculty member may then request that the Committee on Grievance review the complaint. If so, the Committee on Grievance will proceed as specified above (Part 1, Section 2.III.I).

3. Annual Reviews

The appropriate dean shall annually write to all untenured faculty apprising them of the requirement for an annual review and of the existence of written departmental standards and criteria for contract renewal and promotion (as described in subsection 4 below, “Contract Renewal and Promotion”).

The annual review of each full-time untenured faculty member, including lecturers and instructors,²³ shall be directed by the academic unit Chair. The academic unit Chair will establish and maintain a dossier on each non-tenured faculty member containing copies of: (1) official appointment and salary letters; (2) annual reviews of the faculty member; (3) an annually revised curriculum vitae of the faculty member; (4) copies of his or her scholarly publications; and (5) material on teaching performance (including student teaching evaluations and tabulations), curriculum development, and advising.

The untenured faculty member, and the academic unit Chair, will be responsible for submitting material including an up-to-date curriculum vitae for his or her dossier, so that it contains up-to-date material on teaching (including courses taught, student evaluations from courses and tabulations, summary material on undergraduate and graduate advising), scholarly work (including copies of publications), and service to the University (also listed in the curriculum vitae).

The annual review of each untenured faculty member will be conducted at a duly called meeting of the tenured faculty, where the contents of the individual’s dossier (excluding salary information) will be reviewed and his or her performance during the preceding academic year evaluated in each of three areas: scholarship, teaching, and service. A description of a consensus concerning the untenured faculty member’s performance or of the nature of the disagreement about it if there is no consensus will be arrived at. A draft of this report shall be submitted for comment to the appropriate dean, before being provided to the untenured faculty member.

Such a review of an untenured faculty member’s total performance will take place annually, normally at the beginning of the fall semester. In some years it may coincide with the procedures for that academic unit’s recommendation for contract renewal, promotion or tenure. In this situation, 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 the appropriate dean, with a copy to the department chair, a request that the two reviews be combined. The Chair will also meet with untenured faculty members at the end of their first year of service, to solicit information and provide informal feedback in advance of the forthcoming annual review.

The academic unit Chair will meet with the untenured faculty member and present a final written report which indicates the evaluation of the individual’s performance by the tenured faculty of the academic unit. This evaluation report shall include a commentary on the individual’s scholarship, teaching, and service. A copy of this written evaluation shall be given to the untenured faculty member and every tenured faculty member in the academic unit, and to the appropriate dean.

The untenured faculty member may submit a written comment on the final evaluation report, and such comments shall be placed in the official academic unit file of the untenured faculty

²³ Reviews of senior lecturers and distinguished senior lecturers must take place once in the middle of the term of the appointment, and more frequently if requested by the faculty member or deemed necessary by the department or center.

member. Lack of response by the untenured individual shall not be construed as total agreement with the final evaluation report.

4. Contract Renewal and Promotions

Every department or other academic unit with contract renewal or promotion decisions to make is responsible to provide each member of the faculty, including anyone who may become a candidate for tenure, and whose appointment was not made on the prior assumption that the position was not tenurable, with the department's written standards and criteria for evaluating scholarship, teaching, and service. This statement shall be detailed, clear, objective and fair and will state the relative importance of each criterion. The standards for meeting these criteria will also be described and defined by the department, to the extent possible. The standards and criteria will be applied consistently and uniformly. While the standards and criteria are not to be altered without approval by the appropriate dean and the CMFA, PHFA, TPAC, or the FEC, changes in the weighting of the criteria may occasionally occur. If a department has received approval for such a change, faculty should be notified as far in advance as possible of the exception and reasons for the change, and they must receive a copy of any alterations or amendments to the standards and criteria. All departmental standards and criteria are to be consistent with those of the University.

Recommendations to renew or not to renew contracts, or to promote or not to promote, are initiated by the faculty member's academic unit. All recommendations must be prepared and concluded in sufficient time to enable the University to notify formally the individual of its decision in a timely manner. The candidate has the right to appear personally before a quorum of the relevant electorate of the academic unit during the consideration of his or her case. For individuals with term appointments of four years or less, notice shall be given at least eight months before the expiration of the appointment, except that those under consideration for tenure shall normally be informed of the decision at least twelve months before the expiration of a term appointment of any duration. Initial faculty appointments of one year or less duration, and visiting and adjunct appointments of whatever duration, are to be considered term appointments not requiring additional notice from the University of expiration. At least one year before a recommendation for reappointment or tenure is to be made, the faculty member may request and receive (1) a written statement of the academic unit's criteria for recommending a renewal of an appointment or promotion and the academic unit's procedures in making such a recommendation; and (2) an explanation of the academic unit's needs as far as these may affect his or her reappointment or promotion or potential tenure review. The faculty member also has the right to an explanation of what the recommendation is and to whom and when it will be sent. In the case of a negative recommendation, and at the request of the individual, he or she shall be given, in writing, the reasons of the academic unit for its decision. As outlined in the section concerning the Tenure, Promotions, and Appointments Committee (Part 1, Section 2.VI.B.5.c), the individual also has the right to present material in person and/or in writing to such Committee.

In the case of promotion from Associate Professor to Professor, a review 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.

At a duly called meeting of the tenured (senior)²⁴ faculty, the tenured (senior) members of the academic unit will review the candidate's performance with regard to scholarship, teaching and service, in accordance with the specific criteria established by the academic unit which are on file with the appropriate dean. Publications and teaching evaluations, as well as other pertinent parts of the academic unit's file on the faculty member, will be available to tenured (senior) members of the academic unit two weeks before the meeting to make the recommendation. On the basis of an evaluation of these aspects of an individual's performance, as well as in the case of promotion of assistant to associate with tenure consideration of the academic unit's staffing needs, a recommendation will be made in writing by the proper date and indicating the quorum the academic unit has established as necessary to make such decisions. The recommendation will contain a conscientious documentation by the academic unit of the candidate's professional career, as well as the reasons for the recommendation and the data used to arrive at the decision.

5. Tenure Review

Any untenured member of the faculty who holds tenurable rank at Brown, and whose full-time service at Brown amounts to five years or more, must have a full tenure review before an academic unit can make a recommendation for or against promotion to tenured rank. As stated above, the written criteria for evaluating scholarship, teaching, and service shall be provided to the candidate, and to the appropriate dean.

Before a recommendation is made for tenure, the untenured faculty member has the right to: (1) a written statement of the academic unit's criteria for recommending tenure and the procedures used in making such recommendations; and (2) an explanation of the academic unit's needs as far as these may affect his or her tenure. At the time of the recommendation, the candidate shall be notified in writing of the recommendation and, in the case of a negative recommendation, of the reasons for the academic unit's decision. As outlined in the section concerning the Tenure, Promotions, and Appointments Committee (Part 1, Section 2.VI.B.5.c), the individual also has the right to present material in person and/or in writing to such Committee.

6. Tenure Procedures and Recommendations in Divisions, Departments, Programs and Centers:

a. Initial Academic Unit Procedure

- i. No later than April 15²⁵ of the year preceding the penultimate year²⁶ of the candidate's probationary period,²⁷ the academic unit Chair, in consultation with the

²⁴ In the case of promotion from associate professor to professor, the group acting to make a recommendation consists of the full professors of the academic unit.

²⁵ This and other dates are intended as guidelines and are intended to ensure that all reviews are concluded early enough to enable the University to give notice to the appointee of the action it intends to take at least twelve months before the expiration of the term appointment. If the end date of the appointment is other than June 30, the timeline will be adjusted accordingly. For external candidates, the timeline as well as some of the procedural steps specified for internal candidates for tenure may vary from what is described in the following.

²⁶ If a candidate elects an earlier review, the end date of the appointment will be adjusted to provide for one terminal year in the event of a negative review.

²⁷ The current Corporation policy with respect to how this time is counted (Faculty Rules, 2.1--15 March 1988, p.100, #8) (See Part 5, Section 11, I.A.6.) reads "Untenured faculty members may serve no longer than eight years of full-time faculty service or its equivalent in tenurable ranks at Brown University. After eight years of full-time faculty service or its equivalent at Brown University, such appointments must either be tenured or the appointment in tenurable rank is terminated, except that extensions of up to two years may be granted by the appropriate dean for care of a newborn child or a newly adopted young child, or for other extraordinary circumstances. An interruption of a term of service for a

- candidate, shall select no less than a three person tenure committee to guide the evaluation procedure. If there are fewer than three tenured professors within the academic unit, appropriate faculty from other units shall be included. The Chair may or may not be a member of the tenure committee and the head of the Committee may be a tenured person in the academic unit or the unit's Chair or Director.
- ii. As soon as the tenure committee has been selected, the academic unit Chair/Director will convene a meeting of all tenured faculty of the unit and outline the procedures to be used in the evaluation for tenure. Where a candidate for tenure holds a joint appointment, each academic unit in which the individual has an appointment may have a separate tenure committee meeting and make separate evaluations and recommendations. As an alternative, the academic units may form a joint tenure committee with faculty from all units involved as members.
 - iii. The tenure committee, in consultation with the candidate, will be responsible for assembling the candidate's tenure dossier. This process should begin as soon after April 15 as possible. This dossier will ultimately carry the academic unit's recommendation on promotion to tenure, and will be kept permanently in the files of the Dean of the Faculty. It will contain the following:
 - a) an updated curriculum vitae;
 - b) a list of individuals outside the University who should be well acquainted with the candidate's field(s) of scholarship;
 - c) no fewer than eight letters of reference from arm's length reviewers (individuals who are not close collaborators or dissertation/postdoc supervisors), including the academic unit's letters of solicitation; and a statement of how each referee was chosen;
 - d) materials pertaining to the evaluation of the candidate's teaching performance and contributions to the curriculum, including summary tabulations of semesterly teaching evaluations;
 - e) records of the candidate's service to the University; and
 - f) copies of all minutes of meetings and correspondence of the academic unit, which bear upon the question of the candidates' promotion to tenured rank.
 - iv. In addition, the tenure committee will assemble, in consultation with the candidate, a complete file of scholarly publications and material submitted for publication as supplied by the candidate to be considered by the tenure committee and made available for reading to all tenured members of the academic unit. The tenure committee will also assemble a file of material on teaching performance gathered in accordance with the procedures outlined in its program for teaching evaluation filed with the appropriate dean. The tenure committee will make these materials available (publications and teaching evaluation materials) to the Tenure, Promotions, and Appointments Committee on request.
 - v. Not later than May 1 of the year preceding the penultimate year, the candidate shall supply the tenure committee with a list of distinguished outside scholars who would be appropriate external evaluators of his or her scholarship. The candidate shall be

medical leave, in accordance with University policy, no matter what its length, shall not be counted as part of the probationary period."

- given an opportunity by the tenure committee to provide a written list of individual scholars who should not, in the candidate's opinion, be solicited for evaluations; this list should state the reason(s) for excluding each individual and this list should be included with the tenure dossier.
- vi. At the same time, the tenure committee will independently assemble a list of 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.
 - vii. After reviewing the candidate's list of suggested evaluators and objections, the department shall compile a single combined list, to include no fewer than three names from among those suggested by the candidate. This list, which is not shared with the candidate, shall be forwarded to the appropriate dean, along with brief biographies of the referees explaining their qualifications to serve, for review, no later than June 1 of the year preceding the penultimate year. The dean shall review the list in consultation with the department and may recommend to the department additional referees.
 - viii. After the list of referees has been finalized, a representative from the academic unit (either the Chair or a member of the tenure committee) shall send a standard formal request for evaluation of the candidate to each referee, conforming to the template published on the Dean of the Faculty website. Informal contact with prospective referees is prohibited.
 - ix. A statement of the contents of the dossier shall be given to the candidate no later than November 1 of the penultimate year, so that the candidate may complete or supplement it with additional material, if necessary.
 - x. 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 year.
 - xi. Documented efforts must be made to secure the maximum participation of the tenured faculty of the academic unit, as required in the evaluation and recommendation process. Copies of the candidate's dossier as well as any of the materials or publications held by the tenure committee shall be provided to members not in residence. Those tenured faculty not in residence shall be requested to send written statements concerning the candidate to the Chairperson of the tenure committee no later than December 15 of the penultimate year, but failure to receive statements from absent members shall not prevent completion of the evaluation and recommendation process.
- b. Making the Recommendation
- i. At a meeting of the tenured faculty, called with at least a week's notice, the candidate's tenure committee will present the evidence on scholarship, teaching, and service. The candidate has the right to appear in person before the tenured faculty in the academic unit during consideration of his or her case. The tenured faculty will further discuss the evidence and take a vote which will be recorded and which will be the basis of the academic unit's recommendation to the Tenure, Promotions, and Appointments Committee. This recommendation shall be made in writing and indicate the quorum the department has established as necessary to make such decisions. The

- faculty member also has the right to an explanation of what the recommendation is and to whom it will be sent and when. In the case of a negative recommendation, and at the request of the individual, he or she shall be given, in writing, the reasons of the academic unit for its decision.
- ii. The academic unit's recommendation, together with the reasons therefore, whether positive or negative, shall be made and forwarded with the tenure dossier (described above) to the Tenure, Promotions, and Appointments Committee no later than January 7 of the penultimate year.
 - iii. The following documents shall be forwarded to the Tenure, Promotions and Appointments Committee:
 - a) the candidate's dossier (as specified above);
 - b) the Department's recommendation, including reasons, and the votes, signed by the academic unit Chair/ Director and the Chair of the tenure committee;
 - c) a certification by the tenure committee Chair that the academic unit's and University's standards and procedures for tenure review have been applied; or, if they have not, the reasons therefore and what different standards and procedures were used;
 - d) a copy of any specific supplement of the academic unit to the University's standards and procedures for contract renewal and tenure not already on file in the Office of the Dean of the Faculty.
- c. When it leaves the academic unit, the recommendations shall contain the following:
- i. A review of the candidate's scholarship and intellectual development giving:
 - a) a description of the distinctive nature, reputation, and influence of his or her published work, if any;
 - b) an evaluation of that work with respect to the goals and structure of the academic unit;
 - c) a description and evaluation of unpublished work, completed or in progress, if any;
 - d) a description of the potential development and influence of the person's scholarship on the discipline, the academic unit and the University at large.
 - ii. A review of the candidate's teaching record at Brown,
 - a) describing teaching activities — i.e. specific courses taught, enrollment, independent study supervised, undergraduate and graduate theses supervised;
 - b) evaluating the candidate's teaching effectiveness with respect to various formats and levels of instruction; and describing students' evaluations of the candidates' teaching, with any explanatory comment summarizing the findings of the academic unit's program of teaching evaluation;
 - c) describing any specific contributions the person has made either to the academic unit or the University curricula, or to the academic unit's continuing concern for its teaching effectiveness if any.
 - iii. An assessment of the candidate's personal and intellectual service to both department and the University.

- iv. An estimate of the candidate's potential for further professional growth.
- d. Procedures following Transmission of the Recommendation to the Dean of the Faculty
- After a recommendation by an academic unit for or against promotion to tenured rank has been made, administrative action is initiated by the receipt, in the office of the Dean of the Faculty, of the materials described above, and any examples (in single copy) of the candidate's published scholarship and teaching performance which may be useful to the Dean and his or her colleagues in their review.
- Receipt of the submitted materials will be acknowledged by the Office of the Dean of the Faculty. The materials will be examined by the Dean's Office for completeness. If the Dean concludes that any materials are lacking or that further materials might be useful to fairly evaluate the candidate and the field of study, he or she will request them from the tenure committee of the candidate or from other experts in the field.
- The Dean will then schedule a formal discussion of the recommendation by the Tenure, Promotions, and Appointments Committee. Copies of the dossier (to which has been added the academic unit's recommendation) will be distributed well in advance of the Committee's discussion to the members of the Committee. Materials not suitable for copying will be retained in the Dean's office for use by members of the Committee and a list of those materials will be distributed with the copies of the dossier. The Chair of the tenure committee and the Chair of the Department will be contacted by the Dean's office to confirm the scheduling of the discussion and to ascertain their availability, if the Committee wishes to consult with them during the meeting. As outlined in the section concerning the Tenure, Promotions, and Appointments Committee, the candidate also has the right to present material in person and/or in writing to TPAC.
7. Procedures and Recommendations in Divisions, Departments, Programs and Centers regarding promotion from Associate Professor to Professor (tenure previously granted)

a. Initial Academic Unit Procedure

- i. The Standards and Criteria of each academic unit should specify, in the clearest possible terms, the criteria and procedures by which an Associate Professor will be considered for promotion to Professor. The decision to stand for promotion should be the candidate's prerogative, based on the candidate's judgment of the degree to which his or her record satisfies these criteria.

When a review for promotion from Associate Professor to Professor is to be undertaken, the academic unit Chair, in consultation with the candidate, shall select no less than a three person review committee comprised of tenured faculty holding the rank of Professor to guide the evaluation procedure. If there are fewer than three tenured full professors within the academic unit, appropriate faculty from other units shall be included. The Chair may or may not be a member of the review committee and the head of the Committee shall be a tenured full professor in the academic unit or the unit's Chair or Director.

- ii. As soon as the review committee has been selected, the academic unit Chair/Director will convene a meeting of all tenured full professors of the unit and outline the procedures to be used in the evaluation for promotion. Where a candidate holds a joint appointment, each academic unit in which the individual has an appointment may have a separate review committee meeting and make separate evaluations and recommendations. As an alternative, the academic units may form a joint review committee with tenured full professors from all units involved as members.
- iii. The review committee, in consultation with the candidate, will be responsible for assembling the candidate's promotion dossier. This dossier will ultimately carry the academic unit's recommendation on promotion, and will be kept permanently in the files of the Dean of the Faculty. It will contain the following:
 - a) an updated curriculum vitae;
 - b) a list of individuals outside the University who should be well acquainted with the candidate's field(s) of scholarship;
 - c) no fewer than eight letters of reference, at least five of which must be from arm's length reviewers (individuals who are not close collaborators or dissertation/postdoc supervisors), including the academic unit's letters of solicitation and a statement of how each referee was chosen;
 - d) materials pertaining to the evaluation of the candidate's teaching performance and contributions to the curriculum, including summary tabulations of semesterly teaching evaluations;
 - e) records of the candidate's service to the University;
 - f) copies of all minutes of meetings and correspondence of the academic unit that bear upon the question of the candidate's promotion to the rank of Professor.
- iv. In addition, the review committee will assemble, in consultation with the candidate, a complete file of scholarly publications and material submitted for publication as supplied by candidate to be considered by the review committee and made available for review to all tenured full Professors in the academic unit. The review committee will also assemble a file of material on teaching performance gathered in accordance with the procedures outlined in its program for teaching evaluation filed with the appropriate dean. The review committee will make these publications and teaching evaluations available to the Tenure, Promotion and Appointments Committee on request.
- v. The candidate shall supply the review committee with a list of distinguished outside scholars who would be appropriate external evaluators of his or her scholarship. The candidate shall be given an opportunity by the review committee to provide a written list of individual scholars who should not, in the candidate's opinion, be solicited for evaluations; this list should state the reason(s) for excluding each individual, and this list should be included with the promotion dossier.

- vi. At the same time, the review committee will independently assemble a list of 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.
 - vii. After reviewing the candidate's list of suggested evaluators and objections, the department shall compile a single combined list, to include no fewer than three names from among those suggested by the candidate. This list, which is not shared with the candidate, shall be forwarded to the appropriate dean, along with brief biographies of the referees, explaining their qualifications to serve, for review. The dean shall review the list in consultation with the department and may recommend to the department additional referees.
 - viii. After the list of referees has been finalized, a representative from the academic unit (either the Chair or a member of the review committee) shall send a standard formal request for evaluation of the candidate to each referee, conforming to the template published on the Dean of the Faculty website. Informal contact with prospective referees is prohibited.
 - ix. A statement of the contents of the dossier shall be given to the candidate before it is submitted to the Tenure, Promotions, and Appointments Committee so that the candidate may complete or supplement it with additional material, if necessary.
 - x. 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.
 - xi. Documented efforts must be made to secure the maximum participation of the tenured full Professors in the academic unit, as required in the evaluation and recommendation process. Copies of the candidate's dossier as well as any of the materials or publications held by the review committee shall be provided to members not in residence. Those tenured full Professors not in residence shall be requested to send written statements concerning the candidate to the Chairperson of the review committee before a vote on the recommendation is taken, but failure to receive statements from absent members shall not prevent completion of the evaluation and recommendation process.
- b. Making the Recommendation
- i. At a meeting of the tenured full Professors, called with at least a week's notice, the candidate's review committee will present the evidence on scholarship, teaching, and service. The candidate has the right to appear in person before the full Professors in the academic unit during consideration of his or her case. The tenured full Professors will further discuss the evidence and take a vote which will be recorded and which will be the basis of the academic unit's recommendation to the Tenure, Promotions, and Appointments Committee. This recommendation shall be made in writing and indicate the quorum the Department has established as necessary to make such decisions. The faculty member also has the right to an explanation of what the recommendation is and to whom it will be sent and

- when. In the case of a negative recommendation, and at the request of the individual, he or she shall be given, in writing, the reasons of the academic unit for its decision.
- ii. The academic unit's recommendation, together with the reasons therefore, whether positive or negative, shall be made and forwarded with the promotion dossier (described above) to the Tenure, Promotions, and Appointments Committee.
 - iii. The following documents shall be forwarded to the Tenure, Promotions, and Appointments Committee:
 - a) the candidate's dossier (as specified above);
 - b) the Department's recommendation, including reasons, and the votes, signed by the academic unit Chair/Director and the Chair of the review committee;
 - c) a certification by the review committee Chair that the academic unit's and the University's standards and procedures for review have been applied; or, if they have not, the reasons therefor and what different standards and procedures were used;
 - d) a copy of any specific supplement of the academic unit to the University's standards and procedures for contract renewal, tenure, and promotion not already on file in the Office of the Dean of the Faculty.
- c. When it leaves the academic unit, the recommendation shall contain the following:
- i. A review of the candidate's scholarship and intellectual development giving:
 - a) a description of the distinctive nature, reputation, and influence of his or her published work, if any;
 - b) an evaluation of that work with respect to the goals and structure of the academic unit;
 - c) a description and evaluation of unpublished work, completed or in progress, if any;
 - d) a description of the potential development and influence of the person's scholarship on the discipline, the academic unit and the University at large.
 - ii. A review of the candidate's teaching record at Brown,
 - a) describing teaching activities — i.e., specific courses taught, enrollment, independent study supervised, undergraduate and graduate theses supervised;
 - b) evaluating the candidate's teaching effectiveness with respect to various formats and levels of instruction; and describing students' evaluations of the candidate's teaching, with any explanatory comment summarizing the findings of the academic unit's program of teaching evaluation;
 - c) describing any specific contributions the person has made either to the academic unit or the University curricula, or to the academic unit's continuing concern for its teaching effectiveness, if any.

- iii. An assessment of the candidate's personal and intellectual service to both Department and the University.
- iv. An estimate of the candidate's potential for further professional growth.

d. Procedures following Transmission of the Recommendation to the Dean of the Faculty

After a recommendation by an academic unit for or against promotion has been made, administrative action is initiated by the receipt, in the office of the Dean of the Faculty, of the materials described above, and any examples (in single copy) of the candidate's published scholarship and teaching performance that may be useful to the Dean and his or her colleagues in their review.

Receipt of the submitted materials will be acknowledged by the Office of the Dean of the Faculty. The materials will be examined by the Dean's Office for completeness. If the Dean concludes that any materials are lacking or that further materials might be useful to fairly evaluate the candidate and the field of study, he or she will request them from the promotion committee of the candidate or from other experts in the field.

The Dean will then schedule a formal discussion of the recommendation by with the Tenure, Promotions, and Appointments Committee. Copies of the dossier (to which has been added the academic unit's recommendation) will be distributed well in advance of the Committee's discussion to the members of the Committee. Materials not suitable for copying will be retained in the Dean's office for use by members of the Committee and a list of those materials will be distributed with the copies of the dossier. The Chair of the review committee and the Chair of the Department will be contacted by the Dean's office to confirm the scheduling of the discussion and to ascertain their availability, if the Committee wishes to consult with them during the meeting. As outlined in the section concerning the Tenure, Promotions, and Appointments Committee, the candidate also has the right to present material in person and/or in writing to TPAC.

8. Resignations

The Faculty recommends to the President and the Dean of the Faculty that the Dean set up a systematic program of exit interviews for all faculty who resign positions at Brown University.

NOTE: These are separate and distinct from exit interviews conducted by the Human Resources Office.

F. New Departments, Programs, Centers and Institutes

The following procedures shall be observed for reviewing proposals for new academic departments, programs, centers, and institutes.

1. Proposals for New Academic Departments, Programs, Centers or Institutes

- a. A proposal for a new academic department (as defined in 3 below) shall be made by a group of interested faculty to the appropriate dean, who will forward the proposal to the Provost with his or her recommendation regarding the merits of the proposal. Prior to the presentation of the proposal to the Provost, discussions with the appropriate dean and all potentially interested faculty and academic units should take place. The

proposal should offer a detailed analysis of the scholarly, pedagogical, and financial consequences of the creation of the new department for the University. Specifically, the proposal should include an academic budget and an analysis of the availability of potential internal and external resources for the department. Proponents of the new department should seek to gather letters or indications of support from all academic units potentially affected by the creation of the new department.

- b. A proposal for a new academic program, center or institute (as defined in 3 below) shall be made by a group of interested faculty to the appropriate dean, who will forward the proposal to the Provost with his or her recommendation regarding the merits of the proposal. Prior to the presentation of the proposal to the Provost, discussions with the appropriate dean and all potentially interested faculty, including the chairs and/or directors of other academic units expected to be involved in the proposed new unit, should take place. The proposal should offer a detailed analysis of the scholarly, pedagogical, and financial consequences of the creation of the new program, center or institute for the University. Specifically, the proposal should include an academic budget and an analysis of the availability of potential internal and external resources for the program, center or institute. Proponents of the new program, center or institute should seek to gather letters or indications of support from the appropriate dean and all academic units potentially affected by the creation of the new program, center or institute.
- c. The Provost, upon determination that all necessary supporting documentation has been provided and sufficient consultation with the appropriate dean and faculty has occurred, shall bring the proposal to the Academic Priorities Committee (APC) for its consideration and review. Simultaneously, the Provost shall provide copies of the proposal to the President and the Chair of the Faculty Executive Committee (FEC) to both make them aware of the proposal and to provide an opportunity for their input to be considered by the APC at an early stage of its review.
- d. The APC may, at its discretion, initiate a review of the proposal through the appointment of relevant evaluating committees composed of Brown University faculty or scholars in relevant fields from peer institutions.
- e. At an early stage in their review, the APC, through the office of the FEC, shall notify the Faculty as a whole of the proposal and make it available for review and comment. This notice is intended to both make the Faculty at large aware of the proposal and to provide an opportunity for their input to be received and considered by the APC in its review.
- f. The APC, through the Provost, shall offer its recommendations regarding the creation of a new academic department, program, center or institute to the Faculty, through the Chair of the Faculty Executive Committee. The APC's recommendation shall simultaneously be provided to the President and made available to the Faculty.
- g. The Faculty shall consider the recommendations of the APC and shall vote to approve or reject the proposal. The results of this vote shall constitute a recommendation to the President and shall be forwarded to the President for his or her consideration. The Provost, as chief academic officer of the University, shall also make his or her own recommendation to the President at this stage.
- h. The President shall consider the recommendation of the Faculty and of the Provost and shall make his or her own recommendation on the matter to the Board of Fellows,

who have ultimate responsibility for the establishment of academic departments, programs, centers and institutes. The President shall notify the APC, the FEC, and the interested faculty of the determination of the Board of Fellows.

2. **Proposals for Renaming Academic Departments, Centers, Programs, and Institutes**

- a. A proposal for renaming an academic department (as defined in 3 below) shall be made by the department chair to the appropriate dean, who will forward the proposal to the Provost with his or her recommendation regarding the merits of the proposal, after completion of the following steps. Prior to the presentation of the proposal to the Provost, discussions with the appropriate dean and potentially interested academic units shall take place. The proposal shall offer an analysis of any scholarly, pedagogical, and financial consequences that the change in name may have for the University. Specifically, the proposal should include an assessment of how, if at all, the department's current objectives, functions and/or activities will change. The department should address the implications of the name change (1) for students and/or faculty in the department, particularly if the name of a concentration or graduate program is affected, and (2) for resources and other academic units, including comments by such units as appropriate in its proposal. Finally, the department should vote on the proposal; any negative votes or abstentions should be explained in an attachment to the proposal.
- b. A proposal for renaming an academic program, center or institute (as defined in 3 below) shall be made by the unit's director to the appropriate dean, who will forward the proposal to the Provost with his or her recommendation regarding the merits of the proposal, after completion of the following steps. Prior to the presentation of the proposal to the Provost, discussions with the appropriate dean and with potentially interested academic units shall take place. The proposal shall offer an analysis of any scholarly, pedagogical, and financial consequences that the change in name may have for the University. Specifically, the proposal should include an assessment of how, if at all, the unit's current objectives, functions and/or activities will change. The program, center or institute should address the implications of the name change (1) for students and/or faculty in the unit particularly if the name of a concentration or graduate program is affected, and (2) for resources and other academic units, including comments by such units as appropriate in its proposal.

Finally, the program, center or institute should vote on the proposal; any negative votes or abstentions should be explained in an attachment to the proposal.

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

- d. The APC may, at its discretion, initiate a review of the proposal through the appointment of relevant evaluating committees composed of Brown University faculty and/or scholars in relevant fields from peer institutions.
- e. At an early stage in their review the APC, through the office of the FEC, shall notify the Faculty as a whole of the proposal and make it available for review and comment. This notice is intended to both make the Faculty at large aware of the proposal and to provide an opportunity for their input to be received and considered by the APC in its review.
- f. The APC, through the Provost, shall offer its recommendations regarding the renaming of an academic department, program, center or institute to the Faculty, through the Chair of the Faculty Executive Committee. The APC's recommendation shall simultaneously be provided to the President and made available to the Faculty.
- g. The Faculty shall consider the recommendations of the APC and shall vote to approve or reject the proposal. The results of this vote shall constitute a recommendation to the President and shall be forwarded to the President for his or her consideration. The Provost, as chief academic officer of the University, shall also make his or her own recommendation to the President at this stage.
- h. The President shall consider the recommendation of the Faculty and of the Provost and shall make his or her own recommendation on the matter to the Board of Fellows, who have ultimate responsibility for the renaming of academic departments, programs, centers and institutes. The President shall notify the APC, the FEC, and the interested faculty of the determination of the Board of Fellows.

3. Departments, Centers, Programs, and Institutes

- a. An academic "Department" is an administrative unit of faculty members joined by a common intellectual field or academic discipline. Departments house both teaching and research programs.
- b. A "Center" is an academic unit of the University, often involving faculty from a number of academic departments, primarily established to support faculty research or to house a multidisciplinary academic program. A Center may offer undergraduate courses and concentrations, subject to the usual scrutiny and approval by faculty committees. A Center may offer graduate courses and programs, subject to approval by the participating departments and the Graduate Council, which may lead to the awarding of the master's degree. The Ph.D. should normally be offered in the discipline of one of the sponsoring departments, subject to the policies that prevail for the granting of such a degree within that department.
- c. A "Program" is an academic configuration whose function is primarily through, not exclusively, instruction. A Program may offer undergraduate courses and concentrations, subject to the usual scrutiny and approval by faculty committees.
- d. An "Institute" is a large configuration of faculty, research faculty and others who oversee a variety of research and other academic programs. An Institute may offer undergraduate courses and concentrations, subject to the usual scrutiny and approval by faculty committees. An Institute may offer graduate courses and programs, subject to approval by the participating departments and the Graduate Council, which may lead to the awarding of the master's degree. The Ph.D. should normally be offered in the discipline of one of the sponsoring departments, subject to the policies that prevail for the granting of such a degree within that department.

G. External Funding of Research

On May 27, 1971, a Faculty ad hoc Committee on External Sources of Research Funding submitted a report, which expressed general satisfaction with the method of handling external funding of research — essentially a laissez-faire approach with the Administration exercising sufficient control to insure against abuses of a kind that would seriously undermine faith in the system. Classified research is not engaged in and appropriate precautions are taken when human subjects are involved. Proposals are carefully scrutinized in terms of their explicit or implicit financial commitments. The Report also indicated that a large majority of the Faculty is happy with the current system and would not take kindly to the imposition of tighter controls.

Three specific recommendations were made and voted by the Faculty as follows:

That the Faculty requests that the Administration take the following steps:

1. Arrange for the University to give up its Facility Security Clearance (a storage safe maintained as a convenience for individual faculty members who might have classified material in their possession).
2. At regular, frequent intervals circulate widely in the University community a list of the titles of proposals for research that have been funded by an outside source.
3. Establish an open file of all funded proposals (deleting confidential financial information) that would be accessible to all members of the University community. With the funded proposal should be attached a copy of the terms under which the University entered into a contractual relationship with the outside source to perform the research.

II. Pertaining to Students & Faculty

A. Graduate Student Grievance Procedures

1. Mediation

- a. Every graduate student is entitled to a fair and prompt hearing of grievances in accordance with the procedure described below under the heading “Grievance Procedure.” Before invoking this procedure, however, a student who believes himself or herself to be aggrieved must first attempt to resolve the difficulty through discussion with the other person or persons involved.
- b. If no resolution can be affected by direct discussion, and the student wishes to pursue the matter further, he or she must then address the Graduate Representative or the Chair (at the student’s choice) of the appropriate department, with the aim of securing clarification and advice. The Graduate Representative or the Chair shall, when thus addressed, discuss the matter informally with the several parties and attempt to resolve it by mediation.
- c. He or she shall also prepare a memorandum outlining the problem, the steps taken, and the proposed resolution. Copies of the memorandum shall be given to all persons involved.
- d. If a mutually satisfactory solution is not achieved by mediation, and the student wishes to pursue the matter further, then the Graduate Representative or the Chair shall make a determination as to whether the question at issue is or is not departmental in nature.

- e. If it is determined to be departmental, the student may then file a written request for a review with the Chair of the department (see below); if not, no further action is taken at the departmental level.
- f. A student who disagrees with such a determination may appeal it to the Dean of the Graduate School, whose decision shall be final.
- g. A student who has been unable to resolve a non-departmental question by personal effort, may also make appeal to the Dean of the Graduate School, in this case with a view to securing advice and direction.

2. Grievance Procedure

- a. If an unresolved grievance has been determined to be departmental and the student wishes to pursue the matter further, he or she must, within a reasonable period of time, file a written appeal with the Chair of the appropriate department. This appeal must ask for review of the question and must specify the injury alleged, the reasons for the student's belief that he or she is aggrieved, and the remedy sought.
- b. The Chair, within a reasonable period of time after receiving an appeal, shall refer it, depending on its nature, either to a committee of review or to the departmental Faculty (see the following paragraphs). A student who believes that any procedure outlined in this section has not been carried out within a reasonable period of time may appeal to the Dean of the Graduate School for a determination of this allegation.
- c. If the grievance involves any question except that of a change in the degree for which the student is enrolled, it shall be referred to a committee of review, to be named by the Chair, which committee must include the Chair (unless he or she is the object of the appeal), and at least two other Faculty members, and at least one graduate student member; when the exercise of academic judgment is required, the student member or members shall be non-voting.
- d. As expeditiously as possible, this committee of review shall hear the student, consider the evidence, confer with other persons concerned, and prepare a comprehensive report of findings and a response to the appeal. Committee decisions shall be made by simple majority vote of the members. It shall be the Chair's duty to carry out, so far as may be, the directions of the Committee for the resolution of the appeal. A memorandum of what was done shall be prepared for the official record, either by the Chair or by a designated member of the Committee, and a copy given to the student.
- e. If the grievance involves the question of a change in the degree for which the student is enrolled, it shall be referred to the regular Faculty of the department. The aggrieved student may appear before this body to present his or her case, and may request the support of such witnesses or advisers as are deemed necessary by the student and presiding officer. At the invitation of anyone personally involved in the appeal, the Dean of the Graduate School may at his or her discretion appoint members of the Graduate Council to act as observers. If a student's record is to be discussed in the presence of people other than officers of the University, the student must supply such waivers and take such steps as are necessary to satisfy the provisions of the

Family Educational proceedings when the subject-matter requires confidential treatment.

- f. Minutes consisting of a summary of the proceedings of the appeal shall be kept, and copies supplied to the student and the Dean of the Graduate School. Decisions shall be by simple vote of the majority and shall be taken in closed session; they shall be made known in writing to the student by the Chair of the department as soon as possible after a decision has been reached.
- g. Subsequent appeal of the decisions of the Committee of review or of the Faculty of the department may be made to the Graduate Council on the ground that the grievance was not given an impartial and proper hearing. The Council shall consider such an allegation within a reasonable period of time after receiving it. If the Council determines that the student's complaint is justified, it shall ask to have the matter reconsidered by the department, itself monitoring, if necessary, the procedure.

3. Definitions and General Provisions

- a. Whenever the word "Department" is employed herein, it shall be understood to include Divisions and Programs where applicable.
- b. Whenever the word "Chair" is employed herein, it shall be understood to include Divisional Deans and Program Directors where applicable.
- c. Whenever a Chair or a Graduate Representative is the object of an appeal, he or she should step aside and request the department to name a locum tenens.
- d. When an appeal is made in a department which by reason of insufficient number of available Faculty finds that it cannot carry on the described procedure, this circumstance shall be made known by the Chair to the Executive Committee of the Graduate Council, which shall devise a special procedure for hearing the appeal, following as closely as practicable the model of the regular procedure. The special procedure may involve the ad hoc enlistment of Faculty members from other departments or from the Graduate Council itself.

B. Medical Student Grievance Procedures

1. Mediation

- a. Every medical student is entitled to a fair and prompt hearing of grievances in accordance with the procedure described below under the heading "Grievance Procedure." Before invoking this procedure, however, a student who believes himself or herself to be aggrieved must first attempt to resolve the difficulty through discussion with the other person or persons involved.
- b. If no resolution can be affected by direct discussion, and the student wishes to pursue the matter further, he or she must then address the Associate Dean for Medical Education with the aim of securing clarification and advice. The Associate Dean shall, when thus addressed, discuss the matter informally with the several parties and attempt to resolve it by mediation.
- c. He or she shall also prepare a memorandum outlining the problem, the steps taken, and the proposed resolution. Copies of the memorandum shall be given to all persons involved.

d. If a mutually satisfactory solution is not achieved by mediation, and the student wishes to pursue the matter further, then the student may file a written request for a review with the Associate Dean for Medical Education; if not, no further action is taken.

e. A student who disagrees with such a determination may appeal it to the Dean of Medicine and Biological Sciences, whose decision shall be final.

2. Grievance Procedure

a. A written appeal must be filed with the Associate Dean for Medical Education within a reasonable period of time. This appeal must ask for review of the question and must specify the injury alleged, the reasons for the student's belief that he or she is aggrieved, and the remedy sought.

b. The Associate Dean, within a reasonable period of time after receiving an appeal, shall refer it, depending on its nature, to a committee of review. A student who believes that any procedure outlined in this section has not been carried out within a reasonable period of time may appeal to the Dean of Medicine and Biological Sciences for a determination of this allegation.

c. The Committee must include the Associate Dean (unless he or she is the object of the appeal), at least two other faculty members, and at least one medical student member; when the exercise of academic judgment is required, the student member or members shall be non-voting.

d. As expeditiously as possible, this committee of review shall hear the student, consider the evidence, confer with other persons concerned, and prepare a comprehensive report of finding and a response to the appeal. Committee decisions shall be made by simple majority vote of the members. It shall be the Associate Dean's duty to carry out, so far as may be, the directions of the Committee for the resolution of the appeal. A memorandum of what was done shall be prepared for the official record, either by the Associate Dean or by a designated member of the Committee, and a copy given to the student.

e. At the invitation of anyone personally involved in the appeal, the Dean of Medicine and Biological Sciences may at his or her discretion appoint members of the Biomedical Faculty Council to act as observers. If a student's record is to be discussed in the presence of people other than officers of the University, the student must supply such waivers and take such steps as are necessary to satisfy the provisions of the Family Educational proceedings when the subject-matter requires confidential treatment.

f. Minutes consisting of a summary of the proceedings of the appeal shall be kept, and copies supplied to the student and the Dean of Medicine and Biological Sciences. Decisions shall be by simple vote of the majority and shall be taken in closed session; they shall be made known in writing to the student by the Associate Dean as soon as possible after a decision has been reached.

g. Subsequent appeal of the decisions of the Committee of review may be made to the Biomedical Faculty Council on the ground that the grievance was not given an impartial and proper hearing. The Council shall consider such an allegation within a reasonable period of time after receiving it. If the Council

determines that the student's complaint is justified, it shall ask to have the matter reconsidered, itself monitoring, if necessary, the procedure.

h. Whenever a Dean or Associate Dean is the object of an appeal, he or she should step aside and request the Biomedical Faculty Council to name a locum tenens.

C. Scheduling of Final Examinations

The scheduling of final examinations or other final written assignments outside of periods specified by the Academic Calendar may create a hardship for students and may infringe on the rights of other teaching faculty. It may also be a violation of the *Faculty Rules*.

Accordingly, reminders of the relevant language of the *Faculty Rules* concerning such scheduling should be distributed periodically to the Faculty by an officer of the Administration.

D. Academic Advising

1. Academic advising is central to the objectives and educational values of the University, and is primarily the Faculty's responsibility. This responsibility includes the advising of graduate students, of medical students, of undergraduate concentrators, and of freshmen and sophomores in the liberal arts and sciences. An effective advising system requires that all teaching faculty must regularly participate in some aspect of the program.
2. Referring to Freshmen and Sophomore instruction, the Faculty resolved: That the Faculty has assumed, and accepts, the responsibility for providing entering students — whether or not they have already selected fields of major interest — with opportunities for exploration and discovery in different areas of study that could prove of significance to them in the future.
3. Resolved moreover: That it is highly desirable for underclassmen to be taught by experienced and enthusiastic faculty, so that they will receive the best possible quality of instruction during those critical years.

E. Teaching Evaluation

1. Inasmuch as excellence in teaching at all levels is a fundamental goal of the Brown University Faculty, all departments and divisions shall establish reasonable procedures to assure fair, comprehensive and systematic evaluation of faculty teaching effectiveness for the purpose of recommendations for (or against) contract renewal, promotion, or tenure. Such evaluations of teaching ability and performance shall be carried out by the senior members of the department or division and shall include the use of evaluations solicited from students at all levels to whom the faculty member has provided instruction. It may be appropriate in some cases to consult former students of the faculty member concerned. Consideration shall be given to the maximum possible protection of the rights of students as well as faculty members involved in the evaluation process.
2. The faculty of each department and division shall also prepare clear and reasonable guidelines outlining the level of teaching ability and the standards of teaching performance which it expects from faculty members. In preparing and reviewing these guidelines it is important for the departments and divisions to consult with

their students at both the graduate and undergraduate levels. Departmental and divisional chairpersons shall inform in writing all non-tenured faculty members annually as to the extent to which they have met or failed to meet these standards, explaining the reasons and evidence for this evaluation.

3. Evaluation of teaching ability and performance must be made in terms of the widest possible interpretation of the teaching function of the candidate for contract renewal, promotion or tenure. (It should be kept in mind that teaching functions include both graduate and undergraduate instruction, lecturing, leading small discussion groups or seminars, directing independent studies or theses, laboratory teaching, research direction and participation in creative scholarship. Non-departmental courses — such as University courses, interdisciplinary courses, and experimental courses — are also part of the teaching function. Furthermore, teaching evaluation should consider not only classroom and laboratory instruction but efforts by faculty members to sustain competence in their fields, to devise new and creative pedagogical methods, and to up-date their teaching by scholarly activity.)
4. While each department or division is free to establish and describe in writing the procedures of teaching evaluation most appropriate to its academic discipline, these procedures must be based upon reasonable standards of fairness and objectivity.
5. Departments and divisions shall provide reasonable opportunity to any faculty member to review, rebut, and comment upon any evaluations of teaching that are part of his or her official record for purposes of contract renewal, promotion, or tenure. The faculty member may also present to the department for the record any materials which he or she considers relevant to considerations of teaching evaluation. Teaching evaluation shall be considered confidential and accessible only to those officially involved in the evaluation process except with the express consent and at the request of the faculty member concerned.
6. When the department or division has agreed upon its procedures for teaching evaluation and upon the standards of teaching effectiveness which it expects of its faculty, then these shall be submitted to the FEC and the Dean of the Faculty for approval. Thereafter, the approved procedures and standards shall be filed with the Dean of the Faculty and the Office of Faculty Governance and shall be available to all members of the University community.
7. Each department and division shall review and (if necessary) revise its teaching evaluation procedures biennially to assure their continued effectiveness and reliability. Any revisions shall be submitted to the FEC and the Dean of the Faculty for approval.
8. A faculty member who disagrees with the standards of teaching effectiveness or the procedures of teaching evaluation adopted by his or her department or division shall have the right to appeal to the FEC for a review of the objectionable aspect(s) through its normal procedures (see Section 10.I.A).
9. Each center, department, division or program having faculty positions (called henceforth “academic unit”) shall develop and maintain general guidelines and requirements for the evaluation of faculty teaching for use in making decisions on contract renewal, promotion, and tenure. These guidelines and requirements shall include at a minimum:

10. A description of the teaching activities to be considered in the evaluation of teaching and the methods used for that evaluation, filed by each academic unit with the appropriate dean, and TPAC. Each academic unit shall indicate in its description the expected level of effectiveness with respect to these teaching activities. The teaching evaluation methods shall be sufficiently comprehensive and systematic to provide a reliable measure of teaching throughout an academic unit. Academic unit evaluation methods shall include effective mechanisms for eliciting responses by students (including former students, if desired) to the teaching of individual faculty. New or revised teaching evaluation forms shall be reviewed by the FEC. (Note that the fairness of a given academic unit's teaching evaluation methods may be appealed to the Committee on Grievance; see above.)
11. Standards, established by each academic unit, to the extent possible, for measuring the teaching ability and performance of the faculty. NOTE: In developing guidelines and methods for teaching evaluation, consideration shall be given to the protection of the rights of both students and faculty. The descriptions, guidelines and requirements for teaching evaluations of each academic unit, and any revisions thereto, shall be based upon reasonable standards of fairness and objectivity, and shall be filed with the appropriate dean, and TPAC for approval. The Deans shall insure that promulgation thereof occurs within a reasonable time. So long as any academic unit does not have an approved method of teaching evaluation, it may not deny contract renewal, promotion, or tenure on the basis of an inadequate teaching record. Each academic unit shall review at least every five (5) years the effectiveness and reliability of their evaluation process and shall submit their findings to the appropriate dean for transmittal to TPAC. In the event the appropriate dean or TPAC concludes that the evaluation process is ineffective and unreliable, then the academic unit may be required to submit revisions and may be prohibited from denying contract renewal, promotion or tenure on the basis of an inadequate teaching record until such revised guidelines and requirements are approved.

F. Undergraduate Teaching Assistants

1. Evaluation and Grading Evaluation (and hence all grading), is the exclusive responsibility of appointed faculty members. Recommendations on evaluations and grades by undergraduate assistants may be appropriate, provided these recommendations are adequately reviewed and judged by the responsible faculty members. The faculty member should re-evaluate work appraised by undergraduate assistants if asked to do so by any student.
2. Teaching Responsibilities: The class hours required for any course should not be taught by undergraduate assistants. Supplementary classes, such as voluntary discussion sections or tutorial work, may be taught by undergraduate assistants who are directly supervised by the faculty member in charge of the course. Such supervision shall usually consist of frequent meetings with the undergraduate assistants to discuss pedagogical matters and/or occasional attendance at discussions led by undergraduate assistants. The direction of laboratory sessions, field trips and projects by undergraduate teaching assistants is permissible, provided such individuals do not bear primary responsibility for any formal instruction.

G. Recruitment Policies

1. These procedures are to be made known to all Brown students and all organizations which seek to recruit on campus.
2. Brown students have the freedom both to consult with recruiting organizations to seek employment interviews and also to express their views those organizations, providing they do so in legal ways that do not infringe upon the rights of others. However, since the purpose of informational sessions is to facilitate the provision of information to potential employees by the recruiter, and the rights of all persons at each session are to be protected, questions or statements from the audience that become lengthy, hectoring, or abusive can (and should) be ruled out of order and terminated.
3. Although information sessions are not required, those recruiting organizations which hold them should include a question/answer period. The Center for Careers and Life After Brown (CareerLAB) should continue announcing well in advance (at least two weeks) the scheduling of all proposed information meetings.
4. All members of the Brown community may, within the limits of the available seating, attend and be recognized to ask questions or make brief statements at information sessions. Conduct by all parties at such sessions should be courteous, non-harassing, and non-disruptive.
5. The normal procedures developed by CareerLAB will govern the place, time, and activities of these sessions. They should be moderated by a responsible member of the University, normally a representative of CareerLAB. In situations where only a small amount of time is available for the question/answer portion, precedence is to be given to questions, not to statements of opinion.
6. It is affirmed that the representative of any recruiting entity has the complete right to not answer any question, with or without stating a reason for that declination.

III. Pertaining to the University and Community

A. Status and Employment of Women at the University

The resolutions stated here are specifically concerned with women faculty, but it should be emphasized that parallel efforts to appoint members of minority groups are also essential.

1. As formal recognition of the importance of its role in the education of outstanding women, and in support of the aspirations and career goals of its women graduates, Brown University reaffirms the right of all women to realize their intellectual and professional potential in the practice of their chosen careers, without sacrifice of the responsibilities and rewards of marriage and motherhood. To these ends it will do its utmost to encourage the pursuit of career goals for women and the use of women's skills and training to the benefit of society at large.
2. In regard to the hiring and promotion of women faculty at Brown, the ultimate ideal is a situation in which these are done without regard to sex; in the meantime, because of nationwide discrimination, past and present, against women, affirmative steps are needed to achieve this ideal.
3. The University shall encourage the appointment of more women faculty. As openings occur at any level, every effort should be made by Departmental Chairs and the

Administration to attract qualified women, including members of minority groups, to Brown.

- a. Communications seeking candidates for faculty or other professional positions which may become open must include the explicit statement that Brown is seeking qualified candidates who are women.
 - b. When an appointment is proposed, the Chair of the department concerned shall explain in writing, to the Administration, what efforts have been made to recruit women. A report of these efforts shall be made to the Faculty by the Administration, by November 1 of each year.
 - c. The Administration shall seek funds for the hiring of outstanding women scholars for departmental and interdepartmental programs, and by the first of November of each year, make a report to the Faculty on efforts and progress in this area.
4. Women candidates for faculty positions shall be considered on their own merits, without regard for their marital status, and, in the case of married women, without regard for the position or financial circumstances of the husband. There is no official policy forbidding the employment of the spouse of a faculty member, either within the University or within the same department.
 5. Brown University reaffirms the importance of its policy that all women faculty, regardless of marital status, must be given fringe benefits equal to those of male faculty.
 6. The principle of paid maternity leave for women faculty members — at least six weeks with pay, and the option of the remainder of the semester without pay — is endorsed.

NOTE: On May 21, 1973, the Faculty passed the following motion: The Faculty, while recognizing that some progress has been made in bringing the percentage of women faculty back to its 1961 level, hereby reaffirms its commitment to increase substantially the percentage of women faculty at Brown.

B. Nondiscrimination Statement

The Faculty concurs with the Corporation Policy of Nondiscrimination in Programs and Activities and the Corporation Statement on Nondiscrimination:

1. Policy of Nondiscrimination in Programs and Activities

(As amended by the Corporation on May 25, 2002)

Brown University does not discriminate on the basis of sex, race, color, religion, age, disability, status as a veteran, national or ethnic origin, sexual orientation, gender identity or gender expression in the administration of its educational policies, admission policies, scholarship and loan programs, or other school-administered programs.

2. Corporation Statement on Nondiscrimination

(As amended by the Corporation on May 25, 2002)

Brown University does not discriminate against any person because of race, color, religion, age, national or ethnic origin, disability, status as a veteran, sexual orientation, gender identity, gender expression, or sex, except where sex is a bona fide occupational

qualification. The University will develop and from time to time update an affirmative action program and will insist on a good-faith effort on the part of its employees to comply with the program. The University will request and expect its agents and those with whom it conducts its affairs to meet the commitments of this important program.

Part 5 Corporation and Administration Policies

Section 12. University Regulations

I. Pertinent Corporation Rules relating to the Faculty

A. Conditions of Tenure and Faculty Reappointments

NOTE: The following is Part I of a statement on Tenure and Reappointments recommended by the Faculty to the Corporation on May 24, 1977 as a replacement for the statement of May 30, 1959, and subsequently amended (cf. pp. 33-34 of the September 1974 edition of the *Faculty Rules and Regulations*.)

On June 4, 1977, the Corporation voted “That Part I of the Statement on Tenure and Reappointments adopted by the Faculty at its meeting on May 24, 1977, be accepted and made the policy of the University.”

Part II, referring to the Tenure, Promotions, and Appointments Committee, is found in Section 2, VI.B, above.

For the purposes of this statement “faculty” refers only to those individuals who are primarily employed in teaching and/or research or who have tenure.

1. The awarding of tenure at Brown University determines permanent membership in the professorial faculty. It conveys both a status and a contingent right, the assurance of continuous academic employment until retirement.
2. A tenured appointment may not be terminated by the Corporation except for adequate cause and after the appointment holder has been accorded the rights of due process as prescribed in Section 11.I.B.
3. All Faculty appointments are either tenurable or untenurable. A tenurable appointment may not be changed to an untenurable appointment to circumvent the limitation on the probationary period as defined below.
4. Tenurable appointments are, by title, the Professorship, the Associate Professorship, and the Assistant Professorship, and these three only. (See exclusions in paragraph 7 below.) The Professorship and the Associate Professorship will normally be tenured. The Assistant Professorship will normally not be tenured.
5. Untenable Appointments
 - a. All appointments other than the three professorial appointments specified above are untenurable and, as such, they neither involve considerations of tenure nor are they subject to the limitation of the probationary period as defined below. They are appointments to perform specific tasks. Untenable appointments include, but are not limited to, those titled Instructor, Lecturer, Senior Lecturer, Distinguished Senior Lecturer, Research Associate; and those with the designation “Visiting,” Adjunct,” (Research), “Investigator,” “Senior Investigator,” “Associate,” “Professor of the Practice,” and those

appointments in the Division of Biology and Medicine and the School of Public Health with the title “Clinical.”

- b. Those appointments in the Division of Biology and Medicine with the designation of “Specialty” in a medical area, e.g., Professor of Pediatrics, are for a specific term and renewable. Such appointments do not carry tenure and are not subject to the probationary period as defined below, but individual faculty members of senior rank may be considered for a tenured faculty position with the joint concurrence of the University and of the hospital in which they are employed.
6. Untenured faculty members may serve no longer than eight years of full-time faculty service or its equivalent in tenurable ranks at Brown University. After eight years of full-time faculty service or its equivalent at Brown University, such appointments must either be tenured or the appointment in tenurable rank is terminated, except that extensions of up to two years may be granted by the Dean of the Faculty (or the Dean of Medicine and Biological Sciences or the Dean of Public Health) for care of a newborn child or a newly adopted young child, or for other extraordinary circumstances. An interruption of a term of service for a medical leave, in accordance with University policy, no matter what its length, shall not be counted as part of the probationary period.
7. Tenurable appointments which have been contracted for a specific term, may, when the term expires, either be terminated, or renewed without tenure, or changed to a tenured appointment. A first tenurable appointment may have a term no longer than four years.
8. Recommendations to renew or not to renew contracts and recommendations to award or not to award tenure are initiated by the appointee’s department, division, or program. In cases of negative recommendation, and, at the request of the appointee, he or she shall be given, in writing, the rationale of the decision made by the department, division, or program. If the appointee holds a joint appointment, such recommendations shall be made individually by the departments, divisions, and/or programs concerned. The recommendations may be reviewed by the Tenure, Promotions, and Appointments Committee. Only the Corporation can grant tenure.
9. Tenure considerations for faculty appointees who hold part-time appointments shall be in accordance with the “Resolution on Part-time Faculty Appointments” adopted by the Faculty on 21 May 1974. (See Section 10.I.C).
10. All recommendations must be prepared and sent forward and all reviews concluded early enough to enable the University to give notice to the appointee of the action it intends to take at least twelve months before the expiration of the term appointment, except that for persons whose term appointments at Brown University total four years or less, notice shall be given at least eight months before the appointment expires. Initial faculty appointments of a duration of one year or less, and “Visiting” appointments of whatever duration are to be considered as terminal appointments, not requiring additional notice from the University regarding possible reappointment.
11. An untenured faculty appointee has a right to the following:
 - a. A written statement of the department’s, program’s or division’s criteria for recommending renewal of an appointment or award of tenure and of the procedures prefatory to making such recommendations.

- b. A yearly professional evaluation by his or her Chair, together with an explanation of the department's, program's or division's needs so far as these may affect the appointee.
- c. A conscientious documentation by the department, program, or division of his or her professional career.
- d. A review of his or her case by the tenured members of the department, program, or division sufficiently before the dates of crucial decisions.
- e. A personal appearance before the tenured members of the department, program, or division during consideration of his or her case.
- f. A recommendation from the department, program, or division about his or her renewal or tenuring made ready by the proper date; an explanation of what that recommendation will be and to whom and when it will be sent.

The failure of a department, program, or division, or of the Tenure, Promotions, and Appointments Committee, or of the Administration to secure any or all of these rights to a candidate shall not be sufficient cause for renewing an appointment or for awarding tenure.

12. Instructors and other faculty members who held tenurable rank prior to July 1, 1977, may elect to be governed by the Corporation Rules on Tenure as adopted in 1959 and subsequently amended.

B. Procedures Governing Dismissal of a Member of the Faculty

1. The dismissal of a member of the faculty during either a term appointment or tenure is a rare event. When circumstances arise that might lead to such an action, they must be handled fairly and expeditiously. It is essential to have a process that protects both the rights of a member of the faculty and the University. These procedures outline the process by which a member of the faculty may be dismissed from a term or tenured appointment. Nothing herein shall limit the right of the Corporation to remove any member of the faculty for adequate cause.

The dismissal of a member of the faculty during either a term or tenure appointment arising from or related to the University Sexual and Gender-Based Harassment, Sexual Violence, Relationship and Interpersonal Violence and Stalking Policy is handled solely in accordance with the *Faculty Rules and Regulations* "Complaint Process Against Faculty Respondents Pursuant to the University Sexual and Gender-Based Harassment, Sexual Violence, Relationship and Interpersonal Violence and Stalking Policy," found at Part 4, Section 10.I.B.

2. Adequate cause for dismissal of an individual during either a term appointment or tenure refers to: demonstrated incompetence which substantially impairs the individual's fulfillment of institutional responsibilities; dishonesty in teaching, research, scholarship, or other academic responsibilities; substantial and manifest neglect of duty; personal conduct which substantially impairs the individual's fulfillment of institutional responsibilities; or illegal activities which have a substantial negative impact on the University's operations or obligations.

The responsibility for establishing cause for dismissal of a member of the faculty with tenure or a member of the faculty during a term appointment rests upon the University administration.

3. Basis for Action by the Dean:

If the appropriate dean independently determines that there is adequate cause to consider dismissal of a tenured member of the faculty or a member of the faculty during a term appointment, the Dean will provide notice in writing to the member of the faculty of the basis for consideration of dismissal.

Complaints against a member of the faculty should be reported in writing in a timely manner to the appropriate dean. Following receipt of the complaint, the Dean shall determine whether the complaint provides credible information which, if true, would warrant dismissal of a tenured member of the faculty or a non-tenured member of the faculty during a term of appointment. If the Dean makes such a determination, the Dean shall provide notice to the member of the faculty, in writing, identifying the allegations and the reasons why the allegations, if determined to be true, may subject the member of the faculty to dismissal. If the basis for the Dean's consideration is a complaint of conduct submitted by a third party to the Dean which, if determined to be true, could warrant dismissal of the member of the faculty, the Dean shall provide notice in writing to the member of the faculty of receipt of a complaint.

When the action is informed by a complaint, the notice to the member of the faculty shall also include the name of the person(s) filing the complaint. In very unusual circumstances, the Dean may choose not to include the name(s) of the complainant(s). If so, the Dean must provide the member of the faculty the reason(s) for not divulging the identity of the complainant. The member of the faculty shall be asked to meet with the Dean to respond to the allegations. The faculty member may have an advisor or legal counsel present, who may not participate in the proceedings. If the Dean determines that it is necessary or desirable and justifiable for others to attend the meeting based on the information to be presented to the member of the faculty, the Dean will inform the member of the faculty of all other attendees in advance of the meeting. If the matter can be resolved by agreement between the parties, the Dean shall take the appropriate action and inform the President and Provost of the agreement reached between the parties. Other officers of the faculty or the University shall be informed only as may be necessary to implement the agreement or by agreement of the parties.

If, after the Dean's review and/or investigation, he/she recommends the dismissal of the member of the faculty, the Dean shall so inform the member of the faculty, the chair of the faculty member's department, the President, the Provost, and the Chair of the Faculty Executive Committee or, in the case of a hospital-based member of the faculty, the Chair of the Medical Faculty Executive, as appropriate. The Faculty Executive Committee or the Medical Faculty Executive Committee, as appropriate, shall be responsible for appointing an Ad Hoc Hearing Committee (AHHC) of the faculty to conduct a hearing of the charges by the Dean. The member of the faculty has the right to request that the recommendation of the Dean not be reviewed by the

AHHC by providing such a request in writing to the Chair of the Faculty Executive Committee or of the Medical Faculty Executive Committee, as appropriate. If the faculty member so elects, the Dean's recommendation will be forwarded to the Provost for the Provost's recommendation to the President. If the member of the faculty chooses to have the recommendation reviewed by the AHHC, the procedures below will be followed.

4. The AHHC

The AHHC of the faculty shall consist of no less than three and no more than seven tenured members of the faculty, appointed by the Faculty Executive Committee or the Medical Faculty Executive Committee, as appropriate. Members of the AHHC shall have had no involvement with or relationship to the member of the faculty or the circumstances under review. A chair of the AHHC, who shall retain the right to vote, shall be elected from among the members of the Committee at their first meeting.

The AHHC shall not be bound by rules of legal evidence, and it may elect to admit any evidence that it deems of probative value in determining the issues, making every effort to consider any information which it deems to be both reliable and relevant in order to safeguard the rights of the faculty member to a fair hearing. All proceedings, deliberations, records and documents reviewed and generated by the AHHC, shall be maintained as confidentially as possible.

The Chair of the AHHC shall:

- i. confirm that the member of the faculty has received written notification and supportive information regarding the alleged conduct/misconduct from the Dean;
- ii. provide the member of the faculty with a copy of these procedures;
- iii. obtain from the Dean a written summary of the information/documents he or she intends to present and a provisional list of witnesses, if any, to be called;
- iv. obtain from the member of the faculty a written response and a provisional list of witnesses, if any, to be called;
- v. determine, in consideration of the evidence to be presented and the witnesses to be heard, the schedule and location of hearings and notify all parties promptly of them. Hearings shall be scheduled not less than twenty-one (21) days after the member of the faculty receives notice of the charges, unless an earlier date is agreed upon by all concerned.

5. The AHHC Hearing

During the hearings, the member of the faculty shall represent herself or himself, i.e. present information and/or documents on his/her behalf. Although only the member of the faculty may represent himself or herself, the member of the faculty may have the presence and assistance of another member of the faculty and/or, at his/her expense, legal counsel. Such person may assist the member of the faculty but may not present information or testimony in lieu of the member of the faculty's participation,

or participate directly in the proceedings. Similarly, the Dean may be accompanied by a member of the faculty or staff member to assist in the presentation of the Dean's case subject to the same constraints as pertain to the member of the faculty.

Persons assisting the member of the faculty or the Dean may not engage in any behavior which has a disruptive or deterrent effect on the hearing proceedings. The Chair shall have the authority to dismiss any such persons from the hearing.

The Dean shall make the first presentation to the Committee. The Dean may present information orally and/or through written materials. Following presentation by the Dean of the allegations and supporting information/documents, the member of the faculty shall have the opportunity to make a presentation to the Committee. The member of the faculty may present information orally and/or through written materials. If either party intends to include written materials in their presentation, these materials should be submitted to the Chair at least three working days in advance of the hearing. It shall be the responsibility of the Chair to provide a secure mechanism for the Committee members to review the written materials in advance of the hearing and make copies of the materials for review at the meeting. All materials presented to the Committee shall be collected at the conclusion of the meeting and secured to protect the confidentiality of the proceedings.

A party desiring to present witnesses to corroborate his/her statements may request that the Committee require the attendance of such witnesses. The party shall provide sufficient information for the Committee to determine how the witness's involvement in the hearing will be germane to the issues before the Committee. When the AHHC determines that the witness's statements are vital to fair consideration of the issues before it but the witness cannot or will not appear, the AHHC will attempt to obtain a statement from the witness.

All testimony must be directed to the Committee. Parties may ask questions of witnesses only through the Chair of the AHHC.

6. Report to the Provost

Upon completion of the hearings the AHHC shall prepare a written report expeditiously, based solely upon the evidence and argument (oral and written) presented in the hearings and available to the faculty member and the Dean. This report shall state the Committee's findings on each part of the charge, and may include recommendations. The report shall go for action and response to the Provost, with copies to the member of the faculty, the Dean, the Chair of the Faculty Executive Committee or of the Medical Faculty Executive Committee, as appropriate. Either the member of the faculty or the Dean may submit a written statement directly to the Provost for his or her consideration, within a period of time to be specified by the Provost (normally not exceeding 10 days).

The Provost shall review the recommendation of the Dean together with the report, findings and recommendations of the AHHC and following this review, if the Provost determines that the Dean's recommendation, in light of the findings of the AHHC, if pertinent, warrants dismissal of the member of the faculty during either a term appointment or tenure, he or she shall make a recommendation to that effect in

writing to the President along with a copy of the AHHC's report. The member of the faculty, the Dean, and the Chair of the Faculty Executive Committee or of the Medical Faculty Executive Committee, shall receive a copy of the Provost's recommendation to the President.

7. The President's Review

The President shall consider the recommendation of the Provost and the report of the AHHC. The President may grant to the member of the faculty under review an opportunity to discuss the recommendation with the President, in person.

If the President determines that the circumstances require a recommendation to the Corporation that the member of the faculty be dismissed during either a term appointment or tenure, the President shall so recommend in writing to the Corporation. The member of the faculty, the Dean, the Provost, the Chair of the AHHC, and the Chair of the Faculty Executive Committee or of the Medical Faculty Executive Committee, as appropriate, shall receive a copy of the President's recommendation to the Corporation.

8. Action by the Corporation

The Corporation has sole authority to dismiss a member of the faculty from a term appointment or tenure for adequate cause. Upon receipt of the recommendation of the President, the Corporation shall consider the report of the AHHC and the recommendations of the President and the Dean. The Corporation may also review such other information as it deems necessary to reach its decision.

The decision of the Corporation shall be final. The Corporation's decision shall be communicated to the President. The President shall notify the member of the faculty, the department chair, the Dean, the Provost, the chair of the AHHC, and the Chair of the Faculty Executive Committee or of the Medical Faculty Executive Committee, as appropriate, of the decision.

9. Suspension of Member of the Faculty Pending Decision

The President shall have the power to suspend a member of the faculty accused of any conduct which could warrant dismissal if there is a threat of immediate harm to the member or others or sustained harm to the University by his/her continued active employment during the intervening period. During the period of this suspension, the regular salary and benefits of the member of the faculty shall be continued.

C. Statement on Academic Freedom for Faculty and Students

NOTE: The Faculty voted on April 12, 1966, to recommend the following statement to the Corporation for adoption as the public policy of Brown University. On June 4, 1966, the Corporation approved the recommendation with the proviso as noted in the footnote.

1. Academic Freedom is essential to the function of education and to the pursuit of scholarship in universities.

2. Therefore, Brown University, mindful of its historic commitment to scholarship and to the free exchange of ideas, affirms that faculty members and students alike shall enjoy full freedom in their teaching, learning, and research.
3. Brown University also affirms that faculty members and students shall have the freedom of religious belief, of speech, of press, of association and assembly, of political activity inside and outside the University, the right to petition the authorities, public and University, to invite speakers of their choice to the campus²⁸, and that students and faculty members as such should not be required to take any oath not required of other citizens. The time, place, and manner of exercising these rights on the campus shall be subject to reasonable regulation only to prevent interference with the normal functions of the University.

D. Definition of Policies Concerning Sabbatic Leave of Members of the Faculty

Sabbatic leave is granted to members of the Faculty as recognition of notable service through teaching and scholarly contributions, and as an aid and inspiration to further achievements. Sabbatic leave is intended to provide teachers with opportunities for scholarly development and contacts which shall contribute to their professional effectiveness and to the value of their later services to Brown University. It is not intended that such leave shall be used primarily for the purposes of recreation and recuperation²⁹.

1. Eligibility and Opportunity for Sabbatic Leave

Sabbatic leave is granted only to tenured faculty and such officers of the University as the President may nominate and in consideration of the nature and period of service with such rank of Brown University. The candidate for leave shall have served at Brown for at least six years, but nothing herein contained shall limit the right of the Corporation to enter into a special agreement concerning the time of the first sabbatic leave of a member of the Faculty or officer brought from another institution or organization.

The opportunity for taking sabbatic leave at regular intervals is not absolutely guaranteed by the University and will be granted only when the condition of the department involved, and of the University in general, is such that the absence on leave will not seriously impair the interests of the University. It is understood that consideration will be given to the special conditions in small departments, even though special expense to the University be involved.

2. Periods of Leave, Compensation During Leave

Following six semesters in residence, a faculty member shall be eligible for a sabbatic leave of absence for one semester, and shall receive seventy-five percent of the usual semester salary during that time. The faculty member may choose instead to continue teaching for an additional six semesters, after which time the sabbatic leave may

²⁸ Reference to the rights of students to invite speakers to the campus refers to recognized student groups.

²⁹ Amended by the Advisory and Executive Committee of the Corporation, December 13, 1963, March 12, 1965, January 14, 1966, and November 13, 1970.

involve absence for an entire academic year (or for two semesters), during which period the professor or officer shall receive three-quarters of the academic year salary; or it may involve absence for only one semester, with full academic year salary. It is presumed that a member of the Faculty or an officer on sabbatic leave is not receiving compensation for services in another institution or organization.

3. Time and Requirements of Application for Leave

Application for leave shall be made in writing, and addressed to the Corporation not later than December 15th of the academic year preceding the one for which leave is requested. The applicant must have a well-considered plan for spending the leave in a manner clearly calculated to contribute to the best interests of the University. A detailed written statement of this plan, together with clear indications of its professional advantages, shall accompany the application.

4. Leave of Absence and Sabbatic Leave

Leave of absence, without pay, may be granted at any time. Such periods of leave will ordinarily not be counted as part of the consecutive years of service which are a prerequisite to sabbatic leave.

5. Required Report

Upon returning to the University after sabbatic leave, the professor shall write a detailed report of his or her activities during leave, and shall transmit the same to the President in a form suitable for publication. Less formal comments supplementary to this report will be welcomed.

6. Special Sabbatic Leaves of Absence

A program of special sabbatic leaves of absence was approved beginning July 1, 1966, for untenured faculty and, in special cases, the time used for such special sabbatic leaves not to count toward entitlement under the regular sabbatic program³⁰.

E. Policy on Retirement Benefits

The Corporation policy and information on retirement benefits for faculty is available on the web at:

<http://www.brown.edu/Administration/Provost/policies/srp2.html>

F. Conflict of Interest, Statement and Procedure (the Faculty)

The Corporation policies and information on Conflict of Interest applicable to all members of the Brown Community, and policies particularly applicable to officers of instruction and research, is available on the web at:

<http://www.brown.edu/Administration/Provost/policies/coi/policy>

³⁰ Voted by Advisory and Executive Committee of the Corporation, January 14, 1966.

G. Patent and Invention Policy

The Corporation of Brown University approved and adopted the Brown University Patent and Invention Policy and Copyright Policy on May 27, 2005, replacing the University Patent and Invention Policy approved and adopted May 30, 1981, and is available on the web at:

<http://research.brown.edu/pdf/newpatent%20policy.pdf>

II. Pertinent Administration Rules relating to the Faculty

A. Policies and Procedures Relating to Copyrights

1. Goal

The main objective of the copyright policy is to encourage the creation and generation of new knowledge and to secure its widest possible dissemination to the academic community and to society.

2. Applicability

This policy applies to all Brown University employees, faculty, staff, students, visitors and consultants, whether paid by the University or not, who create copyrightable materials under University auspices or using University facilities.

3. Ownership

It is the University's position that, as a general premise, ownership of copyrightable property which results from performance of one's University duties and activities will belong to the author or originator. This applies to books, art works, software, etc. However, under the following conditions ownership will be with the University:

- a. The property was produced under an externally-funded grant or contract made to the University that requires the University to own the copyright. To permit dissemination of research results, the University, to the extent permitted by the grant or contract, will assign its copyright covering articles about research to the author(s) so they, in turn, can comply with the requirements of professional journals or other publishers.
- b. The property was the result of an assigned University task or responsibility which was fully supported by the University, and for which a prior understanding exists between the authors and the University with respect to ownership.
- c. There is a prior written agreement between the author(s) and the University with respect to property rights. Such agreement will take precedence over other sections of this policy.

4. Other University Rights

When copyrighted material is developed in conjunction with a person's University activities, using University facilities and/or equipment, the University retains the right to use such materials for its own educational and research purposes even though it does not claim ownership of the materials under Section 3 above.

5. Disclosure

It is the responsibility of the originator(s) to make prompt disclosure of any copyrightable materials that may, under provisions of this policy, be owned by the University. The disclosure should be made to the head of the organizational unit to which the originator belongs, e.g., department chair. The head of the organizational unit will report disclosures to the Vice President for Research who will be responsible for coordinating reviews and recommending action in accordance with these policies. If there is no appropriate organizational unit, the disclosure will be made to the Vice President for Research.

6. Distribution of Net Income from University-Owned Copyrights

The University agrees to share with the originator(s) any net income received from commercialization or exploitation of University-owned copyrighted material. All expenses incurred by the University will be deducted from the gross income before any distribution of income will be made. The net proceeds will be shared with the originators according to formulae set out by the President upon the recommendation of the Provost, the Senior Vice President, and the Dean of Medicine and Biological Sciences, and the Dean of Public Health, with respect to units under their jurisdiction in accordance with accepted standards of fairness and equity for each area. Such recommendations will normally be made in such a manner that the income will be divided approximately equally between individuals involved on the one hand and the University (including the units involved) on the other hand. When the originator(s) is not part of a group where such arrangements have been established, sharing arrangements will be recommended by the Provost.

7. Related University Policies

There are two situations that may involve copyrights where other University policies apply:

- a. University facilities, equipment, and services are to be used to further the educational, research, and public service goals of the University and are not to be used for the personal, private financial gain of university personnel except under conditions agreed to, in advance, by the University. See University Administrative Procedure for Establishing Agreements with External Users for Use of Brown University Facilities.
- b. If outside consulting work is done by faculty or staff that is related to work they do for the University for which the University retains ownership of resulting copyrights, it is the responsibility of the faculty or staff member to see that such outside arrangements do not violate the University's Duality and Conflict of Interest Policies.

Both of these policies require prompt disclosure of the facts to the head of the appropriate organizational unit. The burden is on the originator(s) to provide timely disclosure.

8. Decision-Making Appeals Procedure

Responsibility for implementing this policy rests with the office of the Vice President for Research. Any disagreements or disputes arising out of the administration of this policy will be referred to the Provost. The Provost will set up an appropriate mechanism for adjudicating these claims and rendering a decision in the case in question. Further appeals may be made through the grievance procedure set up by the FEC.

NOTE: Memorandum from the Office of the Dean of Research; 1986.

B. Policy on and Procedures to be followed in Cases of Allegations of Dishonesty or Misconduct in Research

The community of Brown University condemns any form of dishonesty or misconduct in research and accepts responsibility for developing and maintaining the highest standards of intellectual integrity. A climate of intellectual honesty implies that all scholars have an obligation to conduct research in a manner reflecting these principles.

If it should appear that an incident of academic dishonesty may have occurred in this community, Brown University will act with dispatch and according to Federal regulations and will adhere to the following procedure³¹ with regard to any instances of alleged misconduct³² fraud, or unethical behavior arising out of the performance of scholarly research³³:

1. The matter should be reported immediately to the Vice President for Research who will be responsible for informing the chair of the department or division concerned.
2. The Vice President for Research will conduct a confidential internal inquiry sufficient to conclude whether there are reasonable grounds to believe the allegations may be true. The alleged offender shall in all cases be informed of the nature of the charges. At the discretion of the Vice President, the alleged offender shall also be informed of the source of the charges. During this inquiry, every reasonable effort will be made to maintain confidentiality and appropriate efforts shall be made to protect the rights and identities of all parties.
3. If the Vice President for Research finds that there are no reasonable grounds to believe the allegations may be true, or, if true, the Vice President judges there is no need for further actions, he or she will terminate the inquiry into the matter. Under both circumstances it will be left to the Vice President's discretion to make public that which is appropriate to conclude the matter. If dissatisfied, either party may appeal the Vice President's decision on the allegations and on public revelation to the standing Subcommittee on Misconduct in Research of the University Research Council.

³¹ This procedure will apply to all scholarly activities involving faculty, students and staff at Brown University. In case of plagiarism, cheating, and other forms of dishonesty by students in classes, the procedures for dealing with these forms of dishonesty are covered in the "Tenets of Community Behavior and Academic Code." If such cases also involve external funding, then the procedures described in this document ("Brown University Policy on and Procedures to be Followed in Cases of Allegations of Dishonesty or Misconduct in Research") will also apply. In the case of research performed under the auspices of principal investigators whose primary employment or employment contract is with the University-affiliated hospitals, the Dean of Medicine and Biological Sciences will fulfill the role of the Dean of Research, and the Appeal and Grievance Committee of the Biomedical Faculty Council will replace the Subcommittee on Misconduct in Research of the University Research Council.

³² The Federal Register of July 1, 1987 (Vol. 52, p. 24468) defines misconduct as meaning "(1) fabrication, falsification, plagiarism, or other serious deviation from accepted practices in proposing, carrying out, or reporting results from research; (2) material failure to comply with Federal requirements for protection of researchers, human subjects, or the public or for ensuring the welfare of laboratory animals; or (3) failure to meet other material legal requirements governing research.

³³ Those instances of alleged misconduct pertaining to the treatment of human subjects or laboratory animals, or to laboratory safety or biohazards, will be reviewed by the appropriate University committees according to their charges and established procedures.

4. If the Vice President finds that there are reasonable grounds to believe the allegations are true and the research is, or was, supported by an external agency, that agency will be immediately and confidentially notified, even if the inquiry has not been completed.
5. If the allegations are admitted to be true by the accused, then the Vice President shall make recommendations in the case to the President and will also notify any external agencies that may be involved. The Vice President at his or her discretion may consult with the standing Subcommittee on Misconduct in Research of the University Research Council.
6. If the Vice President finds that there are reasonable grounds to believe that the allegations may be true, but the accused does not admit to the allegations, then the Vice President shall ask the standing Subcommittee on Misconduct in Research of the University Research Council to prepare a detailed investigative report. In preparing its report, the Subcommittee will determine whether the allegations have been substantiated and will recommend possible sanctions. The Vice President will use the report as a basis for making recommendations to the President, whose decision is final. The Vice President will keep external agencies informed of the progress and results of the investigation.
7. None of the procedures described in this document are meant as a substitute for the Grievance Procedures contained in the *Faculty Rules and*, or those operated through the Personnel Office, the Dean of the College, the Dean of the Graduate School, the Dean of Student Life, the University Council on Student Affairs, or within the Division of Biology and Medicine. A person in the Brown Community is not barred from pursuing a complaint through any other appropriate grievance procedure while involved in an investigation of research dishonesty as prescribed in this document.

C. Statement on Faculty Responsibilities

The purpose of this statement is to describe the general principles that guide research, teaching, and service by faculty members and to identify specific responsibilities that are associated with these principles. More specific information may be found in the *Faculty Rules* and the Standards and Criteria of individual academic units. The *Handbook of Academic Administration* also contains additional information as well as a description of the procedures used by academic units to assure that these responsibilities are met. Faculty members are urged to consult these documents.

Brown University is a University-College in which scholarship and teaching are equally important obligations. An appointment to the regular faculty is based on the achievements and promise of an individual as both a scholar and a teacher, and carries the commitment to a career in which these activities are fully integrated. Faculty members are also expected to contribute significantly to the governance of the University. The final authority on these affairs of the University is the Corporation of Brown University, but the Corporation relies on the faculty to recommend the policies of teaching, research, and governance that define Brown as a University-College. The policies are implemented by the senior administration to serve the mutual benefit of students, the University, and the scholarly community.

Although faculty members are generally expected to be equally committed to research and teaching excellence, faculty members may, on occasion or in different intervals of their careers, devote considerably more time to one of these activities than the other. Chairs of

Departments and Directors of Institutes, Programs and Centers, in consultation with the appropriate dean,³⁴ are expected to establish the distribution of research, teaching, and service responsibilities for individual faculty members to maximize the effectiveness of the academic unit. Chairs and Directors are also expected to judge the degree to which the faculty members meet their responsibilities, and to make appropriate recommendations to their dean. These recommendations may reward faculty members who meet or exceed their responsibilities through reappointment, tenure, promotion, or merit salary increases. Alternatively, recommendations for faculty who flagrantly or frequently fail to meet their responsibilities may include the denial of reappointment, tenure, promotion, or a reduction of salary or, in extreme cases, suspension or dismissal. Unless exceptions are authorized by the senior administration, all members of the regular faculty are expected to abide by the principles and fulfill the responsibilities that are included in this statement.

Research

Tenurable members of the faculty³⁵ are expected to develop independent programs of research that have a major impact on their fields. This development is necessary in order to receive tenure. Tenured members of the faculty are expected to engage in significant research and publication throughout their active careers in accordance with departmental and disciplinary standards. In the event of significant changes in the environment for particular scholarly work, the faculty member's need to adjust should be taken into account in these departmental standards. Teaching loads at Brown are based on the assumption that an appreciable amount of time of each faculty member will be devoted to research. Faculty members are expected to be aware of and conduct their research in conformity with University policies and the policies of external granting agencies (where applicable) including those on conflict of interest, patent and copyright, misconduct in science, and safety.

Teaching

Faculty members are expected to strive for excellence in teaching and to participate fully in the teaching program at Brown during each semester of the academic year unless an exception (e.g., leave of absence) is granted by the Chair and the appropriate dean. Striving for excellence normally includes keeping current in one's field, revising course syllabi and teaching approaches as appropriate, and remaining engaged in the classroom. Departments and centers are responsible for defining and updating their teaching programs and it is the responsibility of Chairs and Directors to oversee the evaluation of teaching and maintain

³⁴ The Dean of Medicine and Biological Sciences and the Dean of Public Health are responsible for the administration of the Division of Biology and Medicine, and the School for Public Health, respectively. Although faculty members in the Division of Biology and Medicine and the School for Public Health are expected to abide by the principles in this document, specific responsibilities are determined by each Dean to fulfill the mission of the Division or School.

³⁵ Lecturers, Senior Lecturers, and Distinguished Senior Lecturers are regular nontenurable members of the faculty who are ordinarily not expected to engage in the type of research and scholarship that is expected of tenurable and tenured faculty members. They are, however, expected to teach, perform service, and be available, and should abide by the principles and meet the responsibilities that pertain to these activities. Visitors and regular adjunct faculty members are also expected to abide by the principles in this document and to meet appropriate responsibilities.

teaching quality within their units. The teaching program is defined by courses, including types of courses such as lectures, seminars, laboratories, and independent studies. Academic advising, including the direction of theses, is an integral part of the teaching program and is required of all faculty. Specific teaching assignments are set within each individual academic unit, but average teaching loads of academic units are determined in consultation with the appropriate dean.

Brown's philosophy is that students should have the opportunity to study with established as well as developing scholars. All faculty members are expected to teach students at all of the levels for which their academic units are responsible. Teaching assignments may be related to research interests since teaching and research excellence are interdependent, but faculty members are expected to teach beyond their fields of specialization as well. Moreover, all faculty members are expected to teach across the spectrum of courses during their careers at Brown. The balancing of teaching assignments is the responsibility of the Chairs or Directors of academic units.

There is a variety of specific responsibilities in the conduct of courses. Faculty members are expected to come prepared and hold class meetings that are consistent with the course proposal as approved by the College Curriculum Council or the Graduate Council. Any changes in the number of scheduled meetings or substantive changes in course content or pedagogy require a review by the appropriate Council. When faculty members must occasionally miss a class (e.g., to attend a professional meeting, due to illness, or to observe a religious event), they are expected to reschedule that class meeting or to arrange for an appropriate substitute. If a class must be cancelled because of under-enrollment, the faculty member is expected to make up this teaching obligation in the same or a subsequent semester in a fashion that meets the teaching needs of the academic unit. Teachers are expected to provide timely feedback to students on their coursework and be available to students during regular office hours or other appropriately arranged meeting times. Teachers are expected to make reasonable accommodations for students identified as having disabilities or students who wish to observe religious holidays. Hourly examinations should not be given to conflict with times in which students in the course have other classes unless such students are given the opportunity to take the exam during an unscheduled interval at a reasonable time for the students. Final examinations are to be given only during the interval scheduled by the Registrar. Final grades must be submitted by the dates that are provided by the Registrar, as specified in the *Faculty Rules*. Additional teaching guidelines are presented in the *Handbook of Academic Administration*.

Service

Service includes activities that contribute to the department, the University, and the profession. The faculty plays a central role in decisions about the courses and the curriculum, degrees, appointment, reappointment, tenure, and promotion as well as decisions about many other activities that affect the operation of the University. Faculty participation in professional activities affects significantly their own development as well as the reputation of the department and the University. All faculty members are expected to perform services that are appropriate to their seniority and the needs of the academic unit.

Availability

Members of the faculty are normally expected to be available for all University exercises during the academic year which is defined as beginning with Freshman orientation and ending with Commencement. Faculty members are expected to participate in departmental and University exercises, and Chairs or Directors should be advised when a faculty member must miss such an activity. Faculty members are expected to be available for advising and individual student conferences throughout the academic year by means of regularly scheduled weekly office hours or appointments or both unless prevented by professional conflicts. Faculty members are also expected to be readily available to their colleagues for the collegial conduct of University business.

Summary

Research, teaching, and service are all-important activities of regular members of the faculty, and the present document describes the principles and the specific responsibilities associated with each. Additional information may also be found in the *Faculty Rules* and the *Handbook of Academic Administration*. Questions about specific responsibilities should be directed to the Chair or Director of an individual faculty member's academic unit.

D. Statement of Faculty Responsibilities for Faculty in the Clinical Departments of the Medical School

The purpose of this statement is to describe the general principles that guide research, teaching, clinical care and service by Medical School faculty members and to identify specific responsibilities that are associated with these principles. *The Handbook of Academic Administration* and the Medical School Procedures Manual also contain additional information as well as a description of the procedures used by academic units to assure that these responsibilities are met. Faculty members are urged to consult these documents which are available from the department chair or the Office of Medical Faculty Affairs.

Brown University Medical School is part of a University-College in which scholarship, teaching, and clinical expertise are important obligations of faculty. An appointment to the full-time academic faculty is based on the achievements and promise of an individual as a scholar, a teacher, and a clinician, and carries the commitment to a career in which these activities are fully integrated. Faculty members also are expected to contribute to the governance of the University, the Medical School, the department and to the affiliated hospitals. The final authority on University affairs is the Corporation of Brown University, but the Corporation relies on the faculty to recommend the policies of teaching, research, and governance that define the Medical School and the University. The policies are implemented by the senior administration (President, Provost, and Deans) to serve the mutual benefit of the University, Medical School, and the scholarly community.

Although faculty members generally are expected to be equally committed to scholarship, including research, teaching, and clinical excellence, faculty members may, on occasion or in different intervals of their careers, devote considerably more time to one of these activities or to administration or clinical activity. Chairs of Departments and Directors of Institutes, Programs and Centers, in consultation with the Dean and Associate Deans of Medicine, are expected to establish the distribution of research, teaching, and clinical

responsibilities for individual faculty members to maximize the effectiveness of the academic unit. Chairs and Directors also are expected to judge the degree to which the faculty members meet their responsibilities, and to make recommendations to the Dean of Medicine. These recommendations may reward faculty members who meet or exceed their responsibilities through reappointment, promotion, salary increase or in some cases tenure. Alternatively, recommendations for faculty who flagrantly or frequently fail to meet their responsibilities may include the denial of reappointment, tenure promotion, or a reduction of salary or, in extreme cases, suspension or dismissal. Unless exceptions are authorized by the Dean of Medicine, all members of the regular faculty are expected to abide by the principles and fulfill the responsibilities that are included in this statement.

Scholarship

Medical faculty are expected to conduct or collaborate in research, and research scholar faculty are expected to develop independent programs of research that have a major impact on their fields. This research is a requirement for promotion to senior rank in the Research Scholar Track. Senior members of the faculty are expected to engage in significant research and publication throughout their active careers in accordance with departmental standards. In the event of significant changes in the support or resources for particular scholarly work, the faculty member's need to adjust should be taken into account in the application of these departmental standards. Research Scholar Track faculty are also expected to participate in teaching and clinical service activity within their department. Schedules of clinical service for faculty in the Research Scholar track should allow adequate time to meet the standards and criteria for advancement in that track. All faculty members are expected to be aware of and to conduct their research in conformity with University and hospital policies and the policies of external granting agencies (where applicable) including those on conflict of interest, patent and copyright, misconduct in science and safety.

Teaching

All Medical School faculty are expected to strive for excellence in teaching and to participate in the teaching program at Brown throughout the year unless an exception (e.g. leave of absence) is granted by the Chair and the Dean of Medicine. Faculty in the Teaching Scholar Track are expected to assume a major teaching role, as defined in the standards and criteria for this track. Schedules of clinical services for faculty in the Teaching Scholar Track should allow adequate time to meet the standards and criteria for advancement in that track. The teaching program is comprised of courses and clinical teaching, including types of courses such as lectures, seminars, laboratories, clinical clerkships, electives, and independent studies. Academic advising, including the direction of theses, is an integral part of the teaching program and is expected of all faculty. Specific teaching assignments are set within each individual academic unit, but average teaching loads of academic units are determined in consultation with the Dean of Medicine.

Clinical teaching of medical students and residents occurs continuously both in the hospital and in the community. Faculty in the Teaching and Research Scholar tracks, as well as faculty in the Clinical voluntary and Clinical full-time categories are expected to contribute to clinical teaching.

Brown's philosophy is that students should have the opportunity to study with established as well as developing scholars. All faculty members are expected to teach students at all levels for which their academic units are responsible. Teaching assignments may be related to research interests since teaching and research excellence are interdependent, but faculty members may be expected to teach beyond their fields of specialization as well. Moreover, all faculty members are expected to teach medical students, residents, clinical fellows and continuing medical education as assigned during their careers at Brown. The balancing of teaching assignments is the responsibility of the Chairs or Directors of academic units.

Faculty members are expected to conduct undergraduate or graduate courses in a manner consistent with the course proposal as approved by the College Curriculum Committee or the Graduate Council. The curriculum of the Medical School requires close oversight by the curriculum committee at the direction of the Dean of Medicine and Associate Dean of Medicine. Changes in scheduled meetings or changes in Medical School course content or pedagogy require approval by the Dean and may require a review by the Medical Curriculum Committee. When faculty members must occasionally miss a class (e.g. to attend a professional meeting, due to illness, or to observe a religious event), they are expected to reschedule that class meeting or to arrange for an appropriate substitute. Teachers are expected to make reasonable accommodations for students identified as having disabilities or students who wish to observe religious holidays. Examinations should not be given to conflict with times in which students in the class have other classes unless such students are given the opportunity to take the exam during an unscheduled interval at a reasonable time for the students. For campus courses, final examinations are to be given only during the interval scheduled by the Registrar. Final grades or written evaluations must be submitted by the dates that are provided by the Registrar or the Dean of Medicine. Additional teaching guidelines are presented in the *Handbook of Academic Administration*.

Service

Service includes activities that contribute to the department, the hospital unit, the University, the community, and the profession. The faculty plays a central role in decisions about the courses and the curriculum, degrees, appointment, reappointment, tenure and promotion as well as decisions about many other activities that affect the operation of the University. Professional activity through leadership in professional organizations may be credited towards scholarship if the activity is designed to set standards of patient care. Faculty participation in professional activities affects significantly their own development as well as the reputation of the department and the University. All faculty members are expected to perform services that are appropriate to their seniority and the needs of the academic unit.

Medical School faculty have considerable responsibility for patient care at the affiliated hospitals. Clinical responsibilities are assigned by the Chairs of Departments and by service chiefs and Division Directors. Clinical, teaching, and research activities are expected to be distributed in a manner which contributes to the total obligations of the department. Individual faculty must be assured of the opportunity to engage in teaching and research activity. Assurances of opportunities such as designated time commitments for teaching and/or research should be part of each faculty member's expected obligations, under the direction of the department chair.

Availability

Members of the faculty are normally expected to be available for all appropriate University exercises and faculty members are expected to participate in departmental and University exercises. Faculty members are expected to be available for advising and student supervision. Faculty members are also expected to be readily available to their colleagues for the collegial conduct of University business.

Summary

Research, teaching, clinical care and University service are all important activities of regular members of the faculty, and this document describes the principles and the specific responsibilities associated with each. Additional information may also be found in the *Handbook of Academic Administration* and the Medical School Policies and Procedures Manual. Affiliation Agreements with the hospital should contain information on the provisions for enforcement and grievances related to this statement of responsibilities. Questions about specific responsibilities should be directed to the Chair or Director of an individual faculty member's academic unit, or to the Dean of Medicine.

Part 6 Appendices

Section 13. Endnotes

I. Voting Status for Lecturers

A. Procedure

The Secretary of the Faculty shall each year inform the chair of each academic unit (department, program, and center) of

1. the criteria for voting status; and
2. request a determination for newly appointed lecturers with multiple University positions, and a re-determination for those continuing lecturers previously designated members of the non-voting faculty.

B. Criteria for Voting Status

The criteria for determining voting status are

1. a major portion of the lecturer's assigned duties is in the area of teaching; and
2. there is a reasonable expectation of continued service to Brown for at least six years.

C. Designation

The chair of the academic unit will determine in each case whether these criteria are met for newly appointed lecturers with multiple University positions and previously designated members of the non-voting faculty and will forward this determination to the Faculty Executive Committee.

II. Academic Divisions

NOTE: Departments, Centers, and Programs are divided into four sections for nominating purposes. Centers, Institutes, and Programs are indicated by an asterisk (*). Faculty members who are not part of a Department, Center, or Program, or whose appointment is in more than one section, may choose the section with which to be identified.

A. Humanities

Archaeology & the Ancient World, Joukowsky Institute for*

Biomedical Ethics*

Classics

Cogut Center for the Humanities*

Comparative Literature

Early Cultures*

East Asian Studies

Egyptology and Assyriology
English
French Studies
German Studies
Hispanic Studies
History of Art & Architecture
Italian Studies
Judaic Studies*
Languages, Center for the Study of*
Literary Arts
Medieval Studies*
Middle East and South Asian Studies*
Modern Culture & Media
Music
Philosophy
Portuguese & Brazilian Studies
Religious Studies
Renaissance & Early Modern Studies*
Slavic Studies
Theatre Arts and Performance Studies
Visual Art

B. Life and Medical Sciences

Artificial Organs, Biomaterials, & Cellular Technology
Behavioral and Preventive Medicine*
Behavioral and Social Sciences
Biochemistry
Biology*
Biomedical Engineering*
Biostatistics
Brain and Neural Systems*
Clinical Neurosciences
Cognitive, Linguistic and Psychological Sciences

Ecology and Evolutionary Biology
Epidemiology
Epidemiology & Environmental Health*
Evidence Synthesis in Health*
Family Medicine
Gerontology and Health Care Research*
Hassenfeld Child Health Innovation*
Health Equity Research*
Health Services, Policy and Practice
Human Development*
International Health*
Medicine, School of
Molecular & Biochemical Pharmacology
Molecular Biology, Cell Biology, and Biochemistry
Neuroscience
Obstetrics & Gynecology
Orthopedics
Pathology & Laboratory Medicine
Pediatrics
Public Health, School of
Psychiatry & Human Behavior
Radiation Medicine
Surgery
Translational Research*

C. Physical Sciences

Advanced Materials Research*
Applied Mathematics
Chemistry
Computation and Visualization*
Computer Science
Dynamical Systems*
Earth, Environmental, and Planetary Sciences

Engineering, School of
Fluid Mechanics, Turbulence and Computation*
Mathematics
Molecular and Nanoscale Innovation, Institute for*
Physics

D. Social Sciences

Africana Studies
Alcohol and Addiction Studies*
American Studies
Anthropology
Comparative Study of Development*
Economics
Education
Environment and Society*
Environmental Studies
Feinstein World Hunger Program*
Foreign Policy Development*
History
History of Mathematics
Latin American Studies*
Nicholas Brown Center for Public Humanities & Cultural Heritage*
Pembroke Center*
Political Science
Population Studies*
Race and Ethnicity in America*
Secondary Education*
Sheridan Center for Teaching & Learning*
Sociology
Taubman Center for American Politics & Policy*
Urban Studies*
Watson Institute for International and Public Affairs*

William R. Rhodes '57 Center for International Economics*

NOTE: The Index of Motions, which is intended to aid in keeping an historical record of the actions of the Faculty, can be found as a separate document posted on the Faculty Governance website [http://www.brown.edu/Faculty/Faculty_Governance/]. Copies of referred to items, in the form of minutes of Faculty Meetings & Forums, may be obtained from the Office of Faculty Governance. The index may be incomplete in some instances. It shall be revised as needed for future versions of the *Faculty Rules and Regulations*.

Index

- A, B, C/No Credit, 79
- A.B. degree, 59
- A.B. program, 62
- A.B. requirement, 65
- A.B./Sc.B. degree, 59
- A.P. credits, 60
- ABS, 80, 83
- Academic Advising, 126
- Academic Divisions, 151
- Academic Freedom, 103, 138
- Academic Performance Reports, 79
- Academic Priorities Committee, 19
- Academic Programs, 54
- academic standing, 60
- Academic Standing (CAS), 32
- Ad hoc Committees, 13
- Ad Hoc Hearing Committee, 135
- Adjunct, 103, 132
- Adjunct Committees, 13
- Administrative Advisory Boards, 14, 45, 51
- Advising, 61
- Agenda, 10
- Allegations of Dishonesty, 143
- Annual Reviews, 107
- APC, 19, 119
- appointment, 15, 37, 108, 110, 111, 129
- Associate, 50, 82, 132
- association and assembly, 103
- Auditing, 77
- Baccalaureate Degree, 58
- Bachelor of Arts, 58, 65
- Bachelor of Science, 58, 65
- Biology Curriculum Committee, 33
- Biomedical Faculty Council, 33, 90, 143
- Board of Fellows, 68
- Brown-Dartmouth School of Medicine, 71
- Campus Life Advisory Board, 49, 50
- Campus Planning Advisory Board, 46
- CAS, 65
- CCC, 29
- Centers, 110, 118
- Chair, 15, 31, 50, 51, 110, 111, 112, 113, 124, 145
- Class Lists, 77
- Classified research, 122
- Clinical, 8, 103, 133, 147
- Clinical part-time faculty, 103
- CMFA, 41, 105, 109
- College Advisory Board, 50
- College Curriculum Council, 29, 50
- Combined Five-Year Program Leading to a Baccalaureate Degree and a Master of Arts in Teaching, 66
- Commencement, 75, 76
- Commencement Speakers, 32
- Committee on Faculty Equity and Diversity (CFED), 22, 28
- Committees, 13
- Compensation During Leave, 139
- compensation for services, 140
- complaint, 107
- Concentration, 61
- Concentration Advisor, 62
- Conditions of Tenure and Faculty Reappointments, 132
- Conduct of Meetings, 10
- Conflict of Interest, 16, 140, 142
- Continuing Medical Education, 34
- Contract Renewal and Promotion, 108, 109
- Copyrights, 141, 142
 - Distribution of Net Income from University-Owned, 142
- Corporation, 22, 110, 132
- counsel, 136
- Course Performance Report, 79, 81
- Dean, 50, 51, 82, 83, 112, 113, 114, 118
- Dean of the College, 50, 51
- Dean of the Faculty, 111, 112, 113, 114
- Dean of the Graduate School, 50, 123

- Degrees with Distinction, 64
- Department, 66, 113
- Departmental Honors Committee, 64
- Departmental Undergraduate Groups, 62
- Director, 111, 113
- Dishonesty in Written Work, 85
- Dismissal, 134
- Diversity Advisory Board, 51
- Division of Biology and Medicine, 133
- Doctor of Medicine, 71
- Doctor of Philosophy, 69, 72
- Drafting motions, 11
- Emeritus professors, 8
- Enrollment without Academic Credit, 77
- Exams, 76
- Executive Session, 9, 11
- External Funding of Research, 122
- Faculty Executive Committee, 16
- Faculty Forums, 9, 12
- Faculty Governance, 9
- Faculty Hiring, 104
- Faculty Meeting, 10, 15, 60
- faculty member, 14, 38, 50, 51, 103, 108, 109, 110
- Faculty Membership, 8
- Faculty Responsibilities, 144, 147
- failing grades, 81
- FEC, 11, 13, 16, 109
- final examination, 76, 79, 80, 83, 126
- Final Examination Period, 75, 76
- Five-year Bachelor of Arts and Bachelor of Science Combined Degree Program, 65
- Gaston Medal, 32
- General Assembly, 33
- grade change, 80, 83
- Grades, 75, 76, 79, 80, 81, 82, 83
- Grading, 79, 81
- Graduate Council, 30, 68, 124
- Graduate Medical Education Committee, 34
- Graduate Representative, 122
- Graduate School, 83
- Graduate Student Council, 50
- Graduate Student Grievance Procedures, 122
- Grievance Mediation Subcommittee of the MFEC, 90
- Grievances, 90, 91, 107
- Group Independent Study Program (GISP), 56
- Hiring, 104
- hiring plan, 104
- Honorary Degrees, 24
- Honors, 61, 64, 82, 83
- Honors Program, 64
- Honors Thesis, 64
- Human Resources Advisory Board, 48
- Incompletes, 80
- independent concentration, 63, 65
- Information-Technology Advisory Board, 47
- Institutes, 118
- Instructor, 132
- interdepartmental programs, 63, 130
- Investigator, 132
- Invited Guests, 12
- Leave, 140
- Leave of Absence, 140
- Lecturer, 132
- liberal education, 61
- Library Advisory Board, 45
- M.D., 71
- M.D./Ph.D., 72
- M.D./Ph.D. Degree, 72**
- M.M.Sc, 71
- magna cum laude*, 65
- marital status, 130
- Master of Arts, 55, 68
- Master of Arts and Master of Science, 55, 68
- maternity leave, 130
- MD degree., 33
- Medical Curriculum Committee, 33
- Medical Faculty Bodies, 33
- Medical Faculty Executive Committee, 25
- Medical Student Grievance Procedures, 124

-
- Medical Student Senate, 50
 - Medical Students, 81
 - MFEC, 25, 90
 - minority group candidates, 105
 - minority groups, 129, 130
 - Minority reports, 11
 - Misconduct in Research, 143
 - Motion to Change the Type of Meeting, 11
 - Motion to Table, 11
 - Nondiscrimination Statement, 130
 - non-tenured faculty, 108
 - Non-Voting Members, 8
 - Office of Summer Studies, 55
 - Officers of the Faculty, 8
 - Order of Business, 10
 - Orientation, 75
 - Parliamentarian, 10
 - Part-time Faculty Appointments, 103
 - permanent record, 64, 77, 80, 81, 82
 - Ph.D., 71
 - Ph.D. Program in Special Graduate Study, 69
 - PLME, 33, 71
 - political activity, 103
 - President, 40, 50, 51
 - Presiding Officer, 10
 - press, 103
 - Prior notice, 11
 - privilege, 56, 77
 - procedural motions, 12
 - proctoring of examinations, 84
 - Professional Affairs of the Faculty, 86
 - Professor, 8, 133
 - Program, 55, 83
 - Program in Liberal Medical Education, 83
 - Programs, 110, 118, 130
 - Promotion, 104
 - Provost, 21
 - Public Health Faculty Appointments (PHFA), 43
 - Quorum, 10
 - Reading Period, 75, 76
 - Recall, 16
 - Recruitment Policies, 129
 - Registrar, 77, 79, 80, 81
 - Registration, 77, 79
 - Regular Meetings, 9
 - religious belief, 103
 - Reporters, 12
 - Reports of Standing, 79
 - Required Course Load, 77
 - Research, 51, 122, 132, 145
 - Research Advisory Board, 51
 - Research Associate, 132
 - residence, 60, 65, 112, 116
 - residency, 68
 - Resignations, 15, 118
 - Restricted Session, 9
 - Resumed Education Program, 54, 64
 - Retirement Benefits, 140
 - Review, 104
 - right to petition, 103
 - rights of due process, 132
 - Rules of Order, 10
 - S/NC, 65, 79, 81
 - Sabbatic Leave, 139, 140
 - Salaries, 107
 - Salary Complaints, 107
 - Salary Review, 107
 - Satisfactory/No Credit, 79, 82, 83
 - Sc.B. degree, 58
 - Sc.B. program, 62, 65
 - Sc.B. requirement, 65
 - Sc.M., 73
 - schedule, 136
 - scholarship, 103, 108, 110, 111, 112, 113, 114, 115
 - Secretary of the Faculty, 10
 - Senior Investigator, 132
 - Serious Warning, 60, 77
 - Special Examination, 80, 84

-
- Special Meetings, 9
 - Special Sabbatic Leaves of Absence, 140
 - Specialty, 133
 - speech, 103
 - Spring Recess, 75
 - Standing Committees, 13, 16
 - Subcommittees, 13
 - Substantive Motions, 11
 - summer courses, 55
 - Summer Program, 57, 70
 - Summer Session, 55, 76, 77, 78
 - Susan Colver Rosenberger Special Honor Medal, 17
 - suspension, 138
 - teaching, 103, 108, 110, 111, 112, 113, 114, 115
 - Teaching, 145
 - Teaching Evaluation, 126
 - teaching record, 113
 - Teaching Responsibilities, 128
 - tenure, 37, 89, 108, 110, 111, 112, 113, 114, 128, 132, 133
 - Tenure and Reappointments, 132
 - tenure committee, 111, 112, 113, 114
 - Tenure Procedures, 110
 - Tenure Review, 110
 - Tenure, Promotions, and Appointments Committee, 37, 88, 109, 110, 111, 112, 113, 114, 132
 - Terms of Office, 14
 - The Academic Calendar, 75
 - The Brown Medical School, 71, 73
 - The Graduate School, 68
 - TPAC, 37, 105, 109
 - transcript, 65, 79, 81, 83
 - Transfer credits, 65
 - Undergraduate Council of Students, 50, 51
 - Undergraduate Students
 - Grades, 79, 83
 - Undergraduate Teaching Assistants, 128
 - University Regulations, 132
 - University Resources Committee, 20
 - Untenable Appointments, 132
 - untentured faculty, 108, 110
 - untentured member, 110
 - URC, 15, 20
 - Vagabonding, 78
 - Vertebrate Animals, 78
 - Vice Chair, 50, 51
 - Visiting, 81, 103, 132
 - Voting Members, 8
 - Voting Members of the Faculty, 8
 - voting rights, 8
 - Voting Status for Lecturers, 151
 - Warning, 60, 77
 - withdraws, 80, 82
 - Women, 130
 - Status and Employment of, 129
 - Writing Requirement, 60
 - Written Work, 83