

Part 1. Membership, Meetings, & Committees

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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 the College; the Dean of the Graduate School and the Dean of Research; the University Librarian; and faculty members with the titles Professor, Professor of (Specialty); Associate Professor of (Specialty); Assistant Professor of (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; the Associate Deans of the Faculty, the College, Medicine and Biological Sciences, Student Life, Research, the Graduate School; the Dean of Student Life; the Dean of Summer Studies; Professors and Associate Professors Emeriti; the Registrar; the Assistant University Librarians; the Librarian of the John Carter Brown Library; the Chaplain of the University; the Associate Chaplains; the Director of Athletics; the Assistants to the President; the Editor of the Brown Alumni Monthly; the Head of the News Bureau; the Associate Director of University Relations; the Director of Admission and Director of Financial Aid; 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.

II. Officers of the Faculty

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

III. Faculty Governance

The Office of Faculty Governance shall assist the Faculty Executive Committee 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 Faculty Executive Committee, 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.

X. **Special Meetings**

Special Meetings may be called by the President, or, in his or her absence, by the Provost, or by the Faculty Executive Committee. A Special Meeting, which is also a Restricted Session, is held annually at 11:00 a.m. on the Friday before Commencement for recommending degrees and honors at Commencement.

The Faculty Executive Committee shall call a Special Meeting of the 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 Faculty Executive Committee. 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.

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 Faculty Executive Committee. The

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

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 Faculty Executive Committee 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 by the President; (3) report and recommendations by the Faculty Executive Committee; (4) unfinished business; (5) reports and recommendations of committees; and (6) 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 Faculty Executive Committee 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 Faculty Executive Committee 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. 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.

12. Invited Guests

In advance of a meeting a member of the Faculty may propose to the Faculty Executive Committee 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 Faculty Executive Committee, 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.

13. 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.

²See 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 or appoints members (Section 2). These are of two main types: those created by the Faculty, and those created by either the President or the Corporation. A third type (see Section 3. Other Committees) 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 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.

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, the Committee on Nominations, and the Advisory Committee on University Planning, 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 Council, 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 ACUP 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.C.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 or longer, 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 unless a committee requests otherwise. When not replaced, a member shall return after a sabbatical or leave to complete his or her term of office³.

³The 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.

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*.

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 Faculty Executive Committee, 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. It shall investigate matters that are of concern to the Faculty, and report, make recommendations, and suggest priorities to the Faculty.
- b. It shall 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 to make recommendations regarding the issue.
- c. It shall serve in an advisory role to the President and to the Faculty on matters

relating to tenure, and shall advise on individual exceptions to the tenure rules. A recommendation to grant tenure to an individual is not within the province of the FEC, except in cases where a difference of opinion has arisen as to interpretation of the rules or the terms of an appointment. (See Section 10,I,A.)

- d. It shall supervise and coordinate the operations of all Faculty Committees and advise them on how to make their operations efficient and effective. For this purpose, the FEC or its liaisons shall, if possible, have a meeting with Chairs of all major faculty committees at least once a semester to discuss agendas, to receive interim reports and to evaluate future projects. Every member of a faculty committee shall have the right to communicate with the FEC concerning the business of the committee on which he or she serves.
- e. It shall receive and discuss the annual reports of committees and shall forward them as part of the agenda of a faculty meeting to all members of the Faculty.
- f. In order to be fully informed about matters of general Faculty interest, the FEC shall solicit pertinent information from the Chairs of, or the members serving on, University wide committees, other than Faculty Committees.
- g. It shall be authorized to call Special Faculty Meetings and Faculty Forums.
- h. It shall set the Agenda for Faculty Meetings after consultation with the President, the Secretary of the Faculty and other interested parties; and it shall review early in the year plans for Agendas for Faculty meetings for the rest of the year.
- i. It shall 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.
- j. It shall consult on a regular basis with the President and, whenever necessary or desirable, with other Officers of the Administration.
- k. It shall consult on a regular basis with student groups.
- l. It shall consult on a regular basis with the Corporation.
- m. In the event that no regular Faculty Committee is able to investigate and make recommendations on a particular subject, the FEC shall, on behalf of the Faculty, have the authority to establish an *ad hoc* faculty committee for that purpose. In selecting faculty members to serve on such committees, the FEC shall request and act on the advice of the Committee on Nominations. The FEC shall keep the Faculty informed of the establishment of such committees. An *ad hoc* committee so established shall have the same status as a regular Faculty *ad hoc* committee; it shall be accountable to the Faculty and shall present its reports and recommendations to the Faculty.
- n. It shall not charge its subcommittees with substantive matters that ought ordinarily to be referred to a Regular or *Ad hoc* Faculty Committee.
- o. It shall report by mail to the Faculty on a regular basis.
- p. Every faculty member shall have access to the Faculty Executive Committee for purposes of voicing his or her concerns regarding general matters relating to faculty business.
- q. It shall be designated as the Faculty's agent to resolve or recommend resolution of grievances in accordance with the Grievance Procedures outlined in Section 10,I,A, below.
- r. It shall be authorized to accept or reject new or revised departmental teaching evaluations. (See Section 10,II,E.)

- s. It shall periodically review faculty governing structures to ascertain their efficiency and efficacy in carrying out faculty objectives and shall report its findings and recommendations to the Faculty.
- X. 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 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.

2. Membership

There shall be nine faculty members: three officers; Chair, Vice Chair, and Past Chair; and six others.

- 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 and 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 mail 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 or full-time 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 Secretary of the Faculty will send a mail ballot to all voting members of the Faculty. 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 mail ballot will be held to decide the winner.

5. Resignations

a. Officers of the Faculty Executive Committee

- i. Chair – If the Chair is unable to continue in office, he or she shall be replaced by the Vice Chair, who shall hold office for the unexpired term of the resigned Chair and for the year that he or she would in the normal course of events be Chair.
- ii. Vice Chair – To replace a Vice Chair who has taken the office of a resigned Chair, an election shall be held; the elected person shall hold the office of Vice Chair for the unexpired term of the Vice Chair being replaced and for the following year. To replace a Vice Chair who resigns, an election shall be held.
- iii. Past Chair – In the event of a vacancy in the office of Past Chair, the FEC shall select one of its third year members to be Past Chair. The Committee on Nominations shall then fill the vacancy in the FEC created by one of its members becoming Past Chair in accordance with the rule for filling vacancies in the FEC.

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.

6. Resolution:

That the Past Chair of the Faculty/FEC participate as a non-voting member at the meetings of the Academic Council.

B. Committee on Nominations

1. Charge

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

- a. The Committee on Nominations shall not nominate its members to other committees.
- b. 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. No department shall be represented by more than one of its members at any given time.

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 group the candidates into as many categories as there are vacancies, in such a fashion as to insure reasonable balance and wide representation among the four groups listed in Section 12,II. All of the nominees from any given department shall be grouped in the same category, and each category shall contain nominees from at least two departments. The Secretary of the Faculty will send a mail ballot to all voting members of the Faculty. The nominee within each category receiving a plurality will be elected. In the event of a tie vote, a run-off election by mail ballot will be held to decide the winner. 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. If there are more than two vacancies to be filled, a special election to fill them shall be held as soon as possible.

C. *Advisory Committee on University Planning (ACUP)*

1. **Charge**

- a. The Committee shall serve to review, to analyze, to articulate, and to explain budgetary plans, policies, 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 which will encourage the development of informed opinions and the articulation and discussion of issues.
- c. The Committee shall review, analyze and make recommendations for the allocation of University resources for the coming fiscal year and for long-range plans developed by this Committee or by other duly constituted University committees.
- d. In order to discharge its responsibilities, the Committee shall establish such *ad hoc* study groups and adjunct or subcommittees as are needed, and shall staff these committees in accordance with the *Faculty Rules*, and by requesting the appointment of appropriate administrators by the President.
- e. The Committee shall solicit policy recommendations from other University committees, as well as request information regarding plans and policy changes under their consideration.
- f. In carrying out its charge the Committee will, at times, have to deal with data and proposals of a sensitive nature. At such times the deliberation of the Committee will remain confidential.
- g. 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. The Committee shall at the same time make those reports available to Faculty and students.

2. **Membership**

There shall be six faculty members; six administrators as ex-officio members, and six students. The administrators include the Provost; Senior Vice President; the Dean of the Faculty; the Dean of the Graduate School; the Dean of the College, and the Dean of Medicine and Biological Sciences. The student members shall include four from The College, one from the Graduate School, and one from the School of Medicine.

The Chair and Vice Chair shall be elected, one from among the members elected by the faculty and the other one from among the senior administration members, annually at the last regular meeting of the Committee prior to the expiration of the term of office of the incumbent officers.

3. **Term of Office**

The student members shall each serve two-year terms.

Terms of office shall normally begin on January 15 following the election held in the preceding fall.

4. Method of Election

- a. Faculty. On or about November 15, the Secretary of the Faculty will send a mail ballot to all voting members of the Faculty.
 - i. The ballot will be prepared by the Committee on Nominations. In its deliberations, the Committee on Nominations will consult with the FEC or its representatives. Candidates shall be grouped into as many categories as there are vacancies, in such a fashion as to insure a reasonable balance of academic interests and rank. There will be at least two candidates for each position.
 - ii. Two faculty members shall be elected annually, for terms of three years.
 - iii. 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.
 - iv. The nominee within each category receiving a plurality will be elected. In the event of a tie vote, a run-off election by mail ballot will be held to determine the winner.
 - v. In the event of a vacancy on the Advisory Committee on University Planning, the Committee on Nominations shall make an interim appointment subject to the review of the Faculty at the next Faculty Meeting. Such interim appointments shall last only until the next election.
 - vi. 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.
- b. Undergraduate Students. On or about November 15, the Undergraduate Council of Students shall hold a ballot election available to all full-time undergraduate students.
 - i. The ballot will be prepared by the Undergraduate Council of Students. The number of candidates shall be at least twice the number of open positions.
 - ii. The two positions shall be designated for candidates available to serve a two-year term.
 - iii. The two nominees receiving the greatest number of votes will be elected. In the event of a tie, a run-off election by ballot will be held to determine the winner.
 - iv. Students elected to the Committee may not concurrently serve as members of the Undergraduate Council of Students.
 - v. In the event of a vacancy, the remainder of the vacant term shall be filled by means of a ballot, prepared in the manner provided above. A vacancy which occurs within the final semester of the member's term of office shall not be filled.
- c. Graduate Students. On or about November 15 of the year in which a vacancy occurs, the Graduate Student Council shall hold a ballot election available to all full time graduate students.
 - i. The ballot will be prepared by the Graduate Student Council. It shall contain the names of at least two full time graduate students, each of whom shall have completed not less than two semesters of graduate work at Brown.
 - ii. The candidate receiving a plurality will be elected. In the event of a tie vote, a run-off election by ballot will be held to determine the winner.
 - iii. Students elected to the Committee may not concurrently serve as members of the

Graduate Student Council.

- iv. In the event of a vacancy, a special election shall be held, in the manner prescribed above. The graduate student so elected shall serve until the second meeting following January 15.
- d. Medical Students. On or about November 15 of the year in which a vacancy occurs, the Medical Student Council shall hold a ballot election available to all full time students in the School of Medicine.
 - i. The ballot will be prepared by the Medical Student Council. It shall contain the names of at least two full time students in the School of Medicine each of whom shall have completed not less than two semesters in the School of Medicine at Brown.
 - ii. The candidate receiving a plurality will be elected. In the event of a tie vote, a run-off election by ballot will be held to determine the winner.
 - iii. Students elected to the Committee may not concurrently serve as members of the Medical Student Council.
 - iv. In the event of a vacancy, a special election shall be held, in the manner prescribed above. The Medical student so elected shall serve until the second meeting following January 15.

D. Academic Standing (CAS)

1. Charge

The Committee shall be responsible for actions concerning undergraduate academic status (including warning, serious warning, and dismissal); 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, *ex-officio* members. The administrators shall include the Dean of the College, the Registrar of the University, and two Associate Deans of the College, one of whom will be designated by the Dean of the College to act as Chair.

E. Admission and Financial Aid (CAFA)

1. Charge

- a. To develop a statement of policy with regard to the admission of students to Brown University. Such a statement will require the cooperation of the Admission Office and other administrative functions at Brown University in a study of past procedures and priorities, and should involve a correlative review of past applications and their disposition.
- b. To recommend to the President policies, priorities, and processes for determining the selection of entering students and the awarding of financial aid, and to report its recommendations to the Faculty and to the Undergraduate Council of Students.
- c. To assist the appropriate administrative officers in developing and maintaining mechanisms for the implementation of these policies.

2. Membership

There shall be eight faculty members; four undergraduate students; and four administrators, non-voting ex-officio members, including the Provost, the Dean of the College, and the Director of Admission and Director of Financial Aid.

3. Organization

- a. The Committee shall have as its officers a Chair, Vice Chair, and Secretary. The Executive Committee shall consist of the three officers and an undergraduate student. The Executive Committee shall set the agenda for the meetings of the Committee.
- b. The faculty members of the Executive Committee of CAFA shall be ex-officio members of the Board of Admission and take part in the determination of offers of admission to Brown University.
- c. The Chair of CAFA shall consult regularly with the President and Director of Admission and Director of Financial Aid so that they may be kept fully informed on policies, priorities, and processes pertinent to admission and to the awarding of financial aid.

F. Affirmative Action Monitoring Committee (AMC)

There shall be an Affirmative Action Monitoring Committee (AMC) to (1) monitor the University's efforts to promote and protect affirmative action on behalf of the hiring, promotion, and retention of women and underrepresented minority faculty⁴ who are employed by Brown University, and (2) identify and recommend possible solutions to on-going problems. The AMC may establish such subcommittees as it may see fit to focus on the recruitment, hiring, reappointment and promotion of minority, or of women, faculty.

1. Charge

- a. The AMC shall receive hiring plans and shall review all new appointments of faculty to regular ranks (Instructor, Lecturer, Senior Lecturer, Assistant Professor, Associate Professor and Professor), except for non-tenurable positions within the School of Medicine.
- b. The AMC may review the search process for faculty hirings, including hiring plans at a stage early enough in the process that potential problems can be brought to the attention of the appropriate administrative authorities, and any proposed exceptions to the regular processes for making appointments or promotions (e.g., an exception to the requirement for a search), to assure that these are justified on the basis of exceptional circumstances, or are indeed aimed to further affirmative action goals in a specific area. The AMC must review all outside appointments, and any cases where a woman or a member of a minority group is denied reappointment or promotion, and may, if they deem appropriate, take action as provided below (see Operations).
- c. The normal order of events is that all promotions and appointments are reviewed by the Affirmative Action/Equal Opportunity Office before they go to the Dean of the Faculty for decision (in the case of junior appointments) or to CONFRAT and on to the Provost (in the case of reappointments, promotions or new appointments carrying tenure), and are reviewed by the AMC afterwards. In accord with the Purpose section above, and in cooperation with the Affirmative Action/Equal Employment Opportunity Office, the AMC will periodically review the faculty

⁴Minorities as used in this document refer to groups of underrepresented minorities as defined by the Federal Government.

make-up of all departments and programs in order to ascertain any unexplained deviations from national patterns of Ph.D. availability and hiring.

- d. The AMC shall report every other year to the President and the faculty. It shall compare the current composition, by gender and racial minority identification, of the Brown faculty with four sets of data, to the extent such are available: (1) the composition of Brown's faculty in past years; (2) the composition of the faculty at peer institutions, as exemplified by members of the American Association of Universities; (3) the pools of women and minority faculty available nationally in the various disciplines at various professional levels; and (4) the pools of underrepresented minorities in the United States population, as reported by the Federal Government. The data collection shall be the responsibility of the Affirmative Action Office.
- e. The AMC shall concern itself with two kinds of issues: (1) that there be fairness in the recruitment, hiring and retention of faculty already in the national availability pools by rank and discipline, and (2) that there be "pool enhancement." This latter concern means both actively seeking out qualified candidates and persuading them to consider coming to Brown, and also recommending policies and programs which will, either immediately or in the long run, lead to increasing the number of qualified applicants in the various disciplines.
- f. If the AMC finds that there are particular departments or programs which are short of representation of women and/or minorities, compared to the expectations derived from the availability of such faculty nationally, the AMC shall meet with such departments or programs to discuss what efforts have been and could be made to recruit and retain women and minorities. The Department or Program shall put forward a specific plan of action for hiring and/or promotion of members of underrepresented groups. The AMC and the Department or Program may choose to invite additional faculty and/or administrators to participate in the discussion. The AMC shall report to the President and faculty their assessment and recommendations, including such incentives and disincentives as may encourage affirmative action. The AMC shall also perform such functions as are listed above in Section 2. Operations.

2. Membership

The AMC shall be composed of eleven faculty, seven regular and four alternate members. For the seven regular members, the election process will be through slates drawn up by the Committee on Nominations, with no fewer than two candidates for each position, and the election is to be by plurality of those voting by a mail ballot of the voting faculty. The four alternate members will be selected by the Nominations Committee and voted on by the faculty. All members of the AMC must be either tenured members of the Faculty or faculty from non-campus based departments who are not in tenure-track positions but who hold the rank of associate professor or professor, and have at least seven years of prior service as faculty at Brown University. Faculty members whose academic title is preceded by the adjective clinical or followed by (Research) are not eligible to fill these positions. At least two AMC members shall be female and at least two members shall be minority. An individual committee member may not be counted in both categories. The candidates (and hence the members) shall be chosen to provide representation of the breadth of the academic interests of the faculty as a whole. The Affirmative Action Officer serves as ex-officio non-voting member of the Committee.

3. Operations

- a. The AMC shall review appointments and promotions as provided below according to the following procedures. Recommendations are made by academic units (Departments, Divisions, Centers, Programs, or a group of faculty in the case of a University-wide appointment) to the Dean of the Faculty or the Dean of Medicine and Biological Sciences. Those involving reappointment, promotion, or outside appointments with tenure are reviewed by the Committee on Faculty Reappointments and Tenure (CONFRAT), and then by the Provost and the President. Junior appointments are approved by the Dean of the Faculty or the Dean of Medicine and Biological Sciences and by the Provost. Any outside appointment, and any case where a woman or a member of a minority group is denied reappointment, tenure, or promotion, by CONFRAT or subsequently by the Provost or the President, shall go on to the AMC for review. In addition, any search which has been terminated without hiring a candidate shall be reviewed by the AMC.
- b. If the AMC has no objection to an action, the action can go forward immediately.
- c. If the AMC has objections to an action proposed, and/or proposes an alternative, these objections and the recommendation(s) of the AMC shall be communicated to the Provost within 48 hours, together with the reason(s) for the objections and recommendation(s). The President will be informed at the same time. The following procedure would then be followed:

Discussion of the AMC with the academic unit(s), and/or other individuals involved such as the Dean(s), the Provost and/or the Dean of Medicine and Biological Sciences shall take place, to see if an agreement can be reached on the course of action. As a result of such a communication:

- i) *The AMC and the Provost agree on a course of action, and the President may approve and the agreed-upon course of action could follow, or*
 - ii) *If there is not agreement between the AMC and the Provost or the Dean of Medicine and Biological Sciences, with the differences remaining unresolved, the action proposed, the written objections, the AMC recommendation(s) and the department's and the Dean's/Provost's written comments/response shall be given for review and final decision to the President.*
 - iii) *The President's final decision will be explained and transmitted in writing to the Department, the Deans and Provost, and the AMC. If the President rejects the recommendation of the AMC, both his or her position and the nature of the AMC's disagreement will be sent with dispatch and with full regard to confidentiality, to the FEC. If the FEC determines that the disagreement is of importance to the Faculty, they shall report (with full regard to confidentiality) on the matter at the next regular faculty meeting, calling an executive session if necessary, instead of waiting for the AMC's regular report to the Faculty (see below). The Corporation (the Advisory and Executive Committee) will be informed of the fact of a difference in view at its next meeting (if no action by them is required), or at the time of the President's request for their approval of action on the item on which the AMC had a view differing from that held by the Provost or the Dean of Medicine and Biological Sciences.*
- d. Besides its responsibility to notify the Provost of disagreements within 48 hours (see above), the AMC will review any case in which a woman or a member of a minority

group is denied⁵ promotion or contract renewal, or is subject to an early involuntary termination of contract. If the AMC determines that the result of a hiring, promotion or salary decision (see section below on salaries) may have been affected by inappropriate procedures or by discrimination, it will, with the permission of the individual involved, bring this to the attention of the Affirmative Action Officer, the Dean of the Faculty, the Dean of Medicine and Biological Sciences [for faculty in the Division of Medicine and Biological Sciences or in the School of Medicine employed by the University], the Provost, and the President, for any action they may deem appropriate. If the matter is not resolved, the AMC will so inform the individual in question, so that he or she may decide whether to pursue a grievance.

The AMC will not hear such grievance cases itself. Should the faculty member, upon receipt of information from the AMC, decide to pursue a grievance, the FEC will proceed as provided in the Faculty Grievance Procedure, but may do so without the requirement of a finding of a prima facie case as provided in the Faculty Grievance Procedure, paragraph 2d. The FEC shall ensure that at least two members of the *Ad hoc* Hearing Committee (AHC) have experience and/or expertise in matters of discrimination. A challenge for cause may be addressed to the AHC as a whole on the grounds that this criterion has not been met; in such a case, the challenge will be heard on its merits by the FEC rather than by the AHC.

The Process will follow the same guidelines as above, i.e., their findings and recommendations would go to the Provost or Dean of Medicine and Biological Sciences, and 2. c. (i), (ii), or (iii) would ensue.

- e. If a faculty member of a given academic unit, or a member of the AMC claims that an academic unit's evaluation methods are not sufficiently comprehensive and systematic to provide a reliable measure of teaching throughout the academic unit and if the AMC so finds, the AMC shall propose such adjustments to the evaluation methods with respect to the claim as will remedy and prevent discrimination as to sex or race. Such changes shall be recommended to the FEC and to the Dean of the Faculty for their approval.
- f. The AMC shall make a written report to the Faculty on an annual basis, reviewing the progress in affirmative action during the previous year. This report shall be submitted separately to the President and to the Corporation Committee to Consult with the Faculty.

G. Awards and Benefits

1. Charge

- a. To review all benefit policies and programs in which Faculty participate.
- b. To engage in continuing study of new programs or forms of financial support for Faculty.
- c. To determine in consultation with the Administration the criteria by which programs of financial support for Faculty shall be administered.
- d. To administer certain award programs, including but not limited to the Faculty Travel Fund and the Program of Summer Stipends. In carrying out this responsibility, the Committee may establish *ad hoc* advisory committees, with members drawn both from the Committee and from the Faculty at large.
- e. To make recommendations as desired on existing or new programs involving

⁵As defined in earlier footnotes

awards or benefits.

2. Membership

There shall be six faculty members; the Dean of the Faculty, and the Senior Vice President, ex-officio members.

H. 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 President who shall also fix the term of office.

I. Faculty Advisory Committee on Computers (FACC)

1. Charge

The Faculty Advisory Committee on Computers shall:

- a. Consult with other bodies on campus with regard to their computing plans and needs.
- b. Advise Computing and Information Services (CIS) on services which are needed, inadequate, or desired.
- c. Allocate funds for faculty and public computing equipment, within a budget made available by the Vice President for CIS.
- d. Recommend the hardware and software that should be centrally supported in order to best meet the academic needs of the Brown community.
- e. Develop and recommend policies consistent with the goals and objectives of the University for
 - i) the proper use of computing resources by faculty, staff, and students;
 - ii) the enhancement of the faculty and student academic environment through the effective use of computing and communication technology;
 - iii) appropriate computing support of faculty research;
 - iv) governing the nature and purpose of contracts between the University and computing corporations.

The Committee should report to the Faculty annually, or more often if needed, and shall make recommendations to the Faculty as appropriate.

2. Membership

There shall be eight faculty members; two undergraduate students; two graduate students; one medical student; the University Librarian or designee and the Vice President for Computing and Information Services (CIS), as non-voting ex-officio members.

J. Faculty Committee on Athletics and Physical Education

1. Charge

The Faculty Committee on Athletics and Physical Education shall serve as a link between the Faculty and the Department of Athletics and Physical Education. Of particular concern to this committee shall be the relationship between athletics and academic needs and obligations of participants in programs of the Department of Athletics and Physical Education. In addition, the committee shall provide advice to the Director of Athletics regarding all appropriate aspects of programs and activities managed by the Department of Athletics and Physical Education, including varsity, club and intramural sports, physical education, and physical wellness.

2. Membership

The membership shall consist of three faculty members elected by the Faculty to staggered three-year terms, the faculty representative to the NCAA, the Ivy Policy Committee representative, four students (two undergraduates, including one representative from the Student Athletic Advisory Board, one graduate and one medical) appointed for one-year terms, one Assistant or Associate Dean of the College appointed by the Dean of the College for a three-year term, a member of the varsity coaching staff appointed for a two-year term, the Vice-President for Campus Life and Student Services (ex-officio) and the Director of Athletics (ex-officio). The Chair of the Committee shall be chosen from among the elected faculty members.

Members who serve for terms of specified duration and who have completed their terms may not be immediately re-elected or re-appointed to the committee.

K. Faculty Committee on Resumed Undergraduate Education Policy and Admission Committee

1. Charge

a.) The Committee shall develop policies and consider procedures for RUE admission, recruitment, financial aid, student support and fundraising; work with the Dean of the College and the Director of Admission and the Director of Financial Aid to supervise the separate procedure as mandated by the Faculty in December 1972; consult with appropriate on-campus committees, such as CAFA, Enrollment Management, Corporation Committee on Admission and Financial Aid, Development Office, and Alumni Relations; and consult with the RUE Student Organization.

b.) The Committee, absent the student members, shall review and recommend applicants to RUE.

2. Membership

There shall be five faculty members elected by the Faculty for staggered three-year terms, two academic deans named by the Dean of the College, two admission officers named by the Director of Admissions, and two RUE students elected by the RUE student

organization for two-year staggered terms.

3. Organization

The Dean of the College shall name one of the deans on the committee as coordinator of the administrative aspects of Faculty Resumed Undergraduate Education Policy and Admissions Committee (RUE). The members of the RUE committee shall elect one of the faculty members as Chair.

L. Faculty Library Committee

1. Charge

- a. The Committee shall advise the President, the Faculty, and the University Librarian on policies concerning the Library and its operations;
- b. monitor the effectiveness of library services; and
- c. meet annually with the Corporation Committee on the Library

2. Membership

There shall be six faculty members; the University Librarian and the Director of the John Carter Brown Library, as non-voting ex-officio members; two graduate students and two undergraduate students.

3. Organization

The agenda for meetings shall be set by the Chair in consultation with the University Librarian, at the request of the latter.

M. Financial Aid Awards Review Board (FAARB)

1. Charge

- a. FAARB shall, upon request, review any awards of financial aid to a student who has exhausted the provisions for review within the Financial Aid Office.
- b. The financial aid officers and the officers of administration will scrupulously observe the restrictions on handling parental financial information, accessibility of records, and the consent and release provisions on records handling imposed by federal regulations. In addition, the University observes a policy of maintaining strict privacy standards between officers of the University and students and their parents on what is essentially personal business. The availability of this personal information will be limited to financial aid officers and other officers who regularly counsel and advise students or their parents.
- c. All appeals to FAARB shall be made in writing. Upon receipt of an appeal, the Board shall apply the following procedures:
 - i. In accord with the Family Education and Privacy Act, no case may be considered by the Board unless the student, if a dependent, has included with the letter of appeal a special waiver form provided by the University and signed by his or her parent(s) or guardian(s) allowing all confidential information in the student's file to be shared with members of the Review Board. A student may request in writing that his or her appeal be reviewed by only the faculty and administrative members of the Review Board. In this event, a quorum shall consist of the faculty member and the Chair.
 - ii. At the hearing the Board shall review all of the student's file information and written statements (provided that no new information is introduced at this time). At this hearing a student may be accompanied by another member of the Brown University community to assist in presenting the case, provided that such person

be another student, a faculty member, or an administrator (with the exception of financial aid officers), and further provided that where necessary any legal requirements in connection with the Family Education and Privacy Act have been satisfied. Both the student and the designated representative may present their arguments in person, if they so choose, and respond to questions from all participants. The Director of Financial Aid or his or her representative will present the written material supporting the award decision, explain it and respond to questions from all participants.

- d. FAARB may take the following kinds of action:
 - i. FAARB may require the Awards Committee to recalculate the award based on a new interpretation or assessment of the components used in the original calculation. The Awards Committee will then return the new calculation to the Review Board and to the petitioner. If the recalculation is accepted as satisfactory by the Board, then the appeals process for that case is final. If the recalculated award is not accepted as satisfactory, then the Board may refer the entire matter to the President for adjudication.
 - ii. FAARB may decline consideration of an appeals case because of insufficient information or because the case lacks merit.
 - iii. FAARB may make recommendations to CAFA on formal Financial Aid Policy and Procedures. FAARB may make recommendations to the Dean of the College and Director of Financial Aid on matters of a less formal nature.
 - iv. In the event that the Director of Financial Aid feels that FAARB has acted with prejudice, has rendered a seriously erroneous judgment, or has rendered a decision which the Director of Financial Aid feels cannot be accommodated, then with the consent of the Dean of the College the entire matter shall be referred to the President for resolution.
 - v. Complaints and concerns about general financial aid procedures and services apart from financial aid award amounts may be brought to the FAARB. FAARB may make recommendations to CAFA on formal Financial Aid Policy and Procedures. FAARB may make recommendations to the Dean of The College and Director of Financial Aid on matters of a less important nature.

2. Membership

The Financial Aid Awards Review Board shall consist of (a) The Dean of Students, or the Dean's designated representative, as Chair; (b) one member of the Faculty elected by the Faculty upon nomination by the Committee on Nominations for a two-year term; (c) one undergraduate student selected by the duly elected undergraduate government for renewable one-year terms. All terms shall begin February 1 and end January 31. The Chair shall not have the right to vote except to break a tie.

N. *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.
- O. Lectureships Committee*
1. **Charge**

The Committee shall solicit proposals from the Faculty for lectures; and evaluate proposals and allocate the funds available.
 2. **Membership**

There shall be eight faculty members.
- P. Committee on Minority Faculty Recruitment*
1. **Charge**

Recognizing that the Affirmative Action Monitoring Committee is the Faculty Committee responsible for minority faculty searches coordinated with the Offices of the Dean of Faculty and Affirmative Action, the Committee on Minority Faculty Recruitment shall:

 - a. raise both the intensity of and the commitment to the hiring of minority faculty in departments, programs and centers, and develop proposals that would aid in this purpose;
 - b. develop lists of names of potential minority faculty, visiting scholars and post-doctoral fellows, and assist in efforts to create an interest in Brown among those minority applicants who are judged by search committees to be serious candidates for positions;
 - c. develop, where possible, contacts with minority graduate students who may be future candidates for faculty positions or for post-doctoral fellowships; and assist the Graduate School in identifying potential minority graduate students.
 - d. support the Office of the Dean of the Faculty, and to aid academic departments in the search for minority faculty;
 - e. consult with appropriate minority groups, faculty and students on campus; and
 - f. communicate with the Provost's Office on the success of departments in their recruitment efforts and to report annually to the Faculty.
 2. **Membership**

There shall be three faculty members; Dean of the Faculty; one member appointed by the President; and the AA/EEO Officer, non-voting ex-officio member.
- Q. Prizes and Premiums Committee*
1. **Charge**

The Committee shall have jurisdiction over all undergraduate academic prizes and premiums, including prize examinations and competitions, prize and premium awards in courses, shall administer the Faculty Scholars Fund, and shall be responsible for their announcement.

2. **Membership**

There shall be three faculty members, and one representative from the Dean of the College. The Chair shall be appointed by the President.
 3. **Term of Office**

The President shall fix the term of office for the Chair.
- R. *Rosenberger Medal of Honor Committee*
1. **Charge**

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. 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 five members including the Secretary of the Faculty, the Chair of the Honorary Degrees Committee, the Chair of the Faculty/FEC, the Dean of the Faculty, and the Provost.
 3. **Organization**

The Secretary of the Faculty (chair) shall convene the Committee at least once a year.
- S. *Lesbian, Gay, Bisexual and Transgender Concerns Committee*
1. **Charge**

To study and recommend for faculty and administrative action changes in University policy and procedures to protect the rights of sexual and gender minorities in the University, and to support the appropriate educational treatment of sexuality studies in the curriculum. Serves as a liaison for bringing ongoing concerns of the lesbian, gay, bisexual, and transgender community within the University community to the attention of the faculty and administration, and supports communication and coherence within the University's diverse lesbian, gay, bisexual and transgender community.
 2. **Membership**

There shall be six members: three faculty members (one from the medical or life sciences, one from the humanities or social sciences, and one at large); the Dean of the College, or her or his designee; one undergraduate and one graduate student, elected by their respective governing bodies.
- T. *Status of Women Committee*
1. **Charge**

To encourage changes in University policy and procedures, which could improve the status of women in the University, the Committee shall

 - a. consult with faculty, administrators, and students;
 - b. conduct periodic reviews of the status of women at Brown;
 - c. encourage special programs;
 - d. issue periodic reports;
 - e. and make recommendations for faculty and administrative action.

The Committee is empowered to create special adjunct committees, consisting of faculty,

students, administrators, staff, and alumnae to assist with its work.

2. Membership

The Committee shall consist of five faculty members, with at least one from each of the four academic areas; one graduate student; one medical student; and one undergraduate student. The Dean of the College, the Dean of the Faculty, and the Coordinator of Women's Concerns shall serve as ex-officio members. Every effort should be made to recruit a faculty member from the off-campus hospital-based faculty.

U. Committee on Student Life

1. Charge

- a. To advise the Vice President for Campus Life and Student Services and, when appropriate, the Dean of Student Life, the Dean of the Graduate School, and the Dean of Medicine on matters relating to student life.
- b. To advise the Vice President for Campus Life and Student Services regarding policies and procedures that promote interaction between students and faculty and between faculty and the Office of Student Life; and that promote academic and non-academic interaction among undergraduate, graduate and medical students.

2. Membership

There shall be six faculty members; three undergraduate students; one graduate student; one medical student; the Dean of Student Life and one other representative of the Office of Student Life to be appointed by the Dean of Student Life; *ex officio* and non-voting will be the Vice President for Campus Life and Student Services, the Dean of the Graduate School, the Dean of the College or their representative, and a representative of the office of the General Counsel.

3. Organization

- a. The Committee shall have as its officers a Chair, a Vice Chair and Secretary, to be elected by the Committee. The Chair shall be elected from among the members elected by the faculty, annually at the last regular meeting of the Committee prior to the expiration of the term of office of the incumbent officers. The Executive Committee shall consist of the three officers, one undergraduate student and one graduate student. The Executive Committee shall set the agenda for the meetings of the Committee.
- b. The Chair shall consult regularly with the Provost so that the latter may be kept fully informed on the work of the Committee.
- c. The Chair shall report annually to the Faculty at its regular May meeting and at such other times as may be necessary.

V. Medical Faculty Executive Committee

1. Charge

The MFEC shall serve as a central steering committee for the Medical Faculty.

- a. It shall investigate matters that are of particular concern to the Medical Faculty, report, make recommendations, and suggest priorities to the FEC. It shall refer matters pertaining to Medical Faculty business to the FEC, appropriate existing Medical Faculty Bodies (see Faculty Rules & Regulations Part 1, Section 2, V) or Hospital/Health Care System Education & Research Foundation/Committees, or to an Ad hoc Medical Faculty committee that it may create to investigate and to make recommendations regarding an issue.

- b. It shall serve in an advisory role to the Dean of Biology and Medicine and to the Institutional Education and Research Foundation/Committees on matters specific to faculty of the School of Medicine.
- c. It shall be authorized to call Faculty Forums and Special Meetings of the faculty of the School of Medicine.
- d. It shall consult on a regular basis with the Dean of Medicine and Biological Sciences and advise the Dean on matters pertaining to hospital based Faculty. In consultation with the Dean of Medicine and Biological Sciences, it shall set the agenda for the General Assembly.
- e. It shall consult on a regular basis with the administration and trustees of the Hospitals and non-profit Foundations which employ Medical Faculty and advise the administration and trustees of these Hospitals/Health Care Systems and Foundations on matters pertaining to hospital based Medical Faculty.
- f. It shall consult on a regular basis with the Brown University Corporation Committee on BioMedical Affairs.
- g. It shall report to the Medical Faculty by mail and/or internet on a regular basis.
- h. 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.
- i. It shall be designated as the (voting) Hospital based Medical Faculty's agent to resolve or recommend resolution of grievances in accordance with the Grievance Procedures outlined in Part 4, 10, I A 4.
- j. 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.
- k. 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.

2. Membership

- a. There shall be nine faculty members: three officers; Chair, Vice Chair, and Past Chair; and six others who shall be elected from the hospital-based voting faculty.
- b. There shall be at least 2 members from each of the following Medical Faculty tracks: (1) teaching scholar, (2) research scholar, (3) (research).
- c. At least one member shall be elected from the faculty with rank below associate professor.
- d. No more than two members shall be from the same Department or from the same Hospital.
- e. The Dean of Biology and Medicine or his/her representative, the Dean of Medical Faculty Affairs or his/her representative, the chair of the FEC and/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. Three members of the committee will be elected each year for three year terms.
- b. Each year a Vice Chair shall be elected by mail ballot from the voting Medical

Faculty at large. The year following service as Vice Chair, that person shall become Chair, and the year after serving as Chair, that person shall become Past Chair.

4. Method of Election

- a. The Committee on Nominations will solicit nominations from the voting Faculty, members of the MFEC and the FEC to develop a panel of potential 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 a reasonable balance and wide representation among groups being cognizant that inclusion of women and minorities in the MFEC is 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 hospital based School of Medicine Faculty from a ballot of candidates selected by the Faculty Nominating Committee.
- d. The Vice Chair of the MFEC 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.
- 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 mail ballot will be held to decide the winner.

5. Resignations

a. Officers of the MFEC

- 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 to replace a Vice Chair who resigns, an election shall be held.
- iii. Past Chair - In the event of a vacancy in the office of the Past Chair, the MFEC shall select one of its third year members to be Past Chair. The Committee on Nominations shall then fill the vacancy created.

b. Non-Officers

- i. The Committee 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.

Enabling Legislation for the first MFEC

To empanel the first MFEC, all nine faculty members will be elected on one slate from a set of nominees proposed by the University Committee on Nominations. Three members each will be elected to: (1) one year terms, (2) two year terms and (3) three year terms. The Nominations Committee will name a convenor who will call the first meeting. The first MFEC Chair will be elected by the members from among those with two or three year terms.

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.
- d. It shall have jurisdiction over special educational programs such as the Internship Program, the Honors Program and Advising Programs.
- 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 Faculty Committee on Educational Legislation 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 School of Medicine that impinge on undergraduate education.

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 Dean of the Graduate School, the Dean of the Faculty, 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 and one student elected annually by the entire Council. The Executive Committee shall call meetings and establish 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 adjunct committees. Unless otherwise authorized by the FEC, the Chairs of these committees shall be faculty members.

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. *Advisory Committee on Summer Studies*

1. Charge

- a. The Advisory Committee on Summer Studies shall advise the Dean of Summer Studies on all aspects of summer offerings at the University, including criteria for the selection of programs and courses to be offered under the auspices of the Office of Summer Studies; procedures for the selection of the summer instructional staff and the staffing structure for courses; criteria for admissions to summer study; and directions for further development.
- b. The Committee shall work closely with the Dean, who is expected to assume the initiative for establishing structures for summer programs and for developing appropriate summer offerings.
- c. The Committee shall report to the faculty annually.

2. Membership

The Advisory Committee on Summer Studies shall consist of one faculty member from each of the four division (humanities, life sciences, physical sciences, and social sciences). The Dean of the College, the Dean of Summer Studies, and the Vice President for Academic Planning/Administration shall serve *ex officio*. A member of the Summer Studies staff is appointed by the Dean of Summer Studies to serve as secretary to the Committee. The Committee chair shall be elected annually in the fall by members of the Committee.

3. Terms of Office

The faculty members shall serve staggered three-year terms, ending on June 30th.

C. *Faculty Committee on Educational Legislation (FCEL)*

1. Charge

The Committee shall consider and make recommendations to the Faculty concerning curricular and educational matters requiring action by the Faculty in the following areas:

- a. proposals relating to educational matters that affect all the students in the University;
- b. proposals for changes in the curriculum of the Undergraduate Program, or the Graduate Program, or the School of Medicine that impinge on one of the other programs;
- c. proposals for long range curricular planning referred to it by the Faculty or by the FEC;
- d. proposals for the creation and dissolution of departments, programs, and centers (see Section 10,I,E).

2. Membership

There shall be six faculty members; three students, one each from the College, the Graduate School, and the School of Medicine; and three administrators, *ex-officio* members, including the Dean of the College, the Dean of the Graduate School, and the Dean of Medicine and Biological Sciences.

3. Organization

- a. The Committee shall establish mechanisms for maintaining liaison with the College Curriculum Council, the Graduate Council, and the Biomedical Faculty Council, each of which may forward matters to it for consideration.

- b. It shall establish formal mechanisms for soliciting and receiving suggestions for improving educational programs as a whole from faculty, administration, and students, and it shall provide for an open discussion of such suggestions.
- c. The Committee shall meet at least once each semester.

D. 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;
- 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.

2. Membership

The Graduate Council shall consist of the Dean of the Graduate School, Chair; the Provost; the Dean of the Faculty; the Dean of the College; the Dean of Medicine and Biological Sciences; 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.

E. University Creative Arts Council

1. Charge

The Council shall:

- a. find ways and means of implementing on a continuing basis at the University and in the community, the Faculty resolution of May, 1969, that the cultivation of the creative arts is one of the central purposes of this University;
- b. develop educational programs for the Creative Arts relevant to Brown and recommendations of ways to implement these programs; and
- c. report on its activities to the Faculty at least once each year.

2. Membership

The Council shall consist of thirteen members as follows: the designee of the President of Brown University; five faculty members representing various areas of the Creative Arts The Vice President of University Relations or his or her designated representative, the Vice President of Alumni Relations or his or her designated representative, the Vice President of Development, or his or her designated representative, two faculty members from the University at large; one undergraduate student and one graduate student.

3. Method of Election

The five faculty members representing the Creative Arts shall be the Chairs of the Departments of Visual Art, Theatre, Speech and Dance, Modern Culture and Media, and Music and the Director of the Creative Writing Program, or their designated representatives. The two faculty members from the University at large shall be nominated by the Committee on Nominations. The undergraduate student shall be selected by the Undergraduate Council of Students and the graduate student by the Graduate Student Council.

4. Organization

The Council shall elect a chair from among its faculty members. The Council shall meet at least twice each semester.

5. Resolution

The Faculty affirms that the cultivation of creative arts is one of the central purposes of this University. Recognizing that creative experience in drama, writing, music, art, dance, and cinematography is important, the Faculty recommends that every effort be made to: (1) support the creative arts programs by the construction of superior facilities of maximum flexibility; and (2) encourage the creative experience in all art forms through a sustained program of visiting artists and critics.

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 supradepartmental 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 School of Medicine, 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 formerly enrolled in the College, and will report to the Dean of the College and the FCEL 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 recommen-

dations to the Biomedical Faculty Council for the granting of that degree. A sub-committee, 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. Appeal and Grievance 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 a simply 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

- a. To develop and present for faculty approval, a permanent mechanism for regularly communicating to the Corporation the views and recommendations of the Brown community regarding corporate responsibility in investment policies;
- b. to develop investment policies and to consider procedures for making decisions about University investments;
- c. to consider ethical issues and issues of moral responsibility in the investment policies of Brown University;
- d. to consult with and to make recommendations to the Proxy Committee of the Corporation, which in its considered judgment, would best serve the interests of the University; and
- e. to observe nine guidelines in making its recommendations:
 - i. Examine all proxy resolutions that are presented to the University as a shareholder in any company and decide which proxy actions represent significant questions of an ethical nature where “social harm” (as defined in Part I) may be a factor. Social harm in these guidelines shall be defined as the harmful or inhumane impact which the activities of a company or corporation have on consumers, employees, or other persons, particularly including, but not restricted to, deprivations of life, health, safety, or basic freedoms.
 - ii. Consider requests by all members of the Committee to examine issues of alleged “social harm” with respect to the activities of corporations in which the University is an investor.
 - iii. Analyze and investigate proxy and other issues deemed to involve important questions of an ethical nature. The Committee should seek and evaluate information from individuals, groups, and organizations within and outside the University community.
 - iv. Carefully balance (in making its judgment on any specific questions 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. However, in no event will a recommendation be made that an endowment security be selected or retained solely for the purpose of thereby 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.
 - v. 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.
 - vi. Have the power to recommend one or more of the following actions if it deems a proxy or other issue to raise a significant question of “social harm” (as defined above):

that the University vote its proxies in the manner best calculated to correct or alleviate that social harm;

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;

that the University divest itself of all the shares in the company (or companies) involved;

that the University pursue any other measures the Committee deems likely to be constructive.

- vii. 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 in number four above) when: divestiture will likely have a positive impact toward correcting the specified social harm and no other effective means of achieving a positive impact within a reasonable time appears to exist, 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.
- viii. Conduct open meetings except when the Committee specifically votes that they should be closed.
- ix. Report annually to the University community on its actions.

2. Membership

There shall be three faculty members; three students, two to be elected by the undergraduates and one by the graduate students, for terms to be decided by their councils; and 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).

3. Organization

The Committee shall establish its own by-laws for election of officers, and for conducting its business.

4. Assistance to the Committee

In order that the Advisory Committee on Corporate Responsibility in Investment may carry out its charge with efficiency and dispatch the Committee on Corporate Responsibility in Investment Policies it is recommended:

- a. That the President make available to the Advisory Committee on Corporate Responsibility in Investment the reports of the Investor Responsibility Research Center (IRRC) 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 which would be mutually beneficial to the fulfillment of its corporate responsibilities

in investment;

- c. That the President arrange for the appointment of a research assistant to help the Committee in its investigations and analysis.

B. *Campus Planning Committee*

1. Charge

Through its membership the Committee will bring together the concerns and ideas of students, faculty and administration and will shape, and in turn respond to, studies and plans prepared by staff planners and outside consultants. The Committee will also organize its work cooperatively with other University Committees where there are special problems of overlapping interest, particularly on housing.

The Campus Planning Committee shall:

- a. develop ideas, assumptions, and recommendations for the physical development of the campus;
 - b. make recommendations and advise the President on matters relating to the long-range development of the campus and the physical plant;
 - c. identify the policies and concerns throughout the University which have implications for the long-range growth and development of the physical plant;
 - d. recommend plans and participate in the development of an integrated plan for campus and buildings;
 - e. undertake a continuing evaluation of the University's plans for land and buildings;
 - f. report to the President within a reasonable time after the beginning of the academic year on the status of their work and the anticipated directions and scope of their activity for the coming year; and
- A. prepare a brief summary of their activities, including an assessment of continuing problems at the end of the year.

The President shall determine the means by which recommendations of the Committee are conveyed to the Facilities and Design Committee of the Corporation.

2. Membership

There shall be three faculty members; three undergraduate students selected by the Undergraduate Council of Students; one graduate student selected by the Graduate Student Council; the Senior Vice President, and the Directors of Physical Planning and Plant Operations, ex-officio members. The Undergraduate Council of Students shall also appoint one non-voting student alternate member, who shall replace a regular student member as a voting member only in the event of a resignation of the regular member and shall serve for the remainder of the term of office of the member who has resigned.

3. Term of Office

The length of term of each member shall be for three years, except certain members may be re-nominated on the expiration of their terms by virtue of expertise or administrative position that has special relevance to matters considered by this Committee.

4. Organization

The Chair shall be selected by the President from the membership of the Committee.

C. *Committee on Faculty Reappointments and Tenure (CONFRAT)*

NOTE: The Faculty recommended that the President establish an Advisory Committee on Faculty Reappointment and Tenure in May 1991, to replace the similarly-named committee

that it had voted in May 1977. As noted in *Faculty Rules and Regulations*, version 2.1, Section 2, VI, A, the Faculty does not intend any of these procedures to impinge on the rights of the Faculty to use the grievance procedures described in Part 4, Section 10, I, A, as amended.

Brown University seeks to have as members of its faculty individuals who are outstanding in their teaching and in their contributions to scholarship and research. In choosing and promoting faculty, Brown will continue to take affirmative actions to increase the proportions of women and minorities (Minorities refer to groups of underrepresented minorities as defined by the Federal Government. Review of the adequacy of this definition will be the subject of a separate recommendation to the Faculty) on its faculty towards the goal of a representative gender and minority presence. By representative we do not mean to restrict the numbers of any group of faculty; we are concerned that the faculty be sufficiently diverse ethnically, racially, and in gender, that there can be meaningful communities of such faculty and student groups on the campus. Brown also recognizes the need to have an effective internal mechanism which can provide timely assistance to the University in reviewing its progress and in furthering the goals of affirmative action and equal employment opportunity.

1. Charge

- a. The Committee will review, in accordance with the staffing plan (if any) for each department, program, center or division and the University's Affirmative Action Plan, recommendations, whether positive or negative, concerning the renewal of appointments of Instructors, Assistant Professors and Senior Lecturer, the promotion to the ranks of Senior Lecturer, Associate and full Professor, and the awarding of tenure to untenured faculty members. The Committee will review recommendations of appointments to tenured positions or to the rank of Senior Lecturer. The Committee will advise the Provost on such recommendations and the Provost will submit his or her recommendations to the President and the Corporation for final action. This applies to all appointments and promotions noted above, except for non-tenurable positions within the School of Medicine, which will be reviewed by the Committee on Medical Faculty Appointments.
- b. In its review the Committee shall give due weight to the statements and evidence gathered by the academic units sponsoring the recommendation including all the 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 include consideration of procedures, of the evaluations of professional qualifications, and institutional needs. The procedural review shall determine whether the decision was consistent with (1) the written University Affirmative Action Plan, (2) the academic unit's written criteria for contract renewal, promotion, and tenure on file with the Dean of the Faculty, and (3) procedural regulations of the University.
- c. The Committee shall, in its advisory capacity, either endorse the recommendation or make a recommendation of its own.
- d. Recommendations for appointments, reappointments, and promotion of faculty members other than specifically described above shall be reported to the Committee. 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.

2. Membership

The Committee shall consist of the Dean of the Faculty as Chair, the Dean of the

Graduate School, the Dean of Medicine and the Dean of the College, and eight faculty members. There shall be at least two women members and one member of an underrepresented minority on the Committee. All faculty members of the Committee shall be tenured.

The faculty members shall be elected by the Faculty and shall be chosen so as to insure representation on the Committee of faculty two each from the Humanities, Social Sciences, Physical Sciences, and Life Sciences.

3. Method of Election

On about March 15, the Secretary of the Faculty shall send a mail ballot to all voting members of the Faculty.

- a. The ballot shall be prepared by the Committee on Nominations to insure representation of the following areas of interest: Social Sciences, Physical Sciences, Humanities, Life Sciences. In its deliberations, the Committee on Nominations will consult with the Faculty Executive Committee or its representatives. Candidates will be grouped into as many categories as there are vacancies.
- 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 mail 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 FEC or the Advisory Committee on University Planning.

4. Operation

- a. The Committee shall act only through the Dean of the Faculty 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 Committee shall inform the concerned faculty member that such a recommendation is under review. At the conclusion of this review, the Committee shall notify the individual and Chair concerned of the outcome, and upon request, the rationale for its decision.
- 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. When the AMC reviews a case where renewal, tenure or promotion has been denied, as provided below, these minutes shall be made available to them, but with the names of the voters deleted.
- e. No member of the Committee with the exception of the Dean of the Faculty or other academic administrator who has full responsibility for the approval of appointments, reappointments and promotions to tenure of the faculty is to participate in a review involving a faculty member of his or her academic unit.

- f. The Dean of the Faculty 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 will 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, a vote will be taken on whether the Committee on Faculty Reappointment and Tenure accepts the recommendation before it; this vote and recommendation of the Committee shall be transmitted to the Provost. The record of the vote, and all other documents in the Committee's possession shall be supplied to the Provost. The Provost, thereafter, shall declare his or her acceptance or rejection of the vote, and, in the case of rejection, provide CONFRAT 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 Dean of the Faculty will notify the 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 Dean of the Faculty 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 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 promotion and/or tenure has been awarded. (ii). If the departmental recommendation was for 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 promotion has been denied and/or that tenure has not been awarded and the case be referred to the AMC for review (see AMC charge).
- 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.

D. *Committee on Medical Faculty Appointments (CMFA)*

1. Charge

The CMFA will review recommendations for appointment and promotion of senior faculty and the non-renewal of all academic faculty according to the criteria developed by each Department and approved by the University Academic Council. In general, all reappointments and actions regarding junior faculty are handled at the Division level and reviewed by CMFA only at the request of the Department, the Dean of Medicine, the Biomedical Faculty Council or the individual concerned. Department recommendations regarding appointment and promotion of all senior faculty, including academic, research and clinical, are presented to CMFA by the Department Chairperson or his/her representative for final recommendation to the President of the University and the Corporation. CMFA reviews actions submitted directly by each Department via the CMFA. The authority and responsibility of CMFA is comparable to that of the University Committee on Faculty Reappointment and Tenure.

The Committee on Medical Faculty Appointments will review, in accordance with approved Divisional or Departmental Procedures, recommendations regarding non-tenurable faculty (Hospital-based, Campus-based and Clinical), in the School of Medicine, and advise the President as to such recommendations. The specific actions which will require review are:

- a. Initial appointments at the ranks of Associate Professor and Professor, including those whose titles are prefixed by "Clinical" or suffixed by "(Research)."
- b. Promotions to the ranks of Associate Professor and Professor, including those whose titles are prefixed by "Clinical" suffixed by "(Research)."
- c. All negative departmental recommendations for reappointment at the faculty ranks of Assistant Professor, Associate Professor, and Professor if review is requested by the Department or the candidate, except that such review will be precluded if the hospital by which the individual is employed has previously indicated its intention to terminate the employment of the candidate.
- d. All negative recommendations for promotion to Associate Professor.

The CMFA will not, as a matter of course, review appointments and reappointments of Instructors in any category, Assistant Professors whose titles are prefixed by "Clinical" or suffixed by "Research," Visiting and Adjunct faculty (any rank), Lecturers, Research Associates, Investigators and Senior Investigators, except that any recommendation by a Department may be reviewed by the CMFA at the request of the President, the Dean of Medicine and Biological Sciences, the Department Chair, the candidate, or a majority of members of CMFA.

In its review the CMFA will give due weight to the statements and evidence submitted by the academic unit putting forward the recommendation, including evidence submitted by the individual under review. Although in general, the Committee is guided by the approved standards and criteria, it may establish its own requirements for documentation which is submitted to it.

The Committee review shall include consideration of the procedures followed by the academic unit, as well as evaluations of professional qualifications of the candidate, and of educational and research needs of the University.

In its advisory capacity, the Committee may either endorse the Departmental recommendation or make a recommendation of its own to the President.

2. Membership

There shall be ten members: the Dean of Medicine and Biological Sciences, chair; three faculty members from School of Medicine Departments, elected by the General Assembly of the Faculty; one faculty member from the Program in Biology, elected by the Biomedical Faculty Council; three faculty members from outside the School of Medicine, elected by the Faculty; and two academic officers of the University designated by the President.

3. Organization

The chair shall report directly to the President on behalf of the Committee.

Section 3. Committees:⁶ Faculty Members Not Elected by the Faculty

I. Committees Reporting to the President

A. *Campus Minority Affairs Committee*

1. Charge

The purpose of the Campus Minority Affairs Committee (CMAC) will in some ways parallel the campus-based Committee on Student Life and will serve as an adjunct to the Minority Affairs Committee of the Corporation. It will provide students, faculty and administrators with an accessible conduit for concerns and problems related to minority affairs. The breadth of membership will result in an informed and diverse forum where policy issues, routine matters, complaints, and crisis situations can be addressed. The Committee will report to the Corporation Minority Affairs Committee at each Corporation Committee meeting.

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

- a. To provide a mechanism for pooling information and perspectives from various campus offices on matters related to minority affairs,
- b. to provide an informed forum where issues, policies and practices related to minority concerns can be discussed on a regular basis,
- c. to provide a consortium of knowledgeable and responsible community members who can assess and address the concerns of students on issues related to race, racism, and race relations,
- d. to provide an ombudsman function for those concerns which need advocacy,
- e. to formally advise the President and the executive staff on policies related to minority affairs,
- f. to provide a group resource for intermediate and long range planning and for on-going concerns in these areas: race-relations, minority academic support services, social and inter-cultural programs, racism, and racial awareness,
- g. to provide a support group for those who work in areas related to minority affairs.

2. Membership

The President shall appoint among others an officer to serve from each of the following areas: Affirmative Action/EEO, Third World Center, Racial Awareness Communications Exchange, Dean of the College, Dean of Student Life, Admission, Alumni Relations, Athletics, Resource Center, Chaplains and Faculty. Students shall be selected from the Racial Awareness Communications Exchange, and from each of the major minority student organizations.

3. Terms of Office

Members should be very knowledgeable in the areas of minority affairs and should serve continuously until relieved or replaced.

⁶NOTE: The FEC and the Office of Faculty Governance will annually publish a directory of committees, excluding departmental committees, on which faculty members serve.

4. Method of Election

The President appoints the members; the Third World Center Director will select a student to serve from the Racial Awareness Communications Exchange, and a student from each of the major minority student organizations.

5. Organization

The Chair will rotate yearly, beginning with the Director of the Third World Center. The Chair will act primarily as convener and liaison, and will report at least once each semester to the President. The Committee as a whole, or portions thereof, are expected to consult as needed with executive administrators. The Committee shall normally meet at least monthly and at least once each year with the Corporation Committee on Minority Affairs.

B. University Research Council

1. Charge

- a. to consider and recommend to the President policies and procedures relating to the research activities at Brown University.
- b. to report to the President in writing at least once a year, and a copy of that report shall be transmitted to the Faculty.

2. Membership

The University Research Council consists of the Senior University Officer for Research (e.g. Dean of Research), Chair; eight faculty members appointed by the President, two each being from the four divisions defined in Section 12, Part II; Dean of the Graduate School, Dean of the Faculty, ex-officio (voting); Provost, Senior Vice President for Business and Finance, Dean of Medicine and Biological Sciences, Associate Dean of Research (ex-officio, non-voting)

II. Other Committees

A. 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, to serve staggered three-year terms, and two deans; reports to the Dean of the College.

B. University Benefits Review Committee

1. Charge

To review and make recommendations concerning Benefits for all University personnel except for those whose benefits are determined by collective bargaining.

2. Membership

A minimum of three faculty members (one being the current Chair of the Faculty Committee on Awards and Benefits), and representatives of employee groupings within the University, Assistant Vice President for Human Resources, Chair. Reports to Senior Vice President for Administration and Finance.

C. *University Committee on the Arts*

1. **Charge**

To assist in bringing artistic exhibits and events to the campus and to assist faculty and students in bringing artistic enrichment to campus.

2. **Membership**

Four faculty members and one Dean; reports to the Dean of the College.

III. **Committees Reporting to the Corporation**

A. *University Disciplinary Council (UDC)*⁷

1. **Charge**

a. The University Disciplinary Council shall have authority to sit as a hearing body for all disciplinary matters of a more serious nature which may warrant separation from the University and/or permanent record notation. The Council shall review the evidence, hear testimony, and receive information and determine the respondent(s) has violated the Standards of Student Conduct, and as necessary, determine a penalty that shall be subject to approval by an appropriate dean. Determinations regarding penalties for undergraduate students shall be subject to the approval of the Dean of Student Life. Determinations regarding penalties for graduate students shall be subject to the approval of the Dean of the Graduate School and Research. Determinations regarding penalties for medical students shall be subject to the approval of the Dean of Medicine and Biological Sciences.

b. The respondent(s) may appeal the decisions of the Council and/or the appropriate dean in a disciplinary matter to the Provost of the University. Appeals must be submitted in writing setting out the reason(s) for the appeal. The appeal must be submitted within seven (7) days of the decision of the appropriate dean.

Appeals will normally be considered only when new evidence which was not reasonably available at the time of the hearing decision becomes available or when an allegation of substantial procedural error on the part of the University or the Council is made. The Provost shall determine whether or not an appeal shall be considered. If the appeal is allowed by the Provost, it shall be referred to the Deans' Council. The Deans' Council shall consist of three (3) deans chosen by the Provost at the beginning of each academic year, one each from the offices of the Dean of the College, the Dean of the Graduate School and Research and the Dean of Medicine and Biological Sciences. No dean who serves as a member of the UDC shall serve simultaneously on the Deans' Council. The Provost will have the authority to make temporary appointments to the Deans' Council during the academic year in the event that a regular member is unable to serve in a case due to unavailability or lack of impartiality, as shall be determined by the Provost. The Deans' Council shall have the power to affirm, reverse, or modify the decision and/or the penalty imposed, or to remand the matter to the UDC or the Dean of Student Life for further consideration.

⁷ . Complete information regarding the University Disciplinary Council and the Non-Academic Disciplinary Procedures can be found in the *Student Handbook*, available from the Office of the Dean of Student Life. The information contained herein is not a substitute for reading the *Handbook*.

- c. Notwithstanding the right of the student(s) to appeal, the President of the University shall have the power to review, at his own initiative, the decision of the UDC and the Dean as to both the guilt or innocence of the respondent(s) and the penalty imposed. Upon review, the President shall have the authority to affirm, reverse, or modify the decision and/or increase or decrease the penalty imposed. There shall be no appeal from a decision rendered by the President in accordance with his review power.

2. UDC Membership and Hearing Panel

- a. **Members.** The membership of the Council shall consist of four (4) faculty members selected by the President in consultation with the Faculty Nominations Committee; four (4) undergraduate deans selected by the Provost; six (6) undergraduate students selected annually by the Dean of Student Life from a list of nominees from the duly elected undergraduate student government; four (4) graduate students selected annually by the Dean of the Graduate School from a list of nominees from the duly elected graduate student government; four (4) medical students selected annually by the Dean of Medicine & Biological Sciences from a list of nominees from the duly elected medical student government; two (2) deans from the Graduate School appointed by the Provost; two (2) deans from the School of Medicine appointed by the Provost; and a Chair of the Council appointed by the President. The respective student governments shall submit a list of nominees to the appropriate Dean no later than May 1 for the upcoming academic year. The list of nominees shall not exceed twice the number of positions available for students of that school on the Council and shall not contain less than two nominees in excess of the number of positions available. The list of nominees shall be submitted with two (2) references for each nominee. The appropriate Dean shall select, from the nominees, student members for service on the Council for a one-year term, and notify the appropriate student government of those determinations. The appropriate Dean may select students from the general student body to fill the positions in the event that (1) the Dean does not appoint a sufficient number of individuals from the list of nominees, or, (2) the appropriate student government fails to provide nominees pursuant to these procedures.
- b. **Hearing Panels.** A hearing panel for each matter shall be selected from the membership of the UDC as follows:

When hearing matters in which both the complaining witness(es) and respondent(s) are undergraduate students, a hearing panel shall consist of two (2) members of the faculty and undergraduate deans, two (2) undergraduate students, and the Chair of the Council. At least one member of the hearing panel shall be a member of the faculty.

When hearing matters in which both the complaining witness(es) and respondent(s) are graduate students, a hearing panel shall consist of two (2) members of the faculty and graduate deans, two (2) graduate students, and the Chair of the Council. At least one member of the hearing panel shall be a member of the faculty.

When hearing matters in which both the complaining witness(es) and respondent(s) are medical students, a hearing panel shall consist of two (2) members of the faculty and medical deans, two (2) medical students, and the Chair of the Council. At least one member of the hearing panel shall be a member of the faculty.

In the event a single hearing involves a combination of undergraduate students and graduate students as complaining witness(es) and/or respondent(s), the hearing panel shall consist of three (3) members of the faculty and undergraduate and graduate deans [composed of at least one undergraduate dean and one graduate dean], three (3) undergraduate and graduate students [composed of at least one undergraduate student and one graduate student], and the Chair of the Council. At least one member of the hearing panel shall be a member of the faculty.

In the event a single hearing involves a combination of undergraduate students and medical students as complaining witness(es) and/or respondent(s), the hearing panel shall consist of three (3) members of the faculty and undergraduate and medical deans [composed of at least one undergraduate dean and one medical dean], three (3) undergraduate and medical students [composed of at least one undergraduate student and one medical student], and the Chair of the Council. At least one member of the hearing panel shall be a member of the faculty.

In the event a single hearing involves a combination of graduate students and medical students as complaining witness(es) and/or respondent(s), the hearing panel shall consist of three (3) members of the faculty and graduate and medical deans [composed of at least one graduate dean and one medical dean], three (3) graduate and medical students [composed of at least one graduate student and one medical student], and the Chair of the Council. At least one member of the hearing panel shall be a member of the faculty.

In the event a single hearing involves a combination of undergraduate students, graduate students and medical students as complaining witness(es) and/or respondent(s), the hearing panel shall consist of four (4) members of the faculty and undergraduate and graduate and medical deans [composed of at least one undergraduate, one graduate dean and one medical dean], four (4) undergraduate, graduate and medical students [composed of at least one undergraduate student and one graduate student and one medical student], and the Chair of the Council. At least one member of the hearing panel shall be a member of the faculty.

- c. **Qualifications and Responsibilities of Members.** Student members of the Council must be currently enrolled and in good standing. All Administrative and Faculty members of the Council shall be full-time employees of the University. All members of the Council shall be required to sign confidentiality agreements prepared by the Office of Student Life. Violation of confidentiality of any matters related to student disciplinary hearings will be cause for immediate removal from the Council. With respect to all members, the individual responsible for appointment of that member has the authority to remove him/her if he/she fails to discharge their duties, including, but not limited to, violation(s) of confidentiality. In addition, the matter shall be referred for disciplinary action.

In the event of a violation of confidentiality where the responsible party(ies) cannot be identified the Dean of Student Life may recommend to the President that the UDC Panel in question be disbanded for their remainder of their term.

3. Procedure

- a. The UDC, the Vice Presidents, and the Senior Deans of the University shall have the opportunity to recommend for approval of the President of the University new rules and changes in existing rules governing student conduct. Recommendations which, in the judgment of the President, concern matters of general policy shall be

submitted to the Corporation or an appropriate committee thereof.

- b. Nothing herein shall be construed as preventing the appropriate University officers from taking measures to deal with individuals who they believe may pose a danger to themselves or the immediate well-being of the University community. The President, the Dean of the College, the Dean of the Graduate School, the Dean of Medicine and Biological Sciences, and the Dean of Student Life, shall have the authority to remove students from dormitories or to separate them from the University when they believe there is a threat to the safety, health, or well-being of the University community or a member thereof. All other existing rules and procedures governing student conduct at Brown University shall remain in full force and effect unless and until amended or rescinded in accordance with the foregoing. The Corporation expressly reserves the right at any time and from time to time to alter, amend, modify or revoke the provisions herein, in whole or in part, without prior notice.
- c. The President is hereby authorized to prepare such declarations of policy, rules, regulations, by-laws, and other matters as he shall in his discretion deem necessary or desirable to implement the foregoing. Such declarations, rules, regulations, by-laws, and other matters as may, in judgment of the President, concern general University policy shall be submitted by the President to the Corporation or an appropriate committee thereof for approval.

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 dismissed for academic reasons, readmission must be approved by the Committee on Academic Standing. The Committee shall determine at the time of readmission either
 - a. that the complete previous record of the readmitted student shall be included in determining remaining quantity and quality requirements, or
 - b. that the previous record of the readmitted student shall be treated in a manner comparable to transfer credit from another institution, i.e., course credit shall be allowed for courses passed with a grade of C or better.

None of the grades, however, received during the previous enrollment shall be used in computing average requirements for graduation. The English and/or foreign language requirements may be credited if applicable. The student will be required to complete all of the remaining degree requirements (after the transfer credit has been allowed), and the quality requirements for graduation will be based only on courses taken after readmission.

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. Such applicants shall be recognized as belonging to a separate category and not as part of the regular total admission pool of applicants.

An Advisory Committee for this Program shall be appointed by the Dean of the College.

E. *Admission to the Undergraduate 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 dismissed 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 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.
7. Students who have not matriculated at a college may not enroll in Summer Session courses. The Office of Summer Studies offers a separate program for these students.

II. Courses 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*

1. Any student may register for an Independent Study course or courses for any semester. Each such course must have the approval of a faculty sponsor who shall be responsible for the scrutiny of the proposal, the evaluation of the work done, and the assignment of a grade. The faculty sponsor is not expected to give regular tutorial instruction.
2. Proposals for Independent Study must be submitted in accordance with guidelines established by the College Curriculum Council. The proposals 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 are due by September 1 and for the spring semester by January 15. 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. The deadlines for submission of Internship proposals are the same as those for Group Study, i.e., fall semester proposals are due April 1 of the preceding spring semester; proposals for the spring semester are due by November 15 of the preceding fall semester.

E. *Group Study*

1. Group studies 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 an instructor who holds a teaching appointment in Brown University and 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. Group studies permit instructors to interact with more students than independent studies can realistically permit. A teaching assistant or teaching associate may sponsor a Group Study if the department chair recommends that he or she be permitted to do so.
3. Proposals for Group Studies will be reviewed by the College Curriculum Council to assure the academic quality of the proposed study and to avoid undue duplication. Proposals for the fall semester should be turned in by April 1 of the preceding spring semester; proposals for the spring semester are due November 15 of the fall semester. Proposals received after these dates, and no later than the first day of classes of the next semester, will be considered only upon clear justification of the late submittal.
4. At the end of each Group Study, a joint student-faculty evaluation of the accomplishments of the project must be submitted by the faculty sponsor to the College

Curriculum Council.

F. *Modes of Thought Courses*

Resolved

That, because the first college years are so significant in the formulation of the student's educational objectives, a special program – Modes of Thought – be established to provide freshmen and sophomores with opportunities to participate actively with a professor and a small group of students in courses in a variety of academic areas.

Resolved further

To start offering in 1969-70 Modes of Thought Courses as described below.

1. The Modes of Thought course should place major emphasis on the methods, concepts, and value systems required in approaching an understanding of a specific problem, topic or issue in a particular field of inquiry. The how and why of studying a given field should pervade the entire structure of the course. Facts must be considered as a point of departure in a course where the purpose is to create the spirit of a field and to spark the student's interest and capacity to deal with it meaningfully.
2. The particular subject in a given course, as limited or as broad as it may be, must always serve primarily as a vehicle for exploring modes of thought in the field of inquiry to which it belongs. By "field of inquiry" is meant a general category of scholarly activity such as Humanities, Social Studies, Natural Sciences or Formal Thought, that transcends departmental disciplines.
3. Modes of Thought courses include: (a) the course which explores the modes of thought in a particular field of inquiry (Humanities, Social Studies, Natural Sciences, Formal Thought); (b) the Interfield course (e.g., Darwinism, World War III; Population Growth), designed to examine the relationship between modes of thought in two or more fields of inquiry. The Interfield course would be offered under one or more fields of inquiry as designated by the professor(s).
4. It being recognized that an atmosphere of excitement and interest is a most important factor in the learning process, the Modes of Thought course should be viewed as highly personal. It should have its justification for existence in the individuals serving as faculty and students. Accordingly, course subject matter and course structure should not be propagated from one year to the next; rather, a course should be offered only as long as a professor is willing to teach it and a sufficient number of students choose to enroll in it.
5. To ensure further this atmosphere of excitement and interest, the Modes of Thought course should be the focal point for lively experimentation, and innovative proposals for courses should be encouraged and supported enthusiastically.
6. The Modes of Thought course should not be a prerequisite for any advanced course. The danger exists that inappropriate pressures may be placed on the course to shape its direction in order to serve the purposes of advanced students. Accordingly, traditional "Survey" and "Service" courses are not appropriate for designation as Modes of Thought courses.
7. In the Modes of Thought courses special emphasis should be placed on the "problem approach," in which a single problem might be viewed from several different perspectives by professors and students of differing academic backgrounds. Participating faculty should not divide the course into consecutive blocks of time whereby they phase in and out of teaching duties. Rather, the students in such courses should have direct contact with at least one faculty member throughout the course. The College Curriculum Council should encourage and support courses that are proposed by two or more professors working as a team. At the same time, it is recognized that many of the Modes

of Thought courses will be taught by one professor working alone with the students.

8. Although lectures may form a necessary and desirable approach in the teaching of some Modes of Thought courses, in all cases there must be ample opportunity for discussions pursued in small groups of twenty or less. The more detailed mechanics of any particular course, however, will always be determined by the course itself and the individuals involved.
9. Along with the opportunity for discussion pursued in small groups, self-expression through written work should also be encouraged in a manner consistent with the aims of the specific course. Above all, the student should have direct access to detailed and constructive criticism of his or her writing efforts.
10. To create a relaxed atmosphere in which the student is able to explore fields of inquiry that might interest him or her, the Modes of Thought courses should always be graded on a "Satisfactory" basis, with qualitative statements made for individual performance. The qualitative statements prepared by the professor in consultation with the students will be used for counseling purposes.
11. The College Curriculum Council should encourage professors to use qualified undergraduates as teaching assistants to provide ancillary services beyond those possible by the professor. Active participation of undergraduate teaching assistants as tutors will not only enrich the experience of the advanced student but will also provide incentives for the entering freshmen.
12. (a) The Faculty should be encouraged to give, the students to take, and the Administration to support Modes of Thought courses; (b) the program should be subject to continued scrutiny and change; and (c) the Faculty and Administration should be committed to implement this program to the fullest possible extent.
13. Amendment by the Faculty, March 5, 1974: Notwithstanding the first sentence of paragraph 6, above, Modes of Thought courses with appropriate content may be included as part of a student's concentration program when a petition to do so is submitted on such student's behalf by the student's concentration advisor and approved by the College Curriculum Council.

G. *Summer Program*

The University sponsors a formal program of summer study designed primarily to serve the needs and interests of Brown students. 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 the Brown Pre-College Summer Program course credits do become an official part of the student's academic record at the University, these course credits may not be used to meet minimum requirements for the baccalaureate degree. As is the case with all pre-matriculation credit, Brown students may use Brown Pre-College Summer Program course credits to petition for Advanced Standing at Brown.
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:

1. 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.
2. 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:

1. 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. A student may choose to take a minimum of 3 to a maximum of 5 courses in a particular semester.

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 Dismissal. The status designations of Warning and Serious Warning will be posted to the 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 only on the basis of courses completed at Brown, including Brown summer courses. Neither transfer credit nor A.P. credit will figure in the determination of academic standing. Transfer credit for courses taken at other institutions, either in this country or abroad, may be granted by the Committee on Academic Standing on the recommendation of a department and, in the cases of courses qualifying for concentration credit, on the recommendation of the student's concentration advisor. A maximum of 4 summer school courses from accredited, degree-granting, four-year institutions may be acceptable for transfer credit, with preliminary approval of the Committee on Academic Standing and appropriate faculty and departmental support. Extension division courses will not be allowed. Summer transfer credit may not be used to advance a student's date of graduation, nor will it figure in the determination of academic standing.
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.⁸

C. English 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 the Dean to enroll during their first semester in a designated course that requires

⁸To 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.

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.

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 which 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 concentration 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 sub-committee.

- 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.

- 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. If the program is so constructed that the student declares for Honors at its outset, then the advisor will request the Registrar to record the fact at the time of acceptance.
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.
 - b. arrange to issue timely procedural reminders to students and to departmental and independent concentration advisors.
6. Recommendations for Honors awards shall be submitted to the College Curriculum Council and shall include an evaluation of (1) the student's overall performance in the concentration, (2) the quality of the Honors Thesis, and (3) the oral examination, if any.
 - a. For students pursuing a standard concentration in a department, the Honors recommendation will be made by the department.
 - b. For students in an interdepartmental program of study, the Honor's recommendation will originate in the appropriate committee.
 - c. For students pursuing an independent concentration, the Honors recommendation will be made by the student's sponsor with the approval of two other faculty members familiar with his or her work.

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 designate those students (*regardless of grade option*) whose academic performance in this course merits consideration at the appropriate time for the awarding of the Bachelor's degree *magna cum laude*.
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.
3. At least three years in residence.
4. Declaration of intent either by indicating degree candidacy at admission, or by change of degree status no later than the fifth semester.

V. Combined Program Leading to a Baccalaureate Degree and a 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 as well as high level work in foreign language. Others may move unusually rapidly through the undergraduate concentration carrying summer research projects and study. Such students may begin 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 some courses may be used for credit toward both degrees.
4. It is assumed that the AB-MA 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. The courses leading to the MA are envisaged as constituting a quality program, as opposed to a minimal one. Listed below are the requirements as determined by the Committee on Academic Standing in December, 1969:
 - a. Students are expected to complete a minimum of 34 courses within nine semesters.
 - b. With the exception of interdepartmental concentrations, students will be expected to complete at least 14 courses *outside* the field 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. Programs will include at least two 200-level courses, not including any 200-level courses counted for the independent project or thesis.
- f. The proposed program should be presented to the Committee on Academic Standing *no later than Semester V*. This should be a DETAILED statement of the candidate's program and should include the following:
 - i. *Candidate's Statement:*
 - a) *Listing of all concentration and related courses. These should be listed by name, number and by semester taken or to be taken.*
 - b) *Specific plan for meeting the graduate program's language requirement, if any, in the concentration area.*
 - c) *Statement of research-thesis topic and schedule for carrying it out.*
 - ii. *Supporting Documents:*
 - a) *Statement of Departmental approval and student performance. This should indicate that the program, as outlined, is acceptable to the department or an appropriate committee representing the department. Since grade point average can no longer be used as an index of the student's academic performance, a statement regarding the quality of work so far done in the field of concentration is also required.*
 - b) *Sponsor's statement. This will usually be given by the faculty member supervising the thesis research. It should include his or her approval of both the general program and the research plan.*
 - c) *Non-concentration faculty statements. Written evaluations from three faculty members who have known the student in courses outside the field of concentration.*
- g. Candidates are requested to consult with the appropriate academic dean prior to submission of a petition for the combined degree. The student's petition and supporting documents should be submitted to the Dean of Academic Affairs who will present them to the Committee on Academic Standing. If approval is given by the Committee on Academic Standing, the petition is then forwarded to the Graduate Council.
- h. After action by the Graduate Council, the student will be notified by letter from the dean of the combined decision of the Committee on Academic Standing and the Graduate Council. If the program is approved, the student will be asked to obtain and complete a Graduate School application. No further documentation is needed. Recommendations, etc., from the AB-MA petition are sufficient.
- i. In cases where the requirements for an advanced degree are partially completed by students in meeting the requirements for a baccalaureate degree, graduate credit for such work may be allowed under the following conditions:
 - 1. Formal admission to the Graduate School must be applied for and granted; and
 - 2. The Graduate Council, in consultation with the department involved, shall determine the remaining requirements to be satisfied for the advanced degree.
- j. Since the work for both degrees will proceed concurrently, the grades of all courses taken shall be used in computing undergraduate academic averages, including the determination of degrees with distinction.

VI. Integrated Five-Year Baccalaureate-Master's Degree Program

Departments may submit to the Graduate Council for its approval proposals to establish Integrated Programs leading to the successive awards of the Bachelor's degree and the Master's degree. Such programs shall, as the name suggests, integrate the work of the undergraduate years with that of the graduate. In these programs, all academic requirements for each degree must be separately met.

1. A student to whom no Integrated Program is available may draw up plans for such a Program and submit them to the Graduate Council through the Graduate Representative of the Department in which the student proposes to do advanced study.
2. A student must make application to study in an Integrated Program not later than the end of the third week of his or her penultimate semester of undergraduate study. Admission to the Graduate School for the fifth year will ordinarily be a matter of course; however, such admission must be processed in the regular way.
3. As many as two graduate-level courses taken by a student during undergraduate study at this University in an Integrated Bachelor-Master Degree Program may be offered in partial fulfillment of the requirements for the Master's degree if not already used to meet specific requirements for the Bachelor's degree. However, the equivalent of at least six semester courses must be taken in residence as a graduate student at Brown University.

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.⁹

I. Master of Medical Science

This degree is for medical students who wish to obtain experience in biological and medical science research problems through the preparation of a research thesis.

A. Admission Requirements:

- a. Students already enrolled in the first year of the School of Medicine or in or beyond the fourth year of the Program in Liberal Medical Education may apply to the Graduate School for admission to one of the Graduate Programs of the Division of Biology and Medicine. Enrollment in other Graduate Programs in the University is possible if the student meets the admission requirements of that program.
- b. Admission is limited to students who have a high record of academic performance, who have submitted a thesis research plan approved by a prospective thesis supervisor in one of the Graduate Programs, and who are recommended by the appropriate Graduate Program Admissions Committee and the Associate Dean for Graduate Studies of the Division of Biology and Medicine.

B. Degree Requirements:

- a. Successful completion of eight courses, six of which are from the pre-clinical basic science courses normally required of the first year of the Program in Medicine (currently Bio-Med 117, 128, 130, 158, 181, 184 and 189), at least one thesis-research course and one 200-level course in a field relevant to the area of the thesis research. Medical students who have completed the two pre-clinical years in the Brown-Dartmouth Medical Program may substitute that course work for the six pre-clinical basic science courses, subject to the approval of the Dean of Medicine or his appointee for substantial equivalence of the program taken at Dartmouth to that taken by students at Brown. The thesis must be directed or co-directed by a faculty member in a Graduate Program at Brown University, and the 200-level course must be taken at Brown.
- b. Presentation of a thesis approved by two members of the faculty in addition to the thesis supervisor.
- c. Students are expected to meet all of the appropriate requirements of the Graduate Program in which they enroll.

II. Master of Science in Epidemiology or Biostatistics

The master's degree program provides a comprehensive introduction to the basic knowledge and methods in the area of the student's concentration. The program provides a strong foundation for individuals interested in a professional career in their field of expertise. Graduates are also well prepared for continued studies culminating in a Doctor of Philosophy.

⁹A 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."

A. Admission Requirements:

1. Applicants must have earned or be near completion of a B.S. or B.A. degree. In addition,
 - A. Undergraduate course biological sciences is advantageous, particularly for students in the epidemiology track.
 - B. All admitted students who intend to pursue the biostatistics track are expected to have working knowledge of multivariate calculus and elementary statistics, and proficiency with a computer program language or a statistical software package. A previous course in algebra is recommended.
2. Graduate Record Examination within the last two years
3. Three letters of academic reference

B. Degree Requirements:

Candidates for the Master of Science degree follow an integrated program of study comprising a minimum of eight semester courses and must prepare a master's thesis. Students in all tracks are required to take at least one course in epidemiologic methods (BC212, BC220) and the introductory sequence in biostatistics (BC213 and BC216). Remaining courses will be chosen primarily from the list of courses for the student's concentration, or from other graduate level courses at Brown, with the permission of the student's advisor. A degree of B or higher is considered a passing grade in all courses.

The master's thesis in the epidemiology track may consist of one of the following: 1) a theoretical or methodological advancement in epidemiologic or health services research methods; 2) a critical review of a substantive issue in epidemiology or health services research; 3) primary data collection or an analysis of existing data bases that provides new substantive findings.

The master's thesis in the biostatistics track may consist of one of the following: 1) a methodological advancement in biostatistical methods, 2) a further study of the properties of an existing analysis technique, or 3) development of a novel computer program.

An intensive one-year curriculum is available for students seeking a professional career in biostatistics immediately after receiving the MS degree. Such students are urged to consider the one-year intensive curriculum. Training for this intensive program begins in September and concludes at the end of July of the following year. Students must complete a minimum of four courses in each of the fall and spring semesters. The Master's thesis may be completed during the summer. An informal introduction to statistical programming is available for interested students during the summer before the beginning of their studies.

III. 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.

1. 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.
2. 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.
 3. 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.
 4. The equivalent of at least seven semester courses must be done in residence at Brown University.
 5. Students who have successfully completed the requirements exclusively with Brown courses offered at the Pfizer Central Research facility may earn the degree of Master of Arts in Biology.
 6. Normally, all work to be used toward fulfilling the requirements for a master's degree must be completed within a period of five years.

IV. Master of Arts in Teaching

1. The minimum requirements for the degree of Master of Arts in Teaching are the successful completion of no fewer than eight courses at the graduate level, with a minimum of seven to be taken in residence, including:
 - a. At least four courses in the teaching field or in related fields as designated by the department of the student's graduate major (no more than two of these may be thesis courses, at the option of the department); no more than four courses in the field of education, which may include one course in practice teaching.
 - b. For the MAT program in elementary education: eight courses in the field of education, including one course in supervised practice teaching.
2. Normally, all work to be used toward fulfillment of the requirements for this degree must be completed within a period of eight years.

V. Master of Business Economics

A. Requirements:

- a. This is a two-year professional graduate program offered through the Department of Economics. The degree requirement is 16 courses over a period of two years. In exceptional cases, with the permission of the Economics Department, up to four course credits may be allowed for work done elsewhere. At least one year of full-time work in residence is required. Entrants will normally possess a Bachelor's Degree with some background in Economics and Mathematics.
- b. The required core curriculum consists of the following courses
 - (a) Economic Theory 2
 - (b) Quantitative Methods 2
 - (c) Functional Business Fields 5
(Accounting, Marketing, Finance, Management)
 - (d) Advanced Special Fields (2 courses each) 4Electives and/or other requirements specified by the Economics Department will

complete the total of 16 required courses.

- c. All requirements for the program must normally be completed within a period of five years after entering it. Exceptions to this rule may be made only with the consent of the Economics Department and the Graduate School.
- B. Master of Business Economics Program Resolutions (adopted 5/6/80):**
- a. That the Provost and the Senior Vice President develop with the Department of Economics detailed financial projections for the MBE Program and that these projections shall be reviewed by the Corporation's Budget and Finance Committee. Further, that the Space Policy and Allocation Committee review the initial and intermediate space needs of the MBE Program and that the Corporation's Planning and Building Committee review those needs to the extent that they include new or renovated space. Further, that these revised cost estimates shall be reported to the Faculty and taken as the University's target for pledges to the MBE program.
 - b. That funds assigned to the MBE and available for expenditure for it shall be limited to those which are judged by the President to have been available for this program alone; and that there shall be no recruitment of the first class of students until one half of the full support needed is formally pledged.
 - c. That when gifts achieve the target figure required for the soliciting of applications for the first MBE class, a temporary faculty committee shall be appointed by the Faculty to investigate the possible resolution of outstanding departmental differences over the precise content of the MBE curriculum. Further, that the Committee will have only advisory power and will have eight members including two representatives from the Economics Department and one each from the following Departments: Applied Mathematics, Computer Science, Philosophy, Political Science, Religious Studies, and Sociology. The Committee shall submit a report on its findings both to the President and the Faculty within two months after its activation.
 - d. That the Faculty urges the Corporation's *Ad hoc* Committee on the MBE Program to seek expert advice from an experienced senior administrator in federal, state or local government on the question of the relevance of the proposed MBE curriculum to current government management and hiring practices.
 - e. That the Graduate Council create a permanent MBE Review Board to include faculty members from three different areas, the President, the Provost, and the Dean of the Graduate School, or the personally designated representatives of any of these administrative officers from inside or outside the University.
- Further, that the MBE Review Board submit each autumn a report to the Graduate Council and to the Faculty on the health of the MBE Program and any changes which might strengthen its stature within the limits of Brown's financial resources.

VI. Master of Fine Arts

The name of the Master of Arts degree in Creative Writing was changed to Master of Fine Arts, beginning in 1990. Requirements for the degree remained the same.

VII. Doctor of Philosophy

1. 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).
2. Candidates must devote exclusively to study at Brown University at least two semesters beyond the master's degree. During the year of residency, a student may not be employed by the University or hold a position elsewhere. With the approval of the

Graduate Council, however, assistants, half-time instructors, and teaching associates at Brown University may fulfill the residence requirements by carrying the equivalent of at least two semester course credits per semester over a period of four semesters.

3. The program of study must be planned in consultation with the department concerned and must be approved by the Graduate Council.
4. Experience as a teaching assistant is a valuable part of a doctoral candidate's program, particularly for those candidates who are preparing for a career in college teaching. Since it is not possible to accommodate all doctoral candidates as teaching assistants, service as an assistant is not a Graduate School requirement. Individual departments may require their doctoral candidates to serve as teaching assistants for appropriate periods.
5. 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 formally to beginning work on the dissertation. Candidacy is determined by the department of the degree and certified by it to the Graduate Council. Each department shall set a terminal date (for example, by December 15th during the fifth semester of full-time study or its equivalent in credits), to be approved by the Graduate Council, for certifying the candidacy of its students.
6. The candidate must present a dissertation on a topic related to a major subject which shall embody the results of original research and give evidence of high scholarship. The dissertation will be accepted only when approved by the professor under whose direction it is written and by the Graduate Council.
7. After the dissertation is accepted by the Graduate School and the candidate has satisfied whatever departmental requirements still remain, the candidate's department shall in writing advise the Graduate Council that all requirements have been satisfactorily completed and shall recommend awarding the degree.
8. 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 only with the consent of the department concerned and of the Graduate Council.

VIII. Ph.D. Program in Special Graduate Study

1. 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 Special Study. 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.
2. 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.

NOTE: This degree program was voted by the Faculty on May 4, 1971, as a recommendation to the Board of Fellows that approval be given to a Ph.D. program in Special Graduate Study for an initial period of five years.

It was also voted that the Graduate Council should make annual interim reports to the Faculty on the Ph.D. program in Special Graduate Study and present a final report and recommendations to the Faculty not later than June of 1976.

On December 7, 1976, the Faculty voted to recommend to the Board of Fellows for approval: That the legislation pertaining to Special Graduate Study be renewed without change and without definition of period. (The Board of Fellows subsequently approved.)

IX. Ph.D. in Epidemiology or Biostatistics

The doctoral program is intended for highly qualified students who plan to pursue a career that includes teaching and research in Epidemiology, Biostatistics, or Health Services Research. The major requirement for the PhD is the doctoral dissertation, the culmination of a program of original research. The dissertation presents the results of the research in a form suitable for publication in recognized journals, and it should make a substantial contribution to the field of the candidates concentration. Additional requirements for the PhD are specified below.

Admission requirements

Candidates for admission to the doctoral program must belong to any one of the following categories:

- 1) hold a Master's degree in the area of their chosen concentration or a closely-related field.
- 2) be near completion of a suitable Master's degree program
- 3) be applying for the Brown MD-PhD program.

In some cases candidates with an undergraduate degree can be admitted directly to the doctoral program, but they will not become PhD candidates before completing all the requirements for the MS degree.

Degree requirements

- i. Courses. A total of 16 courses is required for the PhD. Courses can be selected from offerings in the Department of Community Health as well as from other Brown departments, with the approval of the student's advisor. Sample curricula for the first 2 years of graduate study for students intending to enter the doctoral track are presented in section IV below. A grade of A or B is required in all courses.
- ii. Minor Subject. Each student is expected to become acquainted with an additional field related to his/her research interests. Knowledge in the minor field will be tested in the PhD qualifying examination.
- iii. Colloquia. Students are expected to attend the Departmental Colloquium. The Colloquium is intended to introduce students to research being conducted by faculty and other graduate students in the program, as well as to learn about the research of investigators outside of the University. Students in Biostatistics are also expected to attend the Brown Statistics Seminar, which features talks on current developments in statistical methodology by researchers at Brown and elsewhere.
- iv. Dissertation Research. Students will normally begin a research project during their second semester in residence as PhD candidates. The formal process for the degree has the

following steps:

a. Written qualifying examination: The examination is offered in January and June of each year and covers the material in the required courses of the particular track as well as knowledge in the student's minor field. A student who fails the examination for the first time will have one additional opportunity to retake the examination and receive a passing grade within the subsequent one-year period.

b. PhD Dissertation Proposal: After passing the qualifying examination, PhD candidates are expected to present a dissertation proposal and select a dissertation committee. The committee will consist of the advisor and at least two additional faculty in areas related to the student's research. The committee is responsible for approving the dissertation proposal.

c. Format of the Dissertation: The dissertation must be prepared in the form of a compendium of three publishable papers. After a successful defense, the Dissertation must be submitted to the Graduate School on schedule and in the specified format.

d. Readers of the Dissertation: In addition to the Chairman of Dissertation Committee, the dissertation will be read at least by two members of the faculty who were not directly involved in the research. At least one of the readers will not be a member of the Dissertation Committee. At least one reader will be from an institution other than Brown.

e. Dissertation Defense: After the dissertation has been accepted by the readers and all other requirements for the PhD degree have been completed, the student will deliver an oral public presentation of the dissertation followed by a defense to members of the Dissertation Committee, the readers, and other interested faculty.

X. 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 100-level or above for graduate credit, or the student must have registered for extra work for graduate credit (credit type "E") with the instructor's permission, as 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 School of Medicine

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

I. Doctor of Medicine

1. The School of Medicine is a four-year program in general medical education.
2. Every candidate for the degree of Doctor of Medicine must complete satisfactorily at least the last two years of the School of Medicine 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.
3. The curriculum of the School of Medicine 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.
4. The School of Medicine 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).
5. Students admitted into the PLME are selected from among those admitted to the freshman class at Brown University.
6. 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.
7. Students, other than those in the PLME, who possess a baccalaureate degree and who have fulfilled the necessary premedical requirements may be admitted to the first year of the School of Medicine. These students are to 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 School of Medicine. Students from any college or university may apply for acceptance into the first year of the Brown University School of Medicine and the Graduate School as M.D./Ph.D. students.
8. Students enrolled in other medical schools may apply for transfer into the third year of the School of Medicine.
9. Students in the Brown-Dartmouth School of Medicine are expected to transfer into the third year of the School of Medicine from the Dartmouth Medical School when requirements for the first two years of medical school are fulfilled.
10. A candidate for the degree of Doctor of Medicine must complete all the requirements for that degree within six years of admission to the School of Medicine. 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 School of Medicine. 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.
11. Those students who have successfully completed the academic requirements of the School of Medicine and have been approved by the Faculty Medical Committee on Academic Standing of the School of Medicine 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 School of Medicine or after their junior year in the Program in Liberal Medical Education at Brown 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 School of Medicine 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 School of Medicine.

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 School of Medicine 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 or Master of Medical Science degrees. 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. or M.Med.Sci. degrees.

Part 3
Rules Governing Academic Programs
Section 7. The Academic Calendar
(effective 1983-84)

I. Principles Governing the Academic Calendar

A. Semester I

1. Wednesday before the first Monday in September (Labor Day). Orientation begins.
2. Tuesday following the first Monday in September. Opening of the (year minus 1800 plus 37) Academic Year (Convocation).
3. Second Monday in October (Columbus Day Holiday). No University exercises.
4. Third Saturday in October. Mid-semester.
5. Wednesday (noon) to Monday (8:00 a.m.), including fourth Thursday in November. Thanksgiving Recess.
6. December 7 (or December 6 in years when December 12 or December 20 falls on a Sunday). Beginning of Reading Period.
7. December 11, 6:00 p.m. (or December 10 when December 12 or December 20 falls on a Sunday). Classes of Semester I end.
8. December 12 (or December 11 when December 12 or 20 is a Sunday). Beginning of the Final Examination Period.
9. December 20 (or December 19 when December 20 is a Sunday). End of Final Examination Period.
10. January 5 (or preceding Friday when January 5 falls on a weekend). First semester grades due.

B. 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. 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.

C. *Summer Session*

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

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 8. Registration in Courses

I. Required Course Load

1. Each student is required to take from three to five courses each semester. Four courses per semester is considered the normal course load. 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 Dismissal. 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 third 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 9. 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. All Modes of Thought courses will be graded on a "Satisfactory/No Credit" basis only. Instructors of MT courses shall be responsible for providing Course Performance Report forms to all students who request them.
4. Other courses may be designated to be graded on a "Satisfactory" basis for all students enrolled, on the initiative of the instructor. The designation of a course by an instructor to be graded S/NC only must be announced no later than the first day of classes and entails the responsibility for providing Course Performance Report forms to 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 S/NC only, with an appropriate explanation of the symbol provided.
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 6 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 who elect to take a course on a Satisfactory/No Credit basis may request the instructor to complete a Course Performance Report form. This request has to be made prior to mid-semester. The instructor may decline to submit such a form if it is believed there is inadequate information to do so. 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.

4. 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. Concentration Evaluations**
1. A student may request a written evaluation of performance in concentration, which will consist of his or her own statement and an evaluation prepared by an appropriate faculty member. Points to be included may be: any special characteristics of the concentration program; information on the student's performance in the concentration program which may not be fully reflected on the student's official transcript, such as the interest and motivation of the student, the probable capacity for more advanced work, the ability to conduct research, and so forth; and a comment describing the bases on which the evaluation was prepared.
 2. If the student elects to have a concentration evaluation prepared, he or she will submit a concentration evaluation form, available from the Registrar, to the concentration advisor by the end of the first week of the final semester. The student will include his or her own statement and the names of three or more faculty members familiar with his or her performance in concentration. One of the three may be the concentration advisor if appropriate. The concentration advisor will be responsible for the completion of the form by the end of the student's final semester.
 3. An academic department or committee (for standard concentration programs) or concentration advisor (for independent concentration programs) must provide a concentration evaluation upon request, provided that the student has enrolled in a senior seminar, completed a thesis, taken a special examination, or enrolled in a suitable independent study, unless the department (or committee or advisor) finds that it already has enough information to write a meaningful concentration evaluation without such additional work by the student. If sufficient information will not be available, the department (or committee, or advisor) shall so notify the student, upon receipt of the initial request.
 4. Copies of the concentration evaluation will be made available to:
 - a. the student,
 - b. the Dean's Office, and
 - c. the student's concentration advisor.
 5. While not part of the official record, concentration evaluations may be sent out of the University at the student's request as information on his or her work at Brown University.
- D. 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.

E. 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 University School of Medicine. 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 receive 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

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

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 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.M.Sc. program.

V. Examinations and Written Work

A. Final Examinations

1. A final, written examination (at the end of each semester) shall be given in each course numbered under 200 unless the instructor of a particular course decides to use some other mode of final evaluation. If the written examination is not to be used, the mode of final evaluation which is to be used shall be made known to the students in the course no later than mid-term and, in addition, the Department and the College Curriculum Council shall be informed.
2. 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.
3. 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.
4. 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

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

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 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, or the Dean of Research. 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 10. Faculty Rules Pertaining to the Faculty & Students

I. Professional Affairs of the Faculty

A. *Grievance Procedures*

NOTE: Besides the grievance procedures described here the University has procedures related to violations of Title VI (race, national origin), Title IX (sex), Section 504 (handicapped) and the Family Education Rights and Privacy Act (student records). See Index of Motions, Resolutions, and Reports, Part 6, Section 13. Additional University procedures other than those described below may be available to faculty for resolving disputes, but no more than one procedure shall be active concurrently.

1. The Faculty Executive Committee (FEC) is designated as the Faculty's agent to resolve (recommend resolution of) charges of the following kinds:
 - a. A charge of one of the following types by a faculty member that his or her rights during a term appointment or tenure have been violated by specified actions of a member or members of the teaching 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. discrimination based on race, sex, ethnic origin, sexual preference, religion, handicap, status as a veteran, or age, where the grievant is the individual discriminated against;
 - iv. abridgment of rights as members of the university community.
 - b. A contested charge by the President that specified actions by a faculty member warrant dismissal, during either a term appointment or tenure.
 - c. 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 teaching staff.

The Faculty Grievance Procedure is not intended to be an appeal procedure from decisions reached in other procedures; where other institutional procedures exist within the University to address the rights of members of the University community, these procedures take precedence. Also see Graduate Student Grievance Procedures, Section 10,II,A. and Medical Student Grievance Procedures, Section 10, II, B.

For the purposes of these grievance procedures the University employees who are considered to be faculty members include those research associates, lecturers, and others with similar titles whose work involves the teaching and research activities of the University but who do not have the title of the positions designated for voting and non-voting members of the faculty.

The grievance procedures outlined in these paragraphs shall not apply to hospital-employed and voluntary/adjunct/clinical faculty members of the School of Medicine since a separate grievance procedure exists for them (See Part 4 Section 10.I.A.4).

The Grievance Procedures described below are intended to promote resolution of disputes through mediation or arbitration. If this is not possible, the FEC shall advance the grievance to an independent hearing committee. The FEC shall seek to complete its role in the grievance process in a timely manner. Given that FEC actions are possible only during the academic year, grievances received close to breaks in the academic calendar may experience delays in procedures, and/or the FEC may elect to hold the grievance in abeyance until resumption of the academic calendar.

GLOSSARY:

GRIEVANT – the person(s) bringing a complaint

RESPONDENT – the person(s) charged with the complaint

PARTIES – The grievant and the respondent

RECIPIENTS – The President and/or the Corporation

FACULTY OFFICERS – Chair, Past Chair, and Vice Chair of the FEC

2. Procedures Governing Specific Charges:

a. Notification to the FEC:

The statement of a grievance shall be in writing, dated and signed by the person or persons alleging the grievance, and it shall be conveyed promptly to the FEC, which will act upon it so as to preserve confidentiality within the scope of the procedures below. The statement of grievance must be detailed and divided so that the validity of each item can be assessed independently; and for each item a specific remedy sought shall be stated. The statement of grievance may not be modified during subsequent process other than as provided in (b) below.

On how the FEC handles a grievance is described in (b) through (i):

b. Preliminary process – review for acceptability/mediation:

The FEC has the right to reject a grievance if it considers the matter spurious or minor, or so poorly expressed that the FEC does not consider the issues can be understood from the written expressions submitted by the grievant(s). Grievants may revise the statement of their grievance without prejudice at this stage. At the discretion of the FEC, a grievance may be directed first to mediation. Mediation is then attempted through the Grievance Mediation Subcommittee (GMS), a standing subcommittee of the FEC, acting over a period of time specified by the Chair of the FEC (typically 30 days but not to exceed 60 days from the date the FEC first refers the grievance to the GMS). The GMS shall informally and confidentially inquire into the situation and attempt a reconciliation of the differences between the parties to the dispute. The GMS shall seek to understand the dispute to see if a reconciliation can be reached between the two parties without the need for the FEC to make decisions as to a *prima facie* case or to set up a hearing committee.

If reconciliation does not prove possible, the GMS shall consider whether the matter is spurious, minor or both, and shall report to the full FEC on this account. This report shall complete the role of the GMS in the grievance. If it seems that reconciliation may well be achieved by a specific Arbitration Panel, consisting of a student or faculty representative of each of the parties and a chair appointed by the FEC, such a panel can be established. The Arbitration Panel shall be used only if all parties agree beforehand in writing to be bound by its conclusions. If arbitration is not pursued, the FEC shall decide if the grievance is spurious and/or minor, and either dismiss the grievance or proceed to a *prima facie* case determination, as detailed below.

c. Notification to the respondents:

If the FEC decides to proceed to *prima facie* case determination, then within 5 working days the FEC shall provide the respondent(s) written notification of the grievance and a copy of the written set of allegations previously given to the FEC by the grievant(s).

d. The *prima facie* determination:

If mediation fails and if the grievant wishes the matter to be continued, or if the FEC does not direct the matter first to mediation, the FEC must decide if a *prima facie* case exists. The term *prima facie* means simply “at first sight” or “before further examination”, and it denotes only that the grievant seems to have a serious complaint and evidence that supports the complaint before any contrary evidence has been considered. When the FEC determines that the grievant(s) has a *prima facie* case, it has determined only that the case must go forward. Deciding that the grievant(s) has *prima facie* case in no way judges the merits of the case and in no way determines who will ultimately prevail.

e. Notification of outcome of preliminary process to parties:

The FEC shall give prompt notice (within 5 working days) to the parties of the result of the *prima facie* determination. If it appears that immediate harm to an accused faculty member or others is threatened by the continuance in her or his duties, the FEC shall make sure the President is aware of the situation, and the President may suspend such person or persons from normal duties during the proceedings. However, the *prima facie* determination shall not be used as a basis for the suspension of salary.

f. If charges are being brought under 1.b, the statement made to the FEC and communicated to the respondent shall also stipulate that the charges are sufficiently grave to warrant dismissal if proven.

g. The FEC shall point out to the parties the assistance they may receive by having a faculty advisor and shall render help in finding such an advisor for any party that may request such help.

h. If at this stage, or any stage subsequently, the grievant elects to withdraw a charge, or the respondent elects not to contest the matter, the Faculty Executive Committee may decide whether or not to continue with the proceedings with whatever evidence may be available.

If a party refuses to participate, or to receive written communications from the FEC or subsequently from the ad hoc hearing committee, the proceedings will continue nevertheless.

i. The FEC shall form and charge the Ad Hoc Hearing Committee (AHHC) to handle all further faculty actions on the grievance. The FEC will nominate the members of the AHHC, normally five in number, being voting members of the faculty who have not been involved previously in the case. Nominations shall be communicated promptly in writing to the parties and shall include in every case a deadline, normally not exceeding one week, for parties to signify whether or not they make challenges to any of the members proposed.

During the selection process each party shall have a maximum of two challenges without stated cause. In this context, “party” means the individual or group making allegations or against whom a specific allegation is made. If, in one grievance, different allegations are made against different parties, each of those parties can exercise up to two challenges, with the limitation that the total number of challenges without stated cause available to all (in aggregate) grievants and all (in aggregate)

respondents shall be equal and not exceed four in number. If challenges without stated causes are exhausted, a party can challenge with stated cause a designated member of the AHHC, and the remaining members hear the challenge on its merits. If it is found that any member of the hearing committee is unable to serve the duration of the hearing, after the selection process has been completed but before the hearing has begun, he or she may be replaced on nomination of the FEC subject to challenge by any party with stated cause.

Once the AHHC has been formed, the FEC shall provide a charge to the AHHC consisting of written instructions on its responsibilities, a statement indicating which allegations by the grievant(s) the FEC considers grievable, and a copy of the written set of allegations previously given to the FEC by the grievant(s). The FEC shall provide copies of this charge to the parties involved.

Transmittal of the charge to the AHHC and the parties completes the role of the FEC in the grievance procedure. The FEC and its members (except those party to or otherwise involved in the grievance and who have recused themselves from FEC actions on it) shall not participate in any further AHHC actions. No FEC members shall further advise the AHHC or any of its members on matters relating to the grievance before it. The AHHC and its members shall not request information, material, or testimony relating to the grievance from the FEC or any of its members.

Actions of the ad hoc hearing committee (AHHC) are described under (j) through (s) below:

- j. Formal hearings shall be carried out by the ad hoc hearing committee. This AHHC shall elect a Chair, who retains the right to vote, from among its members. A quorum, being no less than one less than the total number of faculty on the AHHC, shall be set by the hearing committee in advance of the first hearing. If necessary, the AHHC may elect a Chair *pro tem*.
- k. The AHHC shall determine the rules and order of procedure in hearings, subject to these conditions: (1) The President or his designated representative shall have the option of attending all the hearings; (ii) The AHHC may, if it deems best, admit a non-voting student participant (who is allowed to participate in questioning the parties – and, at the discretion of AHHC, may participate in discussions of the AHHC after hearing evidence and argumentation); this student participant will be an undergraduate when an undergraduate is the grievant, a graduate student when a graduate student is the grievant, and a medical student when the medical student is the grievant; (iii) If the respondent party or parties agree, the AHHC may – but at its discretion need not – permit each party to invite not more than six non-participating observers to attend the hearings, provided that no observer shall attend as a representative of any news media; no observer shall be a party; (iv) The committee 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 obtain reliable evidence and to safeguard the rights to fair hearing of each party; (v) A record of the hearings shall be maintained (a tape recording is acceptable if oral participants identify themselves for the record at regular intervals); (vi) All participants shall avoid public statements and publicity about the case until the full process, including actions by the President and/or Corporation, is completed.
- l. The Chair of the AHHC shall: (i) ascertain that the respondent has received the written charges; (ii) notify both parties in writing of the general procedures; (iii) notify both parties of their rights in the hearing; (iv) obtain from the grievant a written summary of the evidence he or she intends to present and a list of witnesses

to be called; (v) obtain from the respondent a written response and a provisional list of witnesses to be called; (vi) determine, with 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 21 days after the respondent receives the charges, unless an earlier date is agreed upon by all concerned.

- m. During the hearings, each party shall represent herself or himself. Although he or she may have the presence and assistance of an academic and/or legal counsel, that person may not represent them at the hearing. The University will not pay for counsel should parties choose them. Each party shall enjoy all reasonable help from the AHHC in securing the attendance of witnesses and in obtaining necessary documents and evidence. When a witness cannot or will not appear, but the AHHC determines that the witness' statements are vital to fair consideration of the issues before it, the AHHC will attempt to obtain a statement from the witness.
- n. The basic procedure of a hearing is that the ad hoc hearing committee asks the questions and that all testimony is directed to the AHHC members. Parties may ask questions of witnesses through the AHHC, or directly if the AHHC and the witness assent. The normal sequence of hearing is that the grievant(s) present evidence and testimony in support of their allegations, and the respondent(s) present evidence and testimony in rebuttal. The parties shall have the opportunity to testify orally, to argue orally before the AHHC, and to submit written statements, but with exemption from testifying against herself or himself involuntarily. The parties may be present when such testimony is given and may request the AHHC to ask specific questions on their behalf, or ask questions directly if the AHHC and witnesses assent. The AHHC may call witnesses in addition to those called by the parties; the parties retain the same rights as apply to witnesses called by the parties.
- o. If any person other than a member of the AHHC is asked to communicate with the parties or witnesses, the person shall be asked at the time of the request to submit copies of written communications to the AHHC.

On Reporting by the AHHC:

- p. 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 both parties. 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 President. However, if the latter is the complainant or the respondent the report shall go to the Corporation with respect to such issues as may relate to the President. At the same time as a copy is provided to the recipient (President or Corporation), each party to the dispute shall be given a copy of the report. Either party may submit a written statement directly to the recipient for his or her consideration, within a period of time to be specified by the recipient (normally not exceeding 10 days).

On Reviews and Accountability:

- q. If the President or the Corporation does not accept the findings or recommendations of the ad hoc committee, the recipient (President or Corporation) must so inform the AHHC with explanation in writing, and the AHHC may respond to the recipient's report.
- r. If both parties to the dispute agree, the committee's report and accompanying statements shall be made available to the Faculty for information. Such report, however, shall be made available only with respect to such issues as relate directly to

the resolution of the charges. Care shall be taken not to release confidential information regarding other persons.

- s. If one of the parties discloses to the public information related to the grievance or its handling in the procedure, the entire AHHC report and response of the President or Corporation may be released by the AHHC, unless the other party objects, subject in any case to not releasing confidential information regarding other persons.

On Other Charges:

- t. A charge by the President that specified actions by a faculty member warrant dismissal, during either a term appointment or tenure.
 - i. When circumstances require the President to recommend to the Corporation the dismissal of a non-tenured faculty member before the expiration of a term appointment or the abrogation of the tenure of a faculty member, the President shall give the faculty member written notification of the intended termination and of the reasons for the termination.
 - ii. If the faculty member protests the decision, the President or a designated representative shall confer with the Faculty member in an informal attempt to resolve the disagreements.
 - iii. Members of the Faculty may be called upon, by mutual agreement of the President and the faculty member, to assist in an attempt at informal resolution.
 - iv. If a mutually satisfactory adjustment cannot be reached, the President or the President's representative shall, in consultation with the faculty member, define the issue to be resolved as precisely as possible and the matter shall be referred to the FEC for hearing in accordance with Procedures Governing Specific Charges outlined above.
- u. 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 teaching staff, until other appropriate procedures have been approved, shall be governed by the Procedures Governing Specific Charges outlined above.
- v. A charge of sexual harassment against a faculty member.
 - i. If an alleged victim wishes to pursue a complaint beyond discussion with a hearing officer, the alleged victim must file his or her complaint in writing with the Provost (or person appointed by the President). Where appropriate, the Provost will keep the President informed.
 - ii. After a written complaint has been filed, the faculty member informed in writing of the allegation shall be asked to meet with the Provost. The faculty member shall have the right to bring a counsel to the meeting. The Provost shall determine who else will attend this meeting.
 - iii. At the meeting, the faculty member shall receive a written copy of the complaint and the name of the person filing the complaint. In very unusual circumstances, the Provost may choose not to include the name of the complainant. The faculty member shall have the option of utilizing the grievance procedures at this point or at any future time in the process.
 - iv. The alleged victim shall receive a copy of the complaint given by the Provost to the faculty member.
 - v. The Provost shall attempt to resolve the complaint as promptly as possible. The faculty member will be given a copy of any document which will be added to his/her personnel file and which is related to the charge of sexual harassment.

The faculty member may use the grievance procedure to appeal any actions taken by the Provost stemming from charges of sexual harassment. Such a grievance must be initiated by filing a formal written grievance to the FEC within 30 calendar days of the contested actions.

- vi. Should the faculty member utilize the grievance procedure, the name of the complainant must be given to the faculty member when an Ad Hoc Hearing Subcommittee is formed. The subcommittee may, at its discretion, close all meetings to non-participating observers.
 - vii. All other regulations and procedures outlined in the Grievance Procedures shall be followed.
3. Suspensions: The President shall use his 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.
 4. Grievances which concern a faculty member in the School of Medicine 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 Paragraph 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 School of Medicine, 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, 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 School of Medicine 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.

B. *Academic Freedom*

Academic freedom is essential to the function of education and to the pursuit of scholarship in universities.¹²

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.

C. *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: Regular and Special.
 - a. Regular part-time faculty shall be employed at least half-time, as defined by the contractual obligation of the University to pay their salaries. The duties and privileges of Regular part-time faculty members shall be prorated where possible (e.g. teaching, research, committees, advising, sabbatical, benefits). The titles of part-time appointees shall be the same as the titles of full-time Professors, Associate Professors, Assistant Professors, Instructors and Lecturers. They shall be voting members of the Faculty.
 - b. Special part-time 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. They shall be given the same notice concerning renewal of term contracts as other faculty members.
 - c. 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 School of Medicine. 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 School of Medicine.
2. Part-time Regular and Special 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.E) shall apply to part-time faculty. There shall be no other restrictions on the nature of the outside activities of part-time faculty.
4. The same standards of scholarship shall be required for the hiring, promotion and conferral of tenure for Regular part-time faculty as for full-time faculty.

¹² 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,B.

5. Changes in a Regular faculty member's fraction of employment may be made only by joint agreement among the department, the University Administration, and the individual. If a change is to be temporary, a written agreement shall be reached concerning the period for which the new arrangement will be in effect. The fraction of employment of each Regular part-time faculty shall be reviewed by his or her department every three years to determine whether the arrangement is still mutually satisfactory.

D. 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

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

- a. A written hiring plan is required to fill any appointed faculty position and must be approved by the AA/EEO Officer before any search takes place to fill such position. As soon as the Hiring Plan has been approved, it will be sent to the AMC in accordance with the procedures (see Part I, Section 2, III.G.).
- b. A search shall be required to fill the following faculty positions: full-time faculty, regular part-time faculty, special part-time 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. (For visiting and emergency positions, see c below).
 - i. A Center, Department, Division or Program must file a hiring plan along with its approved Faculty Personnel Authorization and conduct a nationally or internationally (where appropriate) advertised search to fill a full-time or regular part-time position.
 - ii. A Center, Department, Division or Program must file a hiring plan and conduct at least a modified geographical search to fill a special part-time or temporary position.
 - iii. 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 special part-time or temporary to full time or regular part time. The incumbent faculty member may become a candidate for the changed position along with other qualified candidates, but should not be pre-selected. (An exception to the policy against pre-selection may be made if the initial hiring plan and job information specifies that the position will change to full time at a designated date and all candidates are so informed.)
- 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 when a Center, Department, Division or Program wishes to hire a visiting faculty member, 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 affirmative action 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 Personnel Authorization 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 visiting faculty member without filing a hiring plan or conducting the required search for the position, as long as such a position is filled for no more than one year by such an appointment and as long as appropriate documentation is submitted to the AA/EEO Officer 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 an FPA 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 (CONFRAT, AMC, CMFA) and by senior academic administration as is the case for appointments following normal procedures. The President shall review and approve such an appointment before it is confirmed.
- d. The purpose of an affirmative action search is to 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 Dean of the Faculty and may bring a grievance case to the FEC according to the normal University Grievance Procedure (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 Dean of the Faculty 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 AMC, 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 Dean of the Faculty, 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 AMC review the complaint. If so, the AMC will proceed as specified above (Part 1, Section 2,III,G.).

3. Annual Reviews

The Dean of the Faculty shall annually write to all untenured faculty appraising 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, 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 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.

Such a review of an untenured faculty member's total performance will take place annually, but in some years it may coincide with the procedures for that academic unit's recommendation for contract renewal, promotion or tenure. In such years the review will

be conducted in time to meet University deadlines for the submission of these recommendations.

The academic unit Chair will meet with the untenured faculty member and present a 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 Dean of the Faculty.

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 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 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 criteria and standards will be applied consistently and uniformly. While the criteria and standards are not to be altered without approval by the Dean of the Faculty, or the Dean of Medicine and Biological Sciences (as may be appropriate) and the AMC and 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.

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 at least twelve months before the expiration of the term appointment, except that for individuals whose term appointments total three years or less, notice shall be given at least eight months before the expiration of the appointment. 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 such a recommendation is 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 Committee on Faculty Reappointment and Tenure, the individual also has the right to present written material in person and/or in writing to such Committee.

At a duly called meeting of the tenured (senior)¹³ 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 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 Dean of the Faculty and (if appropriate) the Dean of Medicine and Biological Sciences.

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 number of votes for and against and the reasons for the academic unit's decision. As outlined in the section concerning the Committee on Faculty Reappointment and Tenure, the individual also has the right to present written 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 November 1 of the sixth year¹⁴ of the candidate's probationary period (assuming a probationary period of seven years), the academic unit Chair, in consultation with the candidate, shall select no less than a three person "tenure committee" to guide the evaluation procedure (the "tenure committee" shall be smaller if there are fewer than three tenured faculty within the academic unit). 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.

¹³In the case of promotion from Associate Professor to Professor, the group acting to make a recommendation consists of the Professors of the academic unit. A full description of the procedures to be followed in the case of promotion from Assistant Professor to Associate Professor with tenure will be the subject of a separate recommendation to the faculty.

¹⁴The current Corporation policy with respect to how this time is counted (Faculty Rules, 2.1--15 March 1988, p.100, #8) reads "Untenured faculty members may serve no longer than seven years of full time faculty service or its equivalent in tenurable ranks at Brown University." How this statement is construed as to whether leaves count as "full time faculty service or its equivalent in tenurable ranks at Brown University" is a matter of department policy, so long as that policy is consistently applied. Candidates should clarify how their time is being counted with their Department Chairs.

- ii. As soon as the “tenure committee” has been selected, which is normally during the first week in November, 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 November 1 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) *letters of reference, 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 candidates service to the University;*
 - 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 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 Deans of the Faculty and/or Medicine and Biological Sciences. The “tenure committee” will make these materials available (publications and teaching evaluation materials) to the Committee on Faculty Reappointment and Tenure on request.
- v. Not later than December 1 of the sixth year, the candidate shall supply the “tenure committee” with a list of distinguished outside scholars who are well acquainted with his or her scholarship. At the same time, the “tenure committee” may select other 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. Before writing these individuals, the Chair of the “tenure committee” shall inform the candidate of the additional names, and the candidate may lodge such objections as he or she may have not later than December 15 of the sixth year. The “tenure committee” shall write to a number of persons suggested by the candidate, as well as those added by the “tenure committee,” for confidential letters of reference. In consultation with the candidate, the Chair of the “tenure committee” shall decide on how many people will be asked to serve as referees.

At least five letters should be received from individuals who are not on the Brown faculty.

- vi. A statement of the contents of the dossier (including the names of all referees but not the contents of their letters) shall be given to the candidate no later than February 1 of the sixth year, so that the candidate may complete or supplement it with additional material, if necessary.
- vii. 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 February 15 of the sixth year.
- viii. 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. The candidates' dossier shall be sent to those tenured faculty members in the academic unit not in residence not later than March 1 of the sixth year. Copies of any of the materials or publications held by the "tenure committee" shall be sent to such members on request. 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 March 15 of the sixth 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 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 Committee on Faculty Reappointment and Tenure. This recommendation shall be made in writing and indicate the quorum the Department has established as necessary to make such decisions.
- 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 Committee on Faculty Reappointment and Tenure no later than April 1 of the sixth year.
- iii. The following documents shall be forwarded to the Committee on Faculty Reappointment and Tenure:
 - a) *the candidate's dossier (as specified above);*
 - b) *the Department's recommendation, including reasons, and in the case of a negative recommendation 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. For promotions to tenure, a statement that an opening exists at that level, according to the academic unit's staffing plan and needs, must be provided. If no

opening exists, a careful and thorough statement why this case requires an exception in the interests of both the academic unit and the University as a whole must be offered.

- ii. 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.*
- iii. 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.*
- iv. An assessment of the candidate's personal and intellectual service to both Department and the University.
- v. 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 originals and eleven collated copies of the materials described above, a properly filled-out status sheet, 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 Committee on Faculty Reappointment and Tenure. 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.

7. 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.

E. *New Departments, Programs, and Centers*

The Faculty recommends to the President that the following procedures be observed for reviewing proposals for new departments, programs, and centers, which will offer degree programs:

1. The Academic Council shall inform the Faculty Committee on Educational Legislation (FCEL) of all proposals for department status at an early stage of consideration.
 - a. The FCEL may request the Academic Council to initiate a review of the proposal by an external review committee, the report of which would be made available to the FCEL.
 - b. The FCEL, in accordance with rules pertaining to all faculty committees, shall inform the Faculty of questions being considered in a timely fashion; make reasonable effort to obtain as open and as informed discussion as possible among all concerned members of the University community; and report its recommendations to the Faculty at its regular meeting. The Faculty may simply receive the FCEL report, or vote to approve or reject the recommendations contained in it. The results of this vote shall be forwarded along with the FCEL report to the Academic Council.
 - c. The Academic Council shall consider the recommendation of the Faculty before it makes a final determination on a proposal for establishing a department.
2. The Academic Council shall inform the Faculty Committee on Educational Legislation (FCEL) of all proposals for programs and centers, which will offer degree programs, at an early stage of consideration.
 - a. The FCEL may request the Academic Council to initiate a review of the proposal by an internal review committee, the report of which would be made available to the FCEL.
 - b. The FCEL, in accordance with rules pertaining to all faculty committees, shall inform the Faculty of questions being considered in a timely fashion; make reasonable effort to obtain as open and as informed discussion as possible among all concerned members of the University community; and report its recommendations to the Faculty and to the Academic Council.
 - c. The Academic Council shall consider the recommendation of the FCEL before it makes a final determination on a proposal for establishing a program or center.

F. *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 which 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 which have been funded by an outside source.
3. Establish an open file of all funded proposals (deleting confidential financial information) which 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 effected 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. And 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 effected 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 update 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:
 - a. 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 Dean of the Faculty or the Dean of Medicine and Biological Sciences, and the AMC. 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 AMC; see above.)
 - b. 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 Dean of the Faculty or the Dean of Medicine and Biological Sciences, and the AMC 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 the AMC. In the event the appropriate Dean or the AMC 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, like the policy statement,¹⁵ are to be made known to all Brown students and all organizations which seek to recruit on campus.
2. The phrase in the policy statement "The Students' freedom both to consult with such representatives and also to express their views about the institutions represented" protects the right of students to seek employment interviews and to express their views concerning the recruiting entities, in legal ways that do not infringe 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. Career Planning Services 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 Career Planning 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 Career Planning Services. 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. Career Planning Services will schedule each informational session in the largest room available in Pembroke Hall not already allocated for another use. If no space is available in Pembroke Hall, space that does not exceed the equivalent in size may be used elsewhere on campus. An adequate number of seating spaces will be reserved at the front of the audience for students who have signed up for interviews. Other members of the university community will be welcomed to the sessions to the extent of the remaining seating capacity of the room.
7. 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.

NOTE: Faculty motion passed December 3, 1985. Also, see Section 11.I.I., Corporation Policy Statement Regarding Placement Interviews.

¹⁵ See Part 5, Section 11, I,I,6.

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 recommends that the following paragraph be added to the University's statement on non-discrimination:

A. Policy of Nondiscrimination in Programs and Activities

(As amended by the Advisory and Executive Committee of the Corporation, December 8, 1989, and ratified and approved by the Corporation, February 10, 1990)

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

B. Policy of Nondiscrimination - Employees

(Adopted by the Advisory and Executive Committee of the Corporation, September 9, 1977, and ratified and approved by the Corporation, October 15, 1977)

Brown University does not discriminate against any person because of race, color, religion, age, national or ethnic origin, handicap, status as a veteran, 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 11. 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 Committee on Faculty Reappointments and Tenure, is found in 2,VI,E, 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 at the stipulated age.
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 10,I,A.
3. Nothing herein contained shall limit the right of the Corporation to remove any member of the Faculty for adequate cause. When a case of this sort occurs, a Committee of the Faculty shall be elected by the Faculty to advise the Corporation.
4. Adequate cause for dismissal of an individual during either a term appointment or tenure refers to demonstrated incompetence, to dishonesty in teaching or research, to substantial and manifest neglect of duty, or to personal conduct which substantially impairs the individual's fulfillment of institutional responsibilities. The burden of proof in establishing cause for dismissal rests upon the University.
5. 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.
6. 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.
7. 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, Research Associate; and those with

the designation "Visiting," Adjunct," (Research), "Investigator," "Senior Investigator," "Associate," and those appointments in the Division of Biology and Medicine 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.
8. Untenured faculty members may serve no longer than seven years of full-time faculty service or its equivalent in tenurable ranks at Brown University. After seven 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. An interruption of a term of service for medical reasons, no matter what its length, shall not be counted as part of this seven-year probationary period.
9. 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 three years.
10. 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 an Advisory Committee on Faculty Reappointments and Tenure. Only the Corporation can grant tenure.
11. 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.)
12. 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 three 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.
13. 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 Committee on Faculty Reappointments and Tenure, 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.

14. 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.

NOTE: The Faculty have voted upon procedures for implementation, to be incorporated into the *Faculty Rules* and with the expectation that these will be recorded in the Handbook of Academic Administration, at a meeting of the Faculty on May 14, 1991 describing the Committee on Faculty Reappointment and Tenure (CONFRAT), the Affirmative Action Monitoring Committee (AMC), Hiring Process, and Teaching Evaluation; see also Faculty Executive Committee, Nominations Committee, and Grievance Procedures.

B. *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 campus,¹⁶ 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.

C. *Definition of Policies Concerning Sabbatic Leave of Members of the Faculty*

Sabbatic leave is granted to members of the Faculty as a 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 recuperation.¹⁷

¹⁶Reference to the rights of students to invite speakers to the campus refers to recognized student groups.

¹⁷Amended by the Advisory and Executive Committee of the Corporation, December 13, 1963, March 12, 1965, January 14, 1966, and November 13, 1970.

1. Eligibility and Opportunity for Sabbatic Leave

Sabbatic leave is granted only to those of professorial rank (assistant professor, associate professor, professor) 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.¹⁸

2. Periods of Leave, Compensation During Leave

Sabbatic leave may involve absence for an entire academic year (or for two semesters), during which period the professor or officer shall receive one-half 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.¹⁹

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.²⁰

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 requiring less than six previous years of full-time service 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 program.²¹

¹⁸As amended March 12, 1965.

¹⁹As amended November 13, 1970.

²⁰As amended December 13, 1963.

²¹Voted by Advisory and Executive Committee of the Corporation, January 14, 1966.

D. Policy on Retirement Benefits

1. Policy on Early Retirement Benefits

a. General Conditions

The University has adopted this policy to provide supplemental early retirement benefits and compensation to eligible faculty members who retire with the University's consent. The University may provide additional or alternate early retirement benefits or compensation outside this policy to any employee.

The policy shall be administered by the Provost, whose decisions and interpretations of the policy are final. The University has the right to modify or terminate this policy at any time, but any modification or termination shall not affect the rights of tenured faculty who have already retired under it.

Application for early retirement must be made to the Provost by December 1st preceding the fiscal year in which retirement is to occur. Early retirement under this Policy shall take effect on the first day of the fiscal year, which shall be the faculty member's early retirement date. No early retirement benefits shall be payable to any person upon, after, or on account of the death of a faculty member.

b. Definitions

- i. "Discipline" means the humanities, the social sciences, the physical sciences or the life and medical sciences.
- ii. "Base salary" means, for each fiscal year (July 1-June 30) in which early retirement benefits begin to be paid, the greater of (a) the faculty member's salary for the prior regular academic year (whether paid in 9 or 12 monthly installments) increased by the average percentage salary increase projected for members of his or her department for the fiscal year in which such payment begins, or (b) the median faculty salary at the University (for the fiscal year in which such payment begin) of those faculty members of the same rank and discipline as the retiring faculty member.

c. Early Retirement

- i. A full-time tenured faculty member who has attained age sixty (60) and who has completed at least fifteen (15) years of services with the University, may request early retirement benefits under this Policy.
- ii. Initial annual early retirement benefits shall equal thirty percent (30%) of the faculty member's base salary.
- iii. During each succeeding fiscal year of the faculty member's entitlement to early retirement benefits, the amount of annual benefit shall be five percent (5%) greater than the previous year's early retirement benefit.
- iv. Early retirement benefits shall be payable on a monthly basis, and shall be paid until earliest of (a) the date which is three (3) years after the early retirement date, or (b) the faculty member's death.
- v. The University will continue to pay the cost of group medical insurance coverage for the retired faculty member while early retirement benefits are payable, to the extent it pays the cost of such coverage for similarly situated faculty. The University will continue to make retirement contributions on the faculty member's behalf (based on the dollar value of the faculty member's early retirement benefits) provided that the faculty member also makes the required contributions.

d. Coordination with Prior Policy

All early retirement benefits for faculty retiring after the effective date of this policy shall be paid in the amounts and at the times established by this policy; however, to the extent the same benefits would have been paid under the prior policy, such benefits shall be regarded as having been paid under the prior policy rather than this policy in order to preserve the favorable tax treatment of such benefits.

e. Effective Date

This policy is effective with respect to retirements scheduled to take effect after July 1, 1992. No early retirement benefits shall be payable under this Policy with respect to retirements occurring after July 1, 1995.

2. Special Retirement Arrangement for Tenured Faculty

a. General Conditions

The University has adopted this Arrangement to provide special severance benefits to eligible tenure faculty members.

The Arrangement shall be administered by the Provost. The Provost shall have the power to construe and interpret the provisions of the Arrangement, to decide all questions of eligibility, to determine the amount of any benefits to be provided under the Arrangement, and to establish any rules and procedures to carry out the Arrangement. When making a determination or calculation, the Provost shall be entitled to rely upon information furnished by a participant, the University, and/or any legal counsel to the University.

The University through the action of the Corporation may adopt an amendment or termination of this Arrangement at any time. Any amendment shall be effective at such time as the Corporate action may specify, but in no event sooner than 60 days after the notice of adoption of the amendment is distributed to eligible faculty members. Failure to give notice of amendment or termination to any eligible faculty member shall not affect the effectiveness of the amendment with respect to other faculty members to whom notice is given. No amendment or termination shall affect adversely the benefits of any participant who has retired prior to the effective date of the amendment or termination. Unless otherwise specified in the amendment or termination, an amendment shall be effective with respect to all other faculty, including faculty who are eligible to participate in this Arrangement but have not actually retired on an optional retirement date prior to the effective date of the amendment or termination. An action to terminate the Arrangement prior to July 1, 1999 shall not affect the eligibility of any faculty member to retire under this Arrangement if such a member will have attained the age of 66 years and completed 20 years of service by the end of the calendar year in which the termination action occurs.

Unless the Arrangement is sooner terminated, the last optional retirement date under this Arrangement shall be June 30, 1999, and the Arrangement shall terminate on that date.

The plan year of the Arrangement is the calendar year.

Benefits under the Arrangement are payable exclusively from the University's general assets. Benefits under the Arrangement are not insured or guaranteed by any third party, including the Pension Benefit Guaranty Corporation.

The University has adopted the Arrangement subject to the condition that Parts 2 and 3 of Title I of the Employee Retirement Income Security Act of 1974 as amended (ERISA) are not applicable to the Arrangement.

b. Eligibility and Participation

Except as otherwise provided herein, any Brown employee who is a full-time tenured faculty member and who has attained the age of 66 and completed 20 years of active service as a faculty member at Brown University shall be eligible to participate in this Arrangement. No faculty member who elects to receive benefits under the Brown University Policy on Early Retirement Benefits shall be eligible to participate under this Arrangement.

A faculty member desiring to participate in this Arrangement must notify the Provost that he/she will retire from employment with the University on an optional retirement date. There are two optional retirement dates with respect to each eligible faculty member. The optional retirement dates are the first business day of January and June 30 of the calendar year next following the calendar year in which the faculty member first satisfies the conditions for eligibility. Any faculty member who would have satisfied the conditions for eligibility in a year prior to 1994, had the Arrangement been in effect, shall be regarded as first satisfying the conditions for eligibility in 1994.

A faculty member who fails to retire by June 30 of the calendar year next following the calendar year in which the faculty member first satisfies the conditions of eligibility shall cease to be eligible to participate in this Arrangement.

Application for benefits must be made to the Provost in writing at least 25 days prior to the optional retirement date selected by the faculty member. The Provost may prescribe the form in which the application must be made. By applying to participate, the faculty member agrees to retire from employment with the University on the applicable optional retirement date.

A faculty member may rescind his application by giving written notice of rescission within 21 days after the applicable optional retirement date. To be effective, written notice of the rescission must be received in a timely fashion in the office of the Provost by hand delivery, mail, express, telegram, or facsimile transmission. A faculty member who rescinds his application in the prescribed manner shall (i) be restored to the position from which he terminated just as though no retirement had taken place and (ii) be ineligible to participate in this Arrangement on any later optional retirement date.

c. Benefits

- i. Conditions under which benefits will be paid. An eligible faculty member who has accepted in writing the Provost's computation of his/her benefit, who is alive on the applicable optional retirement date, who retires from employment with the University on such date, and who does not rescind his/her application as described in section b. shall receive the benefits described in this section. The recipient must execute a form of waiver or release satisfactory to the Provost, waiving or releasing the University from any and all claims that may have theretofore accrued, including any claims arising under the Age Discrimination in Employment Act. The Provost may require a participant to acknowledge that he/she has not rescinded his/her application prior to releasing the benefit payment. If a participant dies after the applicable optional retirement date but before payment is made, the payment shall be made to the participant's estate.

- ii. Benefit. A participant shall receive a single cash sum equal to the sum of:
twice the participant's base salary;
plus \$10,500

The payment shall be made within 10 days after the expiration of the rescission period described in section b.

d. Definition and Interpretation

- i. "Base Salary" means, for each fiscal year (July 1 - June 30) in which an optional retirement date occurs the greater of (i) the faculty member's salary paid by the University for the prior regular academic year (whether paid in 9 or 12 monthly installments), or (ii) the median faculty salary at the University (for such prior fiscal year) of those faculty members of the same rank and discipline as the retiring faculty member and who first received a terminal degree within five years of the date the participant first received a terminal degree. For this purpose, "salary" means the annual stated rate of pay relating to the faculty member's position and does not include items such as benefits (including health coverage and retirement contributions) or additional pay for special projects or duties.
- ii. Discipline means the humanities, the social sciences, the physical sciences, or the life sciences.
- iii. Personal nouns and pronouns herein shall be construed as general and inclusive rather than exemplary, and the gender thereof shall not be construed as governing the gender of their referents.

e. Applications

A faculty member's application for benefits under the Arrangement shall be given full and fair review. The Provost shall compute the amount of the benefit that will be paid if the application is approved and notify the applicant of the amount. The applicant must indicate his approval of the amount to be paid as calculated by the Provost. If the application is denied, the Provost shall furnish the faculty member with a written notice of this denial setting forth:

- i. the specific reason or reasons for the denial
- ii. specific reference to those provisions of the Arrangement on which the denial is based;
- iii. a description of any additional information or material necessary to perfect the application an explanation of why such material or information is necessary; and
- iv. appropriate information as to the steps to be taken to submit the application for review.

f. Disputes

If a faculty member disagrees with any determination or action of the Provost or the University under this Arrangement, the faculty member may request the Provost in writing to review the determination or action. The request must be made not later than the earlier of (i) 60 days after the faculty member is provided notice of the determination or action, or (ii) 150 days after the end of the rescission period described in section b. A faculty member may review all pertinent documents relating to the determination or action as it relates to him or her and may submit any issues and comments in writing to the Provost. A request for review shall be given full and fair consideration by the Provost. Within 60 days after the Provost's receipt of the request for review (or within 120 days if the Provost notifies the faculty

member within 60 days of circumstances that prevent the Provost from completing the review within 60 days), the Provost shall notify the faculty member of the result of the review. The notification shall include specific references to the pertinent provisions of the Arrangement on which the result is based. If the Provost's decision is not furnished within the time period specified herein, the original determination or action shall be deemed affirmed.

g. Notices

Any notice or other writing required to be given by the Provost to any faculty member shall be deemed to have been given when delivered in person or, if addressed to the faculty member, when delivered to the University's internal distribution service, the United States Postal Service, or any express or messenger service. Any notice or other writing required to be given to the Provost shall be deemed to have been given only when the notice or other writing is received in the Provost's office.

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

NOTE: Recommended by the Faculty to the Corporation for adoption, June 2, 1967. On October 7, 1967, the Corporation adopted the statement and procedures as recommended. See also Section F, below, for 1989 adoption of policy applicable thereafter to officers of instruction.

1. Statement

- a. The University has many obligations to others including the obligation to provide leadership to the community in the maintenance of ethical standards in the highest academic tradition. These obligations can be fulfilled only by a high degree of personal responsibility, integrity, and the exercise of judgment on the part of each faculty member or officer of the University. Written policies and procedures are adopted to assist the individual in the exercise of his judgment, to provide a basis for communication between the individual and the University, and to demonstrate to others that the University is mindful of its legal obligations and moral responsibilities.
- b. The desirability of outside professional activities on the part of the officers of instruction and administration is recognized and should be encouraged. It is, however, important to restate the fundamental principle that a full-time staff appointment carries primary professional responsibility to the University.
- c. The value and importance of outside faculty activities is explicitly recognized in the long standing policy that a full-time faculty appointment carries with it the privilege of devoting to them an effort equivalent to not more than one day per week on the average. Any such outside professional activities which involve potential conflict of interest shall be disclosed. Such disclosure is designed to protect the faculty member. In many cases, the disclosure itself will eliminate the conflict.

2. Procedures

- a. The Faculty is informed of its obligations in the general area of conflict of interest through the minutes of Faculty Meetings where this subject is discussed and through the mailing to each faculty member of statements on policy and procedures adopted by the Faculty. New faculty members will be informed at the time of their first appointment. Reminders of these obligations may be sent out by the administration as they deem it necessary. Pertinent references to the matter will also be included in a faculty handbook and also stated in the rules of the Faculty.

- b. The burden of decision rests initially on the faculty member to determine whether or not an outside professional activity constitutes a conflict of interest. If the faculty member feels that a conflict exists he or she should act to eliminate it.
- c. In cases of doubt, he or she should seek the advice of the department chair and disclose the relationship in question. The faculty member will include a written description of the activity, the extent of participation (officer, director, consultant, advisory, part-time employee), and possible duration of participation. The Chair will countersign a copy of the report to indicate awareness of the activity and forward it to the Office of the President.
- d. The President will appoint an officer of the administration who will be primarily responsible for assisting faculty members and department chairs in matters regarding conflict of interest. If it is the wish of the individual or the department chair that a specific case be reviewed, the University will assist by providing at least a limited amount of legal counsel or will assist by putting the individual in touch with people who are knowledgeable in the specific areas involved in a particular case.
- e. If after using the procedure outlined in the above paragraphs c and d, there remains a dispute over a conflict of interest situation, the faculty member or the President may refer the case to the standing faculty committee on tenure (CONFRAT).
- f. The Provost will serve in a capacity similar to that described in paragraph d for administrative officers including department chairs.

3. Examples Providing Guidelines for Various Activities with Reference to Conflict of Interest

The following examples are intended to provide guidelines for the possible presence of conflict of interest. This is not intended as an exhaustive list.

a. Professional Activities Unlikely to Involve Conflict of Interest

The following are examples of types of activities which clearly fall within the ordinary scope of faculty activity, and normally do not result in a conflict of interest situation when not engaged in to an extent which interferes with the individual's primary responsibility to the University. Disclosure to the University of such activity is not required but may be made if the individual so desires.

- i. Consultant services making use of the individual's general research or professional background, where there is no possibility of preferred disclosure of privileged University information to an outside organization.
- ii. Service on boards and visiting committees of other educational institutions or nonprofit organizations.
- iii. Service on Government advisory committees where Federal regulations preclude conflict of interest affecting contracts or grants to the University.

b. Professional Activities Which Involve Conflicts

The following are activities of University employees out of which problems of conflict of interest will arise. The list is not exhaustive. Open communication and discussion should take place in case of doubt between the individual faculty member and his departmental chairman to determine whether an activity falls in this category.

- i. Influence on or participation in negotiation of a contract between the University and an organization in which the employee or a member of his immediate family has a substantial financial or other interest.

- ii. Use for personal gain of privileged University information, or assistance to an outside organization in obtaining a preferred position with respect to such information.
- iii. Consultant services to a Federal agency or a foundation which will give the University a preferred position with respect to grants or contracts.
- iv. Consultant services under arrangements with respect to inventions, patentable developments, copyrightable materials, or technical data or designs imposing obligations in conflict with University patent and copyright policy or with the University's obligations to a sponsor of research in which the individual participates.
- v. Receipt of outside remuneration and University remuneration for identical services or activities.

c. Professional Activities Raising Problems

The following are examples of types of activities which may or may not lead to conflict of interest depending upon the particular circumstances, and which therefore raise problems. Full disclosure and discussions should take place between the individual faculty member and his or her department chairman before making a commitment. If the faculty member or his or her department chairman feels that it would be desirable to do so, he or she may seek counsel from other University officers. Prior disclosure of the activity to the University is required.

- i. A consulting relationship with or a substantial financial interest in a business organization of which the University is a large customer, or which has as a large customer or sponsor a Federal agency which also sponsors the individual's University activities.
- ii. A consulting relationship with financial compensation with an organization from which the University derives substantial financial support for the individual's University activity, other than relationships with Federal agencies permitted by Federal regulations.
- iii. A consulting relationship with financial compensation with a Federal agency or other organization where the services or information being furnished might be interpreted as having already been furnished by the individual to the University.
- iv. A consulting relationship with a Federal agency or other organization under circumstances which might raise a question whether the individual can also meet his or her commitments to the University.

F. Policy on Duality of Interest or Conflict of Interest (the Corporation and Officers of Administration and Instruction)

Adopted by the Corporation: May 27, 1989

1. General Policy

All decisions and actions by members of the Corporation, officers of administration, and members of the faculty shall be made in a manner which promotes the best interest of Brown University and avoids the prospect of a conflict of interest. This policy shall be maintained by following practices of disclosure of affiliation and withdrawal from debate, voting, or other decision-making processes where duality or conflict of interest may exist.

2. Disclosure

Upon assuming membership on the Corporation or appointment to an administrative or faculty position each person shall submit to the Secretary of the Corporation a list of his or her affiliations with any person, firm, organization, or corporation with which he or she has reason to believe the University does business, any business affiliations which said member may have with any officer or employee of the University and such other information as may be necessary to comply with the policy. Each person shall be expected to amend the list from time to time as his or her affiliations or duties change. (For the purposes hereof, close relatives shall be regarded as though they were members or appointees.)

3. Participation and Voting

When a particular matter involves a person, firm, organization, or corporation with which a Corporation member has an affiliation, such affiliation shall be brought to the attention of the Corporation prior to any discussion or vote and shall be noted in the minutes of the meeting. The member involved shall refrain from participating in the discussion and from voting on the matter.

4. Officers of Administration and Faculty

The President shall issue disclosure and participation procedures which implement this University policy with respect to its application to officers of administration and faculty. Such policy shall provide, in part, that when a particular matter involves a person, firm, organization, or corporation with which a staff or faculty member has an affiliation, such affiliation shall be brought, in writing, to the attention of the appropriate Vice President, the Provost, or the President, and the individual shall refrain from all decision-making processes at Brown (or on behalf of Brown) relating to the firm, organization, or corporation.

5. Definitions and Procedures

- a. For the purposes of this policy, members of the Corporation, officers of administration, and members of the faculty shall be considered affiliated with an organization or corporation if:
 - i. the individual is an officer, director, partner, trustee, employee, or agent of such organization or corporation; or
 - ii. the individual is the actual or beneficial owner of more than one percent of the voting stock or controlling interest of such organization or corporation; or
 - iii. the individual has dealings with such organization from which he or she is knowingly materially benefited ("Material benefit" shall be an amount in annual aggregate of more than \$1,000, exclusive of dividends and interest.); or
 - iv. the individual's immediate family (spouse, brothers, sisters, parents, or children) may have voting stock or controlling interest or may derive material benefit.
- b. For purposes of this policy, affiliations with organizations and/or individuals which may present a conflict of interest under the aforementioned provisions A through D must be disclosed to the University.
- c. For purposes of this policy, all consulting agreements or arrangements, formal and/or informal, are subject to disclosure under provisions C and D.
- d. The Assistant Secretary of the Corporation shall maintain a file of information disclosed by members of the Corporation. The General Counsel shall provide a recurring procedure for the amendment of said information.

- e. All dissenting votes and abstentions from voting shall be routinely noted in the minutes of all meetings of the Corporation and its committees.
- Y. Issues arising under the application of this policy shall be resolved by the Chancellor and the President for members of the Corporation and by the President for members of administration and faculty.

G. Patent and Invention Policy

The following policy was approved by the Advisory and Executive Committee on May 8, 1981, and further amended and approved by the Corporation on May 30, 1981.

1. Preamble

- a. Brown University, with primary concern for the education and training of students and the advancement, preservation and dissemination of knowledge, recognizes that the various activities of its faculty, students, and employees may produce patents and inventions which further support these goals. The multiplicity and diversity of fields of endeavor, the complexities of technologies and the speed with which change presently occurs mandate the establishment of a coherent system which manages both the process of discovery and the fruits of those discoveries. Pursuant to that objective, a Patent and Invention Advisory Committee has been established to assist in the discharge of the duties and responsibilities of the University in examining inventions and similar creative processes arising within the University meeting.
- b. The considerations of the Patent and Invention Advisory Committee will be governed by these principles and directed to the basic objectives of this patent policy. Subject to strictures imposed by laws and regulations, it will be and is the University's policy to encourage research and scholarship by providing support to the research and scholar by protecting all the appropriate rights and privileges which have always existed in the pursuit of knowledge. At the same time, the University emphasizes the communal aspect of the world of scholarship and the fact that no single project or department, no matter how diverse, exists without relationship to other projects. Thus, this policy intends to foster the sharing of the fruits of discovery to support and encourage other discoveries both within and without related field.
- c. Finally, the University is aware that it has a very real duty to see that the beneficial products of its participation are extended to the society in which it functions. To that end, the University declares that it is its policy to make inventions developed in the course of University research available under those conditions that will most effectively promote their development and utilization.
- d. It is with the deepest commitment to the principles enunciated above that the Corporation of Brown University adopts the following policy.

2. Applicability

The following policy statements apply to regular academic and non-academic employees, postdoctoral associates, outside consultants to the University, and students, hereafter collectively identified as University personnel. These parties, in consideration of their affiliation with the University and the approval of this policy by the Corporation will handle inventions and patents resulting therefrom in accordance with this policy. The term "inventor," used throughout this policy, is intended to include one or more inventors. The term "invention" is intended not only to include patentable inventions, but also proprietary information relating to useful articles of commerce, including but not limited to computer programs, secret processes, etc.

3. Objectives

The basic objectives of this policy are:

- a. To maintain the University's academic policy of encouraging research and scholarship.
- b. To make inventions developed in the course of University research available for use by third persons under conditions that will promote their effective development and utilization.
- c. To provide recognition and incentive to inventors through a share in proceeds from their inventions.
- d. To advance and encourage scholarly pursuits within the University with the funds which may accrue to the University from the equity in inventions.
- e. To make reasonable and equitable provision for the granting of certain patent rights to outside sponsors of research within the University.

4. Policies Applicable under Externally Sponsored Research

- a. When the University and an outside sponsor enter into an agreement for research to be conducted with funds and/or facilities provided by such sponsor, any individual who utilizes such funds and/or facilities may be required to enter into an agreement as to inventions arising from such utilization.
- b. The University through its designated office (in consultation with the Principal Investigator) shall negotiate the patent clauses of sponsored research agreements, both on behalf of the University and Inventor, in accordance with this patent policy.
- c. University Personnel who are engaged in consulting work or in private business are responsible for determining that patent clauses in agreements resulting from consulting or private business are not in conflict with the patent policy of the University or with University commitments in sponsored projects. The Chair of the University Research Council and the Office of Research Administration will be available for advice and consultation upon request.

5. Patent and Invention Advisory Committee

- a. The President shall appoint a Patent and Invention Advisory Committee consisting of the Director of Research Administration, three faculty members, two staff members and two persons who are not members of the Brown University staff or faculty. The faculty and staff members shall serve staggered terms for three years each. The non-university members shall serve at the direction of the President.
- b. The Director of the Office of Research Administration shall serve as Chair of the Committee and shall convene the Committee for the purpose of carrying out its responsibilities under this policy.
- c. The Patent and Invention Advisory Committee shall make a report on each invention or matter referred to it for consideration and shall forward said report along with any recommendations to the President.

6. Policy for Establishing Equity of University and Inventor

The University will consider that it will have an equity in any invention/patent in accordance with the terms of this provision and Section 11.I.G.4. The equity of the University and the equity of the inventor shall be determined by the University in accordance with the terms in this provision.

- a. The determination of the University's equitable interest in any invention/patent shall be made by the President upon recommendation from the Patent and Invention

Advisory Committee. Normally, the University will claim an equity in any discovery or invention:

- i. involving the use of funds, space, or facilities administered by the University except that the payment of salary, scholarships, fellowships, or similar stipends by the University will not of themselves constitute a basis for establishing University equity, or
 - ii. which is connected with the regular duties or other assigned work of University Personnel.
- b. The University will also claim an equity in University-sponsored research when:
- i. the University has explicitly funded a project or otherwise supported a project in which a prior understanding existed regarding patent rights;
 - ii. an inventor(s) requests the University assistance in the administration of a patent and all parties agree in advance to an equity distribution.
- c. For any invention for which the University and inventor have an interest, the equity of the University and inventor shall be determined according to the following schedule:
- i. the first \$100,000 of net income shall be distributed equally between the inventor and the department of the inventor.
50% to the Inventor(s)
50% to the Department(s)
 - ii. net income in excess of \$100,000 but less than \$1,000,000 shall be distributed as follows.
25% to the Inventor(s)
75% to the University
 - iii. net income in excess of \$1,000,000 shall be distributed as follows
20% to the Inventor(s)
80% to the University
 - iv. net income shall be defined as income after all deductions of expense for processing and development.
- d. The Patent and Invention Advisory Committee and/or the President may hear any testimony and review any documentation it considers relevant to the investigation of equity. However, in each instance, the inventor shall be extended an opportunity to be heard.

7. Inventor Obligation

No assignment or license or agreement to assign or license any invention, patented or otherwise, in which the University has an equity, may be entered into by the University personnel without the written consent of the President or designee. The basic objectives cited in this patent policy will serve as the criteria for the University's approval of assignees and licensees. It is expected that the inventor will exercise judgment in good faith in determining whether the University may have an equity.

8. Special Cases and Arbitrations

If a special case should arise which is not specifically covered by this policy statement, the matter will be submitted to the University Research Council for resolution.

9. Administration of Patents and Inventions

- a. General

The President is responsible for the general oversight and administration of Brown University's Patent and Invention Policy as regards University personnel and outside sponsors. The Patent and Invention Advisory Committee is responsible for the processing and management of inventions and patents under the general oversight of the President.

- b. Disclosures
 - i. When a discovery has been made which might be subject to this agreement, this fact shall be communicated promptly to the Office of Research Administration.
 - ii. An invention disclosure describing the invention and including other related facts is prepared by the inventor. Copies of this form may be obtained from the Office of Research Administration.
 - iii. This disclosure will be submitted by the Office of Research Administration to the research sponsor, where provided by research agreement terms, along with an indication of development or patent application filing plans of the University or the inventor.
 - iv. The Office of Research Administration maintains central records of University invention disclosures.

- c. Patent Development Options

The inventor and the University have the following options for development of an invention. Patent terms of a particular sponsored research agreement may require or preclude one or more of these options. To be clear regarding obligations to the sponsor and to the University, the inventor should consult with the Office of Research Administration.

- i. Development by the Inventor - Inventors who wish to develop inventions at their own expense may request a waiver of University patent rights from the President through the Patent and Invention Advisory Committee via the Office of Research Administration as evidence of clear patent title. When the invention has been made under a research agreement with certain patent terms which permit the University to pass title to an inventor, it is generally necessary first to petition the sponsoring agency to obtain title. Government and other research sponsors normally require that
 - a) *The sponsor be advised of all patent actions including application serial number and filing date, granting of patent and patent number.*
 - b) *The sponsor be provided a royalty-free license to the invention.*
 - c) *An annual progress report on the development of the invention be provided by the sponsor.*
- ii. Development by the University - The University may decide to file a patent application at its own expense and pursue the licensing and/or assignment of said patent or invention. The University may elect to pursue the development of inventions under this agreement through the Brown University Research Foundation or through a recognized patent management company. The distribution of income shall be in accordance with this policy and shall be determined by the President upon recommendation from the Patent and Invention Advisory Committee.

- 10. This policy and all of its paragraphs and provisions shall be effective June 30, 1981 and shall apply to all faculty and staff members, and students *except* that paragraphs 6.a.i,ii

above, (b) shall not be applicable to faculty tenured as of June 30, 1981 unless such research is subject to conditions of paragraphs 6.b.i or ii above.

H. Corporation Rule Concerning Academic Costume

1. Members of the Faculty and any other persons officially connected with the University who have been recipients of academic honors from other colleges and universities in good standing may wear the Brown University academic costume corresponding to their degrees.
2. Members of the Faculty and other officers of the University not holding any academic degree shall be entitled to wear the Bachelor's gown and cap but no hood.
3. The official Brown University hood shall have a lining of seal brown with a single cardinal red chevron. It will also have a narrow piping of the same cardinal red material as the chevron.
4. The official Brown University Ph.D. gown shall be seal brown in color, with the usual black velvet panels and chevrons, trimmed with cardinal red piping. In addition, there shall be, at lapel level on both right and left sides, an outline of the shield of the University in cardinal red. There shall be an ornamental yoke cord seven inches in length attached vertically from the back of the neckline to between the shoulder blades, also in cardinal red.
5. The official Brown University Master's gown shall be seal brown in color with the new style full-length sleeves. At lapel level, on both right and left sides, there shall be an outline of the shield of the University and ornamental horizontal piping, both in cardinal red. There shall be an ornamental yoke cord seven inches in length attached vertically from the back of the neckline to between the shoulder blades, also in cardinal red.
6. The official Brown University colors are found in the Dictionary of Color, by Maerz and Paul: Seal Brown, page 39, plate 8, position E-10; Cardinal Red, page 33, plate 5, position L-5.

I. Policy Statement Regarding Placement Interviews

NOTE: On February 6, 1968, the Faculty recommended to the Corporation the statement on policy as noted below. On June 1, 1968, the Corporation approved the recommendation.²²

1. Brown University maintains as a service to students and alumni, placement offices where information is collected and initial contacts can be established between students and organizations offering employment or career opportunities. All organizations utilizing the facilities of the placement offices do so at the discretion of the University.
2. Free access by all students to interviews sponsored by the placement offices is a necessary aspect of the proper functioning of this service.
3. Educational institutions, foundations, and other non-profit organizations are encouraged to utilize the placement facilities to the fullest possible extent.
4. Legally constituted private organizations and corporations which have bona fide positions to offer are authorized to use the facilities of the placement offices for preliminary contacts with students.
5. Government agencies and the various branches of the armed forces are also authorized to utilize the facilities of the placement offices for the purpose of displaying information regarding their activities, and establishing initial contacts with interested students.

²²See Part 4, Section 10, II, G.

6. The Faculty urges the President to direct the placement offices to call visitors' attention to the University's policy with respect to placement interviews and to require those who conduct interviews to honor the policy set forth in the following statement.

Brown University welcomes, as guests, representatives of educational institutions, of private organizations, and of government agencies who wish to interview students, but regards the conduct of such activities on its campus as a privilege extended both to the student and to the prospective employer. Our tradition is one of freedom, and the University cherishes the rights to peaceful assembly, free exchange of ideas and orderly protest, which includes the students' freedom both to consult with such representatives and also to express their views about the institutions represented. All persons who come to the campus to conduct interviews are expected to honor this policy and to refrain from discrimination or reprisal against the students who may choose to exercise their rights, which it accords to them. It should be understood that the privilege of interviewing on the University campus may be withdrawn from institutions whose representatives are not able to honor the policy.

Brown University requests and expects those organizations with which it conducts its affairs to comply with Federal laws which prohibit discrimination.

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 appropriate Associate Dean of 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 Associate Dean of 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, 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 Dean of the Graduate School and Research, including the Associate Dean of Research and the Office of Research Administration. 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 procedure²³ with regard to any instances of alleged misconduct²⁴ fraud, or unethical behavior arising out of the performance of scholarly research²⁵:

1. The matter should be reported immediately to the Dean of Research who will be responsible for informing the chair of the department or division concerned.
2. The Dean 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 Dean, 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 Dean finds that there are no reasonable grounds to believe the allegations may be true, or, if true, the Dean 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 Dean's discretion to make public that which is appropriate to conclude the matter. If

²³This 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.

²⁴The 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.

²⁵Those 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.

dissatisfied, either party may appeal the Dean's decision on the allegations and on public revelation to the standing Subcommittee on Misconduct in Research of the University Research Council.

4. If the Dean 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 Dean shall make recommendations in the case to the President and will also notify any external agencies that may be involved. The Dean at his or her discretion may consult with the standing Subcommittee on Misconduct in Research of the University Research Council.
6. If the Dean 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 Dean 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 Dean will use the report as a basis for making recommendations to the President, whose decision is final. The Dean 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 Regulations*, 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 on 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 Dean of the Faculty*, 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 the Dean of the Faculty. 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

Tenable members of the faculty** 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 Dean of the Faculty. 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 Dean of the Faculty.

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 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 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 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. 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 for 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 for Academic Administration. Questions about specific responsibilities should be directed to the Chair or Director of an individual faculty member's academic unit.

* The Dean of Medicine and Biological Sciences is responsible for the administration of the Division of Biology and Medicine. Although faculty members in the Division of Biology and Medicine are expected to abide by the principles in this document, specific responsibilities are determined by the Dean to fulfill the mission of the Division.

**Lecturers and 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.

D. *Statement of Faculty Responsibilities for Faculty in the Clinical Departments of The School of Medicine*

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. More specific information may be found in the Faculty Rules and in the Medical School "Core Document-Statement of Faculty Organization, Standards and Criteria for Rank."* The Handbook on 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 Chairman or the Office of Medical Faculty Affairs.

Brown University School of Medicine 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 school of Medicine, 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 School of Medicine and the University. The policies are implemented by the Senior Administration (President, Provost, and Deans) to serve the mutual benefit of the University, School of Medicine, 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

* This document is available from Department Chairmen or at the Office of Medical Faculty Affairs (863-2198).

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 School of Medicine 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 *Faculty Rules, Handbook for 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 12. 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 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

Ancient Studies*	Judaic Studies*
Biomedical Ethics*	Languages, Center for the Study of*
Classics	Medieval Studies*
Comparative Literature	Modern Culture & Media
East Asian Studies	Music
Egyptology	Old World Archaeology & Art*
English	Philosophy
French Studies	Portuguese & Brazilian Studies
German	Religious Studies
Hispanic Studies	Renaissance Studies*
History of Art & Architecture	Slavic Languages
Italian Studies	Theatre, Speech & Dance

Visual Art

B. Life and Medical Sciences

Brain and Neural Systems*

Biology*

Cognitive & Linguistic Science

Gerontology and Health Care
Research*

Human Development (Child Study)*

International Health*

Medicine, School of

Artificial Organs, Biomaterials, &
Cellular Technology

Behavioral and Preventive
Medicine*

Biochemistry

Biomedical Engineering*

Community Health

Clinical Neurosciences

Ecology and Evolutionary Biology

Family Medicine

Molecular & Biochemical
Pharmacology

Molecular, Cellular and
Developmental Biology

Neuroscience

Obstetrics & Gynecology

Orthopaedics

Pathology & Laboratory Medicine

Pediatrics

Psychiatry & Human Behavior

Radiation Medicine

Surgery

Public Health Program*

Psychology

C. Physical Sciences

Advanced Materials Research*

Applied Mathematics

Chemistry

Computer Science

Dynamical Systems*

Engineering

Fluid Mechanics, Turbulence and
Computation*

Geological Sciences

Mathematics

Physics

D. Social Sciences

Africana Studies

Alcohol and Addiction Studies*

American Civilization

Anthropology

Comparative Study of Development*

Economics

Education

Environmental Studies*

Feinstein World Hunger Program*

Foreign Policy Development*

History

History of Mathematics

International Relations*

International Studies*

Latin American Studies*

Pembroke Center*

Political Science

Population Studies*

Race and Ethnicity in America*

Secondary Education*

Sociology

Taubman Center for Public Policy & American
Institutions*

Urban Studies

Section 13. Index of Motions/Resolutions and Reports at Faculty Meetings & Forums

NOTE: This index is intended to aid in keeping an historical record of the actions of the Faculty. 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*.

Key: (F) forum; (M) motion or resolution; (R) report; (C) action by the Corporation.

Part 1. Membership, Meetings, & Committees

Section 1. Membership & Meetings

- (F) Proposed Rules on Mail Balloting; 2/23/71.
- (F) Proposals by Committee on University Governance; 12/2/71.
- (M) To add "voting" before "faculty" in *Faculty Rules and Regulations*; 11/1/77; FPG.
- (M) Regarding changing of names of librarians and other offices; 11/1/77; FPG.
- (M) To add that whenever a substitute motion is longer than 200 words, notice must be given to the Faculty in advance of meeting at which motion is to be presented; 1/9/79; Professor Ladd.
- (M) To designate the University Librarian as a voting member of the Faculty; 4/10/79, 11/6/84; FPG.
- (M) Regarding written Memorial Minutes to be circulated with notice of Faculty Meeting instead of orally at Faculty Meetings; 4/13/82; FPG.
- (F) Committee Report on Recommendations on Faculty Governance; 3/13/84.
- (F) Committee on Faculty Governance Report
- Motions and Recommendations; 2/25/86.
- (R) Ad Hoc Committee on Faculty Governance; 4/24/84, 4/1/86.
- (M) That the Past Chair of the FEC shall attend meetings of the Academic Council; 4/7/87; FEC.
- (M) Revision of *Faculty Rules* regarding conflicts of interest in Committee membership and activities; 4/4/88.
- (M) Revision of Faculty Rules concerning eligibility for faculty committees; 5/25/90.
- (M) Grant voting rights to Emeritus Faculty who serve on committees or teach; 4/13/93.
- (M) To suspend the Faculty Rules for the specific purpose of conducting 1993-94 election of members of the Advisory Committee on University Planning; 2/1/94.
- (M) To amend the Faculty Rules to grant voting rights to senior lecturers; 4/7/98; Professor James Baird.

Section 2. Committees: Faculty Members Elected by the Faculty

III. Standing Committees

Faculty Executive Committee/Faculty Policy Group

- (M) That the FPG Subcommittee on Faculty Governance be changed to Ad Hoc

Committee of the Faculty; 4/12/83; FPG.

- (M) To create a FEC. Chair of the FEC shall be Chair of the Faculty; 4/24/84; CFG.
- (M) To create three positions of general officers of the Faculty Chair, Vice Chair and Past Chair; 4/24/84; CFG.
- (M) Regarding membership, the charge, method of election and recall of the FEC; 4/24/84; CFG.
- (M) That present FPG continue in operation until new members of the FEC are elected at which time the FPG shall cease to exist; 4/24/84; CFG.
- (M) To fill vacancies in the FEC Exec. Com.; 12/3/85; FEC.
- (M) To revise the *Faculty Rules*; 5/5/87; 11/3/87, 2/2/88; Adjunct Committee of the FEC.
- (M) To revise the *Faculty Rules*; 2/2/99; FEC Membership and Term of Office for Hospital-based Medical Faculty; Lance Dworkin.

Committee on Nominations

- (M) Regarding Committee on Nominations; 2/2/82; FPG.

Advisory Committee on University Planning (ACUP)

- (M) To change term of office for serving on ACUP; 2/5/91.
- (R) Subcommittee on Financial Aid Policy; 5/29/81; ACUP.
- (R) Faculty Resources Policy Subcommittee; 5/29/81; ACUP.
- (R) Library Resources Policy Subcommittee; 5/29/81; ACUP.
- (M) Regarding method of filling unexpired terms on the Advisory Committee on University Planning; 12/2/80.

Committee on Admission and Financial Aid (CAFA)

- (F) Report by the Committee on Admission and Financial Aid; 12/8/70.
- (M) To recommend goals and charges to CAFA; 5/7/74.
- (M) Faculty members be elected to CAFA for terms of three years beginning 1 July 1981; 2/21/78; FPG.
- (M) To allow students on CAFA Executive Committee to serve as non-voting members on Board of Admissions; 11/1/78; CAFA.
- (M) To revise CAFA resolution: One student member of CAFA's Exec. Com. shall be a non-voting, ex-officio member of the Board of Admissions provided that the student be a graduating senior during his/her tenure on the Board; 12/5/78; CAFA.
- (M) Regarding Financial Aid and Awards Review Board; 12/2/80; CAFA.

Affirmative Action Monitoring Committee (AAMC)

- (M) Affirmative Action Monitoring Committee established as part of the Consent Decree; 5/75.
- (F) The Consent Decree: Where May We Go In The Future? Sponsored by the Affirmative Action Monitoring Committee; 10/27/87.
- (M) To revise the *Faculty Rules*; 2/2/99; AAMC Operations; Ann Dill and Chi-Wang Shu

Faculty Advisory Committee on Computers (FACC)

- (M) To recommend the establishment of a Committee on Academic Computing; 11/4/86; FEC.
- (M) To establish Advisory Committee on Computers; 12/6/83; FPG. Revised and renamed Faculty Advisory Committee on Computers (FACC); 11/4/84; FEC.
- (M) Faculty Workstation Project; 5/3/83, FPG; 2/4/86, FACC; 11/4/86, FEC.

Faculty Committee on Athletics and Physical Education

- (M) To create a Faculty Committee on Athletics and Physical Education; 11/6/01; Professor Luiz F. Valente.

Faculty Committee on Resumed Undergraduate Education Policy and Admissions

- (M) To accept the Resumed Undergraduate Education Program. as a regular program rather than an experimental one and remove restriction limiting program to two percent of the student body; 5/1/79; Professor Massey.
- (M) To establish a Committee on Resumed Undergraduate Education Policy; 5/3/88; Professor Gorton.
- (M) To amend *Faculty Rules* by deleting the complete wording of the Faculty Committee of Resumed Undergraduate Education and replacing Section 2, J with the Faculty Resumed Undergraduate Education Policy and Admissions Committee; 11/4/97; Professor Billy Wooten.

Financial Aid Awards Review Board (FAARB)

- (M) To modify the composition of the Financial Aid Awards Review Board; 5/2/89; Dean David Inman.

Honorary Degrees

- (M) To extend by five months, the term of office of the Committee on Consultation Concerning Honorary Degrees; 2/21/78; FPG.

Lectureships

- (M) To make Lectureship Com. a Faculty committee instead of a Corporation committee; 5/5/81; Provost.
- (M) To add two more faculty members to serve on the Lectureships Committee; 5/1/90.

Committee on Minority Faculty Recruitment

- (M) To establish Minority Faculty Hiring Resource Committee; 11/2/82, 12/7/82; FPG.
- (M) To establish a Committee on Minority Faculty Hiring to replace the Minority Faculty Hiring Resource Committee; 5/7/85; FEC.
- (M) To change the name and charge of the Committee on Minority Faculty Hiring; 4/13/93; Associate Provost James Wyche.

Rosenberger Medal of Honor Committee

- (M) To establish the Rosenberger Medal of Honor Committee; 3/4/86; FEC.

Lesbian, Gay, Bisexual and Transgender Concerns Committee

- (M) To create a Committee on the Status of Sexual Minorities; 12/1/87; Professor Littlefield.

- (M) To change the name of the Committee on the Status of Sexual Minorities to the Committee on Lesbian, Gay and Bisexual Concerns; 3/2/93; Professor David Savran.
- (M) To change the name of the Committee on Lesbian, Gay and Bisexual Concerns to the Committee on Lesbian, Gay, Bisexual and Transgender Concerns; 5/24/02; Professor Lynne Joyrich.

Status of Women Committee

- (M) To change membership of Committee on Status of Women; 5/3/88.
- (F) Is There a Need to Continue the Committee on Faculty Women at the Present Time? 11/14/79.
- (M) To replace the Committee on Women Faculty with Faculty Committee on Status of Women; 1/6/81; Dean Sheridan.
- (M) Revision of membership structure of the Committee on the Status of Women; 3/5/91.
- (M) To change the membership and charge of the Committee on Status of Women; 5/7/91.

Committee on Student Life

- (M) To change the membership structure of the Committee on Student Support Programs; 5/12/92.
- (M) Concerning Faculty Scholars Awards Program; 5/1/90; Professor Robert Meskill.
- (M) To disband the Committee for Student Support Programs; 4/13/93; Dean Robert Shaw.
- (M) To amend Charge and Membership structure in the Faculty Rules and Regulations; 10/30/00.

Medical Faculty Executive Committee

- (F) Proposal for a Medical Faculty Executive Committee; 11/18/97.
- (M) To establish a Medical Faculty Executive Committee; 12/2/97; Professors Lance Dworkin and Nancy Thompson.
- (M) To endorse the Medical Faculty Executive's policy statement on extension of time period (Promotion Time Clock) for promotion from assistant to associate professor in academic medical faculty tracks; 11/7/00; Ted Goslow, Jr.

IV. Councils & Committees for the Curriculum

College Curriculum Council (CCC)

- (M) To restructure the EPC and rename it College Curriculum Council; 5/23/86; CFG.
- (M) To amend the *Faculty Rules* governing the College Curriculum Council; 5/7/91; Professor Vernon Henderson.
- (M) Amend the *Faculty Rules* membership and organization of the College Curriculum Council; 5/7/91.
- (M) Amend the *Faculty Rules* to add Registrar to the Executive Committee of the College Curriculum Council; 2/5/02.

Advisory Committee on Summer Studies

- (M) To establish a committee to review the 1984 Summer Program; 5/1/84; FPG.
- (R) Ad Hoc Committee to Evaluate the Summer Program; 2/4/86.

Faculty Committee on Educational Legislation (FCEL)

- (M) To create the Faculty Committee on Educational Legislation; 4/1/86, 5/6/86; CFG.
- (M) To refer proposals for new departments, programs, and centers to the FCEL for consideration; 4/7/87; FCEL.
- (F) FCEL Report on proposed department for Modern Culture and Media; 10/18/94.
- (M) To modify voting procedure on FCEL reports; 4/3/90; Professor Merwin Sibulkin.
- (M) To amend the *Faculty Rules* governing the Faculty Committee on Educational Legislation; 5/7/91; Professor Vernon Henderson.
- (M) To change the charge (*Faculty Rules*, Part 1, IV, A, Section 4, d) of the Faculty Committee on Educational Legislation (FCEL); 3/2/93; Professor Luiz Valente.
- (R) Creation of separate programs in studio art and art history; 12/1/87; FCEL.

Graduate Council

- (M) To add Dean of College to Grad. Council; 6/4/76; FPG.
- (M) Regarding Graduate Student grievances; 11/6/79; GC.
- (M) Regarding the Graduate School and Sec. II, Graduate Council; 11/6/79.
- (M) To accept recommendation from Graduate Council concerning grievance procedures for graduate students; 1/8/80; Professor Baird.
- (M) Revision of the *Faculty Rules* regarding membership of the Graduate Council; 4/5/88.

University Creative Arts Council

- (M) To recommend that the President establish a Brown University Arts Council; 5/13/69, 12/2/69.
- (M) To change the language of the membership of the Creative Arts Council to have the President or his or her designee be a member of the Creative Arts Council; 5/7/96; Peter Gromet.

V. Medical Faculty Bodies

The General Assembly

The Biomedical Faculty Council

- (M) To add student to the Medical Council; 11/1/83; Professor Greer.
- (M) Concerning Medical Council; 3/6/90; Professor George Landow for the Faculty Executive Committee.
- (M) To disband the Medical Council and to make changes in the organization of other committees; 5/4/93; Dean Donald Marsh.

VI. Committees Reporting to the President

Advisory Committee on Corporate Responsibility in Investment Policies

- (M) To establish an Ad Hoc Committee on Investment Policies; 5/16/78; FPG.
- (F) Committee on Corporate Responsibility in Investment Policies; 10/24/78.
- (M) To request the President to take steps to implement the establishment of an Advisory Committee on Corporate Responsibility in Investment which shall operate as charged and that the President present the request stated to the Corporation; 11/7/78, 12/5/78, 1/9/79; CRIP.
- (M) To request the Corporation to re-evaluate its charge to the Proxy Committee; 12/5/78; Professor McLoughlin.

Committee on Faculty Reappointment and Tenure (ConFRaT)

- (M) To change rules regarding ConFRaT; 2/15/83; FPG.
- (M) To establish an Advisory Committee on Medical Faculty Appointments and amend the rules concerning ConFRaT; 5/3/83; FPG.
- (M) To change the description of the membership of ConFRaT; 10/7/86; FEC.
- (F) Proposed changes to membership structure of ConFRaT; 3/17/98.
- (M) To amend the *Faculty Rules* changing the membership and election of ConFRaT; 5/5/98; Professor James Baird.

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

I. Committees Reporting to the President

Campus Minority Affairs Committee

- (C) Committee on Minority Affairs established by the Advisory and Executive Committee of the Corporation; 12/9/77.

II. Other Committees

University Committee on the Arts

- (R) Committee to Study the Budget Impact on Non-Academic Departments; 2/4/75.
- (C) Faculty members added to membership of the Annmary Brown Memorial Committee of Management by action of the Advisory and Executive Committee of the Corporation; 1/13/78.
- (M) To establish an ad hoc committee to recommend changes of statement on placement interviews and implementation of policy; 2/5/85, 4/2/85; FEC.
- (M) To establish an Faculty Ad Hoc Committee on South Africa; 4/1/86; Professor Hopmann.
- (M) Regarding the Corporation's rationale for the decision not to totally divest; 3/1/88; Faculty Ad Hoc Committee on South Africa.
- To reinstate the Faculty Ad Hoc Committee on South Africa; 3/1/88; Faculty Ad Hoc Committee on South Africa.

III. Committees Reporting to the Corporation

University Disciplinary Council (UDC)

- (C) University Disciplinary Council as amended by the Corporation; 11/4/97; Professor James Baird.

Part 2. Academic Programs

Section 4. The College

II. Courses Of Instruction

- (R) Regarding Modes of Thought Courses; 5/8/69.
- (M) Regarding Freshmen and Sophomore Interests; 3/5/74.
- (F) Interim Report of the Ad Hoc Committee to Review Baccalaureate Degree Requirements; 2/12/74.
- (R) Committee to Study Elementary, Introductory and Modes of Thought Courses; 3/4/75, 4/8/75.
- (R) Task Force on Extra-University Experience; 12/5/78.
- (R) Screening Committee; 12/5/78.
- (M) To amend rule governing the combined Baccalaureate - Masters Degree Program; 1/9/79; Professor Frerichs.
- (M) Regarding Degrees with Distinction; 5/20/79.
- (M) Regarding English competence requirements for Baccalaureate degree; 5/6/80; EPC.
- (M) To constitute a new committee to consider alternative programs in management education; 5/6/80; Professor Evans.
- (R) To support bilingual education; 5/5/81; FPG.
- (R) Ad Hoc Committee on the Quantity Requirement; 5/5/81.
- (M) Regarding change in degree requirements, effective with Class of 1985; 5/19/81.
- (M) To amend quantity requirement for Baccalaureate degree; 2/2/82, 5/18/82; EPC.
- (M) To change residency requirements for Baccalaureate degree; 3/2/82; EPC.
- (M) Regarding number of credits and residence for Baccalaureate degree; 4/13/82; EPC.
- (M) Revision to Degree Requirements; 5/4/82; Dean Sheridan.
- (M) Regarding number of courses students must take, full- time, transfer, A.P. credits, etc. "New Curriculum;" 5/4/82; EPC.
- (F) To Consider a Major External Funding Proposal on Behalf of International Studies at Brown; 10/11/83.
- (M) To indicate sense of Faculty in the preparation of catalogue material (Admission); 3/6/84; FPG.
- (M) Regarding curriculum that a student should have completed at secondary level for admission to Baccalaureate degree; 3/6/84; CRC.
- (F) Program in Liberal Medical Education; 5/22/84.
- (M) Regarding curriculum that a student should have finished at secondary school level for admission to the Baccalaureate degree; 11/6/84; EPC.

- (M) To hold a special meeting to discuss the CRC Report; 11/6/84; CRC.
- (M) Regarding Honors in concentrations; 12/4/84 & 2/5/85; EPC.
- (M) For Faculty to support principles of new curriculum; 2/5/85, 4/2/85.
- (M) That goals of a concentration be changed; 3/12/85; CRC.
- (M) To broaden curriculum to increase Black and Third World fields; 5/7/85; FEC.
- (M) To increase the minimum number of courses required to be completed satisfactorily for the Bachelor's degree from 28 to 30; 4/5/88; Dean Sheila Blumstein for the College Curriculum Council.
- (M) To increase the minimum number of courses that must be completed at Brown by transfer students; 4/5/88; Dean Sheila Blumstein for the College Curriculum Council.
- (M) To consider the separation of Hispanic and Italian Studies into two departments; 11/1/88; Professor Hopmann.
- (M) Regarding the proposed creation of a new Department of Mediterranean and Near Eastern Archaeology and Art; 2/7/89; Professor Winkes.
- (R) & (M) By the FCEL on the Proposal to create a Department of American Civilization; 3/7/89; Professor Hopmann.
- (R) & (M) To change *Faculty Rules* regarding the College Curriculum Council; 5/2/89; Dean Sheila Blumstein.
- (M) Regarding combined AB/MAT program in Education; 5/1/90; Professor Paula Evans.
- (M) To ratify action of faculty on 1 May with regard to the combined AB/MAT Program in Education; 5/25/90; Professor Peter Wegner.
- (M) To modify the *Faculty Rules*, Part 2, Section 4, III,B.3, concerning course completion requirements; 2/5/91; Dean Sheila Blumstein.
- (M) To approve the Faculty Committee on Educational Legislation's recommendation concerning application by the Committee on Medieval Studies to become a program; 12/7/93.
- (M) To authorize temporary changes to regulations for Summer Session to apply in 1993; 11/3/92.
- (F) Standards of Community Behavior; 2/27/96.
- (F) Accreditation; 10/21/97.
- (F) Distance Learning; 11/14/00.

Section 5. The Graduate School

- (F) Proposed Changes in *Faculty Rules and Regulations* governing Graduate Education; 3/9/71.
- (M) That the Faculty recommend a Master in Theatre Arts degree to the Board of Fellows; 1/6/81.
- (M) To recommend to the Board of Fellows suspending admission to the Doctor of Arts program; 2/2/82; EPC.
- (M) To recommend the establishment of the Master of Arts degree program in Development Studies; 2/5/85; Dean Schupack.
- (M) Recommend to the Board of Fellows the Master of Arts degree program in the Center for Environmental Studies; 5/6/86; GC.

- (M) To recommend to the Board of Fellows the Master of Arts and Doctor of Philosophy degree programs in the Center for Old World Archaeology and Art; 11/4/86; Dean Stiles.
- (M) The creation of doctoral programs in Luso-Brazilian Studies, in Cognitive and Linguistic Sciences, and in Neural Sciences 3/3/87; Professor Stiles.
- Master of Business Economics Program
- (R) Ad Hoc Committee on the Proposed Master of Business Economics Program; 4/8/80.
- (M) To defer motion of Faculty recommending M.B. in Economics to Board of Fellows; 1/8/80; GC.
- (M) That the Committee on Nominations nominate candidates for election to an ad hoc committee to consider M.B.E. program; 1/8/80; GC
- (F) Proposed Degree of Master of Business in Economics; 2/26/80.
- (M) Referring report on M.B.E. to the EPC; 4/8/80; Professor Weimar.
- (M) That the Faculty vote to rescind motion made and passed at 1/8/80 meeting to postpone indefinitely discussion of the motion referring M.B.E. to Board of Fellows for approval; 4/8/80.
- (M) Rescinding the motion on the M.B.E., with five resolutions regarding same; 5/6/80; GC.
- (M) By the Graduate School to change the Master of Arts Degree in Creative Writing to the Master of Fine Arts Degree in Creative Writing; 11/7/89; Dean Joan Lusk.
- (M) To approve a new Ph.D. Program in Pathobiology (approved by the Academic Council and the Graduate Council); 12/5/89; Dean Philip Stiles.
- (M) Brown/Dartmouth MMS Degree; 11/3/92; Dean Joan Lusk.
- (M) To recommend to the Board of Fellows of Brown University the name of the degree of Master of Arts in Museum Studies be changed to Mater of Arts in Anthropology/Museum Studies; 2/1/94; Dean Joan Lusk.
- (M) From the Graduate School that the Faculty recommend to the Corporation that the name of the graduate program and Master's degree in Theatre Arts be changed to "Theatre Studies"; 5/3/94; Dean Joan Lusk.
- (M) To recommend to the Corporation the degree programs for the Master of Science in Epidemiology or Biostatistics and Doctor of Philosophy in Epidemiology or Biostatistics; 11/7/97; Dean Peder Estrup.
- (M) To amend Faculty Rules to allow Graduate Students to receive credit for courses taken in the Brown Summer Session; To recommend to the Corporation as part of the aforementioned motion that 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; 5/4/99; Professor Susan Smulyan.
- (F) Directions on Graduate Education at Brown; 5/6/99.
- (C) Fellows approved Graduate Program in Brain Science; 2/24/00.
- (C) Fellows approved Masters in Public Health Program; 5/26/00.
- (M) Faculty acknowledge receipt of FCEL report supporting the establishment of a Ph.D. Program in Theater and Performance Studies and forwards report to the Academic Council; 5/1/01.
- (C) Fellows approved Ph.D. Program in Theater and Performance Studies; 5/26/01.

- (M) Faculty acknowledge receipt of Graduate Council report supporting the establishment of a Masters of Fine Arts Program in Acting and Directing in the Department of Theatre, Speech and Dance; 5/1/01.
- (C) Fellows approved Masters of Fine Arts Program in Acting and Directing in the Department of Theatre, Speech and Dance; 5/26/01.
- (M) To recommend the establishment of a Ph.D. Program in the Department of Modern Culture and Media; 4/3/01.
- (M) Faculty acknowledges receipt of Graduate Council report supporting establishment of a graduate program in Biomedical Engineering; 5/7/02.

Section 6. The School of Medicine

- (F) The Future of Medical Education at Brown University; 2/16/71.
- (F) Feasibility and Desirability of Proposals for Extension of the Medical Science Program; 11/9/71.
- (M) That the Faculty accepts in principle the plans for a medical curriculum set forth in the Recommendations for the Operations of the Program in Medical Education at Brown University, 20 December, 1971, and forwards them with its general approval to the Administration, the Division of Biological and Medical Sciences, and to such committees as may be involved in drafting motions to be submitted to the Faculty to change the *Faculty Rules* in relation to establishing specific regulations for the M.D. degree; 2/6/72.
- (F) Final Report by the Faculty-Student Committee on the Extension of the Medical Science Program; 2/10/72.
- (F) Proposed Resolution on the Medical Program; the Report of the Corporation Committee; 2/17/72.
- (F) Report of the Committee on Medical Education to the President and Corporation; Resolutions on Medical Education adopted by the Faculty Policy Group for Presentation to the Faculty at its Meeting on 3/7/71; 2/29/72.
- (M) The Faculty of Brown University recommends to the President that the development of Brown's medical science program into a full program in medical education leading to the M.D. degree should go forward to meet the needs of the people of the country and of the State of Rhode Island. It is of greatest importance that this program should not fail financially. The faculty is determined that at all stages it shall achieve excellence equal to or better than the best in medical education elsewhere in this country. Therefore, it is essential that it be financed so unequivocally that its future is not precarious but reasonably assured for long years to come. Further, its programmatic and curricular activities should be developed at a level commensurate with these goals of excellence. The Faculty, therefore, recommends to the President approval in principle of the creation of a program in medical education leading to the M.D. degree subject to the fulfillment of the [certain] conditions; 3/7/72.
- (M) Regarding combined MD/Ph.D. programs; 12/7/82; GC.
- (F) Report of the Medical Curriculum Committee; 12/12/72.
- (F) Recommendations of the University Committee on Administration and Governance of the M.D. Program; 3/11/73.
- (M) To revise the description of the M. D. requirements; 5/1/79; Professor Aronson.
- (R) Subcommittee on the Medical Program; 5/3/83.

- (M) An addition to the Rules which would require the combined degree of Doctor of Medicine and Doctor of Philosophy be completed within nine years of admission to the Program in Medicine; 11/4/86; Professor Galletti.
- (F) Report and Recommendations of the Brown University Corporate Committee on Policy Choices in Medicine; 12/2/86.
- (R) To recommend to the Board of Fellows of Brown University the Master of Arts Degree Program in Neuroscience; 2/1/94; Dean Joan Lusk.
- (R) To recommend to the Academic Council the establishment of a Public Health Program at Brown University; 3/3/98; (FCEL) Professor Hon Fong Louie Mark.
- (R) To recommend to the Academic Council the establishment of a Center for Behavioral and Preventive Medicine; 10/6/98; (FCEL) Dean Donald Marsh.
- (R) To recommend to the Corporation an amendment to the Faculty Rules to delete Step 2 of the USMLE as a requirement for the MD Degree; 3/2/99; Stephen Smith

Part 3. Rules Governing Academic Programs

Section 7. Academic Calendar

- (M) Regarding principles governing academic calendar, Semester I; 10/4/77.
- (M) Regarding principles governing academic calendar, Semester II, items 19 and 20; 11/1/77.
- (M) To recommend adoption by the University of calendar proposed in March 1981 questionnaire; 5/5/81.
- (R) Subcommittee on the Calendar; 5/5/81, 11/3/81.
- (M) To change calendars of Semesters I & II; 11/3/81; FPG.
- (M) To clarify calendar changes; 12/1/81; FPG.
- (M) Ad Hoc Committee on Year-Round Operations; 10/7/75.
- (M) To change the 1994-95 Academic Calendar; 3/3/92.
- (M) To make an exception to the 1992-93 University Calendar for five Medical School courses; 9/22/92; Dr. William Cashore.

Section 8. Registration

- (M) Regarding not being allowed to preregister for sixth semester unless a concentration has been declared; 10/5/76; EPC.
- (M) To prohibit changing status of course from credit to audit; 4/2/85, 5/7/85; CAS.
- (M) The last day to drop or add a course shall be mid-semester; 2/4/86; Professor Whiting.
- (M) On academic credit for Summer Study; 5/12/92; Dean Sheila Blumstein.
- (M) To incorporate Summer Session Rules into the *Faculty Rules and Regulations*; 3/2/93.

Section 9. Grading System and Examinations

- (F) Problems of Implementing Concentration Evaluations which are part of the official transcript as specified in the *Faculty Rules*; 11/21/72.
- (F) Proposed Motions Concerning S/NC Grading; 3/20/73.
- (M) Regarding revisions in the grading system, Sec. II, page 35, Sec. E and new Sec. H. be added to the *Faculty Rules*; 3/4/80; CAS.

- (M) Students elect one or the other grading system by the end of the fourth week of the semester; 5/7/85; CRC.
- (M) To amend the *Faculty Rules* regarding transfer credit for summer courses taken at other institutions; 2/5/02; Dean Paul Armstrong.

Part 4. Faculty Resolutions, Policies, & Procedures

Section 10. Faculty Rules Pertaining to the Faculty & Students

I. Professional Affairs of the Faculty

Grievance Procedures

- (M) To form an ad hoc committee to review and consider revision of Faculty grievance procedures; 1/9/79; Professor Golds.
- Ad Hoc Faculty Committee to Review and Consider Revision of the Faculty Grievance Procedures; 10/2/79, 12/1/81.
- (M) To modify the grievance procedure as it applies to faculty members of the Program in Medicine who are not employed by Brown University; amended to include Statement on Academic Freedom; 5/3/83.
- (R) Subcommittee on Sexual Harassment; 12/4/84.
- (M) Amendment to Faculty Grievance Procedures regarding charge of sexual harassment against a faculty member; 12/4/84.
- (C) Corporation ratification and approval of Faculty Grievance Procedure; October 3, 1989 (Faculty), October 7, 1989 (Corporation).
- (M) Amendment to Faculty Grievance Procedures regarding sexual harassment; October 11, 1994.
- (M) Guidelines for role of student involvement in hiring process; 5/15/73.
- (M) Regarding part-time faculty appointments; 5/21/74.
- (F) Consideration of Academic Staffing at Brown University; 5/1/85.
- (F) A Discussion with the Provost on Brown's Future Academic Directions; 12/10/85.

Affirmative Action Monitoring Committee

- (M) Regarding Status and Employment of Women; 1/11/72.
- (M) To change letter to Attorney Vetter on Affirmative Action case; 4/12/77; FPG.
- (R) Liaison Committee Concerning the Affirmative Action case; 9/12/77.
- (M) To have the FPG circulate the brief, the Judge's ruling and a description of the FPG's actions regarding the Affirmative Action case; 2/21/78; Professor Ladd.
- To recommend to the President that nondiscrimination statement be adopted (inclusion of "sexual orientation"; 5/1/84, 10/1/85; FPG.
- (M) To adopt statement regarding nondiscrimination/EOE and affirmative action;

5/1/84; FPG.

- (R) To broaden educational opportunities and to increase number of minority faculty members; 4/2/85; FEC.
- (R) To hire fifteen minority faculty over the next five years; 5/7/85; FEC.
- (M) AMC proposed motion regarding the Consent Decree; 10/13/88; Professor Donna Wulff.
- (R) & (M) On Revised Grievance Procedure; 5/2/89; Professor Landow.
- (M) Substitution of amended Faculty Grievance Procedure for the Grievance Procedure passed by the Faculty on May 2, 1989; 10/3/89; Professor Wegner.
- (M) Revision to *Faculty Rules*; 5/25/90; Professors Leis and Richardson.
- (M) Concerning procedures for the Hiring and Promotion of Faculty; 5/14/91.
- (M) To amend the *Faculty Rules*, Part 1, Section 1, IV, B, 5 Conduct of Meetings; 10/1/91; Professor Vernon Henderson.
- (M) To amend *Faculty Rules* concerning the Schedule of Teaching Evaluation Procedure; 12/1/92; Dean Bryan Shepp.

II. *Pertaining to Students and Faculty*

ROTC & NROTC

- (R) To continue ROTC programs under specific terms; 3/18/69.
- (R) To not admit incoming students to the ROTC programs at Brown except under the conditions specified by the Faculty at its special meeting of March 18, 1969; 4/10/69.
- (R) To phase out all existing ROTC programs at Brown University unless they meet the provisions approved by the Faculty for ROTC programs; 4/18/69.
- (R) It is the sense of the Faculty that the proposed NROTC agreement does not meet the terms of the Faculty set in the Resolution of 18 March 1969; 5/2/72.
- (R) The Corporation adopted the following resolution
- This Corporation endorses the presence of a Naval Reserve Officers Training Corps on the Brown University Campus; 6/3/72.
- (M) Reaffirming the Faculty's position on the presence of ROTC on campus; 4/13/82; Professor Lenz.
- (M) For President to determine and report to Faculty whether there are ROTC programs comparable to the provision of 18 March 1969; 5/4/82.
- (R) Advisory Committee on NROTC Programs; 10/4/83.
- (F) Should Brown Enter Into Negotiations for a Reserve Officers Training Corps contract with the Navy? 10/18/83.
- (M) To amend Parts B and C of FPG motions regarding ROTC on campus, to endorse opinion survey, and to bring results of survey to next Faculty Meeting. Nomination Committee to develop slate of candidates for a committee in the chance one is needed for consulting with President and Corporation; 11/1/83; FPG.
- (M) Brown University to not enter into negotiations with the Navy to establish an ROTC unit; 12/6/83; FPG.
- (M) Substitute motion to above
- That the University present 1969 guidelines to Navy as part of application for

establishing an ROTC unit and draft contract be returned to Faculty prior to signing; 12/6/83; FPG.

- (M) Regarding Placement Interviews; 2/6/68, 3/5/68.
- (F) Clarification of the Student Coalition Position; 4/17/75.
- (F) Report of the FPG on Mechanisms for Faculty and Student Input to Plans and Budgetary Priorities; 9/30/75.
- (M) Regarding library acquisitions; 11/2/76.
- (M) That the resolution regarding teaching improvement and evaluation be added to Appendices of *Faculty Rules and Regulations*. 11/2/76, 5/24/77; EPC & FPG.
- (F) Teaching Improvement and Evaluation Resolution; 2/22/77.
- (F) Teaching Evaluation Resolution; 10/18/77.
- (M) Regarding teaching and evaluations; 11/1/77; FPG.
- (R) Subcommittee on Teaching Evaluations; 10/3/78.
- (M) Regarding scheduling of exams and other final written assignments; 2/6/79; FPG.
- (M) Regarding both Rockefeller and Science Libraries maintaining open hours during summer and semester breaks; 4/13/82, 5/4/82; Lib. Com.
- (F) Proposal for Experimental Networks of Workstations; 5/17/83.
- (R) Regarding exams held out of regular school classroom hours or exam hours if there are conflicts in scheduling; 3/6/84; FPG.
- (M) Regarding scheduling of final exams; 3/6/84; FPG.
- (F) Computers at Brown; 11/20/84.
- (R) Ad Hoc Committee on Placement Interviews; 5/7/85.
- (F) Policy Statement Regarding Placement Interviews; 3/14/85.
- (M) To amend the Recruitment Policy; 12/3/85.
- (F) Advising and Counseling Undergraduate Students by the Ad-Hoc Committee to Review Counseling and Advising Functions of the Offices of the Dean of the College and the Dean of Student Life; 11/24/87.
- (M) Regarding Faculty response to Library Recall Notices; 2/7/89; Professor Geoffrey Ribbans.
- (M) Concerning freedom of access to computer information (FACC); 4/3/90; Professor Robert Stout.
- (F) Faculty Responsibilities; 11/15/94.

III. Pertaining to the University and Community

- (R) Ad Hoc Committee on Corporate Responsibility in Investment Policies; 11/20/78.
- (M) Regarding relations between members of the Faculty and external agencies; 3/6/79; FPG.
- (M) Faculty resolution on standards of community conduct; 11/2/82; FPG.
- (M) Regarding opposition to the Solomon Law; 3/1/83; Professor McLoughlin.
- (M) To keep Brown beautiful; 4/12/83; FPG.
- (M) Regarding draft registration; 4/12/83.

- (M) Regarding academic freedom at the University of El Salvador; 4/24/84; Professor McLoughlin.
- (M) No new building on Lincoln Field without prior consultation with Brown Faculty and Brown Community; 11/6/84; Professor McLoughlin.
- (M) Regarding divestiture of So. African investments; 5/7/85.
- (F) Motions Concerning Divestiture in Corporations Doing Business in South Africa; 10/22/85.
- (M) Substitute motion on So. African divestiture; 11/5/85; Professor Hopmann.
- (F) Report by the Ad Hoc Committee on South Africa; 3/17/87.
- (R) Ad Hoc Committee on South Africa; 4/7/87.
- (M) On South Africa; 3/1/88.
- (M) Concerning the statue of the Brown Bear (from the Campus Planning Committee); 11/6/90; Professor William McLoughlin.
- (M) To establish a policy on the use of vertebrate animals in teaching; 5/7/91; Professor James McIlwain.
- (R) & (M) To adopt new regulations dealing with computer use from the Faculty Advisory Committee on Computers; 12/1/92; Professor Robert Chen.
- (R) The faculty recommends the devising of a Mission Statement for Brown University; 3/3/98; Professor James Baird.
- (C) Corporation approves Mission Statement 4/2/98.
- (F) Clustering and External Reviews; 5/12/98.
- (F) Unionization; 9/25/01.
- (R) Academic Priorities; 10/3/00; Kathryn Spoehr.
- (R) Presidential Search Advisory Committee; 10/3/00, 11/7/00; Mari Jo Buhle.
- (R) Fiscal Health of the University; 12/5/00; Donald Reaves.
- (R) External Review Process and Outcomes; 12/5/00, 3/20/01; Kathryn Spoehr.
- (R) Policy changes concerning unpaid faculty leaves; 3/20/01; Mary Fennell.
- (R) Conflict of Interest and Commitment Policy; 5/1/01, 2/5/02; Mary Fennell.
- (R) Proposal for Academic Renewal; 2/5/02, 3/5/02; President Ruth Simmons.
- (R) Allocation process for faculty salaries and positions; 3/5/02; Mary Fennell.

Part 5. Corporation and Administration Policies

Tenure

- (F) Report of the Ad Hoc Tenure Committee of the FPG; 10/12/72.
- (R) Ad hoc Committee to Review Tenure (Stein Committee); 3/4/75.
- (F) Report of the Ad Hoc Committee to Review Tenure; 4/15/75.
- (M) Recommendation on Tenure and Reappointment; 5/10/77; FPG.
- (M) Part I of statement regarding tenure be recommended to Corporation; 5/24/77; FPG.
- (M) Part II of statement regarding tenure be approved by the Faculty; 5/24/77; FPG.

Faculty benefits

- (F) Questions Related to Tuition and Other Faculty Benefits Which are Raised in the Current Questionnaire Sent to Voting Members of the Faculty by the Committee on Awards and Benefits; 5/6/76.
- (M) That present tuition and tuition remission programs be continued for faculty members appointed before 1 July 1973, and extended to faculty members appointed thereafter; 11/2/76; CAFA.
- (M) For Faculty to vote on sense of the meeting resolution regarding Faculty salaries; 2/7/80.
- Model For Early Retirement and Phased Retirement; 4/7/81.
- (R) Subcommittee on Procedures for Setting Faculty Salaries (the Forsyth Report); 2/2/82.
- (F) Proposed Revision of Brown's Tuition Aid Program for Campus-Based Faculty; 3/18/85.
- (F) Effect of New Tax Bill on Brown Faculty; 11/25/86.
- (M) Regarding Conflict of Interest; 6/2/67; adopted by the Corporation as recommended 10/7/67.
- (R) Presidential Search Committee, 1975-76; 10/7/75, 12/2/75, 3/2/76, 4/1/76.
- (R) Presidential Search Committee, 1987-88; 12/1/87, 3/1/88.
- (F) Proposed Retirement Plan; 12/13/94.
- (R) Faculty Salaries; 10/2/01; Dean Mary Fennell.

Part 6. Appendices

Academic Divisions

- (M) Faculty acknowledges receipt of FCEL report supporting the re-organization of the Program in Afro-American Studies into the Department of Africana Studies, and forwards report to Academic Council; 5/1/01.
- (C) Fellows approve that the Program in Afro-American Studies be granted departmental status and be re-named the Department of Africana Studies; 5/26/01.
- (M) Faculty Acknowledges receipt of FCEL report supporting establishment of Center for Biomedical Engineering and recommends its establishment to the President; 5/7/02.

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