



BROWN
 Division of Biology
 and Medicine

Warren Alpert Medical School of Brown University Faculty Handbook

Updated 3/2019

(Note: the policies and procedures described herein pertain to Clinical Departments in the Division of Biology and Medicine)

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Organization of The Warren Alpert Medical School of Brown University

The relationship between the Warren Alpert Medical School (the “Medical School”) and its affiliated organizations are described in Individual Affiliation Agreements. The affiliation agreements include:

1. Policies on employment and compensation for faculty employed by affiliated institutions¹
2. Program planning affecting educational offerings of the University and patient care in the affiliated institutions
3. Scholarly aspects of faculty careers and the role of research in clinical departments
4. The relationship between the affiliated institute’s leadership and the clinical department Chairs in departments whose faculty are located in multiple institutions
5. Graduate medical education (“GME”)² and the responsibilities of the University and the affiliated institutions for those Brown-affiliated GME programs

Departmental Structure

Each Department is headed by a Chair appointed by the Dean of Medicine and Biological Sciences for a renewable term. The Chair serves as the Department's chief academic officer and reports to the Dean of Medicine and Biological Sciences on all academic and departmental administrative matters. The Chair oversees all faculty appointments, evaluations, reappointments, promotions, and terminations. The Chair implements University and the Division of Biology and Medicine (“the Division”) policies. The Chair is responsible for the quality of the faculty in the Department, the professional development of faculty, and for the Department's adherence to the principles of diversity and inclusion.

Each Department is responsible for:

1. developing an academic plan for research, teaching and services
2. developing a formal system of faculty teaching evaluation, and implementing this system
3. annual review of junior faculty and review of senior faculty at mid-term of reappointment or promotion

¹ “Affiliated institutions”: hospitals, clinics, and /or other healthcare organizations affiliated with The Warren Alpert Medical School

² “GME” or “GME programs”: residency, research fellowship, teaching fellowship



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4. initiating faculty appointment, reappointment and promotion
5. medical student education and course evaluation
6. GME
7. participation in undergraduate and graduate programs

Each Chair is expected to develop the collegial structure and review mechanisms that enable the department to meet its commitments to research, teaching, advising, and/or mentoring, and clinical service. In general, the administration of hospital resources and the management of GME programs are controlled by hospital administration.

Roles and Responsibilities of Clinical Department Chairs

The Department Chair is the Department's chief academic and administrative officer, responsible to both the faculty of the Department and to the University. These dual roles require that the Chair interpret University policies for the members of the department and ensure their effective execution and at the same time represent individual and group concerns of department members to University and Medical School administration.

UNIVERSITY AND MEDICAL SCHOOL ADMINISTRATION

The Chair is expected to lead the development and enhancement of departmental clinical, educational, and research activities, in accordance with the visions and plans of the Medical School and its affiliated institutions.

The Chair is responsible for maintaining the quality of the faculty by protecting their interests and rights as individuals and as professional scholars and educators and for supporting their professional development. The Chair is responsible for evaluating faculty. The Chair supervises procedures for recruiting, interviewing and appointing new faculty members and for the department's contributions to the University's goals for diversity and inclusion.

The Chair is responsible for the development of departmental recommendations regarding appointment, reappointment and promotion for faculty and evaluates all requests for leaves. The Chair is responsible for all aspects of departmental administration, including space, finances, support and mentoring of faculty and trainees, clinical activities, and other activities. The Chair is expected to serve as a role model for the department by demonstrating institutional citizenship through participation in governance and in committee activities of the department, the Medical School, the affiliated organizations, the University, and the profession at large. The



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Chair will also serve as a role model for and an administrator of matters related to gender equity, diversity and inclusion, and to the assurance of a safe and respectful work environment.

The Chair is expected to be a role model for faculty and trainees with regard to clinical, educational and scholarly activities. In order to ensure the effectiveness of Clinical Department Chairs, each Chair will be formally reviewed before the end of his or her term, as described below. The Dean of Medicine and Biological Sciences makes recommendations for Chair reappointments to the Provost.

VISION, LEADERSHIP AND STRATEGIC PLANNING

The Chair is expected to provide visionary leadership of the department and to oversee the departmental strategic planning so as to improve the quality of the clinical, educational, and research programs. Such planning should be in accord with the overall vision for the University, the Medical School, and the affiliated institutions. The Chair is also responsible for the academic development of the Department, the academic performance of its faculty, and the status of each of the clinical units that are under the jurisdiction of the Department.

EDUCATIONAL PROGRAMS

The Chair is responsible for all educational offerings of the Department; the following delineates these responsibilities further.

Undergraduate College and Medical Program Courses

The Chair appoints all course leaders, in consultation with the Dean of Medicine and Biological Sciences and the Associate Dean for Medical Education; approves all new courses; and initiates, plans, and coordinates joint affiliated institutions and campus educational efforts.

Residency Training and Fellowship Training

The Chair is responsible for the educational quality of the Department's Medical School-affiliated GME programs. In order for a GME program to be Brown-affiliated, the Chair must comply with the relevant [policies and procedures](#).

Continuing Medical Education (CME) Courses

The Chair approves all Department CME offerings and, when appropriate, works with the Office of [Continuing Medical Education](#).



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CLINICAL PROGRAMS

The Chair is responsible for the overall planning, quality assessment, and delivery of programs within the Department. This responsibility may be accomplished in cooperation with the Chiefs of Service, the Division Directors and, as appropriate, the leaders of specialty programs within the discipline. The Chair is actively involved in the development and implementation of faculty practice plans within the Department.

RESEARCH PROGRAMS

The Chair has the overall responsibility for research activities within the Department, including the faculty's interests as professional scholars and promoting their professional development. The Chair is responsible for evaluating the Departmental research programs and also identifies cooperative research activities and facilities implementation with other Sections and Departments. The Chair is expected to build the departmental research base and to increase the departmental research funding.

ACADEMIC AND STAFFING PLANS

The Chair is responsible for the development of the academic plan for the faculty of the Department. The Chair presents the Department's academic plan to the administration of the Medical School after consultation with the Academic Chiefs of the affiliated institutions that have responsibility for the development of their own institutional plans (in larger Departments with multiple sections, for example, the Dept. of Medicine, the Chair also consults the Division Directors). The Department Chair actively participates in discussions with the affiliated hospitals' Chief Executive Officers and Medical School administration concerning the Department's academic plan in the context of each hospital's institutional plan.

In cooperation with the Medical School administration, the Chair participates in intra-institutional planning for the implementation of the approved Department academic plan. Final approval of academic plans is the responsibility of the Dean of Medicine and Biological Sciences.

FACULTY ADMINISTRATION

Recruitment

The Chair is responsible for organizing searches for new or replacement faculty positions within the Department. For academic faculty this task may be accomplished in consultation with the



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hospital's Chief of Service in that Department, the Division Directors, the affiliated institution's administrative representatives, and BioMed Faculty Administration (BMFA). The Chair is responsible for approving search plans for all faculty positions within the Department and for obtaining institution administrative approval if appropriate, and contributing to the University's goals for diversity and inclusion.

Faculty Evaluation and Record Maintenance

The Chair will maintain all faculty files including all recommendations regarding faculty actions and teaching evaluations. The Chair is responsible for ensuring that a faculty evaluation system is in place and the evaluation process is followed and monitored.

Annual Reviews

The Chair is responsible for annual evaluation of academic faculty³ at the rank of Instructor or Assistant Professor and for mid-term review of all Associate and Full Professors. The Chair is responsible for evaluating clinical faculty⁴ at the time of reappointment.

Appointments, Reappointments, Promotions, Terminations

The Chair is responsible for the Department's academic programs and the faculty who administer them across all of the affiliated entities. The Department Chair manages all faculty appointments, reappointments, and promotions according to Medical School [policies and procedures](#). Faculty appointments are based on teaching, research, and/or service contributions or potential contributions to the department and/or the Medical School. Faculty tracks are determined based on professional activities and employment. When faculty members change their employment status, their faculty track may change and their continued appointment will depend on their ability to continue to contribute to the academic mission of the department and/or the Medical School. If at any time during the term of a faculty appointment, the contribution to the Department changes or the programmatic needs of the Department have changed, the Department may review the continuation of a faculty appointment. In case of resignation, retirement or death of a member of the faculty, it is the chair's responsibility to notify BMFA in a timely fashion.

Faculty Development and Mentoring

³ "Academic faculty": faculty in the Teaching Scholar Track, Research Scholar Track, and (Research) Track

⁴ "Clinical faculty": faculty in the Clinical Track and Clinician Educator Track



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The Chair is expected to foster career development of faculty members and to ensure that faculty receive appropriate mentoring.

GRIEVANCE PROCEDURES

The Chair is responsible for initial grievance procedure actions within the Department except where he or she is involved; in this case the responsibility for initial actions rests with the Dean of Medicine and Biological Services.

For those faculty who have a grievance regarding their faculty appointment, they may refer to the [grievance procedures](#).

DEPARTMENTAL BUDGETS

Administrative Budget

The Chair is responsible for the management of the Department's administrative budget, which is determined annually with Medical School administration. The Chair also reviews and approves all course budgets within the Department. In addition, he or she prepares, with the assistance of Medical School administration and hospital administrators, an annual financial profile of the Department, which includes sources of income (grants, practice, direct hospital funding) and expenses (research, educational, personnel, and faculty salaries).

Faculty Salaries

The Chair monitors faculty salaries in the department and, along with the Chief/s of Service, assures that salaries (earnings) are maintained within current applicable guidelines agreed upon by the University and the affiliated entities (There are few "brown paid" faculty and those are normally only the chairs—others are on grants, etc. and shouldn't be included in here).

SPACE UTILIZATION

The Chair is responsible for recommendations concerning the space required to accomplish the academic plan of the Department. He or she will chair any Department committee that allocates space for Departmental activities. He or she is responsible for presenting space requirements on campus to the Dean of Medicine and Biological Sciences. Space requirements in the hospitals are to be presented to the appropriate officer(s) in the relevant teaching hospital partner.

SAFE AND RESPECTFUL WORK ENVIRONMENT



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The Chair is expected to facilitate and maintain an inclusive, safe and respectful work environment for faculty, students, trainees, and staff.

OTHER ADMINISTRATIVE DUTIES

The Chair is responsible for recommending to the Dean of Medicine and Biological Sciences the appointment of Vice Chair(s) and/or division directors for approval. He or she convenes meetings of the Department faculty. The Chair makes committee assignments within the Department and recommends Department faculty for committee assignments outside the Department. He or she maintains faculty records of research reports and publications.

Performance Review for Clinical Department Chairs

Clinical Department Chairs will undergo a formal performance review (“Review”) biennially or more frequently if necessary jointly by the Dean of Medicine and Biological Sciences and the affiliated institution’s President. The performance review system for clinical department chairs is based upon the Chair's responsibility areas.⁵

Procedure

Six (6) months before the date of the scheduled Review Meeting, the Dean of Medicine and Biological Sciences and hospital President will request from each Chair a written self-evaluation of performance based on the eleven major responsibility areas enumerated in the Roles and Responsibilities of Clinical Department Chairs. This written evaluation must be submitted to the offices of the Dean of Medicine and Biological Sciences and hospital President no later than two (2) weeks before the scheduled date of the Review Meeting. In addition, a 360°-evaluation of the performance of the Chair will be conducted by the Dean of Medicine and Biological Sciences and hospital President by soliciting confidential opinions of Medical School and hospital leadership, department faculty and trainees.

At the conclusion of the review, the Dean of Medicine and Biological Sciences and hospital President will prepare a written appraisal of performance of the clinical department Chair. The Dean of Medicine and Biological Sciences will make a formal recommendation for renewal of appointment to the Provost (Does this happen?). Final Chair reappointments will be made by the Provost.

⁵ See [Roles and Responsibilities of Clinical Department Chairs](#)



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Clinical Department Chairs are still subject to independent review for renewal of their faculty reappointment; a concurrent review of his or her faculty appointment must take place and must be positive in order for a Chair to continue in the role.

Departmental Promotions Committees

The committee membership should be representative of the department faculty with regard to gender, institutional employer, and discipline. The committee is responsible for establishing departmental Standards and Criteria in conjunction with the Chair. The committee is also responsible for reviewing all candidates for senior level appointment and promotion to the rank of Associate Professor and Professor in all tracks, as well as Assistant Professors in the Research Scholar and Teaching Scholar Tracks in the final year of the third term. The committee reviews the dossiers for promotion and votes on the action. A written summary of the committee's review plus the vote is then forwarded to the Department Chair. The summary should include the reasons for abstentions, recusals, and negative votes. Only Professors can vote on appointments and promotions to the rank of Professor. Professors and Associate Professors may vote on appointments and promotions to Associate Professor. Committee members who are closely associated with candidates should recuse themselves from voting.

Roles of Chiefs of Service and Division Chiefs

The Chief of Service and/or Division Chief evaluates the academic performance and progress of the faculty under her or his jurisdiction, and submits these reviews to the Department Chair under the procedures established for each Department. In consultation with the Department Chair, the Chief of Service and/or Division Chief reviews faculty salaries, receives and evaluates requests for academic leaves, and organizes regular and timely evaluations of the faculty in their service area.

Function	Chief of Service/Division Chief	Department Chair
Strategic Plan	Develops institutional plan in collaboration with CEO and Department Chair	Reviews/approves/submits to the Dean of Medicine and Biological Sciences
Appointments/ Reappointments/ Promotions	Initiates and recommends to Department Chair	Reviews/recommends to Dean of Medicine and Biological Sciences (junior faculty) and



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		to the Dean and CMFA (senior faculty)
Faculty Salaries	Makes recommendations based on faculty member's performance	Reviews to assure compliance with University/affiliated hospitals' guidelines and equity issues.

EDUCATIONAL PROGRAMS

Student Clerkships	Organizes, plans, and administers clerkships within the University and Departmental guidelines, at the direction of the Chair	Develops and implements guidelines, evaluates quality, coordinates with other educational programs (e.g. standard curriculum in multi-site clerkships).
<u>Graduate Medical Education Programs</u>	<ul style="list-style-type: none"> Serves as Site Director or designates the Site Director(s) In Conjunction with the Program Director, ensures educational quality and adherence to credentialing authority, sponsoring institution and University standards 	Chair is responsible for oversight for department GME programs

Research	Promotes and supervises research programs at affiliated institutions	Promotes the development of research programs in the affiliated institutions that collectively result in the appropriate breadth and depth for University Department. Fosters interaction and cooperation of related research efforts among the University and its affiliated institutions.
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Standing Committees

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.

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.

MEDICAL COMMITTEE ON ACADEMIC STANDING & PROFESSIONALISM (MCASP)

The MCASP has the following responsibilities: implementing promotion policies and procedures for medical student evaluation in all phases of the curriculum; monitoring students' progress through the entire curriculum; promoting students from one phase of the curriculum to the next; recommending students for graduation; identifying and dealing with all cases of academic deficiency, as well as cases of ethical misconduct (both academic and professional); issuing warnings; placing students on warning or probation, returning students to good academic standing; granting extensions to the requirements that Medical School be completed within a certain number of years; and dismissing students from the Medical School.

The MCASP will also oversee the academic progress of students through the Program in Liberal Medical Education (PLME). A subcommittee of the MCASP, the PLME Academic Affairs Committee (AAC), will review the academic progress and performance of all PLME students at the end of each regular semester during their undergraduate years and is empowered to place students on academic warning based on their established criteria. Final decisions to place PLME students on academic probation or to dismiss from PLME may also be made by the PLME Academic Affairs Committee, but must be approved by the MCASP. The PLME AAC may recommend action to the MCASP, which is done as a motion.



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MEDICAL CURRICULUM COMMITTEE

To review and approve new courses, evaluate all Medical School required courses and clerkships, consider and approve major curricular changes, and supervise the implementation of the curriculum leading to the medical degree. A subcommittee, the Program in Liberal Medical Education (PLME); Academic 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, the FCEL; as well as to the Dean of Medicine and Biological Sciences, Associate Dean for Medical Education, the Medical Curriculum Committee, and the Medical Committee on Academic Standing and Professionalism.

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

[CLINICAL FACULTY ADVISORY COMMITTEE](#)

[OFFICE OF WOMEN AND MEDICINE IN SCIENCE ADVISORY BOARD](#)

[COMMITTEE ON MEDICAL FACULTY APPOINTMENTS \(CMFA\)](#)

The Committee on Medical Faculty Appointments (CMFA) is the University review body for faculty actions relative to non-tenurable faculty in the Medical School Clinical Departments and for (Research) faculty in Biology departments. This committee is chaired by the Associate Dean of Academic Affairs who reports directly to the Dean of Medicine and Biological Sciences on behalf of the committee. The Dean provides his review of the candidates to the Provost for approval by the President and Corporation.

[Standards and Criteria for Rank](#)

Faculty Promotions and Appointments

AT THE DEPARTMENT LEVEL

The promotion dossier is reviewed first at the department level. The Division Director and Chief meet with the faculty member, and with the Department Chair to determine if the dossier is complete, goals have been met, and that the faculty member is ready for promotion review. The annual review is part of this process. In many departments, the departmental promotions



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committee initially reviews the faculty dossier and makes recommendations to the Chair as to whether the candidate should proceed with promotion.

Junior Level Promotions

Regardless of track, junior level promotions (Instructor to Assistant Professor) are reviewed by the Department Promotions Committee, the Department Chair and the Associate Dean for Academic Affairs to determine that all criteria and University guidelines have been met.

For junior level promotion the dossier should include

- Department Chair letter emphasizing the new responsibilities and role for the faculty member
- Letters from the Division Director, Chief (if applicable)
- [CV in Brown format](#)
- Teaching evaluations
- Annual review for full-time academic faculty

Senior Level Promotions

Promotions to Associate Professor and Professor in all faculty tracks are reviewed by the Department Promotions Committee, the Department Chair and CMFA, the Dean of Biological and Medical Sciences, the Provost, and the President of the University to determine that all criteria and University guidelines have been met.

[Senior-level appointments / promotions dossier](#) (for senior-level dossiers)

STEP 1: The departmental promotions committee reviews all candidates for senior level promotion. The committee solicits letters from external referee asking for their assessment of the candidate. The committee meets to review the promotions dossier, and votes on the appointment or promotion. A written summary of the discussion, including the vote, is forwarded to the department chair. The reasons for abstentions, recusals, or negative votes should be explained in the summary.

Only Professors may vote on professorial appointments and promotions. Professors and Associate Professors may vote on promotions to Associate Professor. Committee members who are closely associated with candidates should recuse themselves from voting.



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STEP 2: The department chair reviews the candidate's dossier and the promotions committee recommendation. The chair either forwards the dossier with a recommendation to move forward to CMFA or determines that the candidate is not ready for appointment or promotion. The Chair can recommend that the candidate be considered for another track. The Chair is asked to present the dossier to CMFA as part of the CMFA review process.

NAVIGATING PROMOTIONS FOR CLINICAL DEPARTMENT FACULTY AT BROWN UNIVERSITY

PROCESS

Once a candidate's dossier has been reviewed and approved at the departmental level, the department administrator electronically submits the dossier to the Academic Affairs Coordinator to launch the CMFA review.

CMFA meets semimonthly between September and May. CMFA members vote on each candidate and their recommendations are forwarded to the Dean for review. The Dean presents each candidate to the Provost for review. The Provost submits recommendations to the President who, in turn, submits the recommendations to the Corporation. The appointment/promotion is not final until the Corporation has voted. The effective date for the appointment or promotion is usually July 1 and is for a five year renewable term.

MANDATORY REVIEW

Assistant Professors in the Research Scholar and Teaching Scholar tracks in their third three year term **MUST** be reviewed for promotion. This third term is called the "up or out" term. Promotion review occurs during the second year of the third term (year 8) as Assistant Professor.

WAIVER NOTICE

Assistant Professors in the Research Scholar and Teaching Scholar tracks in the eighth year of their appointment may request to waive the one year written notice of a non-renewal through their Department Chair. This request is reviewed by the Associate Dean for Academic Affairs. A written response will be sent to Chair and faculty member.

ANNUAL REVIEW OF ACADEMIC FACULTY

The annual review process for faculty is intended to provide timely evaluation of faculty academic performance and to set expectations for future performance. By establishing clearly defined, mutually agreed upon goals, a faculty member can apportion her or his effort in a



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manner consistent with the defined objectives. The assessment of performance provides the feedback which allows both the faculty member and her or his Service Chief and Department Chair to determine if the previously agreed upon goals were achieved. This process of retrospective review and prospective goal setting is intended to call attention to the academic role, and to facilitate advancement.

Affiliated institution employment, subject to institution review, is also an integral component of the faculty appointment. While elements of employer review are beyond the scope of the faculty review, the faculty review includes teaching, research and University service.

All full-time faculty in the Research Scholar, Teaching Scholar and (Research) tracks, at the rank of Instructor and Assistant Professor, shall undergo an annual review of their academic achievements.

All full-time faculty in the Research Scholar, Teaching Scholar and (Research) tracks, at the rank of Associate Professor and Professor shall undergo a similar review at the mid-point of their term of appointment.

The review will take place within the Department in which the faculty person holds her or his appointment. In the case of a joint appointment, the primary Department shall be responsible for the review. The secondary Department shall nevertheless be represented in the review process.

To initiate the review process, the faculty member's immediate supervisor will meet with the faculty member to discuss her or his past year's accomplishments and to agree upon the goals for the following year. The immediate supervisor will then discuss the goals and assessment with the appropriate Chief of Service. If necessary, further discussion will be held with the faculty member. The immediate supervisor or Chief will complete the appropriate [faculty review form](#) and forward this to the Department Chair. The Chair of large departments may wish to appoint an Annual Review Committee and delegate the "final review" to this committee.

When agreement is reached on the review, the supervisor, chief or committee will forward this document to the Department Chair for additional comments and approval. Once approved by the Chair, the review will then be forwarded to the faculty member. The faculty member may add a written comment as part of the final report, and these comments shall become a part of the official record. The faculty will then sign the review and return it to the Department Chair. The Chair is responsible for insuring that the review is maintained in the faculty member's departmental file.



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The annual review process will evaluate the past year's performance by comparing the faculty member's accomplishments against a set of objectives enunciated at the time of the previous years' review. In the case of a first-year review, expectations should be established in writing for the first year of employment by the faculty person's Chief of Service and immediate supervisor in consultation with the Department Chair.

Clinical accomplishments relevant to the academic goals of the Department are germane to the annual review process and should be cited.

The review process must be completed by the end of each academic year. A copy of the review should be sent to BioMed Faculty Administration.

TERM EXTENSIONS

Individuals whose career path has been interrupted by illness, maternity leave, parental issues/leave, adoption, caring for a sick child or other close family member, career changing circumstances, or other serious circumstances may request up to three one-year extensions. These requests must be approved by the Department Chair and the Dean of Medicine and Biological Sciences. The requests must be submitted within one year of the qualifying event.

TERMINATION/NON-RENEWAL OF A FACULTY APPOINTMENT

Teaching Scholar, Research Scholar, (Research), and Clinician Educator faculty appointments are all contingent on the faculty member maintaining their employment in a Brown-affiliated institution. If a faculty member in any of these tracks is no longer employed by an affiliate institution, their faculty appointment in this track will terminate without the requisite non-renewal notice. In this instance, the Department Chair, in her or his discretion may or may not consider switching the faculty member to the Clinical track, which does not have the employment by an affiliated institution requirement.

All Teaching Scholar and Research Scholar faculty must receive notice of non-renewal of their appointments 12 months before the expiration of their term (if in a three year term appointment), or by 9 months before the expiration of their term (if in a less-than-three-year term. Such notice should be provided by the Department Chair. Ordinarily, (Research) faculty are entitled to the same non-renewal notice at the expiration of their terms, however, (Research) faculty appointments may be contingent on external funding and if the faculty member loses their funding during their term appointment, they may be terminated without notice.



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Appointments may be terminated at any time. Clinical track faculty should be notified of the termination or non-renewal of their appointments by the Department Chair in advance of receiving notification from BMFA. In recommending termination or non-renewal of a faculty appointment, the Department Chair should submit a complete and concise departmental recommendation delineating the basis for the non-renewal.

Among the possible grounds for termination/non-renewal of a faculty appointment are the following (***this list is not inclusive***):

- Services no longer needed by the Department or Alpert Medical School
- No longer providing the required number of teaching or service hours
- Failure to improve teaching after receiving notice of need for improvement
- The offering or establishment of an educational program as a Brown affiliated training program without the prior approval of the Dean of Medicine and Biological Sciences or the offering or establishment of an educational program that is competitive with Brown and/or not in the best interests of the Medical School, determined by the Dean of Medicine and Biological Sciences
- Scientific misconduct
- Academic misconduct
- Not adhering to University rules, regulations and policies regarding faculty conduct
- Unprofessional behavior
- Failure to provide required or adequate documentation for reappointment
- Provision of false documentation relevant to reappointment
- Failure to fulfill established academic departmental responsibilities

EMERITI

Faculty may be recommended by the Dean of Medicine and Biological Sciences for designation by the Corporation as emeritus (e.g. Professor of Medicine Emeritus) upon their retirement.

Upon retirement, tenured faculty and faculty at the rank of Professor or Clinical Professor shall be recommended to the Corporation for the Emerita/Emeritus title.

Other faculty may be recommended for such a title, by the appropriate Department Chairperson provided that they have served a minimum of fifteen (15) years at Brown University, and upon approval by the Dean of Medicine and Biological Sciences and the Corporation.



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SECONDARY APPOINTMENTS

Each faculty member is recruited with a primary appointment in a Department. Secondary appointments can be considered when a department wishes to recruit an individual with the intent of meaningful interaction with another department including:

- Participating in meaningful research activities between the two departments
- Maintaining an active program of scholarship consistent with the criteria of the Department granting the secondary appointment for the academic rank of the faculty member
- Participating in regularly scheduled educational activity for trainees (post-graduate trainees and/or medical students) between the departments. (Evaluations relating to this teaching role are to be included in the faculty member's dossier at the time of reappointment or promotion).
- Participating actively in seminars and faculty meetings sponsored by the secondary Department
- The primary and secondary appointment must be at the same faculty rank and will carry the same term end date as the primary department appointment
- Department recommendations will be forwarded to the Office of BioMed Faculty Affairs who will process the faculty action at the University level

Guiding Principles of Professional Behavior

The mission statement of the Warren Alpert Medical School of Brown University exhorts the members of the Medical School community to view medicine "as a noble profession rather than a trade to be learned." We seek to graduate physicians who are socially responsible and committed to improving health care in their community, the nation and the world. We also affirm that "our graduates must be scientifically well-educated, but capable of approaching problems from a variety of perspectives, drawing upon the methods of analysis of the humanist, the social scientist and the behavioral scientist." To these ends, we strive to create and sustain a learning environment that nurtures the full development of our intellectual and professional values. The Guiding Principles of Professional Behavior is informed by the altruistic tradition of medicine and proclaims our highest aspirations regarding what it means to be a professional in the context of our academic and clinical environments.⁶

⁶ The Guiding Principles is a vision statement of our professional beliefs. It is not intended to be a code of conduct for the Medical School community.



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PATIENT ADVOCACY

Our first responsibility is to provide the most appropriate care for each individual while respecting that patient's values. Socially responsible physicians also should improve the health of families and advocate for better health care for all. Students and faculty participate in community outreach and advocacy and cultivate respect for cultural diversity. Faculty serve as role models and mentors for students, residents and fellows in striving to improve health care in the community, and to ensure that all patients regardless of their socioeconomic position receive quality health care.

RESPECT FOR OTHERS

Professionalism requires recognition of and respect for other persons. In the clinical setting, we are respectful and responsive to patients, their families, peers and the healthcare staff. In the academic context, faculty and administrators demonstrate respect by teaching or communicating in a thoughtful and sensitive manner. Students, residents and fellows reciprocate by participating constructively in teaching sessions and by providing and responding to appropriate feedback to and from faculty and administrators.

ETHICAL PRACTICE

In maintaining the public trust, all members of the Medical School community strive to sustain the highest standards of academic and personal honesty, compassion, integrity, altruism, and dependability. The Medical School promotes moral development by acting ethically and by setting and maintaining the highest ethical standards for faculty, staff and students. We take responsibility not only for our own behavior but that of our professional colleagues. In daily conduct with patients and with each other, we are fair and truthful. We act in a compassionate manner. In our professional communications, we report accurately and objectively, particularly when documenting patient care and in conducting research. When appropriate, we provide complete disclosure of self-interest and avoid and appropriately manage conflicts of interest.

SELF-CARE AND SELF-AWARENESS

Recognizing that devotion to the profession can only be sustained in a life that is meaningful and balanced, the Medical School expects its members to attend to their own health, emotional and social needs and well-being. Reflective professionals are aware of their obligation to themselves, their family, their community and patients to maintain good health. They are thoughtful about what in their lives has personal meaning including their professional and personal values, priorities and commitments.



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AUTONOMY AND ACADEMIC FREEDOM

The Medical School respects the autonomy of patients, students, residents and fellows. In caring for patients, we honor and uphold the principles of informed consent and shared decision-making. We understand and respect the professional boundaries of the physician/patient and the teacher/student relationships. Our trainees are encouraged to shape their own learning—to develop leadership skills and to pursue career and outside interests. As a community, we support the exercise of freedom of speech and academic freedom. Such free and open communication may be required to advocate effectively for patient care.

LIFELONG LEARNING

As members of the Warren Alpert Medical School of Brown University community we have a continuing commitment to excellence in clinical practice and in scholarship. We are committed to lifelong learning through participation in continuing education, and to facilitating ongoing opportunities for students, residents, fellows and faculty to participate in professional development that enhances innovation and creativity in their teaching and scholarship.

Statement of Faculty Responsibilities

The purpose of this statement is to describe the general principles that guide research, teaching, clinical care and service by faculty members and to identify specific responsibilities that are associated with these principles. More specific information may be found in the Standards and Criteria for Rank" found in the [Handbook on Academic Administration](#) Faculty members are urged to consult these documents which are available from the Department Chair or BMFA.

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



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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 of Medicine and Biological Sciences and Associate Deans, 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 and Biological Sciences.

FACULTY DISCIPLINARY ACTIONS

Medical School faculty are members of an academic community in which integrity and trust are as important as professional competence and scholarly achievement. Standards for faculty conduct are consistent with those of the University and the broader professional community. These standards have worked over time to meet and respond to contemporary concerns as well as long held medical community standards of conduct. This document pertains to non-tenure track faculty in clinical departments. This document does not replace existing policies requiring employment of academic faculty by affiliated organizations.

General Principles observed in addressing allegations subject to disciplinary action:

- Medical School faculty maintain academic and professional standards consistent with the highest traditions of teaching, research, and patient care
- Medical School faculty are responsible to the public, to the academic community and to affiliated institutions and agencies
- Enforcement of the standards is necessary to protect the rights and reputations of all individuals, including those alleged to have engaged in misconduct and the individual who has made the allegation
- Allegations will be resolved carefully and objectively providing appropriate opportunity for all parties with legitimate interests to be heard as promptly as possible

FOUNDATIONS FOR DISCIPLINARY ACTION

Disciplinary procedures provide an administrative mechanism to determine whether actions by a faculty member breach the standards. Grounds for disciplinary action include, but are not limited to, the following:



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- Incompetent performance of professional duties
- Neglect of academic duty
- Misconduct in research, including
- Falsification, fabrication, or theft of data or samples
- Unauthorized use of privileged information
- Abuse of authorship
- Significant failure to comply with federal, state, or University rules governing research
- Conviction of a felony
- Unprofessional conduct sanctioned by a lawfully constituted authority, such as, but not limited to, loss of the license to practice medicine in Rhode Island or elsewhere
- Sanction by a professional entity such as a hospital, grant- funding agency, or professional society
- Unlawful conduct that obstructs the orderly functioning of the Medical School
- Gross personal misconduct
- Other egregious conduct that violates the [Faculty Rules and Regulations](#) of Brown University

SCOPE OF SANCTIONS

University sanctions for violations of the standards of conduct should be commensurate with the seriousness of the misconduct. Conduct which is egregious, willful, repeated, or in violation of law may be grounds for immediate suspension or termination. Disciplinary actions against faculty may include the following:

- Reprimand (with or without notice to the faculty member's file)
- Probation (always noticed to the faculty member's file)
- Suspension (always noticed to the faculty member's file)
- Dismissal (always noticed to the faculty member's file)

PROCEDURES FOR ADDRESSING ALLEGATIONS OF MISCONDUCT

1. Any allegation of misconduct brought to the attention of the Dean must be in written form with sufficient detail for the nature of the alleged misconduct to be identified. No anonymous complaints will be accepted, although at the complainant's request, reasonable efforts to maintain anonymity will be made. Strict confidentiality will be maintained regarding all proceedings until a decision has been reached regarding disciplinary action(s), if any. The Department Chair will be notified unless there is a compelling reason why this should not occur.



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2. Allegations may be submitted by individuals, organizations or entities. Formal notification of sanction by the State or another organization shall not require a separate complaint.
3. The Dean or designee (e.g. Associate Dean/Department Chair) will review all allegations of misconduct and determine whether it is appropriate to initiate a formal investigation. If the allegation involves the Chair, the Dean or another uninvolved designee (e.g. Associate Dean) will review the allegations. The Dean's designee will report to the Dean regarding the review of the allegations. Review of allegations will be completed within 30 business days of the complaint.
4. If the matter involves behavior at an affiliated organization, the Dean will have the option of asking the affiliated organization to investigate the allegation and report their findings to the Dean or the Dean may decide that the University should perform its own investigation. The decision about faculty status remains with the Dean.
5. If the matter involves competence to hold a valid license to practice medicine, the Dean will refer the matter to the Board of Licensure and Discipline of the relevant state. The decision about faculty status remains with the Dean
6. If the matter involves scientific misconduct, then the existing University policy on scientific misconduct will be followed.
7. If, after the review by the Dean and his designee described above, (?) it is determined that a matter is appropriate for University (or do we mean Medical School?) investigation, the Dean will notify the faculty member and the Department Chair of the charge in writing. The faculty member will be invited to respond in writing regarding the allegation(s).
8. The Dean will convene an ad hoc Investigation Committee composed of at least 3 faculty members at or above the faculty rank of the faculty member under discussion, at least two of whom must be members of a different department. The faculty member will have the right to appear before the Investigation Committee as part of the investigation procedure. The faculty member may be accompanied by another Brown faculty member, if it is so desired. Faculty may not be accompanied by legal counsel at meetings of the ad hoc Investigation Committee. The Investigation Committee will report in writing to the Dean regarding the validity of the charges.
9. Upon receipt of the report of the Investigation Committee or the results of the investigation by another body, the Dean may take one of the following actions:
 - a. The Dean may find that there is no basis in the charge and close the matter.
 - b. The Dean may uphold the charge.
 - c. If the misconduct is minor, a reprimand may be issued.
 - d. If the misconduct is serious, the Dean will determine the sanction, as defined above.
10. If the Dean is not able to come to a decision, the Dean shall forward the report of the Investigation Committee along with a report to the Provost of the special circumstances precluding the Dean from making a decision.
11. The Dean will report the decision regarding faculty status to the Provost who will review the action and report to the President. The Provost may agree or disagree with the recommendation of the Dean.



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12. If the faculty member under discussion contests the Dean's review, then the matter will be referred to the Provost who will reach a decision and determine the disciplinary action to be taken, if any. The faculty has 30 business days after notification of the action on faculty status to appeal the Dean's decision to the Provost.
13. If the allegation involves misconduct on the part of the Dean, the matter will be referred to the Provost (by whom?), who will investigate and resolve the matter.
14. The faculty member has the right to appeal in accordance with Brown University's Grievance Procedures (See section on [Medical Faculty Executive Committee](#)). Any appeal must take place within 30 days of a final decision on faculty status by the Dean and/or the Provost.
15. The ultimate authority for determination of whether the individual remains on the faculty rests with the President and the Corporation.

NOTIFICATIONS REGARDING FINDINGS

The Dean will notify any governmental agencies or offices in accordance with requirements for such notifications. Notices include, but are not limited to, the following:

- Federal regulations relating to research require notice to the Office of Scientific Integrity of plans to conduct an investigation
- If the faculty member has an appointment with a university affiliated organization, the Dean will inform the organization of any disciplinary actions taken
- If the faculty member is licensed to practice, the Dean will inform the State of any disciplinary actions taken