INTRODUCTION TO
THE EMORY UNIVERSITY FACULTY HANDBOOK

The Faculty Handbook is a guide to the faculty and is designed to present information relevant to the faculty about Emory University. It is not intended to provide an exhaustive list of policies and practices affecting Emory faculty. On-line sources of original policies are provided throughout the text, though in a few instances the policy provided in the Handbook is the original source. Although the Faculty Handbook is updated periodically, the responsibility remains with the faculty member to refer to the most recent policies to ensure that they have the most current version of the information.

The creation of this Faculty Handbook and its distribution by the Office of the Provost does not in any way change the legal rights or obligations of faculty members at Emory University. Further, as a guide, it is not a legally-binding document. The policies, practices, procedures, guidelines, and standards referred to in all parts of this Faculty Handbook form a basic part of the essential employment understandings between members of the Faculty and the University. The Handbook does not constitute a contract between the individual and Emory University. The relationship of faculty to the University continues to be governed by the terms of the Statement of Principles Governing Faculty Relationships as amended periodically by the Board of Trustees; which is included as a link in Chapter Four in this Faculty Handbook.

In addition to the policies of the University, schools and units in the University have additional policies and practices that apply to faculty, some of which supplement the policies in the Faculty Handbook. Faculty members are advised to be familiar with all of these policies and practices.

Information about suggestions, corrections, additions, or deletions is welcome. Please contact Carol Flowers at caflowe@emory.edu.
PART A: EMORY UNIVERSITY

CHAPTER 1: EMORY UNIVERSITY OVERVIEW

1.1 HISTORY

Emory University has a long and varied history, growing from a small and struggling college for Southern men to the large, diverse, and well-established top-tier university that it is today. In the 1830s, a small band of Methodists in Newton County founded a new town (Oxford) and college (Emory). On December 10, 1836, the Georgia legislature granted a charter to Emory College, named for the Methodist bishop John Emory. Emory College was organized in 1837 and classes began in 1838. More detailed information can be found on our History of Emory page.

Following a split between Vanderbilt University and the Methodist church, Asa Candler, the founder of The Coca-Cola Company and brother to former Emory President Warren Candler (Class of 1875), helped the church decide that a new university should be built in Atlanta. In September 1914, the first unit of the University – the School of Theology – began classes in downtown Atlanta. By September 1919, Emory College had joined the schools of theology, law, medicine, business, and graduate studies at the campus in Druid Hills. Over time schools of nursing, dentistry, and public health would join the family, although dentistry would last only until 1990. In 1990, building on collaborations with the Centers for Disease Control and Prevention, Emory launched its first new school in fifty years, the Rollins School of Public Health. At present, Emory’s primary campus is in Druid Hills, but it also has campuses in Oxford, Georgia, and Midtown Atlanta in addition to a number of additional healthcare sites throughout metro Atlanta.

Emory granted its first doctoral degrees in 1948. It opened residential enrollment to female undergraduates in 1953 and welcomed African American students in 1962, after bringing suit against the State of Georgia and winning the right, in the state supreme court, to enroll students without regard to race.

A major gift in 1979 from Robert and George Woodruff of $105 million in Coca-Cola stock allowed Emory to dramatically expand and transform its programs. During the 1980s, under the presidency of James Laney, Ph.D., and with the support of the Woodruff gift, Emory achieved national prominence as one of the nation’s top research institutions. A key marker of this success was the election of Emory in 1994 into the Association of American Universities- a select group of 62 leading public and private research universities in the United States and Canada.

Emory has approximately 4,000 faculty members who teach, conduct research, provide clinical care, and/or are engaged in service activities. The University has nine schools, including the School of Medicine (1854), Emory College of Arts and Sciences (1836), the Nell Hodgson Woodruff School of Nursing (1905), the Candler School of Theology (1914), the Law School (1916), Oxford College (1919), the Roberto C. Goizueta Business School (1919), the Graduate School (1919), and the Rollins School of Public Health (1990). Emory’s faculty includes distinguished individuals including members of the Institute of Medicine, National Academy of Sciences, American Academy of Arts and Sciences, American Association for the Advancement of Science as well as a Howard Hughes Medical Institute investigator and two Howard Hughes professors. We have several notable figures also associated with Emory.
including: former U.S. President Jimmy Carter; celebrated writer Salman Rushdie and His Holiness the XIV Dalai Lama.

In addition to its schools and colleges, Emory University includes a museum, libraries, hospitals, and field stations (the Yerkes National Primate Research Center). The University today has close to 13,000 employees (including faculty and staff), more than 7,600 undergraduate students, and close to 6,500 graduate and professional school students, who represent all regions of the United States and more than 110 foreign nations.

Emory holds membership in many major national organizations, including, but not limited to, the Association of American Universities, American Council of Education, Association of American Universities Data Exchange, American Association of Research Libraries, College Board, Council of Graduate Schools, Council of Southern Universities, and the Southern University Conference, National Association of Independent Colleges and Universities, National Association of Private Colleges and Universities in Georgia. Among the regional and local organizations to which Emory holds a membership are the Atlanta Regional Council for Higher Education, Georgia Association of Colleges, the Georgia Foundation for Independent Colleges, the Council of Southern Universities, the Metro Atlanta Chamber of Commerce, and the Georgia Chamber of Commerce.

The Commission on Colleges of the Southern Association of Colleges and Schools (SACS) accredits Emory. This accreditation allows the University to award degrees at the associate, bachelor's, master's, and doctoral levels. In addition, several targeted bodies accredit schools or programs within the University.

Additional and regularly updated information can be found at Explore Emory, which provides an overview of facts and figures related to the schools and colleges, students, faculty and staff, and topics of timely interest. It also includes information about accreditation; relevant national rankings of Emory University, its schools, colleges and programs; and responses to frequently asked questions.

1.2 ACADEMIC PROGRAMS

1.2.a. Colleges and Schools

The academic program of Emory University is conducted through its schools and affiliated institutions. Undergraduate programs are available through Emory College of Arts and Sciences which awards the B.A. and B.S. degrees, Oxford College which awards the A.A. degree, the Nell Hodgson Woodruff School of Nursing which awards the B.S.N., and the Goizueta Business School which awards the B.B.A.

The graduate and professional programs are conducted through the Laney Graduate School, which awards the M.A., M.S., M.D.P., M.S.M., M.S.B.A., and Ph.D. Faculty from professional schools and the Emory College of Arts and Sciences comprise the doctoral and master’s degree faculty of the Laney Graduate School.

Professional degrees are offered through the School of Medicine, which awards the M.D. and D.P.T. degrees and allied health professional master’s degrees; the Rollins School
of Public Health which awards the M.P.H degree; the Candler School of Theology which awards the M.Div., M.T.S., Th.M.; the Goizueta Business School which awards the M.B.A.; the Nell Hodgson Woodruff School of Nursing which awards the M.S.N.; and, the School of Law, which awards the J.D., J.M., L.L.M., and S.J.D. degrees.

A number of dual-degree options are available to students, many of which involve participation in two different colleges or schools.

For information on the specific schools and colleges, see the following pages:

Emory College of Arts and Sciences
Oxford College
Candler School of Theology
Goizueta Business School
Laney Graduate School
School of Law
Nell Hodgson School of Nursing
Rollins School of Public Health
School of Medicine

1.2.b. Academic Partnerships with Other Institutions, Including Dual Degree Options

Emory has partnerships with a number of local colleges and universities. For example, Georgia Institute of Technology, the Emory University School of Medicine, the Emory Graduate School, and Peking University in China jointly offer a Ph.D. in biomedical engineering through the Wallace H. Coulter Department of Biomedical Engineering at Georgia Institute of Technology. A dual-degree program sponsored by Emory College of Arts and Sciences and Georgia Institute of Technology provides a B.A. degree from Emory and a B.S. degree from Georgia Institute of Technology. Emory has several other dual-degree programs in partnership with other universities—these can be found on each specific School website. Also, the Nell Hodgson Woodruff School of Nursing and Agnes Scott College offer a dual B.A./B.S.N. degree in nursing.

Emory has many academic partnerships around the world. More information on Emory’s partnerships can be found within the Office of Global Strategies and Initiatives. For example, Emory and Nanjing University partnered in 2009 for faculty and graduate student exchange and launched the Emory-Nanjing Visiting Scholars Program, sponsored by The Halle Institute for Global Learning and Nanjing’s Institute for Advanced Study in Humanities and Social Sciences. Faculty are encouraged to visit the Global Strategies website before traveling abroad and to register with International SOS. In addition, Emory Healthcare’s Travel Well Clinic provides pre- and post-travel health services for international travelers.

1.3 ACADEMIC CALENDAR

Information about key dates can be found on the Office of the Registrar website which provides details separately for the various schools and colleges. Each academic year is divided into a fall and spring
semester and two summer sessions. The fall includes an orientation for new students, freshmen convocation, Labor Day holiday, Fall Break, and Thanksgiving Recess. The spring includes Martin Luther King Jr. holiday, Spring Recess, and Commencement. Winter Break occurs between the two semesters. The two summer sessions are each approximately five weeks in duration. The first session includes the Memorial Day holiday, and the second session includes the Independence Day holiday. These breaks and holidays are typical for Emory College, but other schools, such as the Schools of Medicine and Law, may follow somewhat different schedules.

CHAPTER 2: VISION, MISSION, ETHICAL PRINCIPLES, AND STRATEGIC PLANS

2.1 VISION STATEMENT

Emory is “a destination university internationally recognized as an inquiry-driven, ethically engaged, and diverse community, whose members work collaboratively for positive transformation in the world through courageous leadership in teaching, research, scholarship, health care, and social action.”

2.2 MISSION STATEMENT

Emory University's mission is to create, preserve, teach, and apply knowledge in the service of humanity. To fulfill this mission, the University supports the full range of scholarship, from undergraduate to advanced graduate and professional instruction, and from basic research to its application in public service. While being a comprehensive research university, Emory limits its academic scope to those fields in which, by virtue of its history and location, it can excel. Hence its academic programs focus on the arts and sciences, business, law, theology, and the health professions. These disciplines are unified by their devotion to liberal learning; by cooperative interdisciplinary programs; and by the common pursuit of intellectual distinction.

The Emory community is open to all who meet its high standards of intelligence, competence, and integrity. It welcomes a diversity of ethnic, cultural, socioeconomic, religious, national, and international backgrounds, believing that the intellectual and social energy that results from such diversity is a primary asset of the University.

2.3 STATEMENT OF ETHICAL PRINCIPLES

As an ethically engaged institution, Emory University affirms the conviction that education exerts a powerful force to enable and ennable the individual, and that the privilege of education entails an obligation to use knowledge for the common good. Full version of the statement approved by the Board of Trustees, 9 February 2005 is available at the link above.

2.4 EMORY UNIVERSITY STRATEGIC PLAN: WHERE COURAGEOUS INQUIRY LEADS
Emory’s future is being guided by its strategic plan, *Where Courageous Inquiry Leads: 2005 - 2015 Strategic Plan*. The goals and strategies expressed in the plan will allow Emory to achieve its vision. Based upon this strategic plan, Emory will secure and direct resources, take action, and measure progress. Emory is committed to the strategic planning process that turns shared vision into action by charting a course for growth and development. The plan is built upon the aspirations of all students, faculty, and staff that intersect in a common set of goals and key university-wide priorities.

By 2015, Emory aspires to achieve the following strategic goals: (1) Emory has a world-class, diverse faculty that establishes and sustains preeminent learning, research, scholarship, health care, and service programs; (2) Emory enrolls the best and the brightest undergraduate, graduate, and professional students and provides exemplary support for them to achieve success; (3) Emory’s culture and physical environment enrich the lives and intellectual work of faculty, students, and staff; (4) Emory is recognized as a place where scholars work collaboratively as a strong and vital community to confront the human condition and experience and explore twenty-first-century frontiers in science and technology; (5) Emory stewards its financial and other resources to drive activities that are essential and those through which Emory can demonstrate excellence and provide leadership. In addition, the University is focusing attention on five strategic themes: (1) strengthening faculty distinction; (2) preparing engaged scholars; (3) creating community, engaging society; (4) confronting the human condition and human experience; and (5) exploring new frontiers in science and technology.

**CHAPTER 3: UNIVERSITY GOVERNANCE**

### 3.1 SELECTED UNIVERSITY BYLAWS

The University operates through the *Bylaws of Emory University*. The brief overview below includes those portions that are most relevant to faculty.

**Article IV: Instruction**

**Section 1: Faculty.** Responsibility for the instructional programs of the University shall be vested in the University Faculty under the direction of the President. The faculty shall include the President, the Provost, the Executive and other Vice Presidents, Deans, Professors, Associate Professors, Assistant Professors, Instructors, and persons of such other rank or title as the President may recommend.

The faculty of any school or college of the University shall include all such officers as have responsibility for instruction in that school or college. A member of the University faculty may be a member of the faculty of more than one school or college.

Subject to general University policy and regulations and to the powers vested in the President of the University and the University Senate, the faculty of any school or college shall have jurisdiction over the educational program and the internal affairs of that division, instruction, schedules, and degree requirements.

**Section 2: Deans.** The Dean of a school or college shall be appointed by the Board of Trustees or its Executive Committee upon recommendation of the President, who shall have conferred regarding such recommendation with the Provost and/or Executive
Vice President for Health Affairs. The President also shall seek the advice of an appropriately appointed committee, which shall include members of the faculty of the school or college concerned, and shall inform the Board of the views of that committee. The Dean of a school or college shall have general responsibility for the direction of the work of his or her division and shall be responsible to the President for the administration thereof; shall exercise leadership in the development of educational policies and programs; shall preside at meetings of the faculty of his or her school or college except when the President chooses to preside; shall supervise the work and direct the discipline of his or her division; and shall advise with the President in the formation of the faculty, the determination of curricula, and concerning all the interests of his or her division, including its relationships to other divisions of the University and to the interests of the University as a whole.

Section 3: Faculty appointments. Appointments to membership on the faculty, other than the President, Provost, Executive and other Vice Presidents, and Deans, shall be of two kinds – limited and continuous. A limited appointment is terminated at the close of a period of time specified in writing to the appointee. A continuous appointment is one which will not be terminated by the University except as specified in the principles approved and published by the Board of Trustees, or by retirement in accordance with the provisions of the Emory University Retirement Plan.

Limited appointments shall be made by the Dean of the academic unit primarily concerned, and shall be reported annually to the Provost and Executive Vice President for Academic Affairs or the Executive Vice President for Health Affairs, whichever is appropriate.

Continuous appointments shall be made by the Board of Trustees or its Executive Committee upon the recommendation of the President, who shall have conferred regarding such recommendation with the Dean of the academic unit primarily concerned, with the appropriate Executive Vice President.

The Deans shall establish and communicate to their faculty the procedures for expressing faculty opinion in matters of individual appointment, promotion, and termination. The precise terms and conditions of each appointment shall be stated in writing, shall be in accordance with the principles approved and published by the Board of Trustees, and shall be in possession both of the University and the appointee before the appointment is final.

Article VI: Curricula and Degrees

Section 1: Curricula. Courses of study in the University, including admission and degree requirements, shall be arranged by the deans and faculties of the several schools and colleges, with due consideration of interdivisional relationships; and when such courses have been approved by the President of the University after conference with the appropriate Dean, they shall be published as the authorized curricula of the University.

Section 2: Degrees in course. Degrees in course, as authorized, shall be conferred upon students who have completed satisfactorily the courses of study prescribed for such degrees, who are recommended by the Dean and faculty of the appropriate school.
or college, and who are approved for such degrees by the Board of Trustees or its Executive Committee.

**Section 3: Honorary degrees.** Honorary degrees may be conferred upon such persons as may, from time to time, be selected by a two-thirds vote of the Board of Trustees. The University Senate may, in accordance with procedure prescribed in its bylaws, make recommendations for honorary degrees to the Board of Trustees. Such recommendations from the Senate must have the approval of the President of the University prior to being submitted to the Board of Trustees for vote. All members of the Board shall be furnished with written statements of the qualifications of each nominee prior to any ballot being taken. Ballots on honorary degrees may be taken by mail or by voice vote at any meeting of the Board of Trustees.

### 3.2 STANDARDS OF CONDUCT (Policy 4.62)

Emory University pursues excellence and insists on high standards of conduct and performance. The rules expressed in Standards are designed to maintain the positive environment which Emory strives to provide for all employees. Application of uniform and consistent standards is Emory's objective.

Listed in these Standards are some of the rules and regulations of Emory as well descriptions of the types of behavior and conduct that Emory considers inappropriate and that could lead to disciplinary action up to and including an unpaid suspension or termination of employment without prior warning, at the sole discretion of Emory. This policy is also referenced in Section 12.1 of this handbook.

### 3.3 ADMINISTRATION

#### 3.3.a. Board of Trustees

The Board of Trustees was established in 1915, governing the University by establishing policy and exercising fiduciary responsibility for the long-term well-being of the institution. The Board and its Executive Committee act on recommendations from Board committees, University officers, and the University Senate. Board committees, in addition to the Executive Committee, include: Academic Affairs; Audit and Compliance; Campus Life; Executive Compensation and Trustees’ Conflict of Interest; Finance; Governance, Trusteeship, and Nominations; Development and Communications; Investment; Real Estate, Buildings, and Grounds; and the Woodruff Health Sciences Center Board. Subcommittees include: Subcommittee on Church Relations; Naming and Inscriptions Subcommittee; and the Real Estate and Gifts Subcommittee.

According to University Bylaws, the Board of Trustees consists of a maximum of 45 voting members: 34 term trustees; 11 alumni trustees. Emory’s Board is comprised of corporate, academic, religious, and civic leaders from across the United States. While the President and his leadership team attend Board meetings, they may not vote. The University also relies on the wisdom and counsel of trustees emeriti: trustees who retired from the Board after serving a complete term or reached the age of 70. Trustees Emeriti may attend Board meetings; however, they do not have a vote. They may also serve as voting committee members until age 75.
The Chair of the Emory University Board of Trustees appoints faculty counselors to serve on each of the major board committees, in accordance with the Bylaws of Emory University. Other than the President and President-Elect of the Senate (who serve ex officio), faculty counselors are appointed to three-year terms, which begin at the start of the academic year and are chosen from faculty in the nine schools.

3.3.b. **President**

The President of the University is elected by the Board of Trustees and serves at the pleasure of the Board. The President is the chief executive and administrative officer of the University. The roles and responsibilities of the President are described in the Bylaws of Emory University. James W. Wagner was appointed Emory’s nineteenth president in 2003.

3.3.c. **President’s Cabinet**

The President’s Cabinet considers and makes recommendations on matters of policy and programmatic priorities of the University and advises the President on urgent matters. The cabinet exists to enhance the ability of the president and cabinet officers to lead more effectively in pursuing the mission and vision of Emory. It is one key place where the president and the cabinet officers seek advice and counsel. The President’s Cabinet meets weekly and consists of those Executive Vice Presidents, Senior Vice Presidents, and Vice Presidents whose respective areas of responsibility together embrace all staff, faculty, and student concerns. Specifically, the Cabinet includes the President of the University, Senior Vice President and General Counsel, Senior Vice President for Development and Alumni Relations, Senior Vice President for Campus Life, Vice President and Deputy to the President, Provost and Executive Vice President for Academic Affairs, Vice President and Secretary of the University, Executive Vice President for Business Administration, Executive Vice President for Health Affairs and CEO of the Robert W. Woodruff Health Sciences Center, and Vice President for Communications and Public Affairs.

3.3.d. **Other Direct Reports to the President**

In addition to the members of the Cabinet, individuals holding the following positions also report directly to the President of the University: Chancellor; Executive Director of the Carter Center; and Dean of the Chapel and Religious Life.

3.3.e. **Provost and Provost’s Officers**

The Board of Trustees, on nomination of the President of the University, elects the Provost and Executive Vice President for Academic Affairs. The Provost is the principal academic officer of the University, representing the President in his absence, and acts as the President’s primary liaison with the deans and faculties on academic matters. The Provost is responsible for overall academic program management and support activities most closely tied to academic programs including research administration, global strategies, the library, and the Carlos Museum. The Provost engages in shared oversight with the Executive Vice President for Health Affairs for the Woodruff Health Sciences Center.
Claire E. Sterk, Ph.D. is Provost and Executive Vice President for Academic Affairs and the Charles Howard Candler Professor of Public Health. She was appointed in 2013.

3.3.f. Deans

Each of the schools and colleges has a Dean. The Dean is the chief academic officer of his or her respective school or college. The Dean is responsible for the direction of the academic programs, and academic planning of his or her division; exercises leadership in the development of educational policies and programs; generally presides at meetings of the faculty of his or her school or college; supervises the work and directs the discipline of his or her division; and advises the President and Provost and Executive Vice President of Health Affairs concerning the formation of the faculty, determination of curricula, and concerning all the interests of his or her division, including its relationships to other divisions of the University and to the interests of the University as a whole.

3.4 UNIVERSITY AND FACULTY GOVERNANCE

3.4.a. University Senate

The University Senate is composed of elected members of the faculty, student body, staff, alumni, and academic deans. Its membership includes, *ex officio* and non-voting, the President, Chancellor, Executive Vice Presidents, Senior Vice Presidents, Provost, Senior Vice Provosts, and Vice President and Secretary of the University; the President of the Student Government Association; the President of the Graduate Student Government Association; the President, Immediate Past-President, and President-Elect of the Senate; the Chairpersons of the Standing Committees of the Senate; and the elected President, Past-President, and President-Elect of the Employee Council. The *Bylaws of the Senate* address its membership, election process, terms of office, functions and jurisdiction, organization, meetings, and procedure.

The University Senate, subject to the powers vested in the President of the University and the Board of Trustees, shall (1) consider and make recommendations concerning all matters of general university interest, as distinguished from those affecting a single school; (2) review all changes in existing policies or the establishment of new policies relating to matters of general university interest; (3) consider and make recommendations on any matters referred to it by the President of the University or the Board of Trustees or by its own membership or constituencies; (4) make recommendations as to Honorary Degrees, as provided in Article VI of the Bylaws of the University; and (5) make recommendations on its own initiative to the President on any matter affecting the University.

The Senate is a forum for communication, discussion, review, and consideration of initiatives and proposals in any area of policy or other matter that affects the University as a whole. Elected representatives carry information and points of discussion back to their constituencies to enhance communication, bring feedback, and, through continuous iterations, build a sense of shared purpose.

The University Senate includes the following committees: Governance, Athletics and Recreation, Campus Development, Campus Life, Class and Labor Implementation, Environment,
Fringe Benefits, Honorary Degree, Library Policy, Open Expression, Prevention of Sexual Violence, Senate Diversity and Transportation and Parking.

3.4.b. **Faculty Council**

The University Faculty Council is the chief representative body of the faculty. The membership of the University Faculty Council includes the elected faculty members of the University Senate, chosen in accordance with the Bylaws of the University Senate, as approved by the Board of Trustees, and eight additional members of the faculty appointed annually by the Faculty Council Executive Committee, in consultation with the President and Provost of the University who shall serve as non-voting members. The faculty members represent all of the schools and colleges. The President, President-elect, and Immediate Past-President of the University Senate are ex-officio members of the University Faculty Council and serve as its officers. The President of the University and Provost are members, ex officio, of the University Faculty Council, together with others as called for in the Faculty Council Bylaws.

The University Faculty Council, subject to the powers vested in the President of the University and the Board of Trustees, shall: (1) consider and make recommendations to the President concerning the academic affairs of the University as distinguished from those affecting a single school or division thereof, or upon any other matter referred to it by the President, the Board of Trustees, or its own members or constituencies; (2) review all changes in existing policies or the establishment of new policies relating to matters of general interest to the University faculty, either at the initiative of its own members or constituencies or when these policies are brought before the Council by the President of the University or the Board of Trustees; (3) monitor and review, in its regular deliberations or by the appointment of special committees, the terms and conditions of faculty employment, the state of facilities and administrative policies that affect scholarship and teaching, the budgetary commitments and general financial condition of the University, and the relationship between faculty and administration; and consider any suggestions or problems raised by any recognized faculty group; (4) recommend faculty for university-wide committees on institutional planning.

Also, in consultation with the Faculty Council of the University Senate, the Chair of the Board appoints faculty members to serve as Faculty Counselors on each of the major board committees. According to the *Bylaws of Emory University*, "Each committee may, upon nomination from the Chair of the Board, appoint Counselors, who shall have full authority to engage in the deliberations of the trustee committee but shall not have a vote." The terms for the Faculty Counselors are three-year terms, other than the president and president-elect of the Senate (who serve *ex officio*). Faculty Counselors begin their terms of service at the start of the academic year.

As noted above, the Faculty Council is the representative body for the entire University faculty. Each school or unit has its own faculty governance and voting policies for specific school wide matters.
PART B: FACULTY APPOINTMENTS, REVIEW, AND RECOGNITION

CHAPTER 4: STATEMENT OF PRINCIPLES GOVERNING FACULTY RELATIONSHIPS
(“THE GRAY BOOK”)

The “Gray Book” contains the statement of principles governing faculty relationships with the university and standards regarding appointments, promotion, and tenure. The Board of Trustees updates and oversees this document.
CHAPTER 5: FACULTY STRUCTURE, TITLES, PROMOTION, AND REVIEWS

5.1 FACULTY STRUCTURE

5.1.a. Governance of Faculty Appointments and Related Policies

Faculty appointments in all schools and colleges of Emory University are governed by policies and regulations set forth in three University documents.

First, the *Bylaws of Emory University* define limited (non-continuous; non-tenured) and continuous (tenured) faculty appointments. A limited appointment is one that is terminated at the close of a period of time specified in writing to the faculty member. These appointments often are renewable. A continuous appointment is one that will not be terminated by the University except for adequate cause or by retirement.

Second, the *Statement of Principles Governing Faculty Relationships ("The Gray Book")* concerns a broad range of topics including appointment to the faculty, the definition of faculty ranks and promotion tracks, eligibility for continuous appointment, promotion, and termination of appointment (see Chapter 4). This is a Board of Trustee’s document.

Third, the *Tenure and Promotion: University Guidelines for Candidate Files (Tenure Track)* describes the university-level review process and establishes university-level practices for the preparation of dossiers for appointment to tenure and promotion on the tenure track.

To complement these university-level policies and procedures, the Dean of each college and school must establish college-level policies and procedures for appointment, re-appointment, tenure, and promotion, all in compliance with the *Statement of Principles Governing Faculty Relationships ("The Gray Book")*. 

5.1.b Policy on Cross-Departmental and Cross-School Appointments

Faculty appointments across departments within schools and across schools within Emory University are possible. A variety of terms (e.g., joint, secondary, associated) are used to describe such appointments based upon the school(s) involved and the compensation agreements. The requirements for rank consistency between appointments also vary across schools. Cross-departmental and cross-school appointments require approval from the relevant Chairs and Dean(s). School policies on appointment, promotion, and tenure include each school’s guidelines on these appointments.

5.1.c. Policy on Retirement and Emeritus Faculty Appointment (See full policy *Statement of Principles Governing Faculty Relationships ("The Gray Book")*)

Faculty are eligible to retire if they work at least 20 hours or more per workweek, are at least 55, have at least ten years of service of at least half time with breaks not to exceed a 12-month period or 24-month period if due to a reduction in force, and are retiring from a paid status or a disability Leave of Absence; and if their total years of age and service equal at least 75. The retirement date can be any day of the month as mutually agreed upon by the faculty member and
his/her department, but retirement at the end of a semester is usually preferred. Retired faculty can access a range of benefits, which are described in the Benefits section of this Faculty Handbook and on the Human Resources website. In addition, school specific resources may be available to faculty upon retirement.

A retired member of the faculty who has reached age fifty-five and has served as a member of the Emory faculty for at least ten continuous years, and whose total age and years of continuous service equal at least seventy-five, may be considered for an “emeritus” title that reflects rank and appointment track at the time of retirement. Following rules and guidelines for academic titles, the Dean of the academic unit where the faculty member’s appointment is housed may recommend a faculty member to the Provost and Executive Vice President for Academic Affairs and the President, who shall inform the Board of Trustees, if awarded.

5.2 CURRENT FACULTY TITLES AND THE REQUIREMENT FOR APPROVAL OF NEW TITLES (See full policy in Chapter 4, Statement of Principles Governing Faculty Relationships (“The Gray Book”)

Four faculty titles are available on the tenure-track: Instructor, Assistant Professor, Associate Professor, and Professor. Many more titles exist on the non-tenure tracks, some of which depend on the school and College in which the individual holds an appointment.

The addition of faculty titles and tracks requires a request to the Provost and Executive Vice President for Academic Affairs. Such a request must include a justification, budget impact, faculty support within the academic unit, as well as benchmark data from other schools outside of Emory. A request will be reviewed by the Provost and Executive Vice President for Academic Affairs, in consultation with the Deans, Presidential Advisory Committee (PAC), the Office of the General Council, Human Resources and other relevant parties. In addition, feedback is sought from the Faculty Council. Depending on the nature of the new title or track, the Provost ad Executive Vice President for Academic Affairs will report to or seek approval of the Board of Trustees.

5.3 APPOINTMENT AND PROMOTION GUIDANCE

All policies, procedures, and actions regarding faculty appointment, promotion, conferring of tenure, and termination shall conform to the Bylaws of the University (Chapter 3) and the Statement of Principles Governing Faculty Relationships (“The Gray Book”) (Chapter 4). This section provides some additional information about faculty promotion.

5.3.a. General Policy Statements on Faculty Appointment and Promotion

Recommendations and review for faculty appointment or promotion or conferring of tenure are based on qualifications without regard to race, color, religion, sex, sexual orientation, age, national origin, disability, or veteran status, except where sex or religious status are bona fide occupational requirements, or where a specific disability constitutes a bona fide occupational disqualification.

Individuals appointed to the faculty are subject to all departmental, school, and university policies, guidelines, and procedures as they exist at the time of appointment, as they
may be changed during the period of the faculty appointment, and as new policies, guidelines, and procedures are made. They also are subject to any local, state, and federal laws and regulations that are applicable to their activities at Emory University.

5.3.b. Standards for Appointment, Promotion, and Tenure (Tenure Track)

On the tenure track, standards for appointments at rank, for promotion, and for the grant of tenure reflect the expectations that a faculty holds of its members. Candidates for appointment or promotion to Associate Professor must show academic excellence, including meritorious scholarship, creative inquiry, and teaching, as well as have the demonstrated promise to become leaders and transform their field as their career progresses. Candidates for appointment or promotion to Professor must show scholarly excellence and be established, nationally or internationally, as among the most distinctive and recognized voices in their discipline, consistently examining and addressing their field’s most pressing questions. (See Statement of Principles Governing Faculty Relationships (“The Gray Book”), Paragraph 3.(e.).)

Each Dean, in consultation with the Faculty and Chairs, will establish standards for scholarship, teaching, and service for appointment and promotion on the limited tracks that are published in the School’s appointment and promotion policies and consistently applied.

5.3.c. Consideration of Scholarship, Teaching, and Service in Promotion

The primary activities of the faculty of Emory University fall within three key domains: scholarship, teaching, and service. Since each of these domains is essential to the University, each is weighed carefully in all considerations involving track placement (e.g., those who focus only on research are on the research track, those who focus on teaching are on the teaching tracks, and those who engage mainly in service are on the clinical track), appointment, reappointment, promotion, and the granting of tenure, as well as in determining salary levels. All of the schools and colleges have their own definitions and descriptions of these three domains and what is expected of their faculty within each domain, as well as the balance between these three domains.

5.4 PROCEDURES FOR REAPPOINTMENT, APPOINTMENT, PROMOTION, AND TENURE


The Statement of Principles Governing Faculty Relationships (“The Gray Book”), details guidelines and policies that apply to all candidates who are proposed for tenure and/or for senior appointment and promotion on the tenure track from any school or college within the University.

5.4.b University Procedural Guidelines for Candidate Files for Tenure Track Appointment, Promotion, and Tenure; Provost’s Check List (Full Guidelines)
The following University Procedural Guidelines for Candidate Files apply to all candidates for appointment or promotion to Associate Professor and Professor with tenure or for the grant of tenure at rank from any school within the University.

These Guidelines exist in addition to the procedures of each school. Emory University, according to its Bylaws, grants continuous appointment by action of the Board of Trustees upon recommendation of the President. The ordinary process for moving a candidate’s file for the award of tenure at rank or for appointment or promotion with tenure to the Board of Trustees begins in the school with its faculty and Dean, proceeds through the Provost and, in the case of the schools of health sciences, also through the Executive Vice President for Health Affairs before reaching the President. Upon recommendation of the President, the file is forwarded to the Academic Affairs Committee and then to the Executive Committee of the Board of Trustees for final approval.

To assist the President and Provost in promoting excellence across Emory and to ensure comparable quality while protecting school distinctiveness, the Presidential Advisory Committee (PAC), a group of senior faculty elected by the tenured faculty in each of the schools/colleges, reviews each file for tenure and promotion. The full election process for PAC can be found in Section 11.2.a of this Handbook. After discussing the candidate(s), PAC makes recommendations to the President and Provost. As an advisory body, the PAC does not exercise a vote on files, does not set policy, and does not serve as an appellate body.

5.4.c. School Tenure and Promotion Guidelines

In addition to the university-wide guidelines described above, each school has tenure and promotion guidelines, procedures, and policies specific to its faculty. Please see the school websites for complete descriptions of those guidelines and policies.

5.5 FACULTY REVIEWS

Each school and college has specific procedures for reviewing the teaching, scholarship, and service contributions of its members, both for appointment and promotion and for faculty development. The specifics of these reviews differ across units. Further, these reviews may differ in format and frequency based upon the faculty member’s rank. For more details, consult the policies and procedures of the relevant school or college.

Appeals of promotion and/or tenure decisions will be made in accordance with the requirements as described in the particular school, unit, or college’s procedures. In the case of an appeal of a decision made by the Provost, the Provost will establish an ad hoc committee which will include four current and former Presidential Advisory Committee members that will advise the President.
PART C: EXPECTATIONS, RESOURCES, AND INFRASTRUCTURE FOR FACULTY

The Provost’s Office exists to advance Emory’s scholarly community through excellence in research and teaching across the University and to support intellectual community and faculty distinction. The university provides infrastructure and resources to support faculty scholarship, teaching, and service. As we are an academic institution, it is expected that all faculty engage in these academic pursuits. This section of the Faculty Handbook outlines expectations as well as opportunities in scholarship, teaching, and service. Further, faculty development opportunities exist for faculty at all ranks and disciplines. Faculty should be familiar with both university-wide as well as unit wide programs for continued academic development. Emory prides itself on faculty participation and governance and thus looks to faculty for input on scholarly, teaching, and service activities and programs.

Each new faculty member is invited to attend an orientation session regarding university policies and benefits. Faculty members may elect to do this in person or on-line. More information about benefits is available at the Human Resources website. Further, the various schools and colleges offer orientations to new and junior faculty.

CHAPTER 6: SCHOLARSHIP, RESEARCH, AND LIBRARIES

6.1 SCHOLARSHIP EXPECTATIONS FOR FACULTY

Scholarship is one of the primary areas of emphasis of Emory University and all faculty are expected to demonstrate some accomplishment in scholarly endeavors. Scholarship refers to development and dissemination of new knowledge or of new insights into existing knowledge; inquiry undertaken that establishes facts, develops principles, or illuminates or answers questions within an area of intellectual pursuit through the systematic collection of evidence that can be subjected to replication, verification, or critical evaluation by persons other than the original researcher; accretion of knowledge using laboratory, clinical, or other research tools; original works; innovative conceptualizations or novel solutions to problems; research on and application of new concepts in education; performances; and competent mastery of one or more of the academic disciplines resulting from continued systematic study.

Scholarly products such as publications in refereed journals, book publications, research funding awards, and performing and visual arts products are the primary evidence of scholarship. Regardless of its form, the faculty member’s scholarship should provide promise of contribution to enhancing the “common good” and of continued creativity. All members of the faculty are expected to conduct their scholarly research and publish the findings of that research consistent with the highest standards of ethical conduct, truth, and accuracy and with an emphasis on quality.

6.2 RESEARCH AT EMORY

Emory is one of the nation’s leading research universities. Faculty, students, and staff pursue research with imagination, diligence, and energy in Emory’s nine schools and colleges; at research centers and institutes based on campus; and through interdisciplinary programs, partnerships, and affiliations.
This enterprising network is supported by administrative offices that manage related issues such as safety, compliance, technology, and grants and finance.

Over the last few decades, Emory has shown dramatic growth in research funding and associated scholarly products such as publications and innovation, income from patents and licenses, the establishment of research centers of excellence, and the number of startup companies. Many external and internal factors have contributed to Emory’s substantial growth. The University has benefited greatly from a consistent emphasis on the arts and sciences, strength and vitality of all the professional schools, and interdisciplinary scholarship.

6.3 RESEARCH ADMINISTRATION

The Office of Research Administration (ORA) supports the research enterprise at Emory, from the beginning to completion. Its goals are to foster an atmosphere where wonder and curiosity are richly rewarded with investigative support. The ORA understands that the nature of research has changed over the last decade, with more interdisciplinary cooperation and a more complex set of laws and administrative procedures. From the inception of an idea to its expression and culmination, the ORA provides a bridge that spans pre-award to post-award needs. With ORA are several administrative units:

6.3.a. Office of Sponsored Programs (OSP)

The OSP collaborates with the Emory community to identify, obtain and administer extramural funding in support of the mission of the University. OSP processes proposals, aids in award administration, facilitates the completion of project requirements related to reporting and continuation funding, and facilitates project closeout. OSP helps faculty members identify funding opportunities and develop proposals. OSP subscribes to two nation-wide funding opportunities databases: (1) IRIS and (2) COS Funding Opportunities. Links to both of these databases are available for the use of the Emory research community. These databases help faculty find external funding sources. In addition, OSP maintains a list of Emory University internal funding sources for research and teaching projects.

6.3.b. Conflict of Interest Office

Emory University’s university-wide central Conflict of Interest in Research Office in the Office of Research Administration oversees administration and enforcement of policies and regulations on conflict of interest in research. The website includes links to frequently asked questions, policies, and forms. Note that all investigators involved with sponsored research must disclose any significant financial interests.

Under school and university policies, some schools, such as the School of Medicine, have offices that oversee faculty arrangements with external entities, such as the biomedical industry and other academic institutions, and coordinate with the COI-Research Office when appropriate. The Emory Healthcare Compliance Office oversees conflicts of interest in clinical practice and operations and also coordinates with the COI-Research Office when appropriate. Faculty may consult with the Deans and Directors of the schools and colleges and Emory Healthcare or visit their websites for more information. More information on the policies and
offices that oversee conflicts of interest in areas other than research is provided in Part D, Policies below.

6.3.c. **Office of Research Compliance (ORC)**

ORC assists researchers by providing regulatory education, guidance, policy development and implementation, and a range of other areas of support. The office was created to ensure that Emory University complies with the various federal, state and local regulations impacting research. Information provided via the website includes animal research, certificates of confidentiality, clinical trials, compliance committees, export controls, forms, HIPAA and research, human research, research guidelines, and training and education.

6.3.d. **Office of Technology Transfer (OTT)**

The OTT is charged with the duty to protect and transfer the intellectual property of Emory University through commercialization providing benefit to the University and society. This office provides multiple services to the University community to help navigate the increasingly complex arenas surrounding intellectual property rights, entrepreneurial endeavors and business finance. The website provides more information for faculty who wish to disclose a discovery, discuss patenting and other intellectual property issues, form a company, or engage in other similar activities.

6.3.e. **Office of Grants and Contracts (OGCA)**

OGCA provides post-award support and guidance to faculty and staff for all sponsored programs activities. Extensive information is available at the website. It provides central oversight for the post-award fiscal activities of all sponsored projects; maintains the labor and effort reporting systems for the entire University (not just sponsored programs); maintains the University property management system; and develops, analyzes, and negotiates institutional rate agreements including the Federal indirect cost rate agreement and the fringe benefit rate agreement.

6.3.f. **Institutional Review Board (IRB)**

The Emory IRB is a research oversight committee charged with assuring, both in advance and by periodic review that appropriate steps are taken to protect the rights and welfare of humans participating as subjects in approved research studies. The website provides information on IRB policies and procedures, forms and tools, education and outreach for Collaborative IRB Training Initiative (CITI) training information, and the eIRB portal. The website contains extensive policies and information for faculty and students engaging in human subject research.

6.3.g. **Office for Clinical Research (OCR)**

The Office for Clinical Research ensures leadership and cutting edge clinical research investigations that yield improved patient care outcomes. The OCR is charged with the mission of organizing and enhancing operational processes that support the efforts of the clinical research
team and to facilitate the timely initiation, execution, management, and completion of clinical trials at Emory, all in compliance with federal, state, and Emory laws, regulations, and policies.

6.3.h. **Institutional Animal Care and Use Committee (IACUC)**

The Emory IACUC is a research oversight committee charged with the responsibility of ensuring the proper care, use, and humane treatment of animals used in outreach, testing and education. The IACUC also provides assistance to investigators in fulfilling their obligation to plan and conduct animal experiments in accord with the highest scientific, humane, and ethical principles. Extensive information about necessary processes and rules are available on the website. Emory University has a [Position Statement](#) on the Care and Use of Animals in Research that guides the work of this committee and all animal research conducted at the institution.

6.3.i. **Division of Animal Resources (DAR)**

The Division of Animal Resources is the administrative unit of the University that is responsible for programs of animal care (except at the Yerkes National Primate Research Center) and for consultation on the use of laboratory animals in research.

6.3.j. **Environmental Health and Safety Office (EHSO)**

EHSO’s mission is to provide and support comprehensive environmental, health, and safety programs and services in support of the University’s mission to create, preserve, teach and apply knowledge in the service of humanity. Its programs function across the entire Emory system, including the Emory campuses, University Hospitals, Clinics, and other University satellite facilities. EHSO programs provide support to the Emory community and include:

- **Research/Biological Safety**, which is responsible for regulatory compliance regarding laboratory safety. The services of this office include review of protocols using biological toxins, recombinant DNA, or human tissues; blood borne pathogen and lab safety training to identified personnel; and lab inspections.

- **Environmental Compliance**, which assists with issues related to environmental compliance with federal, state, and local environmental regulations; and also provides support services related to laboratory and Campus Services operations.

- **Safety/Industrial Hygiene**, which develops and implements occupational safety and health programs. This is accomplished through risk assessment, job hazard analysis, and trending accidents and injuries.

- **Radiation Safety**, which serves a dual role within the University, first in helping to help minimize occupationally related exposures to radiation, and second in ensuring that all radioactive materials used are in compliance with the rules and regulations of Georgia DNR, FDA, and EPA and that machine-produced radiation use is consistent with regulations of the Georgia DHR and FDA.

6.3.k. **Investigational Drug Service (IDS)**

The Emory Investigational Drug Service (IDS) serves Emory principal investigators who conduct human subject research at Emory locations (e.g., the Emory University Hospital, The Emory Clinic, Wesley Woods, the Hope Clinic, the Woodruff Memorial Building, the General
Clinical Research Center, Emory Midtown Hospital and Medical Office Tower, Emory Orthopedic and Spine Center, and Wesley Woods) and through Memoranda of Understanding at affiliated clinical sites (e.g., Veterans Administration Medical Center, Grady Health System, and Children’s Healthcare of Atlanta). It oversees and audits services provided by pharmacy staff in providing and managing the use of investigational drugs in human subject research.

6.4 LIBRARIES

Emory University offers faculty and students a variety of research opportunities through the library system. The library system functions under the direction of the University Librarian to fulfill the mission: To develop distinctive collections, services, staff and facilities to preserve our intellectual heritage and advance the discovery and transmission of knowledge for students and scholars of today and tomorrow. The library website provides information about all the service and research resources. Specific libraries include:

Main (Robert W. Woodruff) supports all University programs with an emphasis on the arts and sciences. It houses print and electronic manuscripts and journals, collaboration and study spaces, computing resources and the Center for Digital Scholarship. A reading room in the Mathematics and Science Center building provides access to departmental resources.

Business connects the Goizueta Business School with information skills and resources to succeed in the global marketplace.

Science Commons provides access to print and electronic resources in the field of Chemistry.

Health Sciences supports the education, research, and patient care processes for all the major components of the WHSC and the biological/life sciences.

Law provides a strong collection and expert guidance for researchers in law and related disciplines.

Stuart A. Rose Manuscript, Archives and Rare Book Library (MARBL) holds over 200,000 printed volumes, over 1,200 manuscript collections, photographs, motion picture film, audio recordings, and other visual media. Here students, scholars, and other visitors can browse rare books, read original letters and manuscripts, and listen to rare recordings.

Music and Media provides music, sound recording, and film collections, as well as listening and viewing facilities.

Oxford College supports the liberal arts intensive education provided to Oxford College students during their first two years at Emory University.

Theology includes archives, rare books, and IT support for Candler. The Pitts Theology Library Special Collections houses unique archives and manuscript collections related to Methodism in the South, the history of Christianity in South Africa, British religious history, and hymnody.
Additional Library Services

Our libraries also provide an array of other services. These include: on-line, searchable databases with information on full article citations, full-text articles, and references resources such as encyclopedias; support of the EndNote reference manager; and eJournals at Emory. Through interlibrary loan (ILL), members of the University community can access research materials not available in the Emory University libraries. Reserves Direct allows faculty to reserve course specific materials to be accessed by students electronically.

CHAPTER 7: TEACHING

7.1 TEACHING EXPECTATIONS FOR FACULTY

The Report of the Commission on Teaching (1997) called for an affirmation of teaching excellence as one of Emory University’s highest values. Teaching at various levels and in various forms is one of the central functions of the University and excellence in teaching is encouraged and rewarded. Teaching is defined as any activity undertaken by a faculty member within the formal academic programs of Emory University that contributes to the efforts of Emory students to acquire intellectual skills, to extend knowledge and understanding, or to develop attitudes and habits that foster continuing growth. Teaching can occur in lecture rooms, seminars, small discussion groups, laboratories, supervision of theses and dissertations; at the bedside in medical school; and in the supervision and guidance of undergraduate and graduate students, research assistants, postdoctoral fellows, and hospital house staff.

Faculty are expected to devote considerable time and thought to their teaching; to keep abreast of new scholarly works and cutting-edge interventions in their fields; to prepare carefully for their classes and the hands-on training experiences they supervise; and to be reasonably available to their students outside of the structured and planned academic programming. Faculty are expected to have demonstrated competence in and dedication to teaching and a capacity and a desire to maintain teaching effectiveness throughout their careers. They should evidence the capacity for continuing growth as a model of professional conduct for students and colleagues. Excellence in teaching draws continuously upon the teacher's ability as a scholar in the discipline.

7.2 TEACHING RESOURCES

Given that teaching is a fundamental component of the University’s existence and mission statement, Emory provides its faculty with resources and venues to create, preserve, teach, and apply knowledge in the service of humanity. The Center for Faculty Development and Excellence (CFDE) offers seminars, workshops, presentations, and services each year on a diverse set of topics focused on improving faculty teaching, writing, and research. A major priority of the CFDE is the development of teaching resources. Given the centrality of teaching to Emory’s mission, a number of teaching resources are available to Emory faculty at the CFDE’s website.

7.2.a. Teaching Centers

In addition to all the Teaching Resources available through the Center for Faculty Development and Excellence, other teaching centers at Emory are:
**Emory’s Center for Digital Scholarship (ECDS).** Emory’s Center for Digital Scholarship, located in the Woodruff Library, provides consulting expertise, project coordination, and a technology-rich collaborative space for faculty, staff, and students to incorporate digital tools and methods into research, teaching, and publishing.

**Teaching Assistant Training and Teaching Opportunity (TATTO) Program.** The graduate school sponsors the TATTO program, which is designed to prepare graduate students in PhD programs at Emory to enter the profession as competent and effective teachers. The TATTO program includes a short course, departmental training, a carefully monitored initial teaching experience (teaching assistantship), and a teaching opportunity with greater responsibilities (teaching associateship).

**Faculty Resources for Inclusive Instruction** The Inclusive Instruction website for faculty offers information about disabilities, the law and its application to higher education, and best instructional practices for students with (and without) disabilities. The Office of the Faculty Resources for Disabilities provides the following services: how to implement accommodations for a student with a disability within the objectives of a course; training for faculty on instructional strategies that benefit students with disabilities, such as syllabus development and universal design for learning approaches; support for administration and faculty regarding policy development related to students with disabilities; and development of resources for faculty regarding students with disabilities, including instructional modules, seminars, and focus groups.

### 7.2.b. Study or Practice Abroad

Emory offers a series of study abroad programs. One office on campus for faculty to be aware of related to study or practice abroad is the **Center for International Programs Abroad (CIPA)**, which is dedicated to fulfilling Emory College’s commitment to internationalization through study abroad. In collaboration with Emory faculty, CIPA develops, promotes, and administers programming for undergraduate students that encourages both intellectual and personal growth through challenging scholarship and cultural immersion. Faculty seeking to become involved with study abroad and/or CIPA should contact the Associate Dean for International and Summer Programs or the CIPA Director. Professional schools and colleges mount their own study abroad opportunities for students and faculty are encouraged to contact the relevant personnel in their school/college.

### CHAPTER 8: SERVICE

#### 8.1 SERVICE EXPECTATIONS FOR FACULTY

Service is defined as contributions and activities, including some administrative activities, which promote the general welfare of a department, school, the University, or the broader community. Faculty are expected to participate actively in the conduct of university affairs and to engage in service within and outside of the institution. The idea of "service" includes displaying a collegial spirit of cooperation and collaboration. In addition, academic units have adopted their individual guidelines on the role and requirements for service in the promotion process. In the School of Medicine, for example, service
includes “citizenship service” to the school, university, community, and world and “clinical service” for leadership in the delivery of healthcare both locally and internationally.

Many academic units have their own service programs. Examples of service include serving as an academic or professional role model for students and more junior colleagues; advising students; providing high quality, compassionate, and innovative clinical care; participating on committees and governance activities; and serving in administrative roles.

Service at the regional, national, and international level may include, but is not limited to engaging actively in the development of a professional discipline or professional society; participating in the committees and governance of institutional, regional, national, and international societies; and organizing symposia, seminars, lectureships, and continuing education programs. Involvement in an outside agency or community-based volunteer service also is a highly valued form of service.

8.2 SENATE RESOLUTION ON THE CRITICAL ROLE OF SERVICE

In 2008, the Emory University Senate passed a Service Resolution that acknowledges the critical role that service plays in the life of the University. The resolution states: “To become a destination university requires the fostering of university citizenship, one important component of which is service. The University must do its part to honor multidimensional faculty, staff, and students who demonstrate the energy and commitment to contribute outside their usual sphere – to the betterment of Emory and the world. In return, the University will set criteria and guidelines for evaluating the service its community members provide and will seek greater opportunities to recognize volunteers at all levels and in all areas who offer exemplary service both inside and outside the institution.”

8.3 FACULTY, STAFF & STUDENT EXTERNAL VOLUNTEER GUIDELINES (Policy 1.4)

Emory University and Emory Healthcare’s Professional and General Liability Insurance covers its faculty, staff, students, and alumni when: faculty and staff are acting in the course of their employment; when students are participating in an activity for which they are receiving academic credit; and when an employed faculty or staff member, student, or alumni (when participating in an activity sponsored by the Office of Alumni Affairs) is participating in an Approved Volunteer Activity (defined in the policy).

CHAPTER 9: FACULTY DEVELOPMENT

The University expects active engagement of faculty in their own development as well as mentoring and advising other faculty, trainees, and students. Most of the schools and colleges in the University have created additional Faculty Development Programs or initiatives with numerous offerings at the school and department level. In support of initiatives in the academic units, the Office of the Provost supports university-wide initiatives to stimulate academic innovation through programs such as:

9.1 CENTER FOR FACULTY DEVELOPMENT AND EXCELLENCE (CFDE).
Established in 2008, The CFDE represents the culmination of many years of university-wide efforts to support faculty development and to foster intellectual community. The mission of the CFDE is to support the work of the Provost’s Office in encouraging faculty development and excellence, particularly through the sponsoring of faculty programs in teaching, writing, and research. With regard to teaching, some activities include seed grants program, teaching consultations, and coordination and linking of teaching resources. In terms of writing/research, the CFDE supports author development programs in writing and publishing, grant writing workshops, and interdisciplinary research seminars.

9.2 ACADEMIC LEADERSHIP PROGRAM (ALP)

Emory initiated a university-wide ALP in 2008, designed to provide development for Emory’s academic leaders. The goals of the program are to strengthen academic leadership performance across Emory University and to establish a leadership pipeline for succession planning. Emory faculty can receive nominations from their respective Deans or other Senior Administrators to participate in the Academic Leadership Program. The 10-month program is comprised of a specific sequence of workshops, coaching and applied learning. The program’s intent is to strengthen academic leadership across Emory University and establish a leadership pipeline for succession planning. Broadly conceived, the curriculum addresses people skills, financial management, or strategic planning. Specific course components include: leadership development, strategic planning, university finance and departmental budgeting, faculty development, promotion and tenure, teaching and assessment, performance reviews and conflict management.

9.3 UNIVERSITY RESEARCH COMMITTEE (URC)

The URC, a standing committee of the Faculty Council, is responsible for awarding small research grants to University faculty. Research is defined as scholarly pursuit according to the guidelines of your discipline. These funds are intended to help researchers achieve short-term research goals that can be accomplished in one year. These projects often provide preliminary data needed for extramural grant applications. Grants are peer reviewed and ranked for quality and impact. URC grants are not intended as a continuing source of funding. Proposals are invited from all faculty throughout the University. Faculty holding temporary positions are not eligible. Projects designed to be completed by graduate students are not supported. Awards may be used for direct research support or release-time support for up to two courses. Release time is ordinarily defined as a release from teaching responsibilities only. Departmental commitments, committee responsibilities, and graduate student support continue during the period of the release time. The URC is composed of faculty throughout the University and divided into five subcommittees; Biological and Health Sciences, Social Sciences, Humanities, Math and Natural Sciences, and Visual & Performing Arts.

9.4 THE EMORY CONFERENCE CENTER SUBVENTION FUND

The Emory Conference Center Subvention Fund is intended to promote the visibility of academic conferences organized by Emory faculty and to make it possible for groups that might otherwise not be able to afford the Emory Conference Center to take advantage of the state-of-the-art meeting facilities adjacent to campus. Proposals will be evaluated on the basis of intellectual merit, suitability for the Conference Center as a site, and the general workability of the program, including factors such as dates, anticipated attendance, and estimated conference budget. Typical awards are in the range of $5,000-
20,000; however grants ranging from $4,000 - $50,000 have been awarded. Proposals will be accepted at any time throughout the year. Notification of funding normally takes 2 - 4 weeks.

9.5 LECTURE SERIES

Each school has its own lecture series, allowing for many opportunities for faculty to attend and engage in lectures and seminars on campus during the year. In addition, the University also sponsors several campus wide lecture series including:

The Life of the Mind lecture series, sponsored by the Office of the Provost, showcases some of Emory's leading faculty members. This series highlights some of Emory’s most engaging scholars as they connect with faculty, staff, and students from other disciplines. The lecture series was organized in response to faculty and students’ desire for more interdisciplinary communication at Emory. The lectures are conceived and presented to appeal to and be understood by a broad audience. From law and chemistry to the arts and humanities, the lunchtime lecture series provide a forum where the University community comes together regularly to hear about Emory scholarship.

The Distinguished Faculty Lecture started in 1995 as an initiative of the Faculty Council as a way for faculty across the university to honor and recognize one of their own. The Distinguished Faculty Lecturer is chosen by a special committee of the Faculty Council and is coordinated by the Assistant to the Faculty Council.

The Provost’s office sponsors the Luminaries Speakers lecture series. These lectures are usually organized by one or more schools. The Luminaries in Science series brings Nobel Laureates and members of the national academies to speak about their vision for the most transformative areas of science. The Luminaries in Arts and Humanities series provides a platform for the world’s leading scholars of the arts and humanities to share their work and engage with the Emory community. Lectures are only one of the activities these “luminaries” participate in during their visits to Emory.

9.6 EMORY UNIVERSITY EMERITUS COLLEGE

The Emeritus College of Emory University was established in 2001 to "enhance the relationship between the University and its emeritus faculty for the benefit of Emory's educational mission as well as for the greater welfare of its emeriti and of the wider community." For the first two years, the EC operated as a pilot project endorsed by the Faculty Council and funded by the Provost's Office. The Emeritus College now has permanent status as a line item on the University budget, continues to grow and add new projects every year, and has a representative on the University Senate and the Faculty Council. Emeritus College's purposes are achieved through discussion, lectures, service projects, support for ongoing research and recognition of the achievements of its members. The Emeritus College is a member of the Association of Retirement Organizations in Higher Education (AROHE), which includes American and Canadian university retirement organizations. Its purpose is to develop and enhance retirement organizations to serve their schools, individual retirees and the wider community.

CHAPTER 10: UNIVERSITY-WIDE FACULTY AWARDS AND RECOGNITION

10.1 UNIVERSITY-WIDE FACULTY AWARDS
The schools and colleges within Emory University offer a variety of awards for faculty contributions including:

10.1a **Thomas Jefferson Award**

The Thomas Jefferson Award, presented each year at the commencement ceremony, provides the Emory University community the opportunity to express appreciation to a faculty member or administrative officer for significant service through personal activities, influence and leadership. As specified by the original donor, The Robert Earl McConnell Foundation, the personal and professional qualities of the recipient should be as nearly as possible those which we believe Jefferson would have considered essential to the intellectual, social, and political advancement of society.

The award recognizes personal and professional integrity as well as distinguished service in several of the following areas: (1) teaching, (2) research and scholarship, (3) non-academic accomplishments with students, (4) university advancement and development in relation to the entire University or an area, school or division, and (5) community or educational service on the local, state, or national level.

A letter is sent to the entire Emory University community inviting nominations. The selection committee, composed of previous recipients and chaired by the most recent recipient, reviews all nominations in mid-March. Nominations are retained in active status for five years. The Office of the Provost coordinates the award process.

10.1b **University Scholar/Teacher Award**

The Board of Higher Education of the United Methodist Church presents an annual award to a member of the Emory faculty who has excelled as a classroom teacher, shown unusual concern for students, and made significant contributions to the scholarly life of the University.

Nominations are solicited by the dean of each academic unit and forwarded to the Office of the Provost. The selection committee for this award comprises a committee of distinguished members of the faculty and leaders in the University.

10.1c **Emory Williams Teaching Award**

Each year at graduation, Emory University presents its highest awards for excellence in teaching. The awards are given to members of the faculties of the college, the graduate school, and the professional schools of the University. The Emory Williams Awards were originally established in 1972 by Mr. Emory Williams, an emeritus trustee and distinguished graduate of Emory College, Class of 1932. These awards honor faculty for fostering participation, inquiry and creative expression in the classroom; proving a model for teaching and scholarship; and serving as a mentor to students. The awards for the professional schools, particularly, are designed to recognize a person who conveys in the classroom and exemplifies in life and service the very highest standards for the profession.
The recipients of these awards are selected by the Deans at their respective schools. Emory College of Arts and Sciences has three slots and each other school has one slot.

10.2 FACULTY RECOGNITION

Several indicators of internal and external faculty recognition exist. Internal recognition may occur, for example, in the form of Distinguished Professorships and Endowed Chairs. Emory’s Distinguished Professors play a vital role in the University’s educational and research mission. They excel as researchers, teachers, writers, thinkers, clinicians, and entrepreneurs. From the bench lab to the classroom, from the patient clinic to the library archives, Distinguished Professors at Emory create new knowledge for the advancement and well-being of humanity. The following are the types of distinguished professorships at Emory: Robert W. Woodruff Professors, Charles Howard Candler Professors, and Asa Griggs Candler Professors.

In addition, within each school and college are also Distinguished Professorships and Endowed Chairs and Professorships. The Policy and Procedures for Naming Opportunities and Endowed Funds (Policy 3.12) provides guidance on charitable gifts for endowed chairs and professorships.

Membership in major national and international honorific societies as well as national and international awards is another example of faculty distinction that occurs external to the institution.
PART D: SELECTED UNIVERSITY POLICIES PERTAINING TO FACULTY

Within this Handbook, many policies, procedures, practices, guidelines, and standards are referenced in Parts A and B. In Chapter 4, the Statement of Principles Governing Faculty Relationships, otherwise known as “The Gray Book,” is provided in its entirety. In the sections below are additional descriptions and links to key University policies relevant to faculty. Some policies that are useful to faculty on a regular and frequent basis are reprinted in this Handbook, but most are summarized, or referenced with a web link to the full policy. This is not meant to be an exhaustive compilation of policies. Except for a few faculty policies that are contained in this Handbook, a comprehensive description of Emory University policies is available at the Policies website. Although this Handbook is updated frequently, this Policies website should be accessed for the current versions of all codified University policies. Further, each school and college has policies that are unique to its needs and Faculty, and these are available at the school and college websites.

Faculty are responsible for becoming familiar with and complying with the policies of the University and of their schools and colleges. The members of the Office of the Provost, the Office of the General Counsel, and the Dean’s Offices are available to assist faculty members on policy matters. Given that change is continual at Emory, when circumstances require assurance of completeness or validity of information, please consult the University or school office that is the authority on the particular matter, as well as the University Policies website.

CHAPTER 11: POLICIES ON FACULTY APPOINTMENT, PROMOTION, RECOGNITION, REVIEWS, AND ASPECTS OF FACULTY LIFE

11.1 APPOINTMENT, PROMOTION, REVIEW

11.1.a. Statement of Principles Governing Faculty Relationships (Chapter 4 - “Gray Book”; see full Statement)

11.1.b. Policy Requiring a Primary Appointment (Provided in full in Section 5.1.b.)

11.1.c. Policy on Cross-departmental and Cross-school Appointments (Provided in full in Section 5.1.c.)

11.1.d. Policy on Retirement and Emeritus Faculty Appointment (Provided in full in Section 5.1.d.)

11.1.e. Faculty Titles and the Requirement for Approval of New Titles (Provided in full in Section 5.2.)

11.1.f. General Policy Statements on Faculty Appointment and Promotion (Provided in full in Section 5.3.a.)
11.1.g. Standard for Appointment, Promotion, and Tenure (Tenure Track) (Provided in full in Section 5.3.b.)

11.1.h. University Procedural Guidelines for Candidate Files for Tenure Track Appointment, Promotion, and Tenure (Provided in full in Section 5.4.b.)

11.1.i. Stopping the Tenure Clock

If a faculty member on the tenure track who has not yet been reviewed for tenure becomes a parent by birth or adoption, he or she will be granted an automatic extension of the tenure clock by one year. The faculty member should notify his or her chair (for those schools that have departments) and Dean in writing of this change in status at the earliest possible date. It is the responsibility of the Chair and Dean to secure substitutes for the faculty member’s teaching and committee responsibilities. If a faculty member does not want to alter his or her tenure clock, then they must notify his or her Chair and Dean in writing of the desire to maintain the original tenure date, within one year of the birth or adoption. Deans and/or Department Chairs should make all untenured faculty members aware of this policy.

A tenure-track faculty member may, under certain circumstances, receive a delay of the tenure review for a period not to exceed two years. Such circumstances may include among others, the birth or adoption of a child, responsibility for managing the illness or disability of a family member, or illness of the faculty member.

Approved by the Board of Trustees 12 March 2009

11.1.j. Extension of the Tenure Clock

To obtain an extension of the probationary period for reasons other than childbirth or adoption the faculty member must make a written request showing that his or her ability to demonstrate his or her readiness for the grant of tenure has been substantially impaired.

The petition, if approved by the Dean, shall be submitted to the Provost. For faculty in the Woodruff Health Sciences Center the petition must be approved by the Executive Vice President for Health Affairs before submission to the Provost. In the event that the petition is denied before being submitted to the Provost, the faculty member shall have the right to appeal directly to the Provost. The Provost, in consultation with the President, shall grant or deny the petition. The Provost will report regularly to the Board of Trustees on the numbers of extensions requested, the reasons advanced in support of each request and the granting or denial of each request.

11.2 POLICIES ON OTHER ASPECTS OF FACULTY LIFE

11.2.a. President’s Advisory Committee Election Process (Full Process)

The PAC is a group of senior faculty elected by the tenured faculty in each of the schools/colleges, that reviews each file for tenure and promotion (See Section 5.4.b)
**Distribution of membership:** Twelve elected members shall comprise the Committee: one each from the schools of Business, Law, Nursing, Public Health, Theology, and Oxford College; three from Emory College of Arts and Sciences with one from the natural sciences, one from the humanities, and one from the social sciences; and three from the Medical School, at least one of whom shall be a basic scientist who also has an appointment in the Graduate School.

**Term of membership:** The term for membership shall be three years, with one third of the membership elected in each year. A member shall be eligible to serve a second consecutive term, but may not be re-elected for a third term until s/he has not been a member for a period of at least two years. Terms shall commence on September 1 of any given year and expire on August 31.

**Qualifications:** At a minimum, persons selected to serve on the PAC shall hold the rank of full professor with tenure. In addition, they shall have had significant experience in evaluating candidates for tenure and promotion. This experience would ordinarily be evidenced by service on school-level committees that review files of candidates.

**Nominations:** The Dean of each school or college, after consulting with the school’s appointment and tenure committee (in schools that have one), will nominate persons who meet the qualifications for office. The Dean shall send forward two names of qualified persons willing to serve for each open position. Each nominator, whether a dean or a faculty member, must provide all information required to properly prepare the ballot (see section on the ballot below).

**The ballot:** The ballot shall contain the names of each person nominated for the position together with a brief biographical statement that describes not only the nominee's academic expertise but his or her experience in evaluating candidates for tenure and promotion. The ballot should be sent to the Provost who oversees the PAC election process.

**Voting:**

*Eligible voters:* All tenured members of the faculty will be eligible to vote, and each faculty member will be eligible to vote for every open position in his or her school.

**Manner of voting:** The election will be administered electronically via a secured website by the Office of Institutional Research. The voting site will be open 7 days from the time IR has sent all email invitations to eligible voters. Once the deadline for voting passes or all votes have been received, whichever is sooner, the results will be tabulated and certified by Institutional Research and communicated to the Provost.

**Report of voting:** The Provost will post the results of the election on the PAC website and will also report them directly to the candidates.

11.2.b. **Policy on compensation of faculty leaving administrative positions**

Compensation of faculty holding administrative positions is based primarily on the responsibilities of the particular administrative position held and on whether the administrative position is full or part time. When a faculty member ceases to hold an administrative position and is serving solely as an active faculty member, an appropriate salary adjustment will be made. The
primary factor for such an adjustment will be the compensation received by other faculty with equivalent rank, experience, stature, and job assignment in the faculty member’s department or school.

CHAPTER 12: POLICIES REGARDING CONDUCT IN THE WORKPLACE

12.1 ETHICS AND CONDUCT

Emory has several policies regarding ethics and conduct that faculty should be familiar with including Equal opportunity and discriminatory harassment policy, Standards of conduct, Sexual misconduct policy, and Code of business ethics and conduct. Further, Emory has established a grievance procedure to provide timely resolution of employee problems, misunderstandings, and complaints while providing sufficient time for fact finding and clarification.

12.2 POLICY ON CONSENSUAL TEACHER-STUDENT RELATIONSHIPS (Full policy)

The relationship between teacher and student is the foundation of the academic mission of the university. This relationship vests considerable trust in the teacher who, in turn, bears the responsibility to serve as mentor, educator, and evaluator. In discharging this responsibility, each teacher is accountable for behaving in a manner that reflects the highest levels of professional responsibility, recognizes the dignity and worth of each person at the University, and protects the integrity of the student-teacher relationship. Faculty-student relationships carry risks of conflict of interest, breach of trust, abuse of power, and breach of professional ethics. For these reasons, a teacher must not engage in any consensual sexual relationship(s) with a student while the teacher is in a position of supervisory academic authority with respect to the student. Nor may a teacher assert any supervisory academic authority with respect to a student who was the subject of a previous consensual sexual relationship. This prohibition extends (1) to consensual sexual relationships between a faculty member and any student or trainee; (2) to a graduate or professional student and an undergraduate student when the graduate or professional student has some supervisory academic responsibility for the undergraduate, (3) to consensual sexual relationships between department chairs and students in that department, and (4) to consensual sexual relationships between graduate advisors, program directors, and all others (each of whom is considered a teacher) who have supervisory academic responsibility for a student and that student. When a teacher-student consensual relationship exists, has previously existed, or develops, the teacher must decline to participate in any evaluative or supervisory academic activity with respect to the student.

The Provost, deans, department chairs, and other administrators should respond to reports of prohibited sexual relationships by inquiring further, and if such reports appear to be accurate, initiating appropriate disciplinary action or remedial measures against the teacher involved. Egregious breach of this policy is adequate cause for termination under Paragraph 12(c) of the Statement of Principles Governing Faculty Relationships.

12.3 POLICY ON VIOLENCE IN THE WORKPLACE (Policy 4.108)

Emory University is committed to a workplace free from violence and threats of violence. The University will not tolerate threats of violence, acts of violence, harassment, intimidation and any other form of disruptive behavior. Respect for the safety and welfare of others is an expectation of everyone.
within the University community. Therefore, any form of violence, whether actual or threatened, will not be tolerated (zero tolerance). This policy gives examples of workplace violence, provides procedures for reporting such acts, and addresses processes to deal with individuals who perpetrate such acts.

12.4 **SUBSTANCE ABUSE/ DRUG-FREE WORK PLACE** (Policy 4.66)

Emory University is committed to the health and well-being of its staff, faculty and students. Emory adheres to the provisions of the Drug-Free Workplace Act of 1988 and the Drug-Free Schools and Communities Act Amendment of 1988. Additionally, as an administrator of certain state-funded financial aid programs for students, Emory adheres to Georgia’s Drug-Free Postsecondary Educational Act of 1990. Emory has therefore established certain standards for staff, faculty and students pertaining to alcohol and other drugs. These are detailed in this policy. Attention also is paid to the handling of violations of these standards, as well as confidential, professional services available through the Emory Faculty Staff Assistance Program (FSAP) regarding the abusive effects of alcohol and other drugs.

12.5 **TOBACCO-FREE ENVIRONMENT POLICY** (Policy 4.113)

To create an atmosphere that is consistent with Emory’s mission and commitment to improve the health and wellness of members of the Emory community, Emory University and Emory Healthcare prohibit the use or sale of tobacco products in or on Emory owned or Emory leased property. The Policy invites members of the Emory community (faculty, administrators, management, staff, and students) to assist in implementation by respectfully informing tobacco users of the policy.

Emory University recognizes the serious health implications of both direct use of tobacco products and indirect exposure to the use of tobacco products. In order to create an atmosphere that is consistent with Emory’s mission and commitment to improve the health and wellness of members of the Emory community, Emory University and Emory Healthcare (collectively “Emory”) prohibit the use or sale of tobacco products in or on Emory owned or Emory leased property effective January 1, 2012.

**CHAPTER 13: CONFLICT OF INTEREST AND COMMITMENT** (Policy 4.87)

The pursuit of knowledge and its open and timely communication and dissemination are the essential and core elements of Emory University. Emory therefore encourages and facilitates its faculty’s efforts to obtain and share their knowledge and expertise broadly through sponsored research, consultation, and other activities that are beneficial to the faculty member, the University, and the public at large. Emory recognizes that a faculty member who is active in research, scholarly endeavors, teaching, and clinical practice can and will engage in activities with industry and/or generate proprietary forms of knowledge that, while bringing clear value to the institution and to society, are also legally encumbered with conflicts of interest and commitment that often are unavoidable. Thus, the Bylaws of Emory University address conflicting interest transactions (Article IX), and Emory has an overarching conflict of interest policy, both presented below. Emory also has conflict of interest policies in research and clinical practice and conflict of commitment policies. All faculty conducting research must annually disclose any conflicts of interest. Further, many of the schools and colleges at Emory have adopted conflict of interest policies and industry relationship policies that comply with the university-wide policies but add additional rules, standards, and guidelines such as the collection of policies on industry relationships, conflict of interest, and conflict of commitment implemented in the School of Medicine.
13.1 GENERAL UNIVERSITY CONFLICT OF INTEREST POLICIES

Faculty should refer to the policies website for a full listing of conflict of interest policies. Specific policies that may concern faculty include Conflicting Interest Transactions (Article IX of the Bylaws of Emory University) where employees of the University shall disclose any conflicting interest in any transaction involving the University and shall not use their personal influence in connection with, participate in, or act on the matter. Other policies are the Conflict of Interest - Trustees, Principal Officers, and Key Employees, Contract Approval and Signature Authority, and Ethical Guidelines (Procurement). Faculty should also refer to their school policies as some may have more specific policies. In general Emory requires its employees to avoid any business or financial relationship, transaction, or event that may be viewed, internally or externally, as a conflict of interest between an employee and an outside party. As provided in the Emory By-laws, relations between Emory and contractors, consultants, vendors, suppliers, and other third parties are to be maintained without any direct or indirect personal or financial benefit accruing to any employee of Emory or any member of the employee’s family.

13.2 CONFLICT OF INTEREST IN RESEARCH

Emory’s Conflict of Interest in Office (Research Administration) is described in Section 6.3.b. under Research Administration. It oversees administration and enforcement of policies and regulations on conflict of interest in research, which are federally mandated. Some schools, such as the School of Medicine, have offices that oversee faculty arrangements with external entities, such as the biomedical industry and other academic institutions, and coordinate with the COI-Office when appropriate. The Emory Healthcare Compliance Office oversees conflicts of interest in clinical practice and operations and also coordinates with the COI-Office when appropriate. A number of these schools and colleges within the University have additional frameworks and policies on conflict of interest and conflict of commitment, as well as additional reporting requirements and annual disclosure forms. Faculty may consult with the Deans and Directors of the schools and colleges, with Emory Healthcare’s compliance office, or with their websites for more information.

For reporting financial interests in research, Emory University has implemented eCOI, an online method with which faculty can report their external activities and personal financial interests on line and receive review of their financial interests that might require a management plan. A “Financial Interests in Research Report” form must be completed by every “Investigator” at the time of proposal submission. An “Investigator” is the Project Director, Principal Investigator, member of the research team identified as Senior or Key Personnel on the grant or contract application, progress report, or any other report; and/or individuals identified by the Principal Investigator or Project Director who are responsible for and have substantial independent decision making in respect to the design, conduct, or reporting of the research.) The research administrator or the Principal Investigator must complete a new Proposal Financial Interest in Research Report and input the names of all investigators on the study. Each of the investigators will receive an email notification from the eCOI system to log in and complete his/her individual Investigator Financial Interest in Research Report. For Emory personnel, the Proposal and Investigator Financial Interest in Research Report must be accessed through the Emory eCOI system. Investigators external to Emory whose institutions do not have policies and procedures compliant with the current federal regulations will be sent an email requesting the appropriate financial reporting information.

13.2.a. Policy for Investigators Holding a Financial Interest in Research (Policy 7.7)
This Policy seeks to foster Research by providing guidelines and mechanisms for managing Investigator’s Significant Financial Interests and when necessary resolving conflicts of interest. All members of the Emory community responsible for the design, conduct, or reporting of research are required to follow the procedures described in this policy.

13.2.b. **Institutional Financial Interests Involving Human Subject Research** *(Policy 7.24)*

Emory University is committed to ensuring that its research involving human subjects is conducted with integrity and free from any actual or apparent bias due to institutional financial interests. This policy provides the standards and procedures that Emory University follows when Emory has significant institutional financial interests that are related to human subject research conducted by its investigators.

13.2.c. **NIH Financial Conflict of Interest Policies**

This NIH website lists current regulations on conflict of interest in research and also resources and an archive of articles.

13.3 **CONFLICT OF COMMITMENT**

Guiding Principle: Emory faculty owe their primary professional allegiance to the University; their primary commitment of time and intellectual energies is to the education, research, and other programs supporting the University’s mission. The specific responsibilities and professional activities that constitute an appropriate and primary commitment will differ across schools, but they should be based on a general understanding between the faculty member, department chair (if applicable), and dean.

13.3.a. **Policy Regarding Teaching, Research, and Other Service Outside the Faculty Member’s School at Emory or Other Institutions** *(Full policy)*

*At Other Institutions.* Teaching, research, and service outside of Emory is encouraged for the acquisition and dissemination of knowledge, the development of collaborations, and the engagement and promotion of activities on a local, regional, national and global scale. These activities are expected to enhance the academic reputation of the individual faculty member as well as Emory University. These activities should complement and should not conflict with the faculty member’s obligations to Emory University.

Teaching, research, or service at or on behalf of another institution, for compensation, is not authorized for full-time faculty during the contractual year, except in circumstances deemed to be appropriate by the Dean of the school in which such faculty member holds a primary appointment. Authorization for such activities must be obtained in advance of initiating any commitment and/or compensation and will require the
school’s review of any written documents covering the activity. The appropriate Dean or
designee will review any written commitments and will provide his/her decision in
writing.

At Emory. As an inquiry-driven, ethically engaged, and diverse community,
Emory faculty are encouraged to promote interdisciplinary collaborations through
teaching, scholarship, and service outside of the department(s) and/or school(s) in which
they hold their primary appointment(s). Compensated teaching, research, or service in a
department within the University other than the one(s) in which a full-time faculty
member is primarily appointed may be arranged with prior approval of the Dean(s) of the
school(s) in which the faculty member holds appointment(s). In granting the authorization
the appropriate Dean(s) will take into consideration such factors as the total hours of work
load to be undertaken by the faculty member, the effect on his or her professional
development, compliance and intellectual property risks in research including effort
committed on research, and the needs of the institutions involved. Course, clinical, or
service release for similar purposes also must receive such prior approval.

It is generally expected in most schools that faculty provide a yearly report of
their faculty activities, both at Emory and outside the institution. These annual reports
should provide an overview of all compensated and non-compensated activities and are in
addition to the reviews by the Dean, prior to initiating the activity.

13.3.b. Policy on Private Consulting, Teaching, and Other Services Outside the
University and Use of University Resources (Full policy)

Disclosure and Review of Consulting Arrangements. “Private Consulting” is broadly
defined as services performed or products created and/or sold for which remuneration in
any form is received from a person, firm, corporation, or other entity other than Emory
University. In general, each faculty member’s “private consulting” arrangement must be
disclosed in writing to and reviewed by the Dean or designee in advance of any service to
determine that the terms comply with University policies, and to ensure that the
arrangement does not interfere with the faculty member’s duties and responsibilities to the
University. Faculty who cannot disclose adequate information to the Dean for them to
make an informed decision without violating requirements of confidentiality to their client
must forego the consulting arrangement.

Traditional faculty responsibilities such as preparing papers, speeches,
evaluations, articles, scripts, musical scores, books, and graphic works for publication,
performance, oral presentation, peer review, or display, and for which royalties, honoraria,
the like are received, are considered a part of a faculty member’s University
employment and are not subject to these restrictions. However, reporting of these royalties
and honoraria may be required under the federal regulations for certain faculty who are
performing research on federal grants.
University Resources, Letterhead, and Other University Identifiers in “Private Consulting.” Faculty may not use University resources or personnel, including facilities, staff, students or other trainees, equipment, or confidential information, other than library resources (except as noted below), in their private consulting activities, because such use violates the “private inurement” and/or “private benefit” restrictions imposed on the University as a tax-exempt entity and could result in the University’s becoming involved in litigation. Faculty are reminded that many research agreements contain terms that require unpublished research data and/or results to be kept confidential. Further, use of University letterhead and other University identifiers that may lead the public to believe that the faculty member is acting within the scope of his or her employment with the University in connection with such private consulting is expressly prohibited. Professional faculty performing professional services through University-sponsored faculty practice plans, while permitted to use University resources, are required to use identifiers (such as letterhead) clearly indicating when they are acting on behalf of the plan and not in their University capacity. Certain library databases are contractually limited to use for University purposes. These databases may not be used for private consulting. Disclosure to library staff when library resources will be used is the responsibility of the faculty member.

Faculty are reminded that some schools have a more detailed private consulting policy and should consult their school’s policies and websites for details. Disclosure to the Deans and the University, usually through Emory’s online eCOI system, allows appropriate reviews and assistance to faculty.

CHAPTER 14: LEAVE AND LEAVES OF ABSENCE

This chapter describes policies on leave and leaves of absence for bereavement, holidays, jury duty, sickness, vacation, and living donor status that pertain to faculty. In addition, several other circumstances exist under which a leave of absence might be granted. If circumstances require a faculty member to take a leave of absence from employment, Emory provides appropriate options. These include: Salary Continuation, Medical Leave (Non-FMLA), Leaves under the Family & Medical Leave Act (FMLA), Military Leave, Personal Leave, Educational Leave, and Administrative Leave. The HR website has further details and explanations of the available options.

For the most part, these policies have been modified in this Emory University Faculty Handbook to apply to faculty and thus are not identical to the policies as stated on the Emory policies website.

14.1 POLICY ON BEREAVEMENT LEAVE

There is no formal faculty Bereavement Leave policy, for general guidance, please refer to the Human Resources Staff Policy 4.23 for general information.

14.2 POLICY ON HOLIDAYS
The University observes the following holiday schedule: New Year's Day, Martin Luther King, Jr.'s Birthday, Memorial Day, Independence Day (July 4), Labor Day, Thanksgiving and the day after Thanksgiving, Christmas Eve, Christmas, and New Year’s Eve. The specific dates for the observance of official holidays will be announced each year. Due to operational needs, some faculty must work on University holidays.

14.3 POLICY ON JURY DUTY LEAVE

There is no formal faculty Jury Duty Leave policy, for guidance, please refer to the Human Resources Staff Policy 4.26 for general information.

14.4 SICK LEAVE PRACTICES FOR FACULTY (Full Faculty Guidance)

Emory does not have a formal sick leave policy for faculty, other than as described in the section on Family and Medical Leave. Faculty members are expected to abide by the sick leave policies of their individual school or college, if they exist. These policies may vary based on faculty title within the individual school or college.

Faculty members should use discretion regarding missing work when a personal or family member’s illness, accident or injury, other medical condition, or appointment with a healthcare provider interferes with their ability to perform their work for a period of less than three days. Illnesses of greater length may be covered under the Family and Medical Leave Act (FMLA) Policy. For additional information regarding absences for serious health conditions covered under FMLA, see the FMLA policy. When a faculty member is unable to report for work as scheduled, he/she is expected to notify the Department Chair (or designee) no later than the beginning of the work schedule on the first day of absence and on succeeding days of absence. When there are predictable circumstances that cause an employee to be absent from work because of a personal or family serious health condition, notification to the Department Chair (or designee) should be made as far in advance as possible (30 days under FMLA).

14.5 VACATION LEAVE PRACTICES FOR FACULTY (Full Faculty Guidance)

Currently no formal universal vacation leave policy exists for faculty. Faculty members are expected to abide by the vacation leave policies of their individual school or college. These policies may vary based on faculty title within the individual school or college.

In general, faculty are expected to schedule any vacation in a manner that minimizes interference with their university-related responsibilities. A faculty member should inform the Department Chair (or designee) of vacation plans and, in some schools and colleges, seek approval in keeping with the school or college policy. When applicable, faculty are responsible for securing appropriate coverage for responsibilities they will miss while on vacation.

14.6 LIVING DONOR LEAVE POLICY (Full Faculty Policy, Similar to Staff Policy 4.28)

An employee of Emory University who requests time off to serve as a living donor is eligible for paid leave in addition to vacation and sick leave benefits under the living donor leave policy of Emory University. The amount of time off requested will be based on individual medical need, within the limits set forth herein. Faculty members eligible to take time off under this policy will not suffer any loss in
income, employment status, length of service, or benefits.

All regular full-time and part-time faculty members are eligible for living donor paid leave. Faculty members are eligible based on individual medical need for up to 30 days of paid leave for solid organ donation or one day of paid leave for a bone marrow donation. Visiting faculty and faculty regularly scheduled to work less than 20 hours a week are not eligible for paid time off under this policy. To be paid for time off under this policy, the eligible faculty member must adhere to the following guidelines:

The faculty member must submit a written medical living donor leave request to the immediate supervisor/department manager for approval. The written medical living donor leave request must have the appropriate documentation indicating the medical need from the faculty member’s healthcare practitioner as verification of the upcoming donation and transplant procedure. Living donor leave will be allowed up to the maximum number of days indicated above under the “eligibility section” of this policy based on confirmation of the type of transplant. Time off under this policy will not be counted towards the 12-weeks of leave under FMLA; nor will it be counted as occurrences under the department’s respective attendance policy. Any additional time off due to medical reasons that exceed the maximum allowed under the living donor policy will require approval by the department manager based on the applicable Emory University leave eligibility policy; i.e., the FMLA policy. Employees are required to give at least a 30-day advance notice (whenever feasible) when requesting time off under the living donor leave policy.

14.7 **SALARY CONTINUATION POLICY** *(Policy 4.92)*

All regular full-time or part-time faculty who become disabled due to an injury or illness will have full University salary, less payments from Worker's Compensation, continued for the duration of the period of disability or for six consecutive months, whichever is shorter. If the faculty member's health care provider certifies that the faculty member’s disability will not allow him/her to return to full duties within the six month disability period, the faculty member must apply for disability income through the long-term disability group policy offered by Emory. At the time that disability income benefits begin, salary continuation will end. However, if the faculty member returns to work on a partial basis, University salary will continue on a pro-rated basis with disability income from the long-term disability group policy. If the faculty member drawing disability income recovers and is released by his/her health care provider to return to work on a part-time or full-time basis, but subsequently becomes disabled from the same medical condition, the faculty member must notify the long-term disability carrier for consideration of returning to disability income payments. No further continuation of University salary will be made if the faculty member becomes disabled again from the same medical condition. The FMLA leave of absence period will run concurrently with the salary continuation period. The faculty member and department must follow the usual FMLA procedures and submit the appropriate paperwork. While University salary continues, all applicable benefits and payroll deductions will continue unless modified or cancelled by the disabled faculty member through an open enrollment or eligible family status change.

14.8 **MEDICAL LEAVE POLICY (NON-FMLA)** *(Full Faculty Policy, Similar to Staff Policy 4.77)*

Medical Leave (non-FMLA) may be requested by a faculty member for a condition that does not qualify for FMLA.
To access this Non-FMLA benefit, a faculty member may request a medical leave of absence for a health condition that renders him/her unable to perform the functions of his/her job, an on the job injury, or an illness contracted while on the job. Eligible employees include regular full-time employees and regular part-time employees who work at least 20 hours per workweek, and who are otherwise ineligible for FMLA leave for their own serious health condition or have exhausted FMLA leave. The decision to grant the request is at the discretion of the faculty member’s Chair or Dean, in consultation with Human Resources.

A faculty member must submit a completed Leave of Absence Request online for a medical leave to his/her department management as soon as practical. Authorization from a health care provider must be sent/faxed to Employee Relations in Human Resources and must contain the following information: the date on which the serious health condition began, the probable duration of the condition, the appropriate medical facts about the condition, and a statement that the faculty member is unable to perform the functions of his/her job. When a faculty member is medically unable to request leave or to provide medical confirmation, the department management should request assistance from Employee Relations. A statement from a health care provider verifying the current status of a faculty member’s serious health condition may be required by Emory at any time during a medical leave. Before a faculty member may return to work from a medical leave, the faculty member must present documentation from a health care provider to resume all job duties and responsibilities.

Requests for extensions must normally be submitted to the appropriate department manager within a reasonable time before the expiration date of the leave. Medical leave shall be granted based on the statement from a health care provider that the faculty member continues to be medically unable to return to work. The medical documentation must be sent to Employee Relations in Human Resources. Each request for an extension of medical leave will be assessed individually.

Effective January 1, 1998, Emory modified its policy regarding the length of time a faculty member could be on a medical leave. The policy is:

- For employees who have met the minimum 10-year requirement for years of service to retire on or before the date of medical disability but have not met the minimum age requirement (age 55): Emory allows the employee to continue on leave of absence (LOA) until the time he/she meets the minimum age requirement to retire, to afford the employee the opportunity to retire with benefits. At retirement the employee's health and life benefits transfer from an active employee status to a retiree status. The employee's retirement benefits are the same as other employees retiring without medical disability. When the employee/retiree becomes Medicare eligible, Medicare coverage becomes primary and the group plan secondary.

- For employees who do not meet the minimum service requirement for retirement on or before the date of medical disability: The employee can remain on medical leave of absence for 29 months and retain the active employee rate for health and dental coverage, and at the end of 29 months, the employee is terminated. COBRA is offered (for 29 months) or Medicare eligibility, whichever comes first.

The above provisions do not apply to employees out of work because of worker's compensation injury. These employees are not terminated even if they do not have benefits, unless the employee and Emory reach a settlement.
During a non-FMLA leave of absence, faculty members can continue their employee health and other benefits at the regular employee premium rates. They can also continue the child or spouse Courtesy Scholarship benefits for which they are eligible, or become eligible during the leave. No contributions may be made to the Emory University Retirement Plan by the faculty member or on behalf of the faculty member while he/she is on leave without pay. Further, faculty members are not eligible to accrue paid leave during leave without pay periods. A Human Resources Action Form (eHRAF) must be submitted to Human Resources when a faculty member is on paid or unpaid Medical Leave (Non-FMLA).

14.9 FAMILY & MEDICAL LEAVE ACT POLICY (FMLA) (See Policy 4.73)

Eligible faculty members may take up to 12 work weeks of unpaid, job-protected leave under the Family and Medical Leave Act ("FMLA") in a rolling 12-month period for specified family and medical reasons. In addition, eligible faculty members may qualify for up to 26 work weeks of unpaid, job-protected leave under the FMLA in certain situations related to a covered family member’s service in the Armed Forces.

Please see the Full Policy for eligibility details and process. Faculty requesting FMLA leave must refer to the Dean of their school or college for guidelines and processing.

Any faculty member who fails to return to work as scheduled after FMLA leave may be subject to dismissal from employment in accordance with the terms of the Statement of Principles Governing Faculty Relationships. Faculty members who exceed their FMLA entitlement without extension(s) of their leave approved under other appropriate leave provisions, may be subject to dismissal from employment in accordance with the terms of the Statement of Principles Governing Faculty Relationships.

A Human Resources Action Form (eHRAF) must be submitted by the Department to Human Resources when a faculty member is on paid and unpaid FMLA. An eHRAF does not need to be submitted for faculty members on intermittent leave. An online FMLA leave request must be completed and submitted by the faculty member, Chair, or departmental Human Resources representative prior to the submission of a HRAF.

Department Chairs should consult with Human Resources immediately upon learning of the faculty member’s request (verbally or in writing) for FMLA leave, or of an absence that may qualify for FMLA leave.

If a faculty member meets the FMLA eligibility requirements, he/she will be notified by Human Resources whether the leave is designated as FMLA leave within 5 business days of receipt of the health care provider, exigency, or other certification. Leaves will be designated as “approved,” “not approved,” or “additional information needed.” Faculty members will be notified when additional information is needed and will have 7 calendar days to remedy the deficiency.

14.10 MILITARY LEAVE POLICY (See full Policy 4.75)

Emory provides military leave to employees in accordance with the Uniformed Services Employment and Re-employment Rights Act of 1994 (USERRA) and Georgia law. USERRA provides guidelines for faculty members who elect military leave and for the prompt reemployment of faculty members who left employment to perform military training or service in one of the Uniformed Services
and who have completed such service under honorable conditions.

14.11 PERSONAL LEAVE POLICY (Full Faculty Guidance, See Similar Staff Policy 4.78)

There is no formal faculty Personal Leave Policy, for guidance, please refer to the Human Resources staff policy 4.78 for general information. Faculty members are expected to abide by the personal leave policies of their individual school or college.

14.12 EDUCATIONAL LEAVE POLICY (Full Faculty Policy, Similar to Staff Policy 4.74)

There is no formal faculty Educational Leave Policy, for guidance, please refer to the Human Resources staff policy 4.74 for general information.

14.13 ADMINISTRATIVE LEAVE POLICY (Full Faculty Policy, Similar to Staff Policy 4.72)

Department management may place a faculty member on administrative leave with or without pay to provide time to investigate and evaluate the circumstances regarding a pending action or allegation, such as noncompliance with organizational policies or requirements (e.g., sexual harassment, theft). The department may consult with Human Resources prior to any administrative leave action. The investigation should be conducted promptly. Where the investigation shows that the faculty member did not engage in misconduct, the faculty member may return to work with no finding of fault and receive back pay if warranted. When the investigation indicates that the faculty member is involved and disciplinary action is warranted, principles of the Statement of Principles Governing Faculty Relationships will apply – if suspension or termination is warranted.

14.14 MATERNITY LEAVE POLICY (Full Faculty Policy)

The University recognizes that pregnancy and childbirth are natural processes and that each situation varies according to the needs of the particular birth mother. For that reason, and in keeping with its legal obligations, the University provides leave with full salary and continuation of benefits to any full-time faculty member during the period for which her physician certifies that she is unable to work, for a maximum of six months from the date the leave commences. Leave under these circumstances is treated like leave granted for any other non-occupational medical condition. Accordingly, after the first six months, depending on the nature of the condition and the circumstances surrounding the leave, the faculty member may be eligible to apply to the University’s long-term disability insurance carrier for payments equal to a percentage of her current salary. An inflation rider for long-term disability insurance is available to those employees who elect to purchase it. Any faculty member who becomes pregnant and desires maternity leave is advised to consult with her department chair and Dean as soon as is practical, so as to allow the University the maximum opportunity to provide for coverage of her duties during leave. Maternity leave may also qualify as leave under the Family and Medical Leave Act of 1993 (FMLA), in which case it would count against the eligible faculty member’s annual 12 work-week FMLA entitled leave.
14.15  PARENTAL LEAVE POLICY (Full Faculty Policy)

The University desires to assist faculty members with their desire to balance professional obligations with parental responsibilities. Accordingly it has chosen to make “parental leave” with full salary and benefits available, under the conditions set forth below, to those full-time faculty members who can certify that they serve as primary caregivers for one or more of their children below the age of five years. Leave may also be available to primary caregivers with any dependent children over the age of five who suffer from a serious illness or other condition that creates extraordinary parenting demands. A faculty member with teaching responsibilities who is otherwise eligible for parental leave benefits may request relief from those responsibilities for up to one full teaching load during any single term, or for up to one-half load during two terms. The faculty member will be expected to remain in residence and to continue departmental service and advising, as well as scholarly activities during the affected term(s). Leave under these circumstances will customarily be compensated at full pay. A faculty member with no teaching responsibilities who is otherwise eligible for parental leave benefits may request relief from some of his or her duties for a continuous period not to exceed two terms. The Dean of the school or college within which the faculty member is employed will consider making such reasonable relief available as would be comparable to the relief from teaching described above. Such leave may, at the Dean’s discretion, be compensated at full pay. Under such circumstances, a faculty member may take an additional semester of parental leave at a reduced level of compensation. These circumstances are to be approved by the Dean. Any faculty member desiring parental leave is advised to submit, with as much advance notice as possible, a written request to his or her Dean with a copy to the department chair. The request should certify that the faculty member is a primary caregiver for a child below the age of five years. Parental leave may also qualify as leave under the Family and Medical Leave Act of 1993 (FMLA), in which case it would count against the eligible faculty member’s annual 12-week FMLA entitlement.

CHAPTER 15: INFORMATION TECHNOLOGY (IT) POLICY AND PROCEDURES

Emory has several general policies related to information technology. The policies pertain to:

- Information Technology Conditions of Use,
- Emory Domain Names,
- Connecting to the Emory Data Network,
- Emory Network IDs (NetIDs) and Passwords,
- the ResNet,
- Peer-to-Peer File Sharing,
- Critical Financial Reporting Systems Security,
- Disk Encryption,
- Automatic Forwarding of E-mail from the Emory Exchange Environment, and
- Smart Device Security.

All of these policies are on the policies and procedures website under the “Information Technology: General Policies” section. This section highlights four policies that are particularly relevant to faculty.

15.1  POLICY ON INFORMATION TECHNOLOGY CONDITIONS OF USE (See Policy 5.1)

Computers, networks, and software applications are powerful tools that can facilitate Emory’s core missions in teaching, learning, research, and service. Access and utilization of these tools is a privilege to
which all University faculty, staff, students, and authorized guests are entitled. This policy sets forth the terms of acceptable use for IT-related systems and services. The general principles are that:

- Emory’s information technology (IT) resources are provided for uses consistent with the University’s missions of teaching, learning, research, and service or for related administrative support.
- Emory’s information technology (IT) resources are provided for uses consistent with the University’s missions of teaching, learning, research, and service or for related administrative support.
- Use of Emory’s IT resources must be consistent with other University policies, government regulations and laws.
- IT resources are not to be used for private financial gain, for supporting non-Emory related businesses, or for supporting political candidates or campaigns.
- Users of Emory IT resources are expected to read and abide by all relevant IT policies and standards and to complete any prescribed IT security training.

15.2 **POLICY ON CONNECTING TO THE EMORY DATA NETWORK** (See full Policy 5.4)

This policy explains the rules about connecting devices to the Emory data network. To maintain electronic systems integrity and ensure service availability, Emory data network connections and equipment installation are made only by authorized personnel under the direction of Network Communications.

15.3 **POLICY ON PEER-TO-PEER FILE SHARING UTILITIES** (See full Policy 5.7)

This policy explains the University's official position on peer-to-peer file sharing utilities (BitTorrent, eDonkey, Kazaa, Napster, Morpheus, iMesh, Gnutella, etc.). Peer-to-peer file sharing software itself is not illegal, nor is it banned at Emory. However, to reduce the interest in attackers acquiring unauthorized access to Emory systems and to help ensure accountability for peer-to-peer files sharing activities, this policy provides that peer-to-peer protocols are blocked by default on all Emory networks. Those wishing to use peer-to-peer applications, outside of ResNet (Emory’s Residential Network), for legitimate academic or business functions may request an exception to this policy.

15.4 **SMART DEVICE SECURITY POLICY** (See full Policy 5.14)

This policy explains Emory’s official position on the security requirements of smart devices, either Emory owned or privately owned, that access Emory Exchange e-mail and/or store sensitive Emory data. Emory maintains two major services that support the synchronization of data between smart devices and the Emory Exchange messaging and calendaring system: BlackBerry Enterprise Server (BES) and Exchange ActiveSync (EAS). To improve the security of Emory data stored on smart devices, Emory requires specified security settings (when supported) on all smart devices storing sensitive Emory data and/or using the Emory BES or EAS services. The policy lists these requirements and also provides some specific information for users of iPhones, Blackberries, Androids, and other smart devices. It also provides information about lost devices, decommissioning devices, and the sanctions that apply for noncompliance.
CHAPTER 16. RESEARCH POLICIES AND PROCEDURES

The University policies on research administration are grouped under four headings on the University Policies and Procedures website: General Policies, Research Compliance, Sponsored Programs, and Technology Transfer. This section briefly summarizes policies most relevant to faculty. Other research policies, guidelines, and procedures are also found on the research administration website. Because many research policies arise from federal and state regulations that change from time to time, faculty are encouraged to review the policies regularly for updates.

16.1 GENERAL POLICIES

16.1.a. Investigational Drug Management for Clinical Studies (Policy 7.14)

The Federal Drug Administration (FDA) drug accountability regulations, Joint Commission on the Accreditation of Healthcare Organizations (JCAHO) hospital accreditation standards, and accreditation standards of the Association of Human Research Protection Program (AHRPP) human subjects protection program require a uniform and centralized plan for the management of investigational drugs used in human subject research. The purpose of this policy, in keeping with Emory University’s comprehensive approach to research integrity, is to assist principal investigators in further protecting human subjects who participate in research protocols at Emory through improved drug security, safety, and accountability. This policy applies to principal investigators who will use an investigational drug or a drug provided free of charge by an external entity in a human subject research protocol.


Pertaining to all sponsored programs administered through the Office of Grants and Contracts Accounting, this policy establishes that the Principal Investigator is responsible for the management and administration of the sponsored program within the administrative constraints imposed by the sponsor and in accordance with University policy and requires that changes to project budgets that require institutional or sponsor prior approval must be reviewed and approved by the Office of Sponsored Programs.

16.1.c. Institutional Financial Interests Involving Human Subject Research (Policy 7.24)

Emory University is committed to ensuring that its research involving human subjects is conducted with integrity and free from any actual or apparent bias due to institutional financial interests. This policy provides the standards and detailed procedures that Emory University follows when Emory has significant institutional financial interests that are related to human subject research conducted by its investigators. When Emory conducts University business with entities that have a financial relationship with the University, the policy provides that certain relationships must be identified promptly and resolved appropriately to ensure that the welfare of human subjects and the integrity of the research are not compromised.

16.2 RESEARCH COMPLIANCE

16.2.a. Policy for Investigators Holding A Financial Interest in Research (Policy 7.7)
This Policy seeks to foster Research by providing guidelines and mechanisms for managing Investigator’s Significant Financial Interests and when necessary resolving conflicts of interest. All members of the Emory community responsible for the design, conduct, or reporting of research are required to follow the procedures described in this policy.

16.2.b. **Policy on Research Misconduct** (Policy 7.8)

The validity of Research and other scholastic endeavors is based on the implicit assumption of honesty and objectivity by the investigator and on the explicit premise that research data can be verified. An academic institution and its faculty, students, and staff must uphold this principle and endeavor to maintain public trust in the research process. An academic institution’s primary responsibility is to create and maintain an academic environment that fosters ethical behavior in scholarship and prevents misconduct in research and to promote research that is carried out in accordance with all applicable regulations and policies.

This policy sets forth the policies and procedures that should be followed in reporting, inquiring into and investigating allegations of research misconduct and/or violation of research related laws, regulations or policies. Further, the policy provides administrative actions and sanctions that might be implemented.

16.2.c. **Guidelines for Responsible Conduct of Scholarship and Research** (Policy 7.9)

These guidelines describe a standard of practice for the conduct of scholarship and research at Emory University, based on the principles of: (1) the University’s obligation to protect and foster the academic freedom and intellectual integrity of all members of the University community in their pursuit of knowledge; (2) the University’s accountability to outside funding sources that support the research and scholarship of its faculty; and (3) every scholar’s responsibility for the accuracy and validity of his/her own work and that of junior co-investigators, fellows, and students, a responsibility that is shared this responsibility with colleagues and collaborators. The guidelines address the following concerns: the scholar’s authority and responsibility for research activities; the establishment of the quality of research; authorship of publications, including multiple publications and requisites for authorship; the supervision of students and other trainees; the education of trainees in research ethics and integrity; access to and retention of scientific research protocols and data; and the social responsibility of the scholar.

16.2.d. **Policy on Export Controls** (Policy 7.11)

Emory University’s Policy on Export Controls is to ensure that instruction, research, and education activities are carried out openly, without prohibitions on the publication of research results or academic activities, except for certain limited pre-publication review by research sponsors to protect their proprietary interests. This policy provides information about the empowered official who oversees the University’s export licensing or approval activities and signs license applications or other documentation relating to such licensing or to export approval; and about the duties of Principal Investigators, penalties for non-compliance, and other agencies that have export control responsibilities for certain items.
16.3 SPONSORED PROGRAMS

16.3.a.  **Policy on Research Facilities and Administration Costs** *(Policy 7.12)*

Emory University's Policy on Research Facilities and Administration Costs addresses the role of the University and the researcher as recipients of federal awards. As a recipient, the University is obligated to comply with costing rules and regulations promulgated by various federal offices. This policy has been established to meet the compliance standards set forth in Office of Management and Budget (OMB) Circular A-21 Cost Principles for Educational Institutions. Adherence to these cost principles and practices by the University is necessary to prevent cost disallowances by the federal government. It is the responsibility of principal investigators, department heads and administrators to understand and comply with this policy. An additional **Policy on F & A Costs in Collaborative Research** *(See full Policy 7.10)* was established to properly allocate the F&A cost revenues among the participants in collaborative research projects.

16.3.b.  **Policy for Consideration of Controversial Funding Offers** *(Policy 7.13)*

Emory University regularly seeks and receives offers of funding for the purpose of research sponsorship, endowment creation or support (restricted or unrestricted), conference, lecture or performance sponsorship, sponsorship of athletics, improvement of physical facilities, acquisition of equipment or collections, and the like. This policy addresses factors to be considered when faculty and Emory evaluate whether to seek funding offers from companies or for projects that may prove controversial or inappropriate. The policy also provides the process for addressing disagreements resulting from decisions in the Health Sciences Center.

16.3.c.  **Accounting for Service Centers** *(Policy 7.15)*

This Policy Statement establishes Emory University’s policy and procedures for the financial management and accountability of service centers that charge federal funds. The purpose is to ensure compliance with federal cost principles and consistency in cost accounting practices for the wide variety of service centers within the University community. As a recipient of federal funds, the University must comply with OMB Circular A-21 Cost Principles for Educational Institutions section J.47. Non-compliance with federal regulations and costing principles may result in repayment to the government, in addition to adverse publicity that could have long term effects on future funding.

16.3.d.  **Effort Reporting** *(Policy 7.17)*

The University uses an after-the-fact web-based effort reporting system to account for an employee’s effort, in compliance with the federal Office of Management and Budget’s Circular A-21 Section J 10. This policy also meets the requirements of other sponsors for certifying that effort expended on a project is at least equal to the percentage of payroll dollars charged against the sponsored project during the effort reporting period. The policy applies to anyone performing effort on a sponsored project. The policy provides definitions of key terms, roles and responsibilities regarding reporting of effort, effort reporting periods, committed effort, cost sharing, salary caps, K awards, VA appointments, summer salary, and no cost extensions.
16.3.e. **Gift vs. Grant Administration** *(Policy 7.22)*

This policy provides the criteria for the decision on whether projects and contributions are gifts or grants. Its purpose is to ensure proper financial recording and reporting of grants vs. gifts and to determine whether a grant agreement should be administered by the Office of Sponsored Programs or by the Office of Development & Alumni Relations. The policy also provides that decisions related to intent, when in question, are reviewed and resolved by the Vice President for Research Administration or designee and by the Associate Vice President for Development & Alumni Relations or designee.

16.4 **TECHNOLOGY TRANSFER**

Emory encourages faculty to pursue areas of study of their choice and to share the results of their intellectual efforts with colleagues and students and recognizes their need to retain traditional academic freedoms in the conduct of scholarly and scientific work. Although the University does not undertake research or developmental work principally for the purpose of commercial application, patentable inventions and other commercializeable works sometimes result from the activities carried out by Emory Personnel. To address these needs and support the University’s mission and its commitment to use knowledge to improve human well-being, the University has established this **Intellectual Property Policy** *(See full Policy 7.6)* that includes associated procedures.

16.5 **OTHER RESEARCH POLICIES, GUIDELINES, AND PROCEDURES**

In addition to the aforementioned policies, the website of the **Office of Research Administration** has a section on other research policies, guidelines, and. The section below provides websites for all of this information.

- Research Data Management: Data Sharing and Re-Use
- Health Insurance Portability and Accountability Act (HIPAA) Policies
- Institutional Animal Care Use Committee (IACUC) Policies and Procedures
- Institutional Review Board Policies and Procedures
- Pre-Award Provisional Account Numbers (PAN) Policy
- Sarbanes-Oxley Compliance

**CHAPTER 17: RELEVANT STUDENT POLICIES, PROCEDURES, AND RESOURCES**

Faculty teach students, oversee them in research and service, supervise them as employees, and engage with them socially, and therefore should be aware of student policies and procedures. With the exception of the **Emory University Undergraduate Code of Conduct**, the policies described below are university-wide. Each school and division has additional policies that relate to students; faculty should consult their deans or the website of the specific schools for more information about these policies. The University-wide policies can be found on the Emory **policies homepage** and through the **Office of Student Conduct**.

In addition to Emory University’s Undergraduate Code of Conduct, some of the other schools and colleges also have student conduct policies. Many of the schools and colleges have an honor code with which
faculty should be familiar to avoid any unintended violation of the procedures set forth in the code. Faculty should contact the individual schools or their websites for more information.

17.1 STUDENT POLICIES AND PROCEDURES

17.1.a. Emory University Undergraduate Code of Conduct (See full Policy 8.1)

This Code states that Emory is dedicated to providing educational opportunities, transmitting and advancing knowledge, and providing a range of services to both students and the general community. The University endeavors to foster in each student a love of learning, commitment to fair and honorable conduct, and respect for the safety and welfare of others. It also strives to protect the community from the influence of those who do not embody these values in their conduct and to protect the integrity of the University and its property for the benefit of all. The guiding principle of University regulation of undergraduate conduct is the responsible exercise of freedoms and privileges. Members of the University community are granted the greatest possible degree of self-determination correlative to acceptance of the full responsibility for their conduct and the consequences of their actions.

This Code applies to undergraduate students enrolled in Emory College, the Woodruff School of Nursing, and the Goizueta Business School in their conduct both on and off campus. It provides that the Senior Vice President and Dean for Campus Life is delegated responsibility pertaining to all student organizations, student government, and fraternities and sororities. Further, this individual has the responsibility and authority to discipline students and organizations and may choose to handle such matters in a direct and expedient manner, including taking interim action.

Academic misconduct falls within the jurisdiction of the individual academic units of Emory University, not this Code. Allegations of non-academic misconduct will be resolved in accordance with the procedures outlined in this Code. Other units within the University may choose to implement more rigorous standards (for example, members of fraternities and sororities, or student organizational leaders), but such standards and penalties shall be in addition to, not a replacement of, this Code. Continuation as a student is conditional upon compliance with the expectations of student conduct expressed or implied in this Code.

17.1.b. Emory University Graduate School Code of Conduct (See LGS Handbook)

All students and members of the faculty in the Laney Graduate School are expected to cooperate in maintaining academic integrity. The LGS handbook defines in the Honor Code section, academic dishonesty and the procedure for hearings in cases where academic misconduct is suspected. Further, the Conduct Code in the LGS handbook outlines requirements of student conduct and specifies that students are individually responsible for their own conduct and for their violations of the requirements of student conduct. The code further describes in detail the operation of the conduct procedures within the graduate school.

17.1.c. Confidentiality and Release of Information About Students (Policy 8.3)

All members of the faculty, administration and clerical staff must respect confidential
information about students which they acquire in the course of their work. At the same time the
University must be flexible enough in its policies not to hinder the student, the institution or the
community in their legitimate pursuits. Each of the record-keeping administrative units within the
University may develop its own additional specific procedures in accordance with the general
policy found here. This policy is related to and based on a federal law, the Family Educational
FERPA is posted on the Registrar’s website and on the website of the Office of the General
Counsel.

17.1.d. Involuntary Withdrawal of Students from Emory (See full Policy 8.4)

Emory University considers the safety and welfare of its students, faculty and staff a top
priority. In contrast to the Student Conduct Code that treats student behavior that violates Emory’s
rules of conduct as a disciplinary matter, this Involuntary Withdrawal Policy and Procedure is not
a disciplinary code, policy, or process. It applies when a student’s observed conduct, actions,
and/or statements indicate a direct threat to the student’s own health and/or safety or a direct threat
to the health and/or safety of others. There might be situations in which both this Involuntary
Withdrawal Policy and the Student Conduct Code apply. In all cases, the Dean of the student’s
school has the final authority regarding the decision, enactment, enforcement, and management of
the involuntary withdrawal of a student. The policy also authorizes the referral of a student for a
mandatory evaluation by an appropriate mental health professional or other appropriate
professional under specified conditions and the actions that can be taken based on the evaluation;
and it provides procedures for hearing and appeal by students, for emergency suspension, and the
conditions for re-enrollment.

17.1.e. Policy on Student Intern (Unpaid) (See full Policy 4.116)

Emory provides unpaid internship opportunities to eligible individuals in certain fields
of study to help further an intern’s training, education, or career learning by providing planned and
supervised activities within a practical setting in which the intern may apply what he or she is
learning or has learned in a classroom setting. This Policy provides that each department and unit
at Emory University that offers an internship program establishes its own specific eligibility and
qualification requirements for interns; but also provides a list of additional requirements that an
individual must meet in order to hold an internship at Emory.

17.2 STUDENT RESOURCES

17.2.a Health services

It is important for faculty to be aware of the full range of services offered to keep Emory
students healthy, including programs that highlight prevention and wellness (sleep hygiene, stress
management, healthy relationships, lowering risk for drug and alcohol use, preventing violence,
nutrition, sexual health, etc.).

The first choice for student care is the Emory University Student Health and Counseling
Services (EUSHCS). EUSHCS offer a variety of preventive, outpatient primary care, and mental
health services. The staff can assist students with concerns that might otherwise impair academic
performance, including sleep, stress, nutrition, illness, relationships, anxiety, depression, and alcohol and other substance use.

Emory students are responsible for notifying professors or instructors of absences caused by illness or injury. EUSHCS providers do not write medical excuses for missed classes or examinations. Of course, EUSHCS healthcare providers can supply the necessary documentation for extended illnesses or injuries, including those necessitating withdrawal from classes.

17.2.b. Counseling Services

The Counseling and Psychological Services Center provides free, confidential counseling for enrolled undergraduate, graduate, and professional students at Emory University. The Emory Counseling and Psychological Services Center helps students understand the transition to college, find ways to cope with crises, and grow from experiences. Counselors maintain strict confidentiality, with exceptions only when extreme harm could come to the client or another person or when required by law. Students may also receive services through the Emory Department of Psychiatry and Behavioral Sciences.

If a faculty member is concerned about a student, the first step might be talking to the student, expressing concern, and then making the student aware of the Counseling and Psychological Services Center as a resource. Because of confidentiality constraints, faculty will not receive treatment related information about a student whom they have previously referred to the Center. However, faculty are encouraged to communicate specific concerns about a student before or after the referral to the Center.

Faculty are encouraged to act when they are concerned about a student.

Students might disclose an incident of sexual violence to a trusted faculty member. If this happens, the faculty member should refer students to the coordinator of sexual assault prevention education and response, at 404-727-1514. Response guides and other information about sexual assault and relationship violence are available online for faculty and staff.

17.2.c. Ask John Emory

The Ask John Emory site acts as an electronic ombudsperson. It provides direct responses or referrals for student questions and concerns, including sensitive issues.

CHAPTER 18: POLICIES AND PROCEDURES ON FINANCE

The University policies on finance are listed on the University Policies and Procedures website: Fiscal Roles and Responsibilities, Financial Operations, and General Accounting. The Financial Operations section includes Travel policies. This section links to each policy and summarizes some of the most relevant travel policies. Faculty are encouraged to review the policies regularly for updates.

18.1 SELECTED POLICIES ON FINANCIAL OPERATIONS
The Financial policies should guide the faculty on appropriate purchases, selection of vendors, and reimbursements. Further links for additional information are provided regarding Employee Gifts and Celebrations Policy, Business Meals, Business Expenses - Non-Reimbursable and Unallowable Charges, Business Expense Receipts, and Use of a Purchasing Card.

In particular, faculty should review the recent policy on Use of the Visa Corporate Card (See full Policy 2.119). Emory corporate cards are provided, free of charge, to university employees for appropriate and allowable Emory business purposes. This card is not to be used for personal expenses. The Emory Corporate Card is the preferred payment method for local business expenses and travel-related charges, such as hotel, airfare, and rental car costs.

18.2 PAYROLL POLICIES

The primary purpose of the University Payroll/Human Resource System is to pay salaries and wages to employees in an accurate and timely manner and to provide information for managerial purposes. Emory University has implemented a series of policies are related to payroll. They may apply to faculty members as employees, supervisors, hiring officials, and more. Links to these policies are provided in the sections that follow:

- General Payroll Information
- Employee Responsibilities and Departmental Responsibilities
- Payroll Taxes and Other Deductions
- FICA for Student Employees and Foreign Nationals
- Distribution of Paper Paychecks, Deposit Advices, and On Demand Checks
- Direct Deposit / Pay Advice
- Moving Expenses
- Incorrect or Rejected Pay
- Vacation and Sick Accrual Adjustments
- Employee Gifts and Gift Certificates
- Fringe Rates
- Payment Requests
- W-2 Tax and Wage Statements
- Staff Time and Attendance Policy
- National Research Service Award (NRSA) Payments
- Garnishments

18.3 TRAVEL POLICIES

Emory University has established policies necessary to balance the University’s need for cost effectiveness and the traveler’s need for quality services and support. These policies address such matters as the Corporate Travel Card Program, regulation of cash advances, guidelines for travel, air travel, lodging, ground transportation and parking, meals and entertainment expenses, resources for reimbursement, and travel expense reporting.

18.3.a. General Travel Policies

General travel guidelines are provided in the General Travel Policy to ensure that
Emory resources are used prudently, that travel expenses appropriate and not excessive, and that pre-trip safety and insurance precautions are followed for Emory-related travel. Under the Policy, the traveler is responsible for ensuring that incurred expenses and related reimbursement or payment requests comply with the Travel Expense Reporting, Reimbursement, and Payment and Travel Receipts policies.

18.3.b. Booking Travel

The Travel Payment Options policy requires a traveler to use Emory’s Air Travel Providers to purchase plane tickets. Tickets purchased through the Emory travel agencies can be charged to a Corporate Card or a personal credit card. Further, the Air and Rail Travel policy outlines expectations for booking the most economical air/rail fare with Emory’s travel providers. For air travel, the Policy allows coach class travel for all domestic travel and business class travel for international travel at least six hours in duration, and it provides rules about upgrades and cancellations. Suggestions about the number of Emory travelers who should fly together are included, e.g., no more than five faculty and staff from the same department.

18.3.c. Lodging (Policy 2.97)

This Policy assigns responsibility to the Emory traveler to seek lodging that is safe, comfortable, and reasonably priced, minimizing the cost by requesting standard accommodations when possible. Also reimbursable is a token gift or meal as a gesture of appreciation to the host (value up to $100) when the Emory traveler elects to stay at a private residence.

18.3.d. Ground Transportation (Policy 2.98)

Under this Policy, the Emory traveler is responsible for selecting the most economical and efficient choices of ground transportation services. Additional guidelines for the use of personal vehicles used for business purposes are provided in the Personal Vehicles policy.

18.3.e. Personal Meals (See full Policy 2.100)

Under this policy, Emory travelers are allowed to expense the actual and reasonable costs of their personal meals during Emory business travel (established rate, prorated) if the event or conference did not supply meals, but not both on the same trip.

18.3.f. Sponsored Programs Travel (See full Policy 2.105)

The purpose of this policy is to ensure compliance with the rules, regulations, and terms on travel expenses in the sponsored program, which the Emory traveler is responsible for knowing, as well as Emory travel policies. Where there is a conflict, the more stringent policy applies. Federally funded sponsored programs are subject to certain Federal Laws; the guidelines set forth in the Office of Management and Budget (OMB) Circular A-21, Section J 53, Travel Costs; and specific agency restrictions; as well as Emory travel policies.
19.1 Media Relations Policy (Policy 9.1)

Emory is committed to the dissemination of knowledge and of timely and accurate information about its programs and activities through an effective media relations program. Emory must speak to the news media with a clear, unified voice to ensure that the University is properly and accurately interpreted to the many constituencies it serves. The Offices of University Communications and of Health Sciences Communications initiate all contacts and respond to all inquiries from the news media and release information about events, programs, research, emergencies, and incidents involving Emory. In addition, these two offices release information about events, programs, research, emergencies, and incidents involving Emory. The Vice President for Communications, in conjunction with other University and communications officers, will designate official spokespersons for the University in representing the institution’s policies and positions on matters of controversy. This policy pertains to individual expressions of institutional positions.

In rare occasions, it may be necessary to release patient information. The Working with and Releasing Patient Information to the Media policy details procedures for working with the media; provides guidance for releasing patient information; discusses when patient information should not be released; offers details about releasing patient information in the event of a major crisis or disaster situation; and delineates one-word patient condition reports that can be used that parallel the American Hospital Association guidelines.

19.2 Use of Emory Name, Logo, or Trademarks/Service Marks (Policy 9.2)

Use of Emory’s name, logo, or marks in any commercial setting requires prior approval from Emory, and this policy describes how requests for such approval should be made.

19.3 Social Media Guidelines

Emory University supports the use of social media as a way to facilitate communication for the greater good of the Emory community. Social media is a valuable tool and has revolutionized the way people communicate with those around them. These guidelines are provided for official University social media communications. Official social media sites must comply with all applicable laws and exiting Emory policies including Information Technology Conditions of Use, University Mission, and Standards of Conduct.

19.4 Sponsorship of Nonprofit Organizations Beyond Emory University (Policy 9.5)

Except in rare circumstances, Emory University does not endorse the use of University funds for purposes of fund-raising by other nonprofit organizations. The policy also describes the procedure for review of requests for Emory to purchase advertisements in publications.
PART E: FACULTY BENEFITS

CHAPTER 20: HUMAN RESOURCES AND BENEFITS

An important value of the Emory community is that its members have access to a comprehensive benefits program that is flexible to meet the needs of individual faculty members and their families. Emory’s program is updated on a frequent basis to take into account the best interests of the members of the community. Emory’s overarching policy related to employee benefits is to provide benefits that are competitive and generally equivalent to those of other similar employers. Faculty eligibility for various benefits can be found in a table on the HR website.

The Human Resources staff is available to answer questions and provide information. The Human Resources Office is located at 1599 Clifton Road 1st floor, Atlanta, Georgia 30322; 404-727-7611. There is an annual Benefits Guide that describes a brief overview of benefits, eligibility, enrollment process, coverage changes during the year, various benefits and associated options, and additional resources. The Emory Human Resources website has detailed and up to date information about benefits.

20.1 Medical, Prescription Drugs and Dental Plans

Emory University offers its faculty medical plan choices (traditional and nontraditional plans) with associated behavioral mental health benefits, and vision exam discount programs. More information can be found on the HR website and at the following links:

Medical Benefits
Dental Plans
Prescription Drug Benefits
Behavioral Mental Health Benefits
Vision Discounts
Health Savings Account

20.2 Eligibility to Continue Benefits Into Retirement (Policy 4.24)

Emory offers eligible employees the ability to continue certain benefit programs into retirement. Faculty are eligible if they work at least 20 hours or more per workweek, and are at least age 55, have at least 10 years of service of at least half time with breaks not to exceed a 12-month period or 24 month period if due to a reduction in force, are retiring from a paid status or a disability leave of absence, and their total years of age and service equal at least 75. Faculty members are encouraged to contact the Benefits Department at least three months in advance of a pending retirement so a Benefits Specialist can process the retirement benefit requests. Benefit programs available to eligible retirees include health care coverage, prescription drug benefits, behavioral health benefits, and Basic Term Life Insurance coverage.

Retirees can retain their permanent Emory identification card (Emory Card) and have continued access to the courtesy scholarship. They have access to parking and have full use of all University libraries and library search services, and continued access to the physical education center. They also have continued access to discounts offered through Sparkfly (800-687-2359). In addition, retirees may participate in Emory University convocations and commencements.
They may have access to the facilities and catering services of the Houston Mill House. They may have access to Alumni University and Alumni Travel. They may have either lifetime forwarding of @emory.edu email address to an external email account or web-based access to existing Exchange, Eagle, or LearnLink email account for as long as that particular e-mail system is supported by the Office of Information Technology.

20. 3 **Other HR Benefits**

20.3.a. **Retirement Plans**

Emory offers a 403(b) Saving Plan, a 403(b) Roth, and a 457(b) Deferred Compensation Plan for employees who meet the salary criteria. Employees can make contributions to one or more of the following retirement vendors: Fidelity Investments, TIAA-CREF and The Vanguard Group. All full-time and part-time faculty who are at least 21 years of age are immediately eligible to contribute to the Savings Plan using pre-tax dollars only. All full-time and part-time faculty who are at least 21 years of age are eligible for Emory contributions to the Savings Plan after completion of 1 year of service, and 1,000 hours worked in a 12-consecutive-month period. In the event you need a distribution from your Retirement plan while you are an employee of Emory and a participant in the Retirement plan, there are several options available: plan loan, hardship withdrawal, or in-service withdrawal.

Faculty can elect to make a BASIC contribution to the plan up to 2% of regular salary. This basic contribution will be matched by Emory. Faculty may elect to contribute over the BASIC 2% (Supplemental) up to the IRS maximum deferral limits. If an employee elects to make a BASIC contribution to the 403b Savings plan, Emory will match the employee contribution as follows: (1) Employee contributes 1% of regular salary - Emory matches it with a 1.5% contribution; and (2) Employee contributes 2% of regular salary - Emory matches it with a 3% contribution. Matching contributions made by Emory on behalf of an employee are vested once the employee completes 3 years of service. In addition to Emory Matching Contributions to the 403b Savings Plan, Emory also provides an Employer Basic Contribution of 6% towards an eligible faculty member’s retirement. Employees are eligible to receive this 6% contribution once they have completed one year of service with Emory. However, faculty members who had a previous employer contributing to any retirement plan can waive the one year wait period.

20.3.b. **Disability Benefits**

Emory offers long term disability to faculty who work at least 20 hours a week and are classified as regular full-time or part-time and who have been disabled more than six months. Temporary employees are not eligible for long term disability. Emory also offers a Supplemental Income Protection (SIP) Option which provides the ability for a faculty member to purchase an additional 15%, marking the total income replacement benefit 75% if the person is disabled.

20.3.c. **Life Insurance**

Emory offers Basic Term Life Insurance and Supplemental Term Life Insurance. The value of the basic life insurance benefit is increasing to 1x annual base salary, with a minimum of $10,000 and a maximum of $50,000 (for active employees). Employees on Leave of Absence must
first return to active status to qualify for the increase. Enrollment is automatic, but you must select beneficiaries. You can elect supplemental life insurance coverage in increments of $10,000, up to a maximum of $750,000. You can elect life insurance coverage for your spouse/ same-sex domestic partner in increments of $10,000, up to a maximum of $500,000. You can elect life insurance for your eligible child(ren) in increments of $2,000, up to a maximum of $10,000.

20.3.d. **Personal Accident**

Personal Accident Insurance (PAI), also known as Accidental Death and Dismemberment Insurance, pays a benefit in the event of an accidental death. It also pays a full or partial benefit in the event of dismemberment, loss of vision or loss of hearing because of an accident. This insurance may be purchased in $10,000 increments, not to exceed $250,000. If you wish to purchase this coverage for your spouse, same-sex domestic partner and/or children, you must also purchase it for yourself. Spouse, same-sex dependent partner, or dependent children coverage amounts may not exceed your coverage.

20.4.e. **Other optional benefits**

MetLife gives Emory employees competitive group rates for Auto/Homeowner/Renters Insurance. Emory offers the opportunity to enroll in Long Term Care Insurance provided by UnumProvident. Family members (spouse, same-sex domestic partner, adult children, siblings, parents, parents-in-law, grandparents and grandparents-in-law) are also eligible for Long Term Care Insurance. Emory offers Group Legal Services.

20.5. **Education, Training and Career Development Benefits**

20.5.a. **Courtesy Scholarship** (See Full Policy 4.96)

To promote and support the continued educational development of Emory employees and members of their families, Emory offers attractive educational benefits. The Courtesy Scholarship is a tuition-only scholarship available to you and your eligible family members who apply and are admitted for enrollment in an academic program at Emory University.

20.5.b **Tuition Reimbursement** (See Full Policy 4.97)

Emory University encourages employees to take advantage of all opportunities that will assist them in the development of their job-related skills and, in turn, enhance their job proficiency. In order to endorse and facilitate such skills development, Emory provides a Tuition Reimbursement Program to eligible faculty for enrollment in job-related or career path directed coursework at educational institutions other than Emory University.

20.5.c. **Sabbaticals**

The Statement of Principles Governing Faculty Relationships (Gray Book) includes information about leaves of absence. This principle pertains to sabbaticals. Specifically, it states the following: “Emory strongly encourages faculty members to take such leaves of absence as may benefit themselves and the University. At intervals of at least six years of continuous service at
Emory University, leaves of absence may be granted for a half year on full pay or for a year on half pay. Other leaves of absence may be granted on such terms as may appear justified in individual cases.”

However, it should be noted that Emory does not have a specific sabbatical policy that is uniform across the institution. Rather, each individual school and college is free to develop its own sabbatical practices and policies that are appropriate to that particular unit. Check with your Dean regarding your school or college’s policy related to sabbaticals.
PART F: SECURITY AND EMERGENCY PROCEDURES

Emory has systematic emergency response plans in place as well as helpful urgent contact information and plans for other circumstances.

21.1 Emergency Contact Information


Emory maintains and Emergency Information Reference Guide to help the University community plan for and respond to campus emergencies. The guide supplies the basic guidelines to manage most emergencies on campus including information about accessing police, fire assistance, ambulance; fire; evacuation; weather; civil disturbance/demonstration; aircraft/rail disaster; hazardous materials incident; hazardous device/bomb threat; violent or criminal behavior; utility failure; psychological crisis; and medical crisis. Other areas of campus have specific procedures that should also be followed in those areas.

21.1.b. Reporting Emergencies

To report emergencies (police, fire, EMS) from an on campus phone, please dial 911 or 7-6111 and from an off campus phone, dial 404-727-6111. The Emory Police also may be contacted by using one of the emergency blue light phones, residence hall call boxes, or emergency elevator phones located throughout the campus. To use an emergency blue light phone, simply press the button to be connected automatically to a police dispatcher.

21.1.c. Non-Emergency Contact Information

Use the phone numbers listed below only for non-emergency situations. To find out more information about emergency services at Emory University, please consult the following list:

- **Emory Police Department** - Phone: 404-727-8005
- **Emory Emergency Department** - Phone: 404-712-7100
- **Emory Emergency Medical Service (EMS)** – Phone: 404-727-0180
- **Campus Map**
- **Environmental Health and Safety** – Phone: 404-727-5688
- **Facilities Management Services** – Phone: 404-727-7463
- **Faculty Staff Assistance Program** – Phone: 404-727-4328
- **Fire Safety** – Phone: 404-727-7378
- **Inclement Weather Hotline** – Phone: 404-727-1234
- **Office of Critical Event Preparedness and Response** – Phone: 404-712-1300
- **Partner Violence/ FSAP** – Phone: 404-727-4328
- **Security Escort** – Phone: 404-727-8005
- **Sexual Assault** – Phone – On Campus: 404-727-1514; Phone – After Hours and Weekends: 404-377-1428 (DeKalb Rape Crisis Center); Phone – Educational Programs and Trainings: 404-727-1514
- **Student Counseling Center** – Phone: 404-727-7450
- **Student Health Services** – Phone: 404-727-7551
- **University Communications** – Phone: 404-727-6216
21.1.d. Emory Safety Alliance

In 2012, Emory became certified as a “Safe Community” by the National Safety Council-the University was the second university in the world to obtain this honor. The Emory Safety Alliance (ESA) was formed to create and sustain a group that embodies the idea of a “culture of safety” in alignment with Emory University’s Strategic Plan. In addition to maintaining the Safe Communities America designation, the ESA serves as a means for documenting data sources, programming, and initiatives related to safety promotion and injury reduction to ensure centralized collaboration. The website also lists involved campus organizations you can contact for specific program information.

21.2 Critical Event Preparedness and Response

21.2.a. Office of Critical Event Preparedness and Response (CEPAR)

The complexity of the challenges posed by catastrophic events, both natural and human-caused, requires thoughtful, innovative leadership and action, qualities that are abundant in Emory's vibrant intellectual community.

CEPAR serves as the center for Emory enterprise-wide planning for and coordinated response to catastrophic events, partnering with experts and resources at Emory and the broader community to address all hazards, including natural and human-caused disasters and public health emergencies. CEPAR has put together an excellent resource on campus emergencies: Emory’s Just in Time Guide to Campus Emergencies.

The objectives of CEPAR are to: bridge existing operational, educational and research activities of Emory relevant to planning, response, mitigation and recovery from catastrophic events; exercise all the relative components of the Emory enterprise in delivering an orchestrated response to a catastrophic event; catalyze development of novel, multi-disciplinary solutions for the mitigation of threats; enhance opportunities for enterprise-wide collaboration; and enhance collaboration with community partners.

21.2.b. Emory Emergency Notification Program

CEPAR coordinates the Emory Emergency Notification Program, a multi-modal system for alerting students, staff, faculty and visitors of an emergency affecting the Emory community. The wide array of notification options affords Emory the flexibility to convey emergency information in the most appropriate manner and provides redundancy to help ensure the message gets out. Not all emergencies require all of the notification components to be engaged simultaneously. Notification components include outdoor sirens/public address system, e-notify system (which includes text messages sent to your cell phone), Emory email, Emory emergency information page, and Emory cable TV banner/messages.

21.3 Threat Assessment Team

Emory University has a Threat Assessment Team that serves as a resource for faculty, staff, and students who are aware of or who are experiencing threatening or potentially threatening,
disruptive, or otherwise troubling behavior occurring in the community. This team serves as a point of contact, provides resources, investigates and responds to concerns. They do not, however, serve as a direct response group, mandate treatment, render disciplinary sanctions, or provide direct treatment. Faculty who have concerns about a colleague, student, or employee whose behavior, comments, writings, attendance, etc., are troubling/worrisome, should contact the Chief of the Emory Police Department or the Senior Vice President and Dean of Campus Life or an appropriate mental health service (including the Emory University Counseling Center), so that others can assist in getting help for that person or otherwise handle the matter. Faculty may share information about concerning behavior in order to assure that there is a full picture of the situation associated with the individual in question.

21.4 Enterprise Risk Management

Unique opportunities, such as those outlined in Emory’s vision statement, cannot be compromised by adverse occurrences that may jeopardize or hinder Emory’s ability to realize its vision. Risk, in one form or another, is present in virtually all worthwhile endeavors. Emory University recognizes that not all risk is bad; thus Emory’s goal is not to eliminate all risk, for by doing so Emory would limit productive activity. Rather, Emory’s goal is to assume risk judiciously, mitigate it when possible, and prepare itself to respond effectively and efficiently when necessary.

The following principles are designed to help Emory University accomplish the goals: (1) Emory upholds an early-warning system for identification of adverse occurrences; (2) All individuals are empowered to report problems and concerns early on, without fear of retribution; (3) Report of adverse occurrences are responded to promptly and thoroughly; (4) Investigations of adverse occurrences, complaints, and concerns are conducted with integrity and continue until the fact-finding process is concluded; (5) Reliable and useful information is shared with leadership and other key constituencies; (6) Communication with the Emory community and the public at large is proactive, honest, and respectful of individual privacy; and, (7) Emory maintains a framework for regularly assessing the effectiveness of risk management practices and a culture that fosters process improvement when indicated. These are the principles to which we hold ourselves, and those with whom we partner.

Emory University’s Enterprise-wide Risk Management process, overseen by the Senior Director of Risk & Insurance Services and the Chief Audit Officer, seeks to implement these principles with the following process: (1) each year, eight ERM Subcommittees, each consisting of a handful of administrators organized around subject matter areas (Finance and Investment, Academic and Student Affairs, Governance and Corporate Affairs, Campus Safety and Physical Plant, Human Resources, Information Technology, Research, and Healthcare) identify, analyze, and communicate about risks in their respective areas; (2) the ERM Steering Committee, consisting of operational VPs and other senior administrators, reviews the list, eliminates duplicates, consolidates similar exposures, edits descriptions for consistency, reduces and assesses the frequency and severity of each risk; (3) a list of the key risks is shared with the ERM Executive Committee, chaired by the President and consisting of senior executives, including the CEO of Emory Healthcare, which sets the general direction and reviews the entire range of risks facing Emory; (4) a Risk Management Process Owner, defined as the person at Emory “sufficiently familiar with the risk and best positioned to execute a comprehensive Risk Management Plan,” is assigned to each risk and instructed to prepare a Risk Management Plan; (5) each year, every key risk is presented to the ERM Executive Committee at a series of “risk hearings”, at the conclusion of which any “gaps” between Emory’s risk tolerance and Emory’s current status with respect to specific risks are identified and action plans are developed.
Finally, periodic reevaluation of the list of risks is contemplated. Inherent in the ERM framework is the recognition that priorities change over time; therefore, the list of key risks is expected to change in response to changes in the operating environment.

PART G: PROCESS FOR APPROVAL, UPDATES AND DISSEMINATION OF THE EMORY UNIVERSITY FACULTY HANDBOOK

CHAPTER 22: FACULTY HANDBOOK PROCESS

22.1 Approval

The plan for the approval of a major revision is as follows. An individual or group, under the supervision of the Provost, will revise the handbook. Drafts of the document will be reviewed and commented upon by a workgroup of key people representing the diverse constituencies within the University. Once their feedback has been incorporated, input will be received and integrated from the following groups in this order: Faculty Council, appropriate leadership in Human Resources, Provost’s Senior Staff, Associate Deans, and the Council of Deans. The document will be signed off on by the President’s Cabinet. It will then be submitted to the Academic Affairs Committee of the Emory Board of Trustees for their information. This is in contrast to the Gray Book, which is written and owned by the Board of Trustees.

22.2 Updates

In terms of updating the Faculty Handbook, one individual in the Provost’s Office will be charged with this task. This person will be responsible for doing minor revisions and updates annually by the Faculty Council after review by the appropriate Faculty Council committee. That will ensure that the Faculty Handbook stays current, such as removing nonexistent programs or updating web links. The Faculty Council will also review the Faculty Handbook annually and make minor revisions to content and structure. Any changes not involving policies or procedures are considered minor changes and do not need to go through full approval process. Any significant revisions that are required to the document will require the same approval process as described above.

22.3 Dissemination

The Faculty Handbook will be an on-line document only. New faculty hires will be directed to the Handbook during their orientation. At the start of each academic year, the faculty will receive an email notice reminding them about the Faculty Handbook and directing them to the website, which will be located on the Provost’s website.