

PART B: FACULTY LIFE

CHAPTER 3: STATEMENT OF PRINCIPLES GOVERNING FACULTY RELATIONSHIPS ("THE GREY BOOK")

3.1 Academic Freedom and Responsibility, 1940

A concern to provide for faculty and students a university atmosphere where there is freedom to pursue truth and to discuss all relevant questions has led the trustees of Emory University to accept the general principles and purposes embodied in the 1940 Statement of Principles on Academic Freedom and Tenure, originally cosponsored by the Association of American Colleges and the American Association of University Professors, and subsequently endorsed by more than a score of major educational associations and learned societies.

According to the authors: "The purpose of this statement is to promote public understanding and support of academic freedom and tenure, and agreement of procedures to assure them in colleges and universities. Institutions of higher education are conducted for the common good and not to further the interest of either the individual faculty member or the institution as a whole. The common good depends on the free search for truth and its free exposition."

The 1940 Statement emphasizes that for maximum effectiveness faculty members should have security adequate for freedom to teach and to seek truth. This includes security of position after a reasonable period of probation, income commensurate with professional attainments, and assurance of explicit contract. As a citizen, the faculty member is also entitled to the right to participate in activities related to citizenship in a democratic society.

The 1940 Statement further emphasizes the correlative obligations and responsibilities imposed by the special position occupied by the faculty member. Most important is the obligation for effective performance of duty. In addition, the 1940 Statement emphasizes that when the faculty member speaks or writes as a citizen, he or she should remember that the public may judge his or her profession and institution by those utterances. Hence, the faculty member should at all times be accurate, should exercise appropriate restraint, should show respect for the opinions of others, and should indicate that he or she speaks as an individual and not for the institution.

With the acceptance by trustees, administrative officers, and faculty members of the related principles of freedom and obligation, the individual faculty member is assured of reasonable protection against arbitrary pressures and procedures; and the institution, students, and the general public are assured of reasonable protection against incompetence and irresponsible utterance.

3.2 Statement on Appointment, Promotion and Tenure

Standards for appointments at rank, along with promotion and 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.

3.2.1. Appointment and Tenure

1. Appointments to the faculty 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 will not be terminated by the University except for adequate cause as specified below or by retirement in accordance with the provisions of the Emory University Retirement Plan.

2. (a) As provided in Article IV, Sec. 3, of the University Bylaws: “Limited appointment shall be made by the President upon recommendation of the Dean of the school or college primarily concerned, the Executive Vice President for Health Affairs for the faculty in the health sciences, and the Provost, and shall be reported to the Board of Trustees or its Executive Committee.

“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 school or college where the faculty member holds tenure, the executive vice President for health affairs for the faculty in the health science and the Provost. 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.”

(b) Copies of the procedures mentioned above shall be filed with the Provost and the Faculty Council of the University.

3. Except as otherwise provided herein, the following conditions shall apply to full-time appointments in the ranks of professor, associate professor, assistant professor, and instructor:

- (a) Appointments to the rank of professor shall be continuous unless otherwise specifically agreed upon.
- (b) Appointments to the rank of associate professor may be continuous or limited. In the School of Medicine limited appointments at the rank of associate professor shall not exceed three years.
- (c) Appointments to the ranks of assistant professor and instructor shall be limited.
- (d) Limited appointment at Emory in any rank enumerated above or in a combination of these ranks shall not exceed seven years, except that in certain cases the seven years will be counted from the time the terminal degree is received, and except that in the School of Medicine, limited appointment on the tenure track in any rank enumerated above or in combination of these ranks shall not exceed nine years.

4. Appointment to the rank of professor (clinical), associate professor (clinical), assistant professor (clinical), professor (research), associate professor (research), assistant professor (research), associate or senior associate (used only in Health Sciences) shall be limited. Such appointments carry no restrictions on years of service in these ranks and may be reserved for those individuals who serve in specialized capacities in which advancement to continuous appointment would not ordinarily be anticipated. A person holding any of these ranks may be eligible for promotion to regular faculty rank under paragraph 3 above.

5. In cases where appointment to one of the ranks enumerated above is inappropriate, the title of lecturer, special lecturer, senior lecturer, or other appropriate title may be given. Such appointment shall be limited.

6. Visiting, part-time, acting, temporary, and uncompensated appointments are governed by the written conditions of each individual appointment but shall, in all cases, be limited.

7. For all limited appointments other than those specified in paragraphs 5 and 6 above, written notice of nonrenewal of contract shall be given as follows:

- (a) For those in the first year of service— notice on or before January 31 for termination August 31;

(b) For those in the second year of service— notice on or before December 31 for termination August 31;

(c) For those in the third year of service or later— notice on or before October 31 for termination on August 31.

The terms of limited appointment shall be stated in writing and the details of limited appointment that are contingent upon specified grants or contracts should be described.

Renewal of limited appointments shall be in writing on a yearly basis, and notice of attainment of continuous appointment shall also be in writing.

8. In each case the Dean of the school or college primarily concerned shall have conferred regarding any recommendation for appointment, promotion, or nonrenewal of a limited appointment with members of the department or faculty concerned, according to procedures, which shall have been previously established and communicated to the faculty.

9. A member of the faculty who intends to resign shall give notice in ample time to permit the University to appoint a successor.

10. A member of the faculty who has served on a regular full-time basis continuously for a period of ten or more years and who is at least age fifty-five, and the total of whose age and years of continuous service equals at least seventy-five, may retire at the end of any semester at the option of the faculty member. Under unusual circumstances, appointments may be extended to retired faculty on a year-to-year basis.

11. 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 has a total age and years of continuous service of at least seventy, shall be entitled to the title “professor emeritus.” In exceptional circumstances, such title may be conferred by the Board of Trustees upon any retired member of the faculty upon recommendation of the President, who shall have conferred with the appropriate Dean and the Provost, including consultation with the Executive Vice President for Health Affairs for faculty in the health sciences.

12. Appointments, whether limited or continuous, may be terminated:

(a) by resignation;

(b) by retirement in accordance with the provisions of the Emory University Retirement Plan;

(c) for one or more of the following reasons: moral delinquency, neglect of academic duty, incompetence, permanent physical or mental incapacity, or other such adequate cause.

13. The Executive Committee of the Faculty Council, in consultation with the Provost, shall select five members of the tenured faculty to serve as the Faculty Hearing Committee. The Faculty Hearing Committee shall conduct hearings, make findings of fact, and make recommendations to appropriate university officers when a faculty member’s employment is or may be suspended, transferred or terminated for any reason specified in Paragraph 12 (c) above or Paragraph 14 below. When a faculty member seeks review for a reason listed under paragraph 14 below, the jurisdiction of the Faculty Hearing Committee shall be limited to whether or not the appropriate processes were followed and shall not extend to an inquiry into the propriety of any action by the Board of Trustees under paragraph 14 (a) or (c) or of the President under paragraph 14 (b). The methods of invoking jurisdiction of the Faculty Hearing Committee, the procedures to be employed by it, and additional regulation of its membership and responsibilities shall be established by resolution of the Faculty Council approved by the President of the University.

14. Nothing in the provisions set forth above shall be interpreted as restricting:

(a) The right of the Board of Trustees under extraordinary circumstances to discontinue any academic program of the University.

(b) The right of the President, after conference with the appropriate Dean and departmental chairs,

to assign any faculty member to any appropriate position, provided no such assignment shall carry with it reduction in rank or change of status as to tenure.

(c) The right of the Board of Trustees to reduce the salaries of members of the faculty as financial exigencies may demand.

15. It is the express desire and purpose of the President and the Board of Trustees to use the powers expressly reserved (Paragraph 14 above) only in cases of the utmost necessity, when failure to use such powers might adversely affect the interest of the University.

16. A faculty member on continuous appointment, whose appointment is terminated on the initiative of the University for reasons not involving moral delinquency, shall receive his or her salary for one year from the date of notification of termination, or until such time, within one year, as he or she may have entered into other employment, or commenced receipt of disability income insurance.

17. The provisions set forth above shall not apply to administrative offices. Appointment to, or retirement from, such offices shall not deprive faculty members of their tenure in the highest rank in which they have served prior to or during their service in administrative office.

18. Promotion: Promotion is based upon departmental needs and upon the faculty member's growth in professional competence and increased service to the University. Recommendations for promotion are made by the Dean of the school or college primarily concerned as provided in Paragraph 2 above.

19. Leaves of Absence: 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.

In conformity with provisions 2(a) paragraphs 3 and 2(b) of this "Statement of Principles Governing Faculty Relationships," the Dean and Faculty of each School and Division have established more detailed procedures for appointments, promotions, and tenure. Members of the faculty are urged to secure copies of such procedures applicable to their appointments and become familiar with them.

3.2.2. Interpretation of the Statement of Principles

"Statement of Principles Governing Faculty Relationships," the terms "years(s)" and "year(s) of service" shall be construed to begin at the start of the first full academic year of employment as a regular, tenure track, faculty member at Emory.

3.2.3. Appointment, Promotion and Tenure

The following policies apply to all candidates for tenure and/or promotion from any school within the University:

Tenure and promotion: University guidelines for candidate files. The following guidelines establish university-level practices for the submission of tenure and promotion dossiers. These University 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 tenure or promotion file 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, 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.

In order 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 President and Provost determine which files are appropriate for forwarding to the PAC for their discussion with and recommendation to the Provost and President. 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:

<http://www.emory.edu/PROVOST/academicaffairs/presidentialadvisorycommittee.php>.

The following University guidelines have been formulated by the Provost and President, in consultation with the PAC, and were reviewed by the Council of Deans. Included with the guidelines are checklists to use in preparing files to assure that they meet the minimum requirements of the guidelines. The checklists can be found at: http://www.emory.edu/PROVOST/documents/facultydevelopment/Provosts_Checklist_PT_03_2009_fbu.pdf.

3.3. Presidential Advisory Committee Election Process

Distribution of membership. The Committee shall comprise twelve elected members, 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. Nominations can also be submitted directly to the President and Provost by faculty members. 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).

After receiving the nominations, the President and Provost will consult with the University Faculty Council Executive Committee. In the event that a nominee is unacceptable to the President and Provost, they shall solicit a replacement from the Dean. They will then select two names to be placed on the ballot for each position. Election shall be by a majority of the votes cast in the relevant school.

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 Senior Vice Provost for Academic Affairs, 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 by Institutional Research and communicated to the Senior Vice Provost for Academic Affairs who shall certify the vote to the President and Provost.

Report of voting. The President will post the results of the election on the following web site <http://www.emory.edu/PROVOST/academicaffairs/presidentialadvisorycommittee.php>, and will report them directly to the candidates, the President of the Faculty Council and the Council of Deans.

The policies referred to in this Handbook form part of the essential employment understandings between members of the faculty and the University. A comprehensive description of Emory University policies can be found at: <http://policies.emory.edu/>. This website should be accessed for the current versions of all codified policies. In the sections below are links to key policies relevant to faculty. However, this is not an exhaustive compilation of policies. In Chapter 3, the Statement of Principles Governing Faculty Relationships, otherwise known as “The Grey Book,” is presented in its entirety. In addition to the Grey Book, Section C, “Policies,” references many policies of interest and relevance to faculty.

The staff of the Office of the Provost, the Office of the General Counsel, and the Dean’s Offices is available to assist faculty members with regard to 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.

3.4. Stopping the Tenure Clock

1. 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.
2. 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.

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3.5 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 Department Chair and 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.

3.6. School-based Tenure and Promotion Guidelines

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

Many of the policies described above in “The Grey Book” or below in the description of Emory University Policies relevant to faculty are supplemented by policies by the Deans and Directors of the Schools, Colleges, and Divisions of the University. In addition, schools and colleges have policies that apply only on the local level. Readers are encouraged to familiarize themselves with those policies as well. It is not possible to present each of these policies in this handbook, but they may be obtained by inquiring of one’s department chair or Dean. Many of these policies can be found on the following websites:

Emory College of Arts and Sciences – <http://www.college.emory.edu/about/faculty/guidelines.html>

Oxford College – <http://www.emory.edu/OXFORD/FacultyHandbook/>

School of Medicine -http://www.med.emory.edu/dean/facultyaffairs_policies.cfm

Nell Hodgson Woodruff School of Nursing – http://www.nursing.emory.edu/pulse/faculty_tools/

Candler School of Theology – <http://www.pitts.emory.edu/FPortal/documents/FacultyHandbook2007-2008.pdf>

Law School – These are provided to each faculty member in the Law School.

Goizueta Business School – These are provided to each faculty member in the Business School.

Graduate School -http://www.emory.edu/GSOAS/PDF/student_handbook2007-2008.pdf

Rollins School of Public Health - <http://www.sph.emory.edu/AF/index.php>