

Please Refer to Faculty Manual Chapter 13: Conflict of Interest and Commitment for University Policy. <https://provost.emory.edu/faculty/policies-guidelines/handbook/conflict-of-interest.html>

## **Emory College of Arts and Sciences**

### **Policy on Commitment**

#### **Overview**

The primary professional allegiance of ECAS faculty and staff is to the Emory College of Arts and Sciences and Emory University and its components. Therefore, their professional intellectual endeavors and time are committed to the College's missions in education, scholarship, and service and to the administrative activities that support them during the AY. A conflict of commitment occurs when the time, the nature of the activity, or the use of Emory resources in external activities interferes with, compromises, or diminishes the individual's capacity to meet ECAS and other University responsibilities. The intent of this policy is for ECAS to work with its faculty and staff members to manage both compensated and non-compensated external employment, industry relationships, research, teaching, and professional volunteer work and service so that appropriate and legitimate external activities do not interfere with primary commitments to the University.

Definitions: Academic Year (AY) is the period of 9 months during which an ECAS faculty member is compensated by ECAS. Unless an exception has been approved by the Senior Associate Dean for Faculty, tenure-track faculty are expected to devote 50% effort to research, and 50% to teaching and service connected with Emory. Lecture-track faculty are expected to devote 100% effort to teaching and service. Academic Year salary is the salary paid for teaching, service and research (if applicable) during the 9-month academic year and paid over 12 monthly installments. Summer is the period of 3 months during which an ECAS faculty member is not compensated by ECAS and may devote their time at their discretion. During the summer, faculty engaged in research who are able and elect to compensate themselves from a federal grant may be compensated for up to 95% effort for up to 3 months; in such cases, each month's salary is calculated by using the percentage of effort and 1/9 of the AY salary. Normally the AY runs from approximately August 15 to approximately May 15.

#### **A. External Employment**

ECAS Faculty and staff members who have full-time employment at Emory may not hold appointments or employment of any type in any other organization during the AY. Exceptions require written approval by the Department Chair or Program Director and the Senior Associate Dean for Faculty. Requests for approval for exceptions to this policy will be submitted to the Department Chair and Senior Associate Dean for Faculty via the University's eDisclose system.

#### **B. Authority of Department Chairs in Assignment**

ECAS Department Chairs are responsible for the assignment of duties to faculty and staff members during the AY with due consideration to the resources of the Department and ECAS. This includes

review and department-level approval of any activities that may include conflict of commitment and/or conflict of interest.

### **C. Commitment of Time in External Personal Professional Relationships**

Principled and appropriate external personal professional relationships and affiliations may benefit the mission of Emory College of Arts and Sciences. Faculty are committed to the ECAS for 100% of their AY professional effort. Faculty members may be permitted up to twenty percent (20%) of their Emory specific professional effort to engage in external professional relationships that are related to their ECAS responsibilities—if the arrangement is approved in advance by the Departmental Chair and the Senior Associate Dean for Faculty, and if any resulting conflict of interest and commitment can be managed. If there is a question about whether to report an external activity, faculty are advised to err on the side of reporting. Compensated editorial position at Journals or presses are considered consulting. During the AY faculty are compensated for the 50% of effort that they can devote to research and they can claim this effort on grants as a ‘cost share’. However, if they engage in compensated external consulting, then this cost share effort must be diminished correspondingly. Teaching and service effort must remain at 50%.

### **D. Services to Other University Schools and Units**

Faculty ordinarily should not expect compensation for limited services rendered to other departments or units of Emory University. When such compensation is contemplated, approval must be obtained in advance from the Department Chair and the Senior Associate Dean for Faculty. Joint appointments, which include compensation from the secondary department, require prior approval of the Senior Associate Dean for Faculty.

### **E. Extra Duty at Emory**

Compensation over and above the faculty member's regular salary may be paid for services that are clearly over and above the faculty member's usual and customary duties and where regular duties are not reduced in recognition of the extraordinary service, with the approval and the Department Chair and Senior Associate Dean for Faculty.

### **F. Adjunct (Volunteer) Appointments of ECAS Faculty at Other Institutions**

Faculty in the Emory College of Arts and Sciences may be allowed to hold voluntary, non-compensated (adjunct, honorary) faculty appointments at other academic institutions with the prior written approval of their Department Chairs and the Senior Associate Dean for Faculty, which will be granted only as long as the faculty member's external activities do not interfere with his or her obligations to or breach the policies of Emory University or ECAS and are beneficial to the School. Such approvals may allow ECAS faculty to teach, participate in professional service activities, or participate in research at other institutions, depending upon the circumstances. ECAS faculty who hold volunteer faculty appointments at other academic institutions may not submit research proposals or be listed as compensated investigators on research grants at other institutions or entities. Faculty are required to submit proposals for such voluntary faculty appointments to their Department Chairs and Senior Associate Dean for Faculty for review and approval before engaging in the activity or signing any documents.

## **G. Joint and Secondary Appointments of ECAS at Other Institution**

Faculty in ECAS will not hold primary faculty appointments at other institutions. Faculty usually will not hold compensated joint or secondary faculty appointments at other institutions, except in the joint Emory School of Medicine - Georgia Institute of Technology Department of Biomedical Engineering. Exceptions might be made to allow faculty to teach, participate in professional service activities, or participate in research at other institutions. Faculty must submit proposals for such exceptions to their Department Chairs and the College Dean's office for review and approval prior to agreeing to, engaging in, or accepting compensation for the activity. In such cases, contractual agreements between Emory and the other institution may be required. Clinical activities at other institutions may not include medical services billed at the other institution. Such activities external to Emory must be compliant with other University and ECAS policies.

## **H. Use of Emory Resources**

ECAS faculty, staff, students, and trainees will use Emory College of Arts and Sciences and Emory University resources only for ECAS and Emory University activities and functions that are related to their ECAS and Emory responsibilities. Emory resources include, for example, facilities, personnel, letterhead, equipment, funds, supplies, services, and communication networks. Faculty, staff, students, and trainees will not use Emory resources in performing their personal external professional relationships, except for incidental use, without the written permission of the Department Chair or Program Director and Senior Associate Dean for Faculty, in which case the individual may be required to compensate Emory.

## **I. Use of Emory's Name, Logo, or Marks**

ECAS faculty, staff, students, and trainees may use their Emory title on their professional business cards and professional CVs and in connection with non-promotional personal external activities.

## **J. Submission of Research Proposals**

Faculty, staff, students, and trainees must submit all research proposals through administrative channels at Emory if the research is related to the individual's normal professional duties at Emory (including teaching, research or scholarly expertise). Additional information on how to submit grant proposals is available from the Emory University Office of Research Administration <http://www.ora.emory.edu/>. CAPS-RAS is the unit of ORA that handles ECAS submissions <http://ras.emory.edu/ras-units/ras-colleges-professional-schools/index.html>.

Fellowships that are for **leaves** or summer compensation, do not require submission through CAPS-RAS, if the payment is directly to the faculty member and is not handled in any way by ECAS. Nevertheless, even in such cases faculty are encouraged to submit through CAPS-RAS.

## **K. Employment of Relatives (Nepotism)**

No person shall be employed by, transferred to, or promoted into a department or unit of the Emory College of Arts and Sciences where he/she would have a direct supervisory relationship with a relative by blood or marriage. A supervisory relationship exists when either relative could have a direct effect on the other's performance evaluation, salary, schedule, or other working conditions. If spouses are hired as faculty within the same unit and one becomes chair or director, all review,

promotion, merit and salary evaluations for the person not appointed as chair or director in that unit will be administered and determined by a third party appointed by the Dean of the College. Hiring officials will adhere to the spirit, as well as the letter, of this policy, to ensure that the basic criteria for employee selection or promotion are the appropriate qualifications of the candidate in terms of education, experience, training, and performance, consistent with Emory's needs. Thus, relationships by family, marriage, or domestic partnership will constitute neither an advantage nor a disadvantage to selection, promotion, salary level, or other conditions of employment. If the special talents, background, or training of the relative would be in the overall interest of ECAS or Emory, the Department Chair or Unit Head may request an exception to this policy by the Senior Associate Dean for Faculty and the VP of Human Resources must approve this this arrangement (Emory University Policy 4.11, Employment of Relatives).

#### **L. Summer**

During the 3-month summer period, most ECAS faculty members are not compensated by ECAS and may devote their time at their discretion. If they elect to engage in research and are able to compensate themselves from a federal grant, they may be compensated for up to 95% effort for up to 3 months — where each month's salary is calculated by using the percentage of effort and 1/9 of the AY salary. Normally the AY runs from approximately August 15 to approximately May 15 but is charging salary to grants for summer effort, salary should be requested for entire calendar months of June, July, and August.