Emory University
Atlanta, Georgia

Compliance Audit Report

Prepared for

The Commission on Colleges
Southern Association of Colleges and Schools

February 2003

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Introduction

In June 2000, Emory University began the process of reaffirming its accreditation with the Southern Association of Colleges and Schools (SACS). After examining carefully the two options available for structuring the self-study, Emory chose the alternative approach, primarily because it offered us the opportunity to study an issue critical to the University and to embark on a planning process that would help us to identify crucial directions for the future. After much discussion within the University community—faculty, deans, administrators—Emory decided to focus its study on the research mission of the University. We had completed a comprehensive study of the teaching mission just a few years earlier, and the community felt it was time to give equal attention to research.[1] We submitted to SACS a proposal suggesting this topic in October 2000, and the proposal was approved by the Commission on Colleges Alternative Self-Study Committee in November 2000.

In Spring 2001, we began organizing to carry out the work of both the compliance audit and the strategic self-study. The strategic self-study was carried out by the Research at Emory Commission, a group of 29 faculty members, six administrators and several graduate students. The commission divided into four subgroups, each focusing on a single aspect of the research mission, and an executive committee, meant to oversee the project as a whole. The Commission gathered information in a variety of ways—through surveys, town-hall meetings open to all faculty, focus groups, comparisons with peer institutions, and examinations of services and facilities. This team began their work during Fall 2001 and completed a preliminary report in October 2002. The Commission plans to take the suggestions they gather from the consultants visiting Emory as part of

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[1] For a complete description of the process and the project as originally formulated, please see the proposal included as Attachment A in this report.

the SACS reaccreditation process and incorporate them into a final report they will present to the University community in Spring 2003.[2]

Because administrators have at their fingertips the information necessary to complete the compliance audit, the compliance team comprised primarily administrators—associate deans, vice presidents and program directors—with the able assistance of several graduate students. This team worked long and hard pulling together the enormous amount of material necessary to complete the report fully and accurately.[3]

Most of the material and information contained in this report was gathered during the summer and fall of 2001. Thus, the data refer primarily to the 2001-02 academic year. If significant changes were made after that time, particularly changes that relate specifically to one or more of the SACS criteria, then those changes have been noted in the report. For example, the Board of Trustees approved an updated University Mission statement in summer 2002, and we refer to that mission statement in this report. Other than those kinds of changes, however, the report remains a kind of snapshot of 2001-02.

After all material had been gathered, edited, and organized into a readable form, the document was sent to a review committee consisting of faculty members and administrators from across the University who are extremely knowledgeable about the University but who did not participate in the original writing of the report. This team reviewed the document for accuracy and completeness. Their suggestions were incorporated into the final report that you see here.[4]

Both the Compliance Audit Report and the Report of the Commission on Research at Emory have been shared with the University community. For example, team leaders made presentations at the November 2002 meeting of the University Senate, encouraging discussion from Senate members who represent students, faculty, and staff. Information about the reports is also available on the web, and any community member who has comments or suggestions is welcome to share them with committee members. We do not expect, however, discussion of these very important topics to end with the visit by the SACS team; rather, we anticipate that these reports will form the basis for discussion and planning at Emory University for years to come.

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[2] For a list of commission members and a description of the subcommittees, please see the Report of the Commission on Research at Emory.
[3] For a list of members of the compliance audit team, see Attachment B in this report.
[4] Again, see Attachment B for a list of review team members.

The Emory Context—An Overview

Emory University, one of the South's finest research universities, is located on a beautiful, wooded 631-acre campus approximately six miles east of downtown Atlanta, Georgia. Beginning in 1836 as a small and struggling college for Southern men, Emory has grown into a thriving university serving 11,443 students, men and women of all races who come from all over the world. Consistently ranking among the top twenty universities nationally, Emory offers its students both a broad and rigorous liberal arts education and expert instruction in specialized fields.

Emory currently enrolls approximately 6400 students in undergraduate programs and 5000 students in graduate and professional programs. The student body represents a great deal of diversity: nearly 55% are female, 25.1% belong to ethnic or racial minority groups, and approximately 600 are international students from more than 100 countries. These students are educated through nine schools and colleges. Two schools—Emory College and Oxford College—serve only undergraduate students. Two—the Nell Hodgson Woodruff School of Nursing and the Goizueta Business School—educate both undergraduate and graduate students. The remaining five schools—the Graduate School of Arts and Sciences, the Candler School of Theology, the School of Law, the School of Medicine, and the Rollins School of Public Health—work only with graduate and/or professional students.

Emory University, with its nine schools and 11,000 students, had rather humble beginnings.[5] In 1836, the Georgia state legislature granted a charter to a group of Methodists to found a college to be named after recently-deceased Methodist Bishop John Emory. Construction of the college buildings began in Oxford, Georgia in 1838, and Emory admitted its first class of fifteen students in September 1838. The college graduated its first students in 1841 having provided them a course of study that included classical languages, mathematics, the sciences, philosophy and Bible studies. During this period, Emory struggled to find its identity, focusing at various times on manual labor, professional studies or classical education.

During the next several years, Emory continued to develop and prosper, becoming the place of classical education and spiritual growth its founders had envisioned. The college seemed poised for success. In 1861, however, the state of Georgia voted to secede from the Union, and with most of its students and potential students preparing to go to war, Emory College's Board of Trustees voted to close the college for the duration of the Civil War.

Emory reopened in 1866 with twenty students and three professors, and once again, set off on a path of expansion. During the next fifty years, Emory raised its academic

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[5] Much of the historical information provided in this section is derived from Gary S. Hauk, *A Legacy of Heart and Mind: Emory Since 1836*. (Atlanta, GA: Emory University, 1999).

standards and expanded its programmatic offerings, adding a bachelor of philosophy program, a master of arts degree, and education in various professional skills. The college also expanded both its student body and its facilities; during this period, the student body grew to more than 300 students, and the college constructed many of the buildings still in use at Oxford College today.

At the turn of the century, Emory began its long association with the Candler family and the Coca-Cola corporation. In 1888, Warren Akin Candler became the tenth president of Emory College; at the same time, his brother Asa Griggs Candler formed Coca-Cola Company. Warren Candler was a visionary leader who fostered Emory's first four-year degree programs as well as establishing the college's first formal departments of law and theology. Furthermore, he was an excellent financial manager, and under his guidance, Emory became debt-free for the first time in its history.

The Candler brothers' association with Emory continued over the next several decades. Asa Candler joined the Board of Trustees in 1899 and became chair of the Board in 1909. More importantly, perhaps, Candler enabled the move of Emory from Oxford to Atlanta in 1915. Not only did Candler use his significant influence to persuade the Methodist Episcopal Church to establish a university east of the Mississippi, he also pledged one million dollars and seventy-five acres of land east of Atlanta for the purpose of founding that university. Construction of University buildings and the creation of the School of Theology and School of Law began within a year, and by 1919, Emory College had merged with Atlanta Medical School (which became Emory's School of Medicine) and moved to the new Atlanta campus. Shortly thereafter, the newly created Emory University founded its Graduate School and School of Business Administration. Thus began a period of enormous growth, fueled in part by Asa Candler's generous gifts to the University (a total of $8 million) and by the expansion of the student body to more than 1500 by the late 1930s.

Although the Great Depression and World War II slowed Emory's growth, the University was still able to acquire Crawford Long Memorial Hospital, to offer its first collegiate program in nursing, and to begin its long association with the Centers for Disease Control. After the war, Emory, like universities throughout the nation, experienced rapid change. Enrollments exploded, the faculty and facilities grew enormously, and the University began to place a greater emphasis on research. During this post-war period, Emory University established its first doctoral programs in chemistry, biochemistry, English, history, philosophy, political science, and psychology. The University also launched its commitment to high-quality interdisciplinary education, founding both the Graduate Institute of the Liberal Arts and the Division of Basic Health Sciences (now encompassed in the Graduate Division of Biological and Biomedical Sciences) in the 1950s.

Emory changed in a number of other ways as well during this period. Although the University had unofficially enrolled a few women in each of its schools over its history,

in 1953, after the Board of Trustees voted to admit women, Emory welcomed its first official female students. The decision to admit African-American students was more problematic, less because of attitudes at Emory than because of state law. In 1961, the state of Georgia reversed the law requiring segregation of public schools; it did not, however, address private education. In fact, the state required that private schools remain segregated or give up their tax exemption status on both endowment income and payment of sales tax. When the first black student applied to Emory in 1962, the Emory Board decided to take its case to court. Following unfavorable decisions by lower courts, Henry Bowden, then chair of Emory's Board, argued the case before the Georgia Supreme Court and won. As a result, Emory graduated its first African-American student in 1963. Soon women and African-Americans joined the faculty, and Emory took its first steps toward the diversity it shows today.

As this history demonstrates, Emory's watchword over many years has been "change," and in 1979, the University received a gift that changed it utterly and permanently. In that year, Robert Woodruff, long-time chairman of the Coca-Cola Company, and his brother, George, gave to Emory the Emily and Ernest Woodruff Fund, comprising $105 million in Coca-Cola stock. Of course, "the gift," as it has come to be known on the Emory campus, enabled Emory to make great strides in programs, in personnel, and in facilities. Almost immediately, the University was able to recruit faculty to fill a number of named professorships, to grant scholarships and fellowships to undergraduate and graduate students, to improve a number of graduate and undergraduate programs, and to build a new gym and an addition to the student center. James Laney, then president of the University, also set out a series of goals for the future, goals meant to bring Emory University into the top tier of research universities nationwide.

Emory has in large measure met those goals. We have recruited excellent new faculty to join the already distinguished professors who have been at Emory for years, and we have attracted some of the finest students in the state and the country. These professors and students have the opportunity to participate in a number of new research initiatives, such as the Center for Behavioral Neuroscience, which brings together scientists not only from several disciplines, but also from several area universities, to define the neurobiological control of social behaviors, or the Center for the Interdisciplinary Study of Religion, formed in fall 2000, which includes scholars from all divisions of the College as well as from the professional schools and which stimulates and supports advanced research and education on religious themes. In addition, we have initiated several new degree programs, including doctoral programs in business, nursing, and physical therapy and a joint degree in biomedical engineering with the Georgia Institute of Technology.

One of Emory's new centers strengthens the University's already strong ties to the Atlanta community. The Office of University-Community Partnerships (OUCP), established in January 2000, is designed to enhance the integration of Emory's teaching, research, and service missions with an emphasis on serving the greater Atlanta area. OUCP helps to fulfill Emory's "commitment to use knowledge to improve human well-

being"[6] through its partnerships with a number of community outreach groups, including the Institute of Reading Development; the Emory University Adolescent Development Program, which is conducting research on the development of youth with adjustment problems; and Kenneth Cole Fellowship in Community Building and Social Change, a program to foster in a new generation of leaders the knowledge, tools, and experience needed to build stronger communities and enact social change.

In its partnership with The Carter Center, Emory University brings its mission of community service to an international audience. The Carter Center, led by Nobel Laureate Jimmy Carter, is guided by a fundamental commitment to human rights and the alleviation of human suffering; it seeks to prevent and resolve conflicts, enhance freedom and democracy, and improve health. Emory faculty and students work with both of these centers, bringing renowned scholarship to the broader community.

Our work in all of these areas has been acknowledged nationally. In the past decade, Emory's Graduate Division of Religion has been recognized as one of the top five programs in the country. The schools of law, medicine, and business have moved into the top twenty-five such schools in America according to *U.S. News & World Report*, and the magazine ranked Emory University hospitals among the top ten in the nation. In 1994, Emory was invited to join the Association of American Universities, a group of prestigious research universities. This membership is perhaps the clearest indication that Emory has become the stellar academic institution Laney envisioned in 1979.

Since the last SACS visit in 1993, Emory has changed in many other ways as well. We are currently in the final phases of a major building program, and in the past decade, we have completed a number of new buildings, including the Donna and Marvin Schwartz Center for the Arts; the Miller-Ward Alumni Center; Cherry Logan Emerson Hall, which houses programs in the physical sciences; the Nell Hodgson Woodruff School of Nursing; and the Center for Library and Information Resources, an extension of the Woodruff Library that houses electronic and other resources. Two of Emory's new buildings—Whitehead Research Building and Math & Computer Science—have attained Leadership in Energy and Environmental Design (LEED) certification through the U.S. Green Building Council.

The greatest measure of Emory's success, however, is not in its many fine facilities and programs, but rather in the quality of its students and faculty. Emory's faculty includes a number of distinguished scholars. Just a few examples: Frances Smith Foster, Charles Howard Candler Professor of English and Women's Studies, is a pioneer in the field of early American literary history by and about African-Americans. She has written numerous books on the subject, including *Witnessing Slavery: The Development of Antebellum Slave Narratives*. Claire Sterk, recently named Charles Howard Candler Chair of Public Health, works on issues of substance abuse and mental health. She also

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[6] Emory University Mission Statement, May 2002.

served as a member of the team that investigated the syphilis outbreak in Georgia's Rockdale County and was interviewed for "The Lost Children of Rockdale County," a program that aired on PBS's *Frontline* in October 1999. Anil Menon, Associate Professor of Marketing, along with colleague Sundar Bharadwaj, recently received the prestigious Marketing Science Institute H. Paul Root Award, for work on what makes marketing strategies successful. Frans de Waal, director of the Living Links Center, has helped to change the way we think of the relationship between primates and humans. His most recent work has focused on morality and culture in the primate world. And Mikhail Epstein, Samuel Candler Dobbs Professor of Cultural Theory and Russian Literature, is a scholar who defies easy categorization. His fourteen books have focused on Russian philosophy, literature, linguistics, and cultural studies.[7]

Not surprisingly, with such a stellar faculty, Emory also attracts outstanding students. Again, only a few examples: Tom Shane ('02C), who came to Emory from New Berlin, Wisconsin, was a pre-med major, an All-American swimmer, and a volunteer—he spent a summer in South Korea working on a Habitat for Humanity project led by former President Jimmy Carter. After graduating with a 4.0 GPA, earning Emory's highest student honor, and winning one of just twenty-nine NCAA postgraduate scholarships, Shane went on to study medicine at Washington University. During her time at Emory, Danielle Sered ('00C) studied contemporary Irish literature with a focus on Irish women poets, founded ArtsReach, a program that uses the arts to educate teens on conflict resolution and prejudice reduction, and served as president of the Stipe Society, a creative scholarship honor society. Sered's dedication and hard work brought her recognition on a national as well as local level—she was selected as one of only thirty-two Rhodes Scholars nationally, named to the *USA Today* twenty-member All-USA College Academic First Team, and won Emory's prestigious Lucius Lamar McMullan award. Amos Jones, ('00C) a Woodruff scholar who studied political science and African-American studies, also was named to the *USA Today* team primarily because of his research on the "unsung legacies" among the black church community in Lexington, Kentucky (his home town). Jones was also recognized with scholarships from the Harry S. Truman Scholarship Foundation, the Knight-Ridder Newspapers, and the National Merit program.

As this overview demonstrates, Emory University has made great strides towards becoming the great university it aspires to be. We have an excellent research faculty who strive to create new knowledge through their scholarship, outstanding students who take what they have learned at Emory into the community at large, and first-rate facilities to support these efforts. Of course, we still have work to do. We must pull these elements—faculty, students, facilities, knowledge—together to fulfill to the utmost our mission: "to create, preserve, teach, and apply knowledge in the service of humanity."[8]

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[7] For more information about Emory scholars, please see the "Great Scholars/Great Work" website at: http://www.emory.edu/PRESIDENT/StrategicDevelopment/faculty_research/
[8] Emory University Mission Statement, May 2002.

This document, prepared to demonstrate Emory University's compliance with the criteria for reaffirmation of accreditation as set forth by the Southern Association of Colleges and Schools, speaks to both our strengths and our weaknesses. Together with the report of the Commission on Research at Emory, also completed in partial fulfillment of SACS requirements, this report sets the stage for Emory's future: the two reports begin to lay out the paths we must follow to create the kind of academic community this University aspires to become.

Using this Document

The pages that follow demonstrate Emory University's compliance with the Commission on Colleges' *1998 Criteria for Accreditation*. We have organized the document as an audit, rather than as a narrative. Thus, the document is divided by related groups of "must" statements and refers constantly to the *Criteria* booklet: each subsection is headed with the title and section number referenced in the booklet. We then state the page and line numbers from the booklet that we are referring to and restate the "must" statements. After that, we indicate our compliance status and provide a list of documents that demonstrate that compliance. Finally, we include a short discussion section that analyzes our compliance status.

As mentioned earlier, the information analyzed in the discussion sections was collected during the summer and fall of 2001. While some of this information may have changed slightly since that time (the number of students may be slightly different, for example), we are certain that these changes are insignificant and do not change the substance of our discussion. When there have been more substantive changes (updating the University mission statement, for example), those changes are reflected in the report. Nonetheless, the report provides for the most part a picture of Emory University as it was in during the 2001-02 academic year.

Throughout the discussion sections, we begin by analyzing the University as a whole and its compliance with the given "must" statements. In other words, we first focus on the central administration and functions of the University. When particular schools or divisions differ from the central procedures in any way—because they have modified them to fit a particular situation or because they have added policies or procedures to enhance central processes, we then describe those differences. Therefore, in some sections, only central processes will be described; other sections will describe central functions as well as the procedures of the one or two schools that differ. When each school or division has developed its own procedures, each of them is described. The evidence list included in each section reflects this structure.

Emory University's School of Medicine considers its M.D. program an undergraduate program; it reserves the title of graduate program for its Ph.D. and D.P.T. programs. This document reflects that understanding. Thus, the M.D. program is discussed in subsection 4.2: Undergraduate Program. Information about the Ph.D. and D.P.T. programs are discussed in subsection 4.3: Graduate Program.

Throughout the document, you will find web addresses that are hyperlinked in this document—some in the paragraphs that list evidence, some in the discussion sections themselves. If you are using the CD version of the report and are linked to the Internet, you will be able to click on the links (indicated by blue type and underlines), and go directly to the document referenced. This will allow you to examine some of the

documents from any computer, whether on the Emory campus or elsewhere, that is tied to the Internet.

Those documents that are not available on-line are all available in the two workrooms in Atlanta—the Jones Room in the Woodruff Library on the Emory campus and the Basswood Room of the Emory Conference Center Hotel. Confidential evidence is housed in the appropriate University office—the location is stated in parentheses following the document name. Each piece of evidence that is not confidential has been given either a number or a letter (found in brackets following the document name). Those documents that are numbered are used only a few times and stored in numerical order in the file boxes in the work rooms. Those documents given letters (Appendices A – Z) are stored in alphabetical order on the bookshelf in each work room. If you have trouble finding a piece of evidence or if you require a document not listed here, please contact the staff member on duty in the work room, and he or she will find it for you.

Following the report itself, you will find a series of attachments. These attachments contain information such as the University Table of Organization, lists of those who participated in the compliance audit process, our original proposal sent to SACS in October 2000, and lists of the evidence we have provided. Evidence lists are presented in three ways: first you will find a numerical list of all evidence; second, you will find an alphabetical list of the evidence. Finally, we provide a list of evidence located in areas outside the workrooms (faculty files in deans' offices, for example). We hope that these lists will help you find and manage this enormous amount of information.

Section I:
Principles and Philosophy of Accreditation

The Southern Association of Colleges and Schools asks that each member institution participate seriously in accreditation activities, including participation in SACS decision-making processes, adherence to all SACS policies and procedures, and completion of the decennial reaffirmation of accreditation self-study. As the following pages will show, Emory University participates actively in all SACS activities. Emory personnel have participated in SACS by attending annual conferences and special meetings of the Commission on Colleges, by serving on reaffirmation visiting teams, and by reporting any substantive institutional change to SACS.

As this section demonstrates, Emory complies with SACS criteria regarding the principles and philosophy of accreditation. We are committed to the search for and distribution of knowledge; we have in place procedures for addressing written student complaints; we have no separately accredited units. Furthermore, the University satisfies the thirteen Conditions of Eligibility set forth by the Commission on Colleges.

We are in only partial compliance, however, in one area: Section 1.6, Representation of Status. Although most University publications, including the University web site, the University Faculty Handbook and the Emory College catalog, report our association with SACS correctly, other school catalogs have omitted the statement or reported incomplete information. We have addressed these problems with the staff members responsible for catalog production, and they will be corrected in future editions.

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Section Number/Title: I. Principles and Philosophy of Accreditation

Subsection Number/Title: 1.1 Institutional Commitment and
                                   Responsibilities in the Accreditation Process

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Subsection Reference Number:

Line Reference Number(s):   Page 5: 1-16

Requirement: An institution is **required** to conduct a self-study at the interval
                     specified by the Commission and, at the conclusion of the self-study,
                     accept an honest and forthright peer assessment of institutional
                     strengths and weaknesses. The Commission **requires** that the self-
                     study assess every aspect of the institution; involve personnel from
                     all segments of the institution, including faculty, staff, students,
                     administration and governing boards; and provide a comprehensive
                     analysis of the institution, identifying strengths and weaknesses. In
                     addition, the Commission **requires** an adequate institutional follow-
                     up plan to address issues identified in the self-study.

Status: **In compliance**

Evidence: Research at Emory Report 2003 [1]; Emory University Compliance
                     Audit 2003 [2]; Roush Letter dated 11/1/00 [3]

Discussion: Emory University has conducted a self-study every ten years, as
                     required by the Commission on Colleges. Our last self-study,
                     conducted in 1993, resulted in eleven recommendations, and as the
                     current report will show, we have acted on all of those
                     recommendations.

                     In October 2000, Emory University requested permission from the
                     Commission on Colleges to undertake an Alternative Model Self-
                     Study. Since receiving permission in November 2000 (see letter
                     from John Roush dated 11/1/00), we have engaged in a rigorous self-
                     study that involves personnel from all areas of the University and
                     that analyzes all aspects of the University. The self-study documents
                     include plans to address any weaknesses we have identified during
                     this process.

Section Number/Title: I. Principles and Philosophy of
Accreditation

Subsection Number/Title: 1.1 Institutional Commitment and
Responsibilities in the Accreditation Process

Subsection Reference Number:

Line Reference Number(s):   Page 5: 17-25

Requirement: An institution **must** be committed to participation in the activities
and decisions of the Commission. This commitment includes a
willingness to participate in the decision-making processes of the
Commission and adherence to all policies and procedures, including
those for reporting changes within the institution. Only if institutions
accept seriously the responsibilities of membership will the validity
and vitality of the accreditation process be ensured.

Status: **In compliance**

Evidence: None necessary

Discussion: Emory University is committed to participation in the activities of
the Commission. Over the past several years, Emory personnel have
attended both annual and special meetings of the Commission, and
several members of the Emory community have served on
reaffirmation teams, including Harriet King, Senior Vice Provost for
Academic Affairs; Charlotte Johnson, Senior Vice Provost for
Administration; Susan Frost, Vice President for Strategic
Development; and Russell Richey, Dean, Candler School of
Theology.

In addition, Emory University adheres to all policies and procedures
of the Commission and reports all substantive institutional changes
to the Commission (see Section 1.2 for more information about
reported changes).

Section Number/Title:	I. Principles and Philosophy of Accreditation
Subsection Number/Title:	1.1 Institutional Commitment and Responsibilities in the Accreditation Process

Subsection Reference Number:

Line Reference Number(s):   Page 5: 26-32

Requirement: An institution of higher education **is committed** to the search for knowledge and its dissemination. Integrity in the pursuit of knowledge **is expected** to govern the total environment of an institution. Each member institution **is responsible** for ensuring integrity in all operations dealing with its constituencies, in its relations with other member institutions, and in its accreditation activities with the Commission on Colleges.

Status: **In compliance**

Evidence: Emory University Mission Statement [4]; Guidelines for the Responsible Conduct of Scholarship and Research [5]; Policies and Procedures for Faculty Members Involved in Sponsored Research and Technology Transfer [6]; Statement of Principles Governing Faculty Relationships (Gray Book) [Appendix C]; Policy on Consensual Teacher-Student Relationships [7]; Policy on Consulting, Teaching and Other Services Outside the University [8]; Compliance Audit Instruction Manual [9]

Discussion: As our mission statement indicates, Emory University is committed to the search for and distribution of knowledge. We require integrity of every member of the University community and in all aspects of University business. We have a number of policies in place to ensure integrity, including policies governing research, teaching, and relationships with students and with other institutions. In addition, as the Compliance Audit Instruction Manual indicates, we require integrity in all accreditation activities with the Commission on Colleges.

Section Number/Title: I. Principles and Philosophy of Accreditation

Subsection Number/Title: 1.1 Institutional Commitment and
                                             Responsibilities in the Accreditation Process

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Subsection Reference Number:

Line Reference Number(s):   Page 5: 33-34
                                             Page 6: 1-12

Requirement: Each institution **must** provide the Commission access to all parts of
                     its operation and to complete and accurate information about the
                     institution's affairs, including reports of other accrediting, licensing
                     and auditing agencies. In the spirit of collegiality, institutions **are
                     expected** to cooperate fully during all aspects of the process of
                     evaluation: preparations for site visits, the site visit itself, and the
                     follow up to the site visit. Institutions **are also expected** to provide
                     the Commission or its representatives with information requested
                     and to maintain an atmosphere of openness and cooperation during
                     evaluations, enabling evaluators to perform their duties with
                     maximum efficiency and effectiveness.

Status: **In compliance**

Evidence: Memos on Accreditation Process to Deans and Administrators [10]

Discussion: Each division and school of Emory University has been involved in
                     the self-study process. Each unit is aware of the reaffirmation visit
                     and will cooperate fully with the visitors and with all follow-up
                     activities. Each unit will also provide any information requested by
                     the visitors.

Section Number/Title: I. Principles and Philosophy of Accreditation

Subsection Number/Title: 1.1 Institutional Commitment and Responsibilities in the Accreditation Process

Subsection Reference Number:

Line Reference Number(s): Page 6: 22-25

Requirement: Each institution seeking candidacy, membership or reaffirmation with the Commission on Colleges **must** document its compliance with the Conditions of Eligibility as outlined in Section 1.4.

Status: **In compliance**

Evidence: None necessary

Discussion: See Section 1.4 below.

Section Number/Title: I. Principles and Philosophy of Accreditation

Subsection Number/Title: 1.2 Application of the Criteria

Subsection Reference Number:

Line Reference Number(s):   Page 7: 4-14

Requirement: An institution **must** refrain from making a substantive change, defined as a significant modification in the nature or scope of an institution or its programs, except in accordance with the Commission's "Substantive Change Policy for Accredited Institutions" and its attendant procedures. All existing or planned activities **must** be reported according to the policies, procedures and guidelines of the Commission on Colleges and **must** be in compliance with the Criteria. If an institution fails to follow the procedures outlined in the above policy, its total accreditation will be placed in jeopardy.

Status: **In compliance**

Evidence: Letters dated May 21, 1998, September 26, 2001, and October 8, 2002 from Harriet King, J.D., Senior Vice Provost, Academic Affairs, to Southern Association of Colleges and Schools [11]

Discussion: In the past ten years, the Board of Trustees of Emory University has approved three new degree programs. The Ph.D. program in the School of Nursing was approved in 1998 and began accepting students in Fall 1999. The Board approved both the Ph.D. program in the School of Business and the Doctor of Physical Therapy program in the School of Medicine in September 2001. Both programs are currently accepting students. In addition, the School of Medicine has added the following programs that fall under the definition of substantive change: Joint Department of Biomedical Engineering with the Georgia Institute of Technology and Doctor of Philosophy in Biomedical Engineering. In each case, the University followed the Commission on Colleges' "Substantive Change Policy for Accredited Institutions," and each change was reported to the Commission on Colleges.

Section Number/Title:	I. Principles and Philosophy of Accreditation
Subsection Number/Title:	1.2 Application of the Criteria

Subsection Reference Number:

Line Reference Number(s):   Page 7: 31-32

Requirement: Each institution **must** have adequate procedures for addressing written student complaints.

Status: **In compliance**

Evidence: Campus Life Memo on Procedures for Addressing Student Complaints dated 5-1-02 [12]; Campus Life Handbook [13]; Oxford College Catalog 2001-2002 [Appendix D]; School of Medicine Academic Planner and Medical Student Handbook for 2001-2002 [Appendix U]

Discussion: Written and verbal complaints are often received from students regarding various topics and issues on campus. Typically, these come to the attention of Campus Life administrators, who contact the director or professional who advises the area in question. In most situations, the central staff will handle the complaint in collaboration with other Campus Life or university officials and respond to the student as soon as possible. Many times deans and directors receive complaints directly and, when appropriate, notify the central staff accordingly.

Some complaints (including discriminatory harassment and sexual assault) may require the involvement of the Office of Student Conduct and/or the Office of Equal Opportunity Programs. Policies relating to these concerns are outlined in the Campus Life Handbook.

In addition, individual schools, such as Oxford College and the School of Medicine, have policies that supplement the University-wide policy. In all cases, the procedures for addressing written

student complaints are spelled out in documents readily available to students.

Section Number/Title: I. Principles and Philosophy of Accreditation

Subsection Number/Title: 1.3 Separately Accredited Units

Subsection Reference Number:

Line Reference Number(s):   Page 8: 22-32

Requirement: A unit is **required** to apply for separate accreditation or to maintain separate membership if, in the judgment of the Commission, the unit exercises this level of autonomy.

If an institution seeks separately accredited status for one of its units, it **must** notify the Executive Director of the Commission on Colleges of its intent and follow procedures established by the Commission. In all cases, the Commission on Colleges reserves the right to determine the accreditation status of separate units of an institution.

Status: **N/A**

Evidence: None necessary

Discussion: The Commission on Colleges of the Southern Association of Colleges and Schools accredits all units of Emory University.

Section Number/Title:	I. Principles and Philosophy of Accreditation
Subsection Number/Title:	1.4 Conditions of Eligibility

Subsection Reference Number:	1.4 (Condition #1)
Line Reference Number(s):	Page 9: 21-38

Requirement:

1. In obtaining or maintaining accreditation with the Commission on Colleges, an institution **agrees** to the following:
    a. That it will comply with the *Criteria for Accreditation* of the College Delegate Assembly consistent with the policies and procedures of the Commission on Colleges.
    b. That the Commission on Colleges, at its discretion, may make known to any agency or member of the public requiring such information, the nature of any action, positive or negative, regarding the institution's status with the Commission.
    c. That it will comply with Commission requests, directives, decisions and policies, and will make complete, accurate and honest disclosure. Failure to do so is sufficient reason, in and of itself, for the Commission to impose a sanction, or to deny or revoke candidacy or accreditation.

Status: **In compliance**

Evidence: None necessary

Discussion: Emory University agrees to comply with the *Criteria for Accreditation* as published by the Commission on Colleges. In addition, the University agrees to comply with any requirements, directives, decisions, or policies the Commission on Colleges may make in regard to the University.

Section Number/Title: I. Principles and Philosophy of Accreditation

Subsection Number/Title: 1.4 Conditions of Eligibility

Subsection Reference Number: 1.4 (Condition #2)

Line Reference Number(s): Page 10: 1-4

Requirement: The institution **must** have formal authority from an appropriate government agency or agencies located within the geographic jurisdiction of the Southern Association of Colleges and Schools to award degrees.

Status: **In compliance**

Evidence: University Charter [14]; Charter and Bylaws of Atlanta Medical College (1913) [15]

Discussion: Emory University has been given formal authority to award degrees by the State of Georgia. The charter was originally granted on January 25, 1915, and restated on November 12, 1987, pursuant to Section 14-3-155 of the Georgia Non-Profit Corporation Code.

Section Number/Title:	I. Principles and Philosophy of Accreditation
Subsection Number/Title:	1.4 Conditions of Eligibility

Subsection Reference Number:	1.4 (Condition #3)
Line Reference Number(s):	10: 5-41; 11: 1-14

Requirement: The institution **must** have a governing board of at least five members, which has the authority and duty to ensure that the mission of the institution is implemented. The governing board **is** the legal body **responsible** for the institution. Evidence **must** be provided that the board is an active policy-making body for the institution. The board is ultimately responsible for ensuring that the financial resources of the institution are used to provide a sound educational program. The board **must** not be controlled by a minority of board members or by organizations or interests separate from the board. The presiding officer of the board **must** have no contractual, employment, or personal or familial financial interest in the institution. The majority of other voting members of the board **must** have no contractual, employment, or personal or familial financial interest in the institution.

The bylaws of the board or other legal documents **must** ensure appropriate continuity in the board membership, usually by staggered terms of adequate length. The bylaws or other legal documents **must** ensure the independence of the board. Amendment of the bylaws **must** occur only by vote of the board after reasonable deliberation.

Status: **In compliance**

Evidence: University Charter [14]; Bylaws of Emory University [17]; Board Member Biographies [18]; Board of Trustees Meeting Minutes (housed in the Office of the Secretary of the University)

Discussion: The governing board of Emory University, known as the Board of Trustees (BOT or Board), consists of thirty-six members and is

currently chaired by Mr. Ben F. Johnson III. The authority of the board is specified in the Charter of Emory University, which establishes the Board as the decision-making body of the University and gives it authority over all important aspects of University governance, including real property, endowment, all contracts, and student discipline (see Articles 5 and 11). The Board also has the power and authority to provide all educational programs and to prescribe all courses of study (Articles 12 and 14).

The BOT meets regularly to attend to pressing policy matters. Their work is conducted through a number of standing committees, including Executive Committee; Investment Committee; Real Estate, Buildings, and Grounds Committee; Finance Committee; Audit Committee; Robert W. Woodruff Health Sciences Board; Academic Affairs Committee; Campus Life Committee; and Committee on Governance, Trusteeship, and Nominations. The specific responsibilities of each committee are outlined in the Bylaws of Emory University, Article II, Section 3.

Neither the Chair of the Board nor any Board members have a contractual, employment, or financial interest in Emory University. The BOT has adopted a Conflict of Interest statement as specified in Article IX of the Bylaws.

The Charter of Emory University assures the continuation of the Board through the use of staggered eight-year terms (Article 6).

Bylaws of the institution can be amended only by a majority of the BOT as specified by Article VIII, Section 1.

Section Number/Title:	I. Principles and Philosophy of Accreditation
Subsection Number/Title:	1.4 Conditions of Eligibility

Subsection Reference Number:	1.4 (Condition #4)
Line Reference Number(s):	11: 15-18

Requirement: The institution **must** have a chief executive officer whose primary responsibility is to the institution. The chief executive officer **must** not be the presiding officer of the board.

Status: **In compliance**

Evidence: Bylaws of Emory University [17]; Dr. Chace's Curriculum Vitae [19]

Discussion: Dr. William Chace serves as the President and Chief Executive Officer of Emory University. (Dr. Chace does not serve as the Chair of the Board of Trustees.) The responsibilities of the President are outlined in the Bylaws of Emory University, Article III. Section 1.

Section Number/Title: I. Principles and Philosophy of Accreditation

Subsection Number/Title: 1.4 Conditions of Eligibility

Subsection Reference Number: 1.4 (Condition #5)

Line Reference Number(s):   Page 11: 19-21

Requirement: The institution **must** be in operation and have students enrolled in degree programs at the time of the committee visit.

Status: **In compliance**

Evidence: None necessary

Discussion: During the Spring 2002 semester, Emory University enrolled 11,049 students in its nine schools and colleges.

Section Number/Title: I. Principles and Philosophy of Accreditation

Subsection Number/Title: 1.4 Conditions of Eligibility

    Subsection Reference Number: 1.4 (Condition #6)

    Line Reference Number(s):   Page 11: 22-41; Page 12: 1-2

Requirement: The institution **must** offer one or more degree programs based on at least two academic years at the associate level, at least four academic years at the baccalaureate level, or at least one academic year at the post-baccalaureate level. The institution may make arrangements for some instruction to be provided by other accredited institutions or entities through contracts or consortia. However, the institution itself **must** provide instruction for all coursework required for at least one degree program at each level at which it awards degrees. Any alternative approach to meeting this requirement **must** be approved by the Commission on Colleges. In all cases, the institution **must** be able to demonstrate that it evaluates all aspects of its educational program.

                The institution's degree programs **must** be compatible with its stated purpose and based upon fields of study appropriate to higher education. Institutions may experiment in developing and defining new fields of study but the Commission cannot evaluate for membership an institution that offers only programs which represent fields of study that are outside of the expertise of the Commission's accredited institutions.

Status: **In compliance**

Evidence: List of Degrees and Programs [20]; Catalogs of the Schools and Colleges [Appendices A, D, E, F, J, K, L]; Emory College Faculty on Regular Appointment, 2000-2001 [Appendix B]; Directors of Undergraduate Studies in Emory College, 2001-2002 [21]

Discussion: Emory University offers courses of study in more than 221 combinations of degree level and academic disciplines. Degrees are

awarded at the associate and baccalaureate level through the professional and doctoral level.

Table 1.4.6: Degrees Offered

Associate	2
Baccalaureate	81
Master's	83
Ph.D.	30
Professional	3
Post Master's (DAST)	1
Certificates	
Post Bac	20
Undergrad	1
Total	**221**

All program offerings are compatible with the published mission of the institution. Emory University regularly evaluates the effectiveness of its program offerings through a variety of techniques including specialized accreditation reviews, strategic planning, and program review. Most courses are also evaluated by students through evaluation forms provided by schools and/or departments.

Section Number/Title: I. Principles and Philosophy of Accreditation

Subsection Number/Title: 1.4 Conditions of Eligibility

      Subsection Reference Number: 1.4 (Condition #7)

      Line Reference Number(s):   Page 12: 3-5

Requirement: The institution **must** have a clearly defined, published statement of purpose appropriate to an institution of higher education.

Status: **In compliance**

Evidence: Emory University Mission Statement [4]; Minutes of April 2002 Meeting of the Board of Trustees (housed in the Office of the Secretary of the University)

Discussion: In its April 2002 meeting, Emory University's Board of Trustees reviewed and modified the institutional mission statement. The statement as revised will be included in all appropriate University publications and can be found in its entirety on the University web site (http://www.emory.edu/PRESIDENT/mission.html). Although the entire mission statement is too long to reproduce here, its basic premise is as follows:

"Emory University's mission is to create, preserve, teach and apply knowledge in the service of humanity."

This mission statement clearly reflects the purpose of higher education in general.

Section Number/Title:	I. Principles and Philosophy of Accreditation
Subsection Number/Title:	1.4 Conditions of Eligibility

Subsection Reference Number:	1.4 (Condition #8)
Line Reference Number(s):	Page 12: 6-11

Requirement: The institution **must** have an appropriate plan, as well as a functioning planning and evaluation process, which identifies and integrates projected educational, physical and financial development, and incorporates procedures for program review and institutional improvement.

Status: **In compliance**

Evidence: *Choices and Responsibility* [22]; *Emory Campus Master Plan* [23]; *Teaching at Emory* Report [24]; Summaries of the Strategic Plans of the Schools [25]; Emory College Principal Elements in Strategic Planning, 1997-2000 [26]; Law School Strategic Planning Committee from Emory 2000 to Emory 2010 [27]; Candler School of Theology Planning and Evaluation 2000-2002 [28]; Oxford College Strategic Priorities [29]; Goizueta Business School Goals and Plans: 1999-2003 [30]; Defining Our Future: The Research Strategic Plan for the Emory University School of Medicine 1997-2002 [31]; Defining Our Future: The Teaching and Education Strategic Plan for the Emory University School of Medicine 1998-2004 [32]; Nell Hodgson Woodruff School of Nursing – Future Directions [33]; Graduate School of Arts and Sciences Executive Summary of Strategic Initiatives [34]; Rollins School of Public Health (RSPH) Strategic Plan 1998-2003 [35]

Discussion: Both university-wide and unit-specific mechanisms have been developed to plan systematically for and evaluate educational programs or administrative units. University-wide, the central administration crafts the broad goals and priorities of the community and provides a structure for university planning and for evaluation of the schools and administrative units against the University goals.

Choices and Responsibility (1994) and the *Emory Campus Master Plan* (1997) are two examples of university-wide planning efforts.

However, the primary responsibility for planning and evaluating educational activities and administrative processes rests with the individual units. Each school is engaged in a systematic strategic planning process. When submitting their budget proposals, each academic and non-instructional unit must submit a comprehensive three-year plan that includes budgeted projections.

The coordination of the school plans is achieved through monthly planning meetings of the Council of Deans. Meetings typically focus on initiatives that would affect several schools, budget matters, allocation of indirect costs, and other issues of broad interest. In addition, since 1992 the provost has organized a series of planning retreats where each dean discusses the mission, short-term and long-term goals, and budgetary projections of his or her school and allows the deans to consider together the goals of the University. The process is designed to ensure that the University as a whole moves forward in a unified direction while maintaining flexibility and freedom for its schools to pursue their unique agendas.

To evaluate its programs, Emory relies on cyclical departmental and school reviews. For professional schools, some of the reviews are prompted by accreditation procedures in the field. Others are initiated by the schools themselves and typically represent the first stage in crafting a school-wide strategic plan. In addition, when a dean's position becomes vacant, the provost precedes the search process with a review of the mission, structures, and processes that define the school. Recognizing that objective peer evaluation is critical to ensuring excellence at a research university, these review processes are typically organized around visits from outside evaluators.

Over the last five years, each school has been involved in a comprehensive review of its mission, leadership, research, teaching, and service activities. Reviews of schools or of their deans took place as follows: School of Medicine (2002), School of Public Health (2001), Graduate School of Arts and Sciences (2000), School of Law (1999), School of Theology (1999), School of Nursing (1998), and Oxford College (1997).

When reviewing deans, schools use an internal committee of school faculty as well as an external group that includes the deans of other

prestigious schools. In addition to the internal and external review process, faculty and senior staff are invited to write confidential letters of review of the dean. The letters, surveys, and reports of the reviewers offer the provost an objective assessment of the dean's performance and the status of the school, and help set the future direction of the school.

In addition, over the last decade, all departments in Emory College have undertaken in-depth evaluations of their programs, which involved visits from outside evaluators. During their visits, evaluators are presented data about enrollments and research productivity and hold discussions with faculty, undergraduate and graduate students, the deans, and the department chair. Their report of findings is presented to the department chair, the provost, and the president, who then begin planning discussions about the future of the department.

Section Number/Title:	Section I. Principles and Philosophy of Accreditation
Subsection Number/Title:	1.4 Conditions of Eligibility

Subsection Reference Number:	1.4 (Condition #9)
Line Reference Number(s):	Page 12: 12-13

Requirement: The institution **must** have published admission policies compatible with its stated purpose.

Status: **In compliance**

Evidence: Catalogs of the Schools and Colleges [Appendices A, D, E, F, J, K, L]

Discussion: Emory University includes its admissions policies in a variety of publications as listed below. Each publication includes the policies and procedures appropriate for its audience. All admissions policies are consistent with the stated purpose of Emory University. For additional information pertaining to admissions policies, please see Sections 4.2.1 and 4.3.2.

Table 1.4.9: Admissions Policies

Catalog	Page Numbers
Emory College	188-294
Oxford College	65-67
Goizueta Business School B.B.A. Program	6-18
Goizueta Business School M.B.A. Program	43-46
N. H. Woodruff School of Nursing	8-11; 23-27
School of Medicine	18-20
Rollins School of Public Health	135-136
Candler School of Theology	103-114
School of Law	36-52
Graduate School of Arts and Sciences	6

Section Number/Title: I. Principles and Philosophy of Accreditation

Subsection Number/Title: 1.4 Conditions of Eligibility

      Subsection Reference Number: 1.4 (Condition #10)

      Line Reference Number(s):   Page 12: 14-27

Requirement: All undergraduate degree programs of the institution **must** include a substantial component of general education courses at the collegiate level. For degree completion in associate programs, the component **must** constitute a minimum of 15 semester hours or equivalent quarter hours and for baccalaureate programs, a minimum of 30 semester hours or equivalent quarter hours. The credit hours **must** be drawn from and include at least one course from each of the following areas: humanities/fine arts, social/behavioral sciences, and natural sciences/mathematics. The courses **must** be designed to ensure breadth of knowledge and **must** not be narrowly focused on those skills, techniques and procedures peculiar to a particular occupation or profession.

Status: **In compliance**

Evidence: Emory College Course Catalog 1999-2001 [Appendix A]; Emory College Faculty on Regular Appointment, 2000-2001 [Appendix B]; Directors of Undergraduate Studies in Emory College, 2001-2002 [21]; Oxford College Catalog 2001-2002 [Appendix D]; Allied Health Bulletin 2001-2003 (Degree requirements for the Bachelor of Medical Science Degree in Medical Imaging) [Appendix N]

Discussion: All associate and baccalaureate programs of Emory University include the required semester hours of general education courses. These requirements include courses in each of the areas listed in the criterion and are designed to ensure a breadth of knowledge.

      For more information on general education requirements, please see section 4.2.2.

Section Number/Title: I. Principles and Philosophy of Accreditation

Subsection Number/Title: 1.4 Conditions of Eligibility

       Subsection Reference Number: 1.4 (Condition #11)

       Line Reference Number(s):   Page 12: 28-35

Requirement: The number of full-time faculty members **must** be adequate to provide effective teaching, advising and scholarly or creative activity. In each major in a degree program, there **must** be at least one full-time faculty member with responsibility for supervision and coordination of the major. In those degree programs for which the institution does not identify a major, this requirement **applies** to a curricular area or concentration.

Status: **In compliance**

Evidence: Registrar's Records on Faculty-Student Ratios [36]; Emory College Course Catalog 1999-2001 [Appendix A]; Emory College Faculty on Regular Appointment, 2000-2001 [Appendix B]; Directors of Undergraduate Studies in Emory College, 2001-2002 [21]; Number of Medical School Faculty Members by Department and Rank (as of 8/31/01) [37]

Discussion: Faculty-student ratios provide one measure of "adequate faculty to provide effective teaching, advising, and scholarly activity or creative activity." During the past several years, Emory University's faculty-student ratios have improved considerably, as the table below illustrates:

Table 1.4.11: Faculty-Student Ratios

	Fall 1995	Fall 2000
Number of full-time teaching faculty	654	885
Number of student enrollments	16,547	17,792
Ratio	**25.3**	**20.1**

Average class size for lower-level Emory College classes has also improved considerably. In Fall 1995, the average class size was 30.1 students; by Fall 2000, it had fallen to 23.1 students.

Each degree program or concentration is supervised and coordinated by a full-time faculty member. For more information about faculty resources, please see sections 4.8.2.1, 4.8.2.2, 4.8.2.3, 4.8.3, and 4.8.9.

Section Number/Title:	I. Principles and Philosophy of Accreditation
Subsection Number/Title:	1.4 Conditions of Eligibility

Subsection Reference Number:	1.4 (Condition #12)
Line Reference Number(s):	Page 12: 36-40

Requirement: The institution **must** have sufficient learning resources or, through formal agreements or appropriate technology, ensure the provision of and ready access to adequate learning resources and services to support the courses, programs, and degrees offered.

Status: **In compliance**

Evidence: Emory University Libraries Web Site:
http://www.emory.edu/LIBRARIES [38]

Discussion: The Emory libraries comprise the General Libraries (Woodruff, Business, Chemistry, Music & Media, and Math/Science) as well as four specialized libraries (Health Sciences, Law, Theology and Oxford College). The libraries hold over 2.5 million volumes and subscribe to some 27,000 serials, an increasing number of which are in electronic format.

The library web site serves as a gateway for access to the print and electronic resources of the Emory libraries through EUCLID (our on-line catalog), GALILEO (electronic subject databases and other library catalogs) the Information Gateway (subject databases and other electronic resources), and electronic reserves. Using EUCLID and ILLiad, students and faculty may request items from other Emory libraries and other libraries in the United States.

Emory University is wired for web access from all living and workspaces, and all Emory students and faculty are eligible for Emory University web accounts.

For more information, please see sections 5.1, 5.2, and 5.3.

Section Number/Title:	I. Principles and Philosophy of Accreditation
Subsection Number/Title:	1.4 Conditions of Eligibility

Subsection Reference Number:	1.4 (Condition #13)
Line Reference Number(s):	Page 12: 41; Page 13: 1-5

Requirement: The institution **must** have an adequate financial base to accomplish its purpose at an acceptable level of quality on a continuing basis. The institution **must** provide financial statements and related documents (as specified in Section 6.3.6) which accurately and appropriately represent the total operation of the institution.

Status: **In compliance**

Evidence: Financial Statements and Auditor's Opinion (Multiple Years) [39]

Discussion: Emory University's assets exceed $6.8 billion dollars, and it has an annual operating budget of more than $1.7 billion dollars. As of August 31, 2001, Emory University had endowment, trust, and life income funds with a market value of $4.3 billion dollars.

For more information about financial resources, see section 6.3.

Section Number/Title:	I. Principles and Philosophy of Accreditation
Subsection Number/Title:	1.5 Initial Membership

Subsection Reference Number:

Line Reference Number(s):   Page 14: 1 – 9

Requirement: An institution seeking initial membership (accreditation), in addition to fulfilling requirements outlined in the *Criteria*, **must** document its compliance with all Conditions of Eligibility . . .

Status: **N/A**

Evidence: None necessary

Discussion: Emory University is not applying for initial membership.

Section Number/Title:	I. Principles and Philosophy of Accreditation
Subsection Number/Title:	1.6 Representation of Status

Subsection reference Number:

Line Reference Number(s):   Page 14: 10–19

Requirement: An institution **must** be accurate in reporting to the public its status and relationship with the Commission. In catalogs, brochures and advertisements a member institution **must** describe its relationship with the Commission **only** according to . . .

Status: **In partial compliance**

Evidence: Catalogs of the Colleges and Schools [Appendices A, D, E, G, J, K, L]; University Faculty Handbook [Appendix Z]; Emory University Visitors' Webpage: http://www.emory.edu/visitors/about.html [40]; Loudermilk E-mail to Associate Deans dated 11-1-01 [41]

Discussion: The required language describing Emory's relationship with the Commission on Colleges of the Southern Association of Colleges and Schools is reported on page five of the Emory College catalog (1999-2000), page six of the Candler School of Theology catalog (2000-2001), and page seven of the School of Nursing Catalog (2000-2001). It also appears on the web at: http://www.emory.edu/PROVOST/handbook/handbookchapter_one.htm#accreditation and in the Faculty Handbook, PDF version, on page ten.

Unfortunately, this statement was printed without address information in the catalogs of the School of Medicine, the Goizueta Business School, and Oxford College; it was omitted entirely from the catalogs of the Rollins School of Public Health and the School of Law. We have addressed these problems with those responsible for the production of the various catalogs, and the statement will be included properly in all future editions.

Section II:
Institutional Purpose

Emory University has a clearly defined mission statement that is reported to the community through a number of publications, including the University web site, the University Faculty Handbook, and the catalogs of the colleges and schools. The mission statement has been reviewed on a regular basis and revised as necessary; the most recent revision was approved by the Board of Trustees in May 2002. The mission statement, as recently revised, reads in part:

> 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. . . .
>
> In keeping with the demand that teaching, learning, research, and service be measured by high standards of integrity and excellence, and believing that each person and every level of scholarly activity should be valued on its own merits, the University aims to imbue scholarship at Emory with
>
> - A commitment to humane teaching and mentorship and a respectful interaction among faculty, students, and staff;
> - Open disciplinary boundaries that encourage integrative teaching, research, and scholarship;
> - A commitment to use knowledge to improve human well-being; and
> - A global perspective on the human condition. . . .

As the following pages will show, the University's planning, evaluation, programmatic, and administrative processes support this mission fully.

Section Number/Title: II. Institutional Purpose

Subsection Number/Title:

Line Reference Number(s): Page 15: 1-19

Requirement: An institution **must** have a clearly defined purpose or mission statement appropriate to collegiate education as well as to its own specific educational role. This statement **must** describe the institution and its characteristics and address the components of the institution and its operations. The official posture and practice of the institution **must** be consistent with its purpose statement. Appropriate publications **must** accurately cite the current statement of purpose.

It **should** be developed through the efforts of the institution's faculty, administration, and governing board. It **must** be approved by the governing board. An institution **must** study periodically its statement of purpose, considering internal changes as well as the changing responsibilities of the institution to its constituencies.

Status: **In compliance**

Evidence: Emory University Mission Statement [4]

Discussion: The University's mission is to "create, preserve, teach, and apply knowledge in the service of humanity." The statement describes Emory University as a comprehensive research university, with its specific educational role limited to "those fields in which, by virtue of its history and location, it can excel … Hence its academic programs focus principally 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."

Emory University's mission statement was revised and approved by the Board of Trustees in its April 2002 meeting, and it will be included in all appropriate University publications.

It can be found in its entirety on the University web site (http://www.emory.edu/PRESIDENT/mission.html).

Section Number/Title: II. Institutional Purpose

Subsection Number/Title:

     Subsection Reference Number:

     Line Reference Number(s):   Page 15: 20-24

Requirement: Consequently, the institution **must** demonstrate that its planning and evaluation processes, educational programs, educational support services, financial and physical resources, and administrative processes are adequate and appropriate to fulfill its stated purpose.

Status: **In compliance**

Evidence: *Teaching at Emory* Report [24]; Provost Faculty Lunch Series Report [42]; University Advisory Council on Teaching (UACT) Brochure [43]; UACT Web Site: http://www.emory.edu/TEACHING/ [44]; Provost's Letters to the Faculty [45]; President's Letter to Faculty [46]; Oxford College Catalog 2001-02 [Appendix D]; Renaissance at Oxford, Master Plan /A Strategic Plan for Oxford College of Emory University 2010 [47]; Summary of Dean's Annual Report [48]; School of Medicine Academic Planner and Student Handbook for 2001-2002 [Appendix U]; Allied Health Bulletin 2001-2003 [Appendix N]; School of Medicine (SOM) Bulletin [Appendix V]; School of Medicine (SOM) Organizational Chart [49]; School of Medicine Web Site: http://www.emory.edu/WHSC/MED/index.html [50]; Defining Our Future: The Research Strategic Plan for Emory University School of Medicine, 1997–2002 [31]; Defining Our Future: The Teaching and Education Strategic Plan for the Emory University School of Medicine 1998–2004 [32]; SOM Strategic Plan for Grady, 2000 [52]; LCME Institutional Self Study, pages 1-8 [Appendix S]; SOM Annual Report 2001 [53]; SOM Space Report [54]; SOM Budget FY 2002 [55]; GME Institutional Review Document, May 16, 2001 [Appendices P, Q, R]; Rollins School of Public Health (RSPH) Catalog [Appendix F]; RSPH Strategic Plan 1998-2003 [35]; RSPH Annual Report [56]; RSPH Procedures Manual [304]; Candler School of Theology Relevant Publications and Web Site:

http://candler.emory.edu/ [58]; Candler Catalog 2001-2002, pp. 5-7
[Appendix L]; Theology Faculty Minutes (on file in the Office of the
Dean); School of Theology Annual Report to the Provost [59];
Candler Connection [60]; Candler School of Theology Student
Handbook 2001-2002 [61]; Discernment Report for School of
Theology Dean's Search [62]; Annual Report to the Association of
Theological Schools (ATS) [63]

Discussion: Emory University engages in regular planning and evaluation
processes. For example, in 1996 the president and the provost
created a commission to launch a self-study on teaching at Emory,
asking the commission to make specific recommendations
"concerning what can be done, consistent with our current mission,
to assure our continued commitment to and success of achieving
teaching of the highest possible quality in the years to come." One
initiative that resulted from the teaching self-study was the
University Advisory Council on Teaching, composed of faculty
members from each school. This council meets monthly to discuss
ways to improve teaching at Emory.

In 1993 the provost initiated an annual lunch series that invites
faculty to come together to have lunch with the provost to discuss
their concerns and ideas for the future of Emory University and
promote interaction among faculty from different disciplines. The
discussions cover a range of topics and are summarized by the Office
of Institutional Research and used by the provost as a basis for future
initiatives. Additionally, in the fall of 1999, Provost Rebecca Chopp
began an annual letter to faculty that describes the University's
strategic plan for the year. More recently, that letter has been issued
by the president.

Strategic planning also occurs in each school at Emory on a regular
and consistent basis. For example, over the past few decades,
planning has occurred at the various levels of the School of
Medicine. The school participated in the planning efforts of the
clinical arm of the Woodruff Health Sciences Center and assisted in
the development and redraft of the Emory Healthcare mission
statement. The medical school also developed a strategic plan for its
activities at Grady Memorial Healthcare in 2000. All strategic plans
are approved by the Woodruff Health Sciences Center Board once
developed.

In addition, all schools provide annual reports as evidence of progress toward the goals given in their respective mission statements.

Section III:
Institutional Effectiveness

As stated in our last SACS self-study (1993), responsibility for planning and evaluation at Emory has historically been broadly shared. Traditionally, the central administration leads the planning process on a University-wide basis, articulating broad institutional goals and priorities, providing structures for University planning and evaluation of schools and service units, and allocating resources in accordance with University goals. The schools and colleges define, accomplish, and assess educational outcomes.

Although these rather informal structures have served Emory well in the past, more recently it has become apparent that Emory requires more formal structures to ensure that both faculty and administrators participate in the planning process and have access to timely information about its outcomes. Furthermore, the University continues to refine its system for evaluating overall institutional effectiveness as well as the effectiveness of individual units. Thus, the University has launched a number of new initiatives related to planning and evaluation. Some of these initiatives are described below:

Planning

- President's Cabinet: The Cabinet's membership includes the senior administrators of the University and is involved in University planning at the highest level and regularly monitors the progress of academic programs.

- Council of Deans: The Deans' Council provides budgetary and policy advice to the president and the provost, represents the interests of the various schools in strategic academic planning, and provides exchange of information and support among the various deans.

- Planning Documents: The University has produced a number of documents outlining goals and recommendations for Emory's future development. For example:

    o *Choices and Responsibility: Shaping Emory's Future* (1994)

    o *Teaching at Emory: The Report of the Commission on Teaching* (1997)

    o *Defining Our Future: The Research Strategic Plan for the Robert W. Woodruff Health Sciences Center* (1997)

    o *Emory University Campus Plan: A Framework for Physical Development* (1998)

    All of the recommendations and planning initiatives presented in these documents were developed with the participation of a broad spectrum of University constituents.

Evaluation

Emory University evaluates it programs, personnel, and processes on a regular basis. For example, all faculty, staff, and administrators are reviewed annually; reviews usually include a self-evaluation by the employee as well as evaluations by supervisors. Programs are reviewed every five years or whenever the leadership of a unit changes; these reviews are intended to assess the quality of the program and its leadership. And, of course, all programs subject to accreditation by outside agencies undergo regular accreditation reviews.

In addition to annual reviews, the University evaluates faculty through the tenure and promotion processes. Since Emory's last accreditation, we have added a committee, the Presidential Advisory Committee, composed of senior faculty members from each school of the University who advise the president and the provost on tenure and promotion matters. This committee allows for more faculty involvement in the tenure and promotion process. We also evaluate the institution's relationship with faculty through a number of surveys, administered by the Office of Institutional Research, that measure faculty satisfaction, needs, and resource requirements.

The University also regularly measures student satisfaction and achievement. Student achievement is, of course, measured in a variety of ways in their various courses—through exams, papers, oral presentations, etc. In addition, many programs include capstone experiences for students, such as senior theses or senior seminars. The University also monitors the performance of its graduate and professional students on any licensure exams they may take before embarking on their professional careers. The Office of Institutional Research also participates in national surveys of students at the freshman, senior, and graduate levels.

The following pages will demonstrate Emory's planning processes in various areas and will show that planning and evaluation have become central components of Emory University.

Section Number/Title: III. Institutional Effectiveness

Subsection Number/Title: 3.1 Planning and Evaluation: Educational
                                             Programs

Subsection Reference Number:

Line Reference Number(s):   Page 18: 4-7

Requirement: Educational activities of an institution include teaching, research,
                      and public service. Planning and evaluation for these activities **must**
                      be systematic, broad-based, interrelated and appropriate to the
                      institution.

Status: **In compliance**

Evidence: Emory College Course Catalog 1999-2001, pp. 309-315 [Appendix
                      A]; Summaries of the Strategic Plans of the Schools [25]; Goizueta
                      Business School (GBS) 5-Year Strategic Plan [64]; GBS 5-Year
                      Review and Strategic Plan for Marketing Faculty [65]; GBS Annual
                      Report [66]; Minutes of GBS Faculty Meetings [67]; Benchmarking
                      Report for M.B.A. and Executive M.B.A. Programs [68]; Business
                      School Bylaws [69]; School of Theology PAPC Minutes (housed in
                      the Office of the Dean); School of Law ABA Self-Study Report, pp.
                      6-24 [70]; Defining Our Future: The Teaching and Education
                      Strategic Plan for the Emory University School of Medicine 1998-
                      2004 [32]; Graduate School of Arts and Sciences Departmental
                      Annual Reports (housed in the Office of the Dean)

Discussion: All of Emory University's educational units participate in planning
                      and evaluation activities. These plans are described in strategic
                      plans and division annual reports. Examples from specific schools
                      are described below.

                      In Emory College, planning and evaluation routinely take place at
                      the department level or within faculty committees. Effectiveness of
                      the teaching mission is evaluated systematically and appropriately.
                      Every student evaluates each course he or she takes by means of a
                      standardized form (see 4.2.4 and 4.8.10 below). Every course must

initially be approved by the College Curriculum Committee, and the Educational Policy Committee is charged with a continuing re-study of the curriculum and especially of its general education component. Recent evidence of the success of our review procedures is the new General Education Requirements that went into effect in academic year 1999-2000.

In Goizueta Business School, as another example, the planning process supports its mission of education that encompasses both teaching and research and involves the development and exchange of ideas, facts, and problem-solving skills. A number of committees develop recommendations that are approved by senior leadership and faculty at large in cases of educational or academic policy. Faculty from each of the five areas of the school have oversight of the curriculum in each program through a program committee. The Academic Council meets four times per year and is charged with coordinating programs with faculty initiatives and problem identification and resolution. The School Personnel Committee oversees the promotion and tenure of faculty and consists of two representatives from each area, one appointed by the dean and one elected by the members of the area.

Rollins School of Public Health's Mission Statement includes teaching, research, and service or the practice of public health. Each of the six departments in the school oversees its instructional program, program of research, and service activities. The school coordinates teaching activities across the school through its Curriculum Committee, with faculty representation from each department. Twice-monthly meetings of the six chairs with the dean and principal administrators and weekly meetings of the administrative staff provide additional coordination. Planning at the level of the school for all mission-related activities occurs within a strategic planning process.

Candler School of Theology's activities feature teaching, research, and public service, the latter including outreach to ecclesial communities and ministerial gatherings. Planning and evaluation activities are decentralized, carried on by operational units (faculty, areas, committees, programs, staff) and reported annually.

The law school had its sabbatical accreditation review by the American Bar Association (ABA) in Spring 2001, during which ABA reviewed the planning processes of the law school. They are detailed the ABA Self-Study Report.

Teaching efficacy in the Graduate School of Arts and Sciences is evaluated by departments and programs using faculty peer review of colleagues and student surveys that are given during and at the end of courses. The graduate school requests copies of these evaluation documents on an annual basis. Excellence in research is evaluated at the departmental/program level by master's thesis and Ph.D. dissertation committees and at the graduate school level by the dean's review of submitted theses and dissertations.

Section Number/Title:	III. Institutional Effectiveness
Subsection Number/Title:	3.1 Planning and Evaluation: Educational Programs

Line Reference Number(s):   Page 18: 8-9

Requirement: The institution **must** define its expected educational results and describe its methods for analyzing the results.

Status: **In compliance**

Evidence: Provost's Letters to the Faculty [45]; President's Letter to the Faculty [46]; Senior Student Survey 2000 [71]; HEDS Graduate Student Survey [72]; *Teaching at Emory* Report [24]; Principal Methods of Planning and Evaluation in Emory College, 2001 [73]; Sample Reports on Department Evaluations of the 1990s [74]; Goizueta Business School (GBS) Mission Statement (Short and Long) [75]; GBS Course Evaluation Form [76]; GBS Faculty Evaluation Report Form [77]; GBS Placement Reports for 2000 and 2001 [78]; GBS Recruiter Reports for 2000 and 2001 [79]; GBS Student Graduation Rates in the B.B.A., M.B.A., and E.M.B.A. Programs [80]; GBS Student Grade Distributions [81]; School of Theology Fifth Semester Reviews (M.Div.) [82]; Summative Exercises (Other Degrees) [83]; ATS Studies and Comparisons [84]; MEF Annual Reports [85]

Discussion: Emory University defines its expected results and describes its methods of analysis both university-wide and within schools and colleges. Broad goals for educational results are articulated in the provost's and/or president's annual letter to faculty and through the meetings of the Council of Deans at the University-wide level. The annual letter and Council meetings address such issues as expectations for undergraduate and graduate competencies and outcomes for graduate and professional programs in terms of student placement and quality. Student surveys, institutional research, and other mechanisms measure the progress to these broader goals.

At the school and college level, the ways results are defined and the methods by which these results are obtained varies by unit. For instance, Emory College's evaluates instructional delivery chiefly by the course evaluation procedure and by peer evaluation by appropriate faculty. Key methods used in Emory College planning and evaluation are listed in "Principal Methods of Planning and Evaluation in Emory College, 2001." Particular mention should be made of the program of intensive department evaluations we initiated in the early 1990s and discussed in our last SACS re-accreditation report (1993). All twenty-six academic departments and a half-dozen programs have now been evaluated at least once, and several twice. It has proved frankly unworkable to evaluate all departments every four or five years, as we had originally planned, but the reviews have been extremely beneficial nonetheless, as reflected in the summary reports in "Sample Reports on Departments Evaluations of the 1990s." A complete set of these reports is on file in the College office.

In Goizueta Business School, the consistent use and administration of student-based teaching evaluation over a number of years enables the leaders of the School to assess accurately teaching effectiveness and progress. In addition, area coordinators in charge of faculty development receive the data shortly after the end of each term and are, therefore, in a position to give timely development feedback to individual faculty members and to make adjustments in course offerings as appropriate. Primary responsibility for teaching effectiveness in the school resides in the senior associate dean for programs, who maintains systematic files on teaching effectiveness for all full-time and part-time faculty members.

Schools of theology have traditionally defined and measured their results in terms of ordinations and/or other patterns of placement in church positions. With a more diverse, vocationally open and larger non-United Methodist student population, the ordination of Candler students by United Methodist conferences no longer serves as an adequate indicator. Although the theology school will continue to make use of United Methodist ordinations as one indicator, it will need to develop new measures. One measure currently being implemented is reviews of students in their fifth semester, which should have value for planning and evaluation purposes but only as the school aggregates the individual results.

Section Number/Title:	III. Institutional Effectiveness
Subsection Number/Title:	3.1 Planning and Evaluation: Educational Programs
Line Reference Number(s):	Page 18: 10-19

Requirement: The institution **must:**

1. establish a clearly defined purpose appropriate to collegiate education
2. formulate educational goals consistent with the institution's purpose
3. develop and implement procedures to evaluate the extent to which these educational goals are being achieved
4. use the results of these evaluations to improve educational programs, services and operations.

Status: **In compliance**

Evidence: Emory University Mission Statement [4]; Provost's Letters to the Faculty [45]; President's Letter to the Faculty [46]; Summaries of the Strategic Plans of the Schools [25]; HEDS Graduate Student Survey [72]; Senior Student Survey 2000 [71]; Emory College Course Catalog, 1999-2001 [Appendix A]; Candler Catalog 2001-2002, pp. 5- 7 [Appendix L]; School of Theology PAPC Minutes (on file in the Office of the Dean); Candler Curriculum Committee [86]; Candler Faculty Minutes (on file in the Office of the Dean); School of Law Mission Statement [87]; School of Law ABA Self-Study Report, pp. 6-24 [70]

Discussion: Emory University's mission statement articulates its purpose, guides University-wide strategic goals and ongoing operational activities, and sets a standard by which to measure how each of the institution's schools serve the mission of the University. Each school has also developed a mission statement for similar use.

The schools establish educational goals and implement procedures through their strategic plans and annual reports to the provost. These strategic plans articulate broad educational goals at the undergraduate, graduate, and professional levels, as well as goals for research activity and service to the community. At the university-wide level, the provost's and/or president's annual letter to faculty identifies specific academic initiatives to be accomplished in the short-term.

Evaluation of educational goals at the university-wide level takes place through an annual review of progress towards achievement of goals and initiatives specified in each school's strategic plan and annual report. The annual reports submitted to the provost measure progress on these goals and also serve as an opportunity to revise the short-term action plans as specific initiatives are achieved. Methods for assessing progress towards educational goals include review of enrollment data, educational rankings, research activity, faculty compensation, and financial performance, as well as reviews of student satisfaction surveys (i.e., Graduate Student Survey, Emory College Senior Survey). These evaluations can lead to changes in the curriculum, as curricular changes are made in response both to student outcomes and to research into the state of the discipline.

Evaluation of educational goals also takes place at the school level. All schools evaluate faculty regularly as to how they meet educational goals and objectives. If they are having trouble in a particular area, they receive advice as to how they can improve in that area. In addition, all schools review, through faculty committees and administrative offices, curricula, graduating student statistics, professional licensures, exam results, etc. For example, Emory College strives to provide each undergraduate with a four-year education of excellent quality, with a high level of competence in a balanced arts and science curriculum, in an atmosphere attentive to moral and ethical concerns. Research within the College is meant to help faculty maintain a high level of scholarly proficiency, demonstrated normally by respected disciplinary publication; faculty are also to make reasonable contributions to collegial, professional, and community betterment. Department chairs annually evaluate the research and teaching of each regular faculty member, in line with established disciplinary criteria and interpretation of research. Departments give particular ongoing scrutiny to the research of assistant and associate professors, and the dean checks the research progress of all regular faculty when salaries are set (see 4.8.5 below) and when the College prepares its annual report each summer.

Finally, service is similarly monitored closely by department chairs, who (like the College office at a higher level) try to distribute the campus load fairly while encouraging wider contributions. These procedures are widely understood and accepted and seem appropriate and adequate.

Section Number/Title:	III. Institutional Effectiveness
Subsection Number/Title:	3.1 Planning and Evaluation: Educational Programs

Line Reference Number(s):   Pages 18-19: 20–23; 4-8

Requirement: The institution **must** develop guidelines and procedures to evaluate educational effectiveness, including the quality of student learning and of research and service. The evaluation **must** encompass educational goals at all academic levels and research and service functions of the institution. ***The institution must evaluate its success with respect to student achievement in relation to purpose, including, as appropriate, consideration of course completion, state licensing examinations, and job placement rates.***

Status: **In compliance**

Evidence: *Teaching at Emory* Report [24]; *Scholarship in Atlanta* [88]; Senior Student Survey 2000 [71]; HEDS Graduate Student Survey [72]; *Intellectual Initiatives: Working across Disciplines, Schools, and Institutions* [89]; School of Law ABA Self-Study Report [70]; http://oucp.emory.edu [90]

Discussion: Emory University uses school and college strategic planning analyses and evaluations, formal surveys of the effectiveness of instruction, peer evaluation of instructors, and professional school accreditation processes to evaluate educational effectiveness. Evaluation involves all levels and functions in each school, although procedures may differ among the schools.

Outcomes are evaluated primarily at the school and college level. In Emory College, senior surveys gather information about graduate and professional school acceptance, employment plans, and satisfaction with academic programs and campus services. Professional and graduate schools track data as appropriate to their unit. For example, Emory Law School monitors job placements and bar passage rates of its graduates carefully, as reflected in the discussion in the indicated pages of the ABA Self-Study Report.

Goizueta Business School tracks job offers and starting salaries for recent MBA graduates. The School of Nursing tracks pass rates on the national nursing licensure examination, placement, and starting salaries. The Graduate School of Arts and Sciences uses the Graduate Student Survey to measure student satisfaction with academic programs, advising, access to faculty, and teaching and research support.

Across schools, teaching is evaluated in a variety of ways, including the use of formal course evaluations, informal conversations with students, review of teaching portfolios, and peer evaluation. Faculty use course evaluations for course revision and evaluation of programmatic changes. Some departments contact alumni to solicit their feedback or survey the graduating students. Within departments, senior faculty members conduct regular assessment of programs.   Further, departments engage in periodic self-studies and external evaluation by teams of visiting scholars to assess instructional and programmatic effectiveness.

In addition, the *Teaching at Emory* report, a university-wide evaluation of teaching completed in 1997, offers specific recommendations for measurement and evaluation of teaching and student learning. The report recommends, for instance, that each school, department, or program adopt clearly defined guidelines for the evaluation of teaching performance, taking into account the dimensions of teaching relevant to the given school, department, or program. Each tenured or tenure-track faculty member is expected to maintain a teaching portfolio for purposes of review. Each school, department, or program should conduct exit interviews with graduating students to assess the quality of their educational experience.

Evaluation of research functions also occurs both at the University and school levels. The Office of Sponsored Programs tracks research expenditures university-wide; such information is incorporated into the strategic planning processes both university-wide and within schools.   In addition the Office of Institutional Research conducted studies to assess the status of faculty scholarship in Atlanta and the state of Georgia and the emergence of cross-school research centers at Emory. Schools and departments evaluate their own research productivity through their planning processes and through mechanisms such as annual faculty evaluations and tenure and promotion processes.

Service functions are also evaluated both at the University level and within each school. In fall of 2000, the Office of University Community Partnerships established a web database of Emory's community-based and community-focused efforts in teaching, research, and service (http://oucp.emory.edu). This database indicates Emory's commitment in areas such as public health, justice, and civic engagement, among others. Within schools, service functions are assessed as part of the annual faculty evaluations and tenure and promotion processes.

Section Number/Title:	III. Institutional Effectiveness
Subsection Number/Title:	3.2 Planning and Evaluation: Administrative and Educational Support Services

Subsection Reference Number:

Line Reference Number(s):   Page 19: 9-27

Requirement: In addition to providing evidence of planning and evaluation in its educational program, the institution **must** demonstrate planning and evaluation in its administrative and educational support services. For each administrative and educational support service unit, the institution **must**

1. establish a clearly defined purpose which supports the institution's purpose and goals
2. formulate goals which support the purpose of each unit
3. develop and implement procedures to evaluate the extent to which these goals are being achieved in each unit
4. use the results of the evaluations to improve administrative and educational support services.

Status: **In compliance**

Evidence: VP Finance Organizational Chart [91]; ITD Internal Organization [92]; ITD 2000-2001 Annual Report [93]; General Libraries Mission Statement [94]; Health Sciences Library Vision Statement Web Site: http://www.emory.edu/WHSCL/index.htm [95]; Law Library Mission Statement [96]; Oxford College Library Vision Statement [97]; Oxford College Library Mission Statement [98]; Theology Library Mission Statement [99]; Draft Vision for the Emory Libraries [100]; General Libraries Strategic Directions [101]; Goizueta Business Library Mission and Goals Statement: https://business.library.emory.edu [102]; General Libraries Strategic Planning Process Map [103]; Network Communications Oversight Committee Report [104]; Network Communications Annual Report [105]; RSPH Strategic Plan 1998-2003 [35]; RSPH Annual Report [56]; Oxford College: Finance, Operations, and Information

Technology Annual Report 2000-2001 [106]; Oxford College: Department of Financial and Information Services Annual Report 1999-2000 [107]; Oxford Computing Mission Statement (in Annual Report 1999-2000) [108]; Defining Our Future: The Teaching and Education Strategic Plan for the Emory University School of Medicine 1998-2004 [32]

Discussion: Administrative and support units of the University participate in planning and evaluating activities in a number of ways. Each unit has a defined purpose that supports the mission of the University. In many cases, this purpose is expressed through a departmental mission statement. For example, ITD's mission statement promises that the division will use technology "to make Emory a leader in teaching, research, and public service," and the Reference Department of the General Libraries supports "the learning, teaching, and research endeavors of Emory University and broader research communities by identifying, evaluating, and using a broad range of information sources, and by instructing patrons in the use of sources appropriate to their information needs."

In addition, administrative and educational support units formulate goals and evaluate progress toward those goals in their various annual reports and strategic plans. For example, the General Libraries have established an Office for Program Assessment and Coordination, which has institutionalized the libraries' commitment to a continual review of their services with the goal of improved customer service. And the School of Medicine conducted a Teaching and Education strategic planning process during 1998.

All units use the results of these planning instruments to improve services. The offices associated with the Executive Vice President and Chief Operating Officer, for example, have tasks with unique provisions for evaluation and continuous improvement through the intelligent use of systems and staff. Many processes change as a result of finding more effective ways of delivering services. Very few current processes are as much as five years old, owing to constant improvements.

The School of Medicine has implemented several of the recommendations made in its Teaching and Educational Strategic Plan. For example, to ensure that a critical level of faculty teaching time is protected, new funds from the dean have been developed to secure time for clinical faculty with extraordinary teaching

commitments. Also, in the past, there have been deficiencies in the staffing and space for the Office of Medical Education and Student Affairs. To address this, the dean has recently appointed four faculty members as part-time assistant deans to help with the workload of this office.

This process of planning, evaluating, and improving is ongoing, and recent progress toward meeting these criteria can be found in the Annual Reports of each unit.

Section Number/Title:	III. Institutional Effectiveness
Subsection Number/Title:	3.3 Institutional Research

Line Reference Number(s):   Page 20: 1-20

Requirement: Institutional research **must** be an integral part of the institution's planning and evaluation process. It **must** be effective in collecting and analyzing data and disseminating results. An institution **must** regularly evaluate the effectiveness of its institutional research process and use its findings for the improvement of its process…. Institutions **must** assign adminsitrative responsibility for conducting insitiutional research, allocate adequate resources, and allow access to relevant information.

Status: **In compliance**

Evidence: 2000-2001 Common Data Set [109]; 2000 Academic Profile [110]; 1998 HERI Faculty Survey [111]; Senior Student Survey 2000 [71]; A Closer Look at Emory's Freshman - Fall 1999 [112]; *Intellectual Initiatives: Working across Disciplines, Schools, and Institutions* [89]; *Scholarship in Atlanta* [88]; Annual Report of the Office of Institutional Planning and Research 2000-2001 [113]; Institutional Research for Emory College [114]; Emory College Annual Report 2000-2001 [115]; Oxford College Student Evaluation and Exit Survey [116]; Goizueta Business School (GBS) Course Evaluation Form [76]; GBS Faculty Evaluation Report Form [77]; M.B.A. Student Survey [117]; Evening M.B.A. Student Survey [118]; Defining Our Future: The Research Strategic Plan for the Emory University School of Medicine 1997-2002 [31]; Defining Our Future: The Teaching and Education Strategic Plan for the Emory University School of Medicine 1998-2004 [32]; LCME Institutional Self-Study [Appendix S]; Emory Healthcare Clinical Strategic Plan, 1997-2002 [119]; School of Medicine Research Web Site [120]; RSPH Annual Report [56]; RSPH Self-Study Report [Appendix G]; RSPH Strategic Plan 1998-2003 [35]; RSPH Budget Planning Documents [121]; School of Law (SOL) Student Evaluation of Teacher Forms (SET) [122]

Discussion: Administrative responsibilities for conducting institutional research are primarily assigned to the Office of Institutional Research (IR). The office supports the provost's planning and evaluation efforts through the collection and analysis of internal and comparative performance data.

At the university level, the Office of Institutional Research annually analyzes information from the schools and colleges concerning average faculty compensation university-wide and by school; the racial and gender makeup of the faculty by school; tenure status and rank of faculty by school; admission statistics; research funding; student enrollment; degrees awarded; graduation, retention and persistence rates; and career plans of the graduates. These statistical reports help individual schools in reviewing planning goals and allow the university to build historical information on planning-related data. The office also maintains a series of data sources including the Common Data Set, the Academic Profile, the Provost's Annual Report, the electronic fact book, the faculty database, and the distinguished chair holders database.

The office generates a profile of entering freshman every year for Emory College based on the results of the Comparative Institutional Research Program (CIRP) survey administered by the Higher Education Research Institute at UCLA. The office also conducts periodic surveys of seniors in the Emory College and graduate students in the Graduate School of Arts and Sciences to assess student satisfaction with academic programs and student services. The Graduate School itself utilizes the data that are maintained in the university-wide PeopleSoft system. Nearly all information about each graduate student's progress until he/she graduates is entered into and retained in the PeopleSoft database. Reports can be generated on the number of students who have declared specific majors, the number of students in major programs, academic records (i.e., probation, acceptable performance, Dean's List), and enrollment patterns. These data are used to measure the effectiveness of policies of the Graduate School and to adjust them if necessary.

In addition to these periodic data gathering activities, the Office of Institutional Research conducted several special studies designed to learn more about the status of scholarship at Emory. Findings have also been used by the provost to craft new academic initiatives. To increase the effectiveness of the office, many data gathering

processes have been recently moved to the web. These include the Graduate Student Survey, the Scholarship in Atlanta Survey, and the Provost's Annual Report. The director and the senior vice provost for academic affairs periodically evaluate the activities of the office, anticipate future needs for data collection and analysis efforts, and make adjustments to meet those needs.

The schools and colleges also conduct institutional research activities that help in decision-making at the unit level. Routine reports conducted within schools pertain to curriculum planning, budget forecasts, student retention and persistence analysis, competitiveness of faculty compensation, admissions management analyses, and analyses of sponsored research funds. Instructional units incorporate many of these reports in their annual reports, thus maintaining longitudinal information about the schools.

For example, in Emory College, a wide range of research is assigned to and conducted regularly in each of the four sections of the College office: Faculty Development, Student Affairs, Resources and Planning, and Science and Sponsored Research. All information is given to departments, faculty committees, and administrators on a need-to-know basis and with proper regard to the confidential aspects of faculty evaluation and student records. The business school, as another example, periodically assesses its teaching and research effectiveness via various benchmarking studies conducted by trade associations, business periodicals, and academic bodies. These studies are employed as one form of useful input that is collated with other, more school-specific information to evaluate the effectiveness of its research and teaching activities. The School of Public Health, with the support of the associate dean for academic affairs and the Office of Student Services, asks graduating students to complete exit questionnaires. These questionnaires become the basis for determining problem areas in the school that require remedies.

Oxford College also requires graduating students to complete surveys, and the student body as a whole completes satisfaction surveys. Several departments at Oxford conduct smaller scale, programmatic evaluations to determine the need for services, to measure program effectiveness, and to assist in program planning efforts. Members of the Dean's Council monitor and evaluate the institutional research process, while the Director of Academic Services coordinates the process.

In the School of Medicine, the executive associate dean for medical education and student affairs and the executive associate dean for research and strategic initiatives are responsible for measuring key statistics and communicating the results to the dean of the medical school, the Council of Chairs, and in some instances the Woodruff Health Sciences Center Board. A research advisory committee was established as a result of the 1997 strategic plan and assists the Executive Associate Dean for Research in guiding the research vision. The 1997 research plan has been updated and reassessed on a regular basis since 1997.

Section IV:
Educational Program

Graduate and Undergraduate Educational Programs (Subsections 4.1, 4.2 and 4.3)[9]

All aspects of Emory University's educational programs are based on fulfilling its mission to "create, preserve, teach, and apply knowledge in the service of humanity." In order to accomplish this mission, the University must have in place a number of resources—excellent faculty, adequate library and information resources, appropriate physical facilities, and student enrollments and financial resources sufficient to support the educational programs. As the following pages will demonstrate, Emory has all of these elements in place.

In the past decades, Emory has grown from a fine regional university into a research institution of national prominence. To achieve this growth, Emory has focused on recruiting faculty of the highest caliber, who are both strong researchers and talented teachers. The excellence of our faculty can be measured in a number of ways: the numbers of grants and fellowships they obtain, the numbers of books and articles they publish, the extent to which they participate in community activities, and perhaps most importantly, the successes they see through their students. To support these faculty, Emory provides excellent facilities and research resources. We have a large library collection, and in the past decade, we have constructed new library facilities for the law school and the programs in math and science as well as additions to the Woodruff Library and the health sciences library at Grady Hospital. We also have a number of new or updated facilities that house both research laboratories and classrooms, and we have equipped those facilities with state-of-the-art computing resources.

All Emory schools and colleges expect a high level of performance from their students. Performance is measured through a variety of means, including exams, course papers, oral reports, course grades, and dissertations or theses. A number of measures ensure the quality of programs across schools, from peer and student evaluations of instruction to reviews by curriculum committees to the provision of instructional support on the university-wide level.

Because Emory demands such high achievement from its students, we are careful to admit students capable of reaching that goal. Admission policies for undergraduate students are developed by faculty and administrators, coordinated by the Office of Undergraduate Admission, and reported annually to the Board of Trustees. Admission officers use a number of measures, including high school GPA, class rank, standardized

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[9] Emory University's School of Medicine considers its M.D. program an undergraduate program, and its Ph.D. and D.P.T programs graduate programs. This understanding is reflected throughout this document; hence, information about the M.D. program is included in Section 4.2: Undergraduate Program, and information about the Ph.D. and D.P.T programs are included in Section 4.3: Graduate Program.

test scores, writing samples and references, to evaluate applicants. In Fall 2001, the middle 50% of admitted students had SAT scores of 1300 – 1430 or ACT scores of 29 – 33. None of the undergraduate colleges admit students who fall below the admissions profile, although Oxford College does admit a few students conditionally who are seen to have the potential to succeed.

Admission policies for graduate students are developed by the schools and colleges offering graduate programs. All schools use quantitative measurements, such as standardized test scores and transcripts, as well as qualitative measures, such as essays and recommendations, to assess students. Admission policies for graduate students are developed by faculty and are monitored regularly.

Many of Emory's schools and colleges accept transfer students after careful consideration of transcripts and syllabi from the previous institution. In all cases, for both graduate and undergraduate students, admission and transfer policies are published and available through catalogs, admission packets, and the web.

School catalogs, appropriate handbooks, and web sites also describe the program of courses leading to the degree. In all schools and colleges, degree requirements are determined by the faculty, and in many cases, especially for the professional schools, the requirements are designed to comply with the requirements of national professional accrediting agencies. In undergraduate programs, students must complete a set of general education requirements as well as courses required by their major department. For the most part, undergraduate students take general education courses that cover a broad area of liberal education, including courses from the humanities, social sciences, natural sciences, and mathematics. The program in Radiologic Technology is, however, in only partial compliance with SACS criteria concerning general education; the program is currently drafting a proposal to correct this deficiency, and these requirements will be incorporated into future admission criteria.

Graduate students are required to take courses as directed by their school or department, and they must also complete some type of capstone project—exams, a dissertation, and/or a significant research project. Graduate requirements are developed by the faculty, and the intent of graduate programs is to provide students with the skills they need to participate in a life of scholarly activity or to pursue the professional career of their choice. In all cases, requirements for undergraduate and graduate students are markedly different, with graduate programs requiring a more demanding curriculum and more research at a higher level.

Emory University is confident that its graduates are competent in the areas of "reading, writing, oral communication, fundamental mathematical skills, and the basic use of computers" for undergraduate students and mastery of the subject matter and other skills for graduate students. That competence is measured in a number of ways across the colleges and schools: course grades, writing intensive courses, dissertations for doctoral

students, and faculty oversight. Course syllabi describe methods for attaining and measuring mastery and placement rates, and credentialing exam results indicate our success in these areas.

Faculty and administrators work together in all of Emory's programs to establish, review, and evaluate the curriculum. In each program and school, faculty committees oversee curricular development, and each program has more than one faculty member assigned to teaching duties and program oversight. All curricular changes must be approved by faculty committees in each school and by the administration. Ultimately, the Board of Trustees is responsible for approving any changes in the number or types of degrees, departments, or schools through which the curriculum is administered.

Teaching practices in all schools are in accord with the purpose of the University and of the individual school. Course syllabi identify the goals and requirements of the course, the nature of the contents, and methods of evaluation. Teaching is evaluated in a number of ways: through student evaluations at the end of the semester, through student outcomes, and through the tenure and promotion process, for example. Each faculty member must submit a teaching portfolio with his or her tenure packet that includes a statement of teaching philosophy, student evaluations, peer evaluations, and other materials relating to teaching. Support for teaching innovation and improvement is available through the University Advisory Council on Teaching, the University Teaching Fund, the Emory College Center for Teaching and Curriculum, and a number of school-specific initiatives.

All schools provide an environment conducive to scholarly and creative achievement and allow for significant interaction between students and faculty. The honors program, the Dean's List, academic honor societies, internships, and co-curricular academic programs are only a few of the methods the undergraduate programs use to foster scholarly achievement. In the graduate and professional schools, interdisciplinary centers, grading policies, funding opportunities, and symposia all contribute to an environment that encourages creative scholarship. Students and faculty interact through a number of these initiatives as well as through lecture series, museum activities, informal reading groups, and laboratory research.

Each school at Emory also has an effective program of student advising and orientation. First-year undergraduates on the Emory campus participate in the FAME (Freshman Advising and Mentoring Experience) program, and the faculty advisor of the FAME group serves as academic advisor. After students have chosen a major, they are assigned a faculty member from their major field as advisor. Graduate students work closely with a faculty member in their field on research projects throughout their graduate career; graduate students at the dissertation stage work with a committee of faculty who can best help them complete their research. Orientation programs are held prior to registration, and in each case, the programs are evaluated regularly and adjusted accordingly.

As a research university, Emory University conforms generally to the practices of similar institutions. In a competitive student recruiting market, Emory must keep its programs, course credit system, and tuition and fees within the range set by its cohort. Furthermore, the University assures an effective relationship between its curricula and current practices in the various fields through faculty oversight, committee structures, and accreditations by professional organizations.

Publications, Distance Learning, Continuing Education, and Student Records (Subsections 4.4, 4.5, 4.6, and 4.7)

Emory University makes information available to students and to the public in a number of ways: through the World Wide Web, through catalogs and admissions packets, and through several special interest publications and magazines. Each school or department reviews and updates this information at least biannually to ensure that the information is accurate and consistent. Further, the editorial staff of the Publications Office reviews each publication as it moves through the centralized publication process to be sure that information is consistent across all publications.

Only three of Emory's schools and colleges offer distance learning programs: Oxford College, Goizueta Business School, and the Rollins School of Public Health. At Oxford and the business school, only a few courses are offered through distance learning. Public health offers the Career M.P.H program through distance learning. Students in this program participate in two on-campus sessions per semester; instruction is provided between sessions using Blackboard web-based software. In each case, the programs have clear goals that are consistent with the purposes of the University, and students in these programs are held to the same high standards required of students in traditional programs.

Several of Emory's professional schools offer continuing education programs that allow professionals to learn new skills. In addition, the University offers the community a number of courses meant to increase personal and professional development. Students are not awarded academic credit for these courses, although in some cases they may earn continuing education units. These courses are evaluated regularly and meet all applicable criteria.

The University Registrar's Office maintains records for all current and former students and stores duplicates of these records at an off-site facility. The registrar keeps these records secure through a number of means, including a locked vault, two levels of computer password security, and hiring only professional staff with no student assistance. The University has established policies for the release of student records in accordance with federal laws and regulations. These policies are published on the web and in the Campus Life Student Handbook.

Faculty (Subsection 4.8)

Emory University consistently seeks highly qualified faculty who hold the Ph.D., M.D., or other terminal degree from other major research universities. For appointment at the upper ranks, Emory recruits experienced researchers and teachers who have already established a strong reputation at another university or in a professional field. As such, these faculty members are fully qualified to teach at all levels through the doctorate. Emory's promotion and tenure procedures ensure that the quality of the faculty remains high. Documentation of faculty credentials and activities are maintained in the offices of the deans and are available for examination by SACS visitors.

While most Emory courses are taught by full-time faculty, every Emory school or college hires some part-time faculty members, usually for one of two reasons: to accommodate student demand for lower-level courses or to cover specialty courses that lie outside the competencies of the core faculty. In all cases these faculty are properly credentialed, and those credentials are filed in the appropriate dean's office. The schools publish policies that relate to part-time faculty, and courses taught by part-time faculty are evaluated with the same forms used to evaluate full-time faculty.

The University also employs graduate teaching assistants to cover some, primarily introductory, courses. Graduate teaching assistants are carefully regulated through the Graduate School of Arts and Sciences' Teaching Assistant Training and Teaching Opportunity Program (TATTO). All teaching assistants receive training through TATTO and departmental pedagogy programs, and their teaching is closely monitored and mentored by full-time faculty members. With few exceptions, graduate teaching assistants do not assume primary teaching responsibilities for courses until they have completed 48 hours of advanced course work.

The quality of teaching by teaching assistants is monitored through the same course evaluation system used for full-time faculty members. Full-time faculty are evaluated in other ways as well. Although the evaluation processes vary across schools, in all cases the evaluation criteria are described in the schools' guidelines for tenure and promotion. Tenure-track faculty are evaluated in three areas: teaching, research, and service. When deficiencies are noted in any of these areas, faculty are informed, asked to adjust their performance, and provided resources to facilitate improvement.

Resources for improvement include programs provided on a University-wide basis as well as those provided by individual schools. For example, the University offers programs meant to improve teaching, programs to provide mentoring for junior faculty, and programs that provide funds for innovative teaching or research projects. Some schools award faculty sabbaticals, teaching prizes, and research funds to help faculty enhance their professional skills. Although the University offers these many programs, it also makes clear that faculty are responsible for taking the initiative in promoting their own professional growth.

Academic freedom is key to Emory University. The University's Statement of Principles Governing Faculty Relationships (known as the "gray book") states that faculty "should have security adequate for freedom to teach and seek truth." The gray book is distributed to all faculty when they are hired, is reprinted in "Tenure and Promotion at Emory University: Policies and Guidelines," and is available on the University web site.

Consortial Relationships and Contractual Agreements (Subsection 4.9)

Emory University belongs the Atlanta Regional Commission on Higher Education (ARCHE), a group of twenty-one educational institutions, all of which are accredited by SACS. The consortium provides for cross-registration among member institutions as well as interlibrary loan and cooperative purchasing. In addition, Emory's health science programs maintain important contractual relationships with clinical facilities. These relationships allow Emory to provide critical training and experience to students in the health sciences; faculty and administrators from health sciences programs oversee all of these relationships.

Section Number/Title: IV. Educational Program

Subsection Number/Title: 4.1 General Requirements of the
Educational Program

Subsection Reference Number:

Line Reference Number(s):   Page 22: 1-12

Requirement: All aspects of the educational program **must** be clearly related to the purpose of the institution. The institution **must** provide a competent faculty, adequate library/learning resources, and appropriate computer resources, instructional materials/equipment, and physical facilities. The student enrollment and financial resources of an institution **must** be sufficient to support an effective educational program. In addition, the institution **must** ensure appropriate levels of student achievement and equivalent quality of programs regardless of the method of instruction or location of program.

Status: **In compliance**

Evidence: Catalogs of the Schools and Colleges [Appendices A, D, E, F, J, K, L]; Renaissance at Oxford, Master Plan/A Strategic Plan for Oxford College of Emory University 2010 [47]; M.B.A. Program Design and List of Concentrations (in M.B.A. Viewbook) [123]; Business School Budget (on file in the Office of the Dean); Nursing School Budget (on file in the Office of the Dean); LCME Institutional Self Study [Appendix S]; Defining Our Future: The Teaching and Education Strategic Plan for the Emory University School of Medicine 1998-2004 [32]; School of Medicine Medical Student Demographics [124]; Programming Document for Candler School of Theology (on file in the Office of Institutional Planning and Evaluation); Candler Fact Sheet [125]; Graduate School of Arts and Sciences (GSAS) Handbook [126]; Emory College Schedule of Classes Fall 2001 [127]; Faculty Vitae and Credentials (on file in Offices of the Deans); Library Statistics [128]; Student Enrollment and Student Quality Statistics [71,72,129]; Financial Statements and Auditor's Opinion (multiple years) [39]; RSPH Annual Report [56]; RSPH Self-Study Report [Appendix G]

Discussion: The mission statement adopted in May 2002 defines Emory's mission as "to create, preserve, teach, and apply knowledge in the service of humanity." All aspects of the educational program are based on fulfilling these goals.

Emory University recruits its faculty from graduate schools and other select institutions and appoints those best qualified to teach and carry out research appropriate to the discipline and school. The Ph.D. is the standard for faculty appointments except in those fields where other degrees or qualifications are the norm for academic appointments. The faculty appointment and promotion process is rigorous and requires excellence in teaching, research, and service.

As outlined in Section V, the University has adequate library resources and instructional materials and equipment. Since the last site visit, we have added the new MacMillan Law Library wing to the law school and completed an addition to the Robert W. Woodruff Library. We have placed an addition to the Health Sciences Center Library (HSCL) within Grady Memorial Hospital and renovated parts of the HSCL on the main campus. We are beginning the renovation of Candler Library, which will also provide space for the programs of the University libraries. Students in the Rollins School of Public Health also may use the Learning Resources Center at the neighboring Centers for Disease Control and Prevention, the federal government's major public health agency.

In addition, the physical facilities for the schools are adequate for the educational program and activities. A robust building plan over the last decade has improved space for all of the schools except the Candler School of Theology and the educational space for the School of Medicine. We are currently in the planning stage to address the future needs of these schools.

The Information Technology Division provides advanced information systems, software, and services to enrich teaching and education, extend collaborative opportunities, and strengthen research efforts. In many University classrooms, every desk is wired for laptop computers. The learning environment also encompasses classrooms and lecture theatres that are well equipped with multimedia and Internet resources, as well as anatomy, clinical, and wet laboratories.

Total student enrollment has grown over the past decade (1992 to 2001) from 9,800 to 11,400. During this period, the dental school was closed and the School of Public Health was created from a program that was part of the medical school. The School of Public Health and Emory College have experienced planned growth. The number of enrollees is sufficient in each school or college to support their programs.

As of August 31, 2000, Emory's net worth was $5.8 billion. In addition, Emory has maintained a quality bond rating as evidenced by the Standard and Poor rating of AA with a stable outlook and Moody's rating of Aa1 with a negative outlook for the bonds that were issued in the fall of 2001. Also, our schools have cumulative operating reserves, as of August 31, 2001, of $35.3 million.

All schools have set clearly prescribed criteria for academic performance, many of which meet the criteria of additional accrediting agencies. Course grades, written and oral reports, evaluations by instructors and academic advisors, comprehensive examinations, and/or theses and dissertations are among the variety of means used to measure academic performance.

An array of measures helps maintain the quality of programs: peer faculty and student evaluations of instructors; appointment, promotion, and tenure policies; reviews by curriculum committees; analyses of results of post-graduation examinations and certifications; departmental evaluations; and provision of information resources and instructional support.

Several schools also undergo rigorous accreditation processes by professional accrediting agencies. For example, the School of Medicine is visited by the Liaison Committee on Medical Education (LCME – sponsored by the American Medical Association and the Association of American Medical Colleges) every seven years. The most recent accreditation site visit occurred in January 2000, and the institution was granted another seven-year accreditation.

Section Number/Title:	IV. Educational Program
Subsection Number/Title:	4.2 Undergraduate Program

Subsection Reference Number:	4.2.1 Undergraduate Admission
Line Reference Number(s):	Page 22: 13-23

Requirement: General admission policies **must** be established by the governing board on recommendation of the administration. The board **is responsible** for deciding the size and character of the student body. Implementation of specific admission policies, however, **is the responsibility** of the administration and faculty of the institution. The unit responsible for administering the policies **must** be clearly identified. In those institutions in which various subdivisions maintain separate admission requirements, there **must** be institution-wide coordination of all admission policies and procedures.

Status: **In compliance**

Evidence: Minutes of the meetings of the Board of Trustees (on file in the Office of the Secretary of the University); Emory College Course Catalog 1999-2001, pp. 288-294 [Appendix A]; Bylaws of Emory University [17]; Bylaws of Emory College Faculty [131]; Emory College Admissions Annual Report 2001 [129]; Emory College Admissions Web Site: (www.emory.edu/ADMISSIONS) [132]; Oxford College Catalog 2001-2002, Admission Section, pp. 65-68 [Appendix D]; Oxford College Viewbook [133]; Organizational Chart of Oxford College [134]; Agenda for Annual Training with the University Office of Admission Staff [135]; Business School Admissions Application and Policies [136]; School of Nursing Catalog, pp. 8-11, 25-29 [Appendix K]; Admissions Application for the School of Nursing [137]; School of Nursing Undergraduate Student Handbook, pp. 23-24 [138]; Admission Policies [139]; LCME Institutional Self-Study, Section V, p.17 [Appendix S]; Allied Health Bulletin 2001-2003, pp. 61 & 65 [Appendix N]

Discussion:	The provost or the dean of admissions regularly reports undergraduate admission statistics—including SAT scores, high school GPA's, regional distribution of admitted students, and racial and gender demographics—to the Board of Trustees. The president and provost annually present historical and trend data on enrollment for each school. In addition, the Board of Trustees annually reviews closely and votes on the budget of the University, which is built on enrollment projections presented by the deans and University officers. The Board is thus able to affect admission policies and practices at least annually. Otherwise, the Board accepts admission policies as recommended by the Faculty of Arts and Sciences, the Committee on Admissions and Scholarships, and the University administration.

The Office of Undergraduate Admission, which reports to the Senior Vice Provost for Academic Affairs, coordinates policies and procedures institution-wide. Acting on authority delegated by the faculty and administration of Emory University, that office is responsible for reviewing the admissions file of all applicants to the undergraduate colleges. Each school has an admission committee that includes faculty, and each school has a professional staff responsible for administering admission policies. University publications and the web site clearly identify the offices in each school and college responsible for administering these policies and procedures.

The office of the Senior Vice Provost for Academic Affairs is responsible for assuring that admissions policies and procedures are regularly reviewed by the relevant deans as well as bringing the admissions professionals together for meetings as appropriate. The use of integrated software systems for all admissions and student record activities contributes to cooperative activity and provides one of several bases for regular meetings of the admissions professionals from the various schools.

A member of the Oxford College faculty or staff serves as an *ad hoc* member of the Emory College Faculty Committee on Admission and Scholarship. Through an integrated database, Peoplesoft, the collection of admission data at Oxford is coordinated with the University.

Prospective business and nursing students spend the first two years enrolled in Emory College or an equivalent liberal arts curriculum elsewhere. Students complete a series of general education

requirements and electives, while gaining the background necessary for admission to the business or nursing school through pre-requisite courses. Students must have satisfactorily attained at least sophomore standing (sixty semester hours) before matriculation in these programs.

The School of Medicine enrolls 110 to 112 new students each year. The class size is a fixed number, approved by the School of Medicine, the Board of Trustees of Emory University, and the Association of American Medical Colleges. The selection of these students is entirely the purview of the School of Medicine Admissions Committee, approximately thirty faculty members appointed by the Director of Admissions.

Section Number/Title:	IV. Educational Program
Subsection Number/Title:	4.2 Undergraduate Program

Subsection Reference Number:	4.2.1 Undergraduate Admission
Line Reference Number(s):	Page 22: 24-28; Page 23: 1-5

Requirement: Admission policies **must** be consistent with the educational purposes of the institution. They **must** include qualitative and quantitative requirements that identify students who demonstrate reasonable potential for success at the institution. An institution admitting students with deficiencies in their preparation for collegiate study **must** offer appropriate developmental or remedial support to assist these students.

Status: **In compliance**

Evidence: Emory College Course Catalog 1999-2001 [Appendix A]; Emory College Admissions Web Site (www.emory.edu/ADMISSIONS) [132]; Emory College Admissions Annual Report 2001 [129]; Emory College Viewbook and Application [140]; December 2000 Criteria for Accepting Applicants [141]; Memorandum from Studies Done to Re-evaluate the Admission Criteria at Oxford College of Emory University with Regard to Student Success [142]; School of Nursing Catalog, pp. 8-11, 25-29 [Appendix K]; Admissions Application for the School of Nursing [137]; Admission Standards in all B.B.A. Printed Material and on the Business School Web Site: http://goizueta.emory.edu/ [Appendix E & 144]; LCME Institutional Self-Study, Section V, p. 17 [Appendix S]; School of Medicine Bulletin [Appendix V]; http://www.emory.edu/WHSC/MED/TEACHING/admissionsreq.html [143]; Allied Health Bulletin 2001-2003, pp. 61 & 65 [Appendix N]; School of Medicine Academic Planner and Student Handbook 2001-2002, pp. 3-4 [Appendix U]; A.M.Sc. Student Handbook, pp. 6 & 7 [Appendix M]; B.M.Sc. Student Handbook, pp. 5 & 6 [Appendix O]

Discussion: Emory's mission statement identifies the University's purpose as "to create, preserve, teach, and apply knowledge in the service of humanity." All the schools' admission criteria focus on this combination of intellectual and community goals.

Emory selects its undergraduate students because they demonstrate academic excellence, have outstanding personal qualities, and reflect diverse backgrounds and interests. Successful Emory students want challenging course work and seek a broad background in the arts and sciences, as well as specialized training in a field.

In reviewing applications for undergraduate admission, the following items are considered: high school transcript (focusing on the strength of the applicant's curriculum), high school GPA, class rank, standardized tests (SAT I or ACT), personal qualifications, essays, writing sample, references (including a required reference from the high school counselor), extracurricular activities, and other information applicants think pertinent. The middle 50 percent of admitted students had SAT scores of 1300 to 1430 or ACT scores of 29-33, and an average high school GPA of 3.82.

None of the schools admit students with deficiencies to full-time undergraduate degree programs, nor do they offer remedial courses. At Oxford, however, each year a number of students are admitted conditionally, based on high school curriculum, grades, and/or test scores. These students, along with all first-time entering students, take diagnostic placement tests in math, English, and foreign language to determine the appropriate course placement level and course load for their first semester.

Admission to the undergraduate program of the Goizueta Business School and the School of Nursing occurs at the junior year. Accepted Emory and Oxford College students must have successfully completed the general education curriculum according to the standards set by each school and must meet a set of course work prerequisites.

Admission policies and procedures for the M.D. program are designed to promote the selection of students capable of the academic rigors of the medical school curriculum and possess those characteristics deemed necessary for the compassionate care of patients. The applications, letters of reference, and interviews are

evaluated for evidence of community involvement, communication skills, leadership activities, and the ability to work as part of a team.

Section Number/Title:	IV. Educational Program
Subsection Number/Title:	4.2 Undergraduate Program

Subsection Reference Number:	4.2.1 Undergraduate Admission
Line Reference Number(s):	Page 23: 6-9

Requirement: Each institution **must** regularly evaluate its admission policies. It **is the responsibility** of the institution to ensure that its recruiting activities and materials accurately and truthfully portray the institution.

Status: **In compliance**

Evidence: Bylaws of Emory College Faculty [131]; Business School Web Site: http://goizueta.emory.edu/ [144]; Business School Printed Materials [75, 30 & Appendix E]; Admission Application for the School of Nursing [137]; School of Nursing Viewbook for Applicants [145]; LCME Institutional Self-Study, Section V, p.17 [Appendix S]; School of Medicine Bulletin [Appendix V]; http://www.emory.edu/WHSC/MED/TEACHING/admissionsreq.html [143]; Allied Health Bulletin 2001-2003, pp. 61 & 65 [Appendix N]; School of Medicine Academic Planner and Student Handbook for 2001-2002, pp. 3-4 [Appendix U]; A.M.Sc. Student Handbook, pp. 6 & 7 [Appendix M]; B.M.Sc. Student Handbook, pp. 5 & 6 [Appendix O]

Discussion: Faculty admission committees as well as admission staff of each college and school review admission policies annually. Likewise, web materials and printed applications and materials are reviewed and updated no less than once a year.

Medical school admission policies have recently been reviewed as part of the Liaison Committee on Medical Education accreditation process and, two years prior, by the strategic planning process within the School of Medicine.

Section Number/Title:	IV. Educational Program
Subsection Number/Title:	4.2 Undergraduate Program

Subsection Reference Number:	4.2.1 Undergraduate Admission
Line Reference Number(s):	Page 23: 10-15

Requirement: To be admitted to degree programs, applicants **must** show evidence of high school graduation or other successful experiences which reasonably predict their ability to make satisfactory progress at the institution. Each institution **must** assess and justify the appropriateness of experiences offered in lieu of a high school diploma.

Status: **In compliance**

Evidence: Emory College Course Catalog 1999-2000, pp. 288-294 [Appendix A]; Emory College Admissions Web Site (www.emory.edu/ADMISSIONS) [132]; Oxford College Catalog 2001-2002, p. 65 [Appendix D]; Business School Admissions Application & Policies [136]; LCME Institutional Self-Study, Section V., p. 17 [Appendix S]; School of Medicine Bulletin [Appendix V]; Allied Health Bulletin, 2001-2003, pp. 61 & 65 [Appendix N]; Program Brochures [146]

Discussion: Admission policies of all undergraduate colleges and schools require the submission of a secondary school transcript showing evidence of graduation. In general, Emory does not admit students who have passed a GED exam but have not graduated from high school. Home-schooled applicants must submit SAT II results for the following tests: SAT II Writing, SAT II Mathematics IIC, and an additional SAT II test of the student's choice. For admission purposes, these examination results serve as objective evidence of the students' mastery of academic subjects.

Oxford College and the programs in Radiologic Technology will accept a GED exam. At Oxford, the requirement for a transcript with a graduation date is waived for students who are early admission and

are foregoing the senior year of high school. These students present a transcript of the work completed through the eleventh grade and submit test scores.

Since students in both the business school and the nursing school are admitted as college juniors, the requirement for high school transcripts has already been met by Oxford or Emory College or superseded by transcripts showing admitted students have successfully completed two years of college-level work. The School of Medicine participates in the American Medical College Application Service (AMCAS)-participating school. Completion of the AMCAS application requires the receipt of college transcripts in the Washington office of AMCAS. Neither AMCAS nor the medical school requires a high school transcript.

Section Number/Title:	IV. Educational Program
Subsection Number/Title:	4.2 Undergraduate Program

Subsection Reference Number:	4.2.1 Undergraduate Admission
Line Reference Number(s):	Page 23: 16-21

Requirement: Procedures established for implementation of institutional admission policies **must** be followed for the admission of all students. The institution **must** provide evidence that it selects students whose interests and capabilities are consistent with the admission policies.

Status: **In compliance**

Evidence: Emory College Admissions Annual Report 2001 [129]; Emory College Student Files (on file in Office of the Dean); Oxford College Catalog 2001-2002, p. 65 [Appendix D]; Admissions Policies [139]; School of Nursing Catalog, pp. 8-11, 25-29 [Appendix K]; School of Nursing Internal Policy Document on Faculty Admissions Committee Procedures [147]; LCME Institutional Self-Study, Section V., p.17 [Appendix S]; School of Medicine Bulletin [Appendix V]; Allied Health Bulletin, 2001-2003, pp. 61 & 65 [Appendix N]; Program Brochures [146]

Discussion: The admission committees of all schools and colleges follow internal procedures for all admissions decisions. All applications go through a consistent process and are reviewed equally based upon their academic and personal credentials.

The Emory College annual report on admitted students will show that admission policies are followed. Enrolled students have records of academic, extra-curricular, and service performance consistent with admission policies. A graduation rate of 85 percent in five years, retention rate of 92 percent of freshmen returning for sophomore year, admissions to graduate and professional schools, winners of national prizes and fellowships, and so forth provide further proof that Emory students are meeting admissions expectations. In the nursing school, between 92 percent and 98

percent of bachelor's degree graduates pass the licensure exam the first time.

Failure to complete medical school at Emory occurs at less than 3 percent of each class. Emory medical students routinely score among the highest national percentiles on the U.S. Medical Licensing Examination (national boards). Medical graduates match for the top residency programs in the country. More than 60% match their first choice of residencies, and more than 75% match their first or second choice on average. These figures clearly indicate that Emory's undergraduate programs select students whose interests and capabilities are consistent with admissions policies.

Section Number/Title: IV. Educational Program

Subsection Number/Title: 4.2 Undergraduate Program

Subsection Reference Number: 4.2.1 Undergraduate Admission

Line Reference Number(s): Page 23: 23-33

Requirement: An institution **must** clearly define and publish its policy on the admission of transfer students. The policy **must** include the following: the requirement for official transcripts of credits earned from all institutions of higher education previously attended; qualitative and quantitative criteria determining the acceptability of transfer work; criteria regarding the award of advanced standing, whether by credit earned at another institution, by advanced placement examinations, or through experiential learning; and conditions governing admission in good standing, admission on probation, and provisional admission**.**

Status: **In compliance**

Evidence: Emory College Course Catalog 1999-2001, pp. 288-294 [Appendix A]; Emory College Admissions Web Site (www.emory.edu/ADMISSIONS) [132]; Oxford College Catalog 2001-2002, p. 67 [Appendix D]; Business School Admissions Application & Policies [136]; B.B.A. Program Catalog [Appendix E]; School of Nursing Catalog, pp. 8-12, 25-29 [Appendix K]; School of Nursing Viewbook for Applicants [145]; Admissions Application for the School of Nursing [137]; School of Medicine Bulletin, p.19 [Appendix V]; Allied Health Bulletin 2001-2003, p. 65 [Appendix N]; A.M.Sc. Student Handbook, p. 26 [Appendix M]; B.M.Sc. Student Handbook, p. 26 [Appendix O]

Discussion: Emory College, Goizueta Business School, and the School of Nursing welcome applications from junior college graduates and transfer students from other accredited universities or colleges. The criteria are outlined in the undergraduate catalogs, bulletins, and student handbooks.

Transfer students must have voluntarily withdrawn from their previous school and be eligible to return as students in good standing. Emory requires that transfer students submit official transcripts from all universities attended. Evaluation of credit occurs after applicants have been admitted. A maximum of sixty-four semester hours of work completed elsewhere can be credited toward Emory degree requirements. The work must be college-level work in fields offered by Emory, and a grade of C or better must have been earned in the courses. The rules for transferring college course credit and Advanced Placement or International Baccalaureate test credit are the same as the rules for students entering as freshmen. Transfer students may have waived requirements to complete freshman seminars and some writing and physical education requirements, depending on their class standing when admitted.

Emory only admits transfer students in good academic standing; students are not admitted with deficiencies or on provisional status.

The nursing and business schools admit only junior-level students. Thus, no student is enrolled who has not already finished the first two years of general education requirements.

The medical school accepts a very limited number of students for transfer into the third year, only after students have successfully completed the basic science portions of the medical curriculum at another U.S. accredited medical school. Additionally, students must pass Step I of the United States Medical Licensing Examination, as is required of Emory medical students. As part of the transfer application, students must submit transcripts from their pre-clinical medical school experience, a letter indicating their standing at their medical school, and their initial medical school application (including undergraduate transcripts, Medical College Admission Test scores, and letters of recommendation).

In the Programs in Radiologic Technology, courses will be accepted from regionally accredited institutions and Joint Review Committee on Education in Radiologic Technology (JRCERT)-accredited medical imaging programs. Course work taken at foreign universities must be evaluated for equivalency to course work taken at universities in the United States and are then considered.

Section Number/Title: IV. Educational Program

Subsection Number/Title: 4.2 Undergraduate Program

    Subsection Reference Number: 4.2.1 Undergraduate Admission

    Line Reference Number(s): Page 23: 35-41;24:1-29

Requirement: Institutions which award credit based on advanced placement or other examinations; training provided by non-collegiate institutions, such as armed forces and service schools; professional certification; or experiential learning **must** meet the following conditions governing the award of such credit:

1. The amount of credit awarded is clearly stated and is in accord with commonly accepted good practice in higher education. Credit is awarded only in areas offered within the current curriculum of the institution, and is appropriately related to the student's educational program.

2. Decisions regarding the awarding of credit and the determination of such credit are made by qualified faculty members at the institution, or according to procedures and standards approved by qualified faculty. The institution demonstrates that assessment procedures verify that credit awarded is appropriate.

In awarding credit for prior experiential learning, the institution **must** (1) award credit only for documented learning which demonstrates achievement of all outcomes for specific courses in an approved degree program; (2) award credit only to matriculated students, identify such credit on a student's transcript as credit for prior experiential learning and, upon request from another institution, document how such learning was evaluated and the basis on which such credit was awarded; (3) ensure that credit for prior experiential learning does not duplicate credit already awarded or remaining courses planned for a student's academic program; (4) adopt, describe in appropriate institutional publications, implement and regularly review policies and procedures for awarding credit for experiential learning; and (5) clearly describe, and establish validity of, the evaluation process and criteria for awarding credit for prior experiential learning.

Status: **In compliance**

Evidence: Emory College Course Catalog 1999-2001, pp. 288-94, 309-31
[Appendix A]; Freshman Advising and Mentoring Experience
(FAME) Advisor's Handbook, 2001 [148]; Emory College
Admissions Web Site (www.emory.edu/ADMISSIONS) [132];
Oxford College Catalog 2001-2002 [Appendix D]; Business School
Admissions Application & Policies [136]; LCME Institutional Self-
Study [Appendix S];
http://www.emory.edu/WHSC/MED/SURGERY/resident_book/m_o
ral.html [149]; Allied Health Bulletin 2001-2003, pp. 61 & 65
[Appendix N]; B.M.Sc. Student Handbook, p. 26 [Appendix O]

Discussion: Emory offers credit to entering freshmen who have earned scores of
4 or 5 on the College Board Advanced Placement (AP) tests. Emory
also awards credit for International Baccalaureate (IB) scores of 5 or
greater on a higher level test in fields offered at Emory. Course
equivalencies for both the AP and IB tests have been recommended
by faculty of individual academic departments and approved by the
Committee on Admissions and Scholarships. Students who receive
IB or AP credit are exempt from equivalent courses and will satisfy
whatever general education requirements are fulfilled by those
equivalent courses.

In general in the M.D. program, advanced credit is not granted for
students enrolling in Emory University School of Medicine. One
program, a combined Oral Surgery/M.D. degree program, is offered
to students who have successfully completed dental school and are
enrolled in the Emory University Oral and Maxillofacial Surgery
Residency Training Program. These students are accepted into the
second year of medical school, since dental schools require a basic
science curriculum very similar to that offered in schools of
medicine. The combined Oral Surgery/M.D. students must pass Step
I of the United States Medical Licensing Examination (USMLE) to
continue into the third year of medical school, and must pass Step II
of the USMLE to graduate with the M.D. degree.

Students enrolling in the first year of medical school are allowed to
forego a basic science course only rarely, after review of their
previous course work by the director of the course in question and
the Office of the Executive Associate Dean of Medical Education. A

student with a previous doctorate in biochemistry may be allowed, after review, to be given credit for the medical biochemistry course.

Graduates of non-collegiate JRCERT-accredited medical imaging technology programs will be awarded a block credit of forty-eight semester hours of academic credit toward the B.M.Sc. degree. The amount of credit awarded has been clearly stated in the allied health bulletin and the student handbook. The amount of credit awarded was initially evaluated by program faculty and the Advisory Committee on Health Professions Education Programs and ultimately approved by School of Medicine.

Emory does not award credit for prior experiential learning.

Section Number/Title:	IV. Educational Program
Subsection Number/Title:	4.2 Undergraduate Program

Subsection Reference Number:	4.2.1 Undergraduate Admission
Line Reference Number(s):	Page 24: 30-39

Requirement: The institution **must** inform transfer students of the amount of credit which will transfer, preferably prior to their enrollment, but at least prior to the end of the first academic term in which they are enrolled.

Course work transferred or accepted for credit toward an undergraduate degree **must** represent collegiate course work relevant to the degree, with course content and level of instruction resulting in student competencies at least equivalent to those of students enrolled in the institution's own undergraduate degree programs.

Status: **In compliance**

Evidence: Emory College Course Catalog 1999-2001, pp. 288-294, 309-315 [Appendix A]; Emory College Admissions Web Site (www.emory.edu/ADMISSIONS) [132]; Oxford College Catalog 2001-2002 [Appendix D]; Business School Admissions Application & Policies [136]; School of Nursing Catalog, pp. 11-12 [Appendix K]; School of Nursing Viewbook for Applicants [145]; Nursing School Transfer Evaluation Form for Incoming Students [150], Nursing School Credentialing Letter Sent to Student [151]; School of Medicine Bulletin [Appendix V]; Allied Health Bulletin 2001-2003, p. 65 [Appendix N]; JRCERT *Standards for an Accredited Educational Program in Radiologic Sciences* [152]

Discussion: Emory's Office of Undergraduate Admission provides admitted students with guidelines for accepting credit. Emory College allows students to bring in no more than sixty-four total credit hours from transfer credit and Advanced Placement or International Baccalaureate test credit. Transferable credit must be from an accredited two-year or four-year college or university and must be taken on a college campus. Courses must be comparable to courses

taught at Emory. A grade of C- or better must have been earned in each course transferred. Courses taken on a pass/fail basis do not transfer. Advanced standing by means of departmental examinations does not transfer. Equivalencies do not transfer.

For courses that meet all requirements, students will receive appropriate course credit, be exempt from equivalent courses in Emory College, and satisfy whatever general education requirements are fulfilled by those equivalent courses.

Applicants to the B.B.A. program with less than sixty transferable semester hours do not have junior standing and will be advised to apply to Emory College rather than the business school. The applicant's admission letter clearly stipulates the number of hours the student will need to complete requirements for the degree.

Applicants to transfer into the nursing school receive letters reviewing their progress on prerequisites, as well as the opportunity to meet with an individually assigned advisor.

Transfer credit is not accepted for students enrolling in the School of Medicine, except for students who transfer into the third year class as stated above, or for students in the joint Oral Surgery/M.D. program.

Course work in the B.M.Sc. program may only be transferred into the A.M.Sc. Program of Radiologic Technology from a Joint Review Committee on Education in Radiologic Technology (JRCERT)-accredited, collegiate medical imaging program.

Course work may only be transferred into the B.M.Sc. Medical Imaging Technology Program under two circumstances. First, core curriculum classes may be transferred into the program under the specific conditions outlined in the allied health bulletin and student handbook. Courses must be transferred from a regionally accredited college or university, and only those courses in which a grade of "C" or better was received are eligible for transfer. Second, forty-eight hours of block credit may be awarded to students who have completed a JRCERT-accredited, non-collegiate medical imaging program.

Section Number/Title: IV. Educational Program

Subsection Number/Title: 4.2 Undergraduate Program

Subsection Reference Number: 4.2.1 Undergraduate Admission

Line Reference Number(s):   Page 25: 6-10

Requirement: There **must** be clearly defined policies regarding the academic dismissal, suspension and readmission of students. Readmission of students dismissed or suspended for academic reasons **must** be consistent with the academic policies of the institution.

Status: **In compliance**

Evidence: Emory College Course Catalog 1999-2001, pp. 316; 320-321 [Appendix A]; Oxford College Catalog 2001-2002 [Appendix D]; B.B.A. Program Catalog [Appendix E]; School of Nursing Undergraduate Student Handbook, pp.13-15, 31-34 [138]; School of Medicine Bulletin [Appendix V]; School of Medicine Academic Planner and Student Handbook for 2001-2002 [Appendix U]; Allied Health Bulletin 2001-2003, p. 62 [Appendix N]; A.M.Sc. Student Handbook, pp. 25 & 26 [Appendix M]; B.M.Sc. Student Handbook, pp. 25 & 26 [Appendix O]

Discussion: Each undergraduate program places on probation any student who is not making expected progress toward a degree and is in danger of exclusion, according to its own, faculty-adopted regulations. The conditions under which a student is placed on probation are explicitly defined in the undergraduate catalogs, bulletins, and handbooks. Students who have been placed on probation are notified by letter and are encouraged to meet with an academic dean about their probationary status.

Students may be excluded from Emory if their GPAs drop below a standard set by the faculty of their school. Students may petition the appropriate faculty governing committee for readmission after sitting out a semester. In the School of Medicine, students must re-apply to medical school in order to be re-admitted. Readmitted students who

fail to meet the conditions for readmission set by the committee may be permanently excluded from Emory. Students who fail to meet continuation requirements for promotion to the next class after three semesters in that class are also permanently excluded from Emory. Students who are excluded, either for one term or permanently, are notified of that exclusion by mail.

Southern Association of Colleges and Schools
Emory University
Reaffirmation of Accreditation – 2003
Compliance Audit Report

Section Number/Title: IV. Educational Program

Subsection Number/Title: 4.2 Undergraduate Program

Subsection Reference Number: 4.2.2 Undergraduate Completion
                                      Requirements

Line Reference Number(s):   Page 25: 11-20

Requirement: In each degree program, there **must** be an appropriate sequence of courses leading to the degree. An institution **must** publish the requirements for each degree it awards. The requirements **must** be appropriate to the degree offered and **must** specify the total credits, the number and distribution of general education credits, the number of credits to be earned in the major or area of concentration, the number of electives, standards for satisfactory progress, and other degree requirements.

Status: **In compliance**

Evidence: Emory College Course Catalog 1999-2001, pp. 14-17; 309; 316-322 [Appendix A]; Oxford College Catalog 2001-2002, pp. 10-13 [Appendix D]; Oxford Graduation Evaluation Form [153]; B.B.A. Degree Requirements (in Catalog and on Web Site [Appendix E & 144]; B.B.A. Sample Degree Audit [154]; School of Nursing Catalog, pp. 10-15 [Appendix K]; School of Medicine Bulletin [Appendix V]; School of Medicine Academic Planner and Student Handbook for 2001-2002 [Appendix U]; Allied Health Bulletin 2001-2003, p. 65 [Appendix N]; A.M.Sc. Student Handbook, p. 27 [Appendix M]; B.M.Sc. Student Handbook, p. 26 [Appendix O]; Program Brochures [146]; Radiologic Technology Web Site: http://radtech.radiology.emory.edu [155]

Discussion: The course catalogs, bulletins, and handbooks for each undergraduate program list the program of courses leading to the degrees offered. The faculty of each school and college has determined the sequence of courses. There are three categories of

requirements: academic and physical education credits, distribution, and major requirements. Requirements for maintaining academic good standing increase from the first through the final undergraduate year. There are also residency requirements for the College.

The norm for schools awarding the baccalaureate degree is to require students to complete general education requirements and a major. Emory College requirements for students stress writing, foreign language, and formal thought; breadth across the liberal arts and sciences, attained through the general education requirements; and depth in a specific field, achieved in the major field of study. Students completing the bachelor of science degree must select a major within the sciences or mathematics. Students completing the bachelor of arts degree must select a major appropriate for that degree.

Students participating in combined degree programs earn either the bachelor of arts or the bachelor of science degree from Emory College and a professional or advanced degree from another division of Emory University or from the Georgia Institute of Technology. These programs include the dual degree program in engineering and the advanced master's program with the Graduate School of Arts and Sciences.

To receive the A.A. degree from Oxford College and to continue to Emory College, students must complete sixty-seven semester hours, subject to the requirements stated in the Distribution Requirements and the General Education Requirements. These are clearly stated in the Oxford College catalog (2001-02) on pages 10 through 13. Oxford's graduation requirements partially fulfill Emory College's general education requirements for bachelor's degrees. The Oxford Graduation Evaluation form clearly attests to the relationship between the requirements of the two schools.

The B.B.A. program requires 138 total hours towards the bachelor of business administration degree. Of these, sixty-four are completed in Emory College, Oxford College, or, in the case of transferring students, an appropriate institution of undergraduate education. Seventy-four hours must be completed in the Goizueta Business School, as outlined in the B.B.A. course catalog.

The B.S.N. degree requires 120 semester hours of course work, sixty hours of which are completed at an appropriate undergraduate

institution. At least sixty hours of baccalaureate-level nursing courses are required as outlined in the School of Nursing course catalog.

Courses for the M.D. program meet all requirements for guidelines set forth by the Association of American Medical Colleges and the Liaison Committee on Medical Education. Elective opportunities are posted on the Office of Medical Education and Student Affairs (OMESA) web site with clear indication which are available to Emory students and which are available to students at other institutions.

The Programs in Radiologic Technology have a clearly defined course sequence for each program and meet all criteria in terms of total credits required and the distribution of credits.

Section Number/Title:	IV. Educational Program
Subsection Number/Title:	4.2 Undergraduate Program

Subsection Reference Number:	4.2.2 Undergraduate Completion Requirements
Line Reference Number(s):	Page 25: 21-27

Requirement: Undergraduate degree programs **must** contain a basic core of general education courses. A minimum of 15 semester hours for associate programs and a minimum of 30 semester hours for baccalaureate programs **are required** for degree completion. The core **must** include at least one course from each of the following areas: humanities/fine arts, social/behavioral sciences, and natural sciences/mathematics.

Status: **In partial compliance**

Evidence: Emory College Course Catalog 1999-2001, pp. 309-316 [Appendix A]; Oxford College Catalog 2001-2001, pp. 10-13 [Appendix D]; Oxford Graduation Evaluation Form [153]; School of Nursing Catalog, pp. 11-12 [Appendix K]; School of Medicine Bulletin [Appendix V]; School of Medicine Academic Planner and Student Handbook for 2001-2002 [Appendix U]; Allied Health Bulletin 2001-2003, pp. 61 & 65 [Appendix N]; A.M.Sc. Student Handbook, pp. 48-52 [Appendix M]; B.M.Sc. Student Handbook, pp. 63 & 64 [Appendix O]; Allied Health Course Syllabus [156]; School of Medicine Course Syllabi [157]

Discussion: All undergraduate programs, including the associate's degree program, require at least thirty semester hours of general education courses. The requirements for the A.A. degree from Oxford have a minimum of thirty-six semester hours of core general education courses (three courses from each academic division). They include three courses from humanities/fine arts, three from social/behavioral sciences, and three from natural sciences/mathematics. All business

and nursing students fulfill the general education requirements of
Emory College as outlined in Section 4.2.1 above.

The A.M.Sc. degree Program of Radiologic Technology, at present,
does not require the basic core curriculum courses and is, therefore,
non-compliant at this time. A proposal is being drafted to change
admission requirements to include the basic core curriculum courses
as prerequisite for admission into the program. Upon approval, these
requirements will be incorporated into the next admissions cycle.

Section Number/Title: IV. Educational Program

Subsection Number/Title: 4.2 Undergraduate Program

      Subsection Reference Number: 4.2.2 Undergraduate Completion
                                               Requirements

      Line Reference Number(s):   Page 25: 29-32

Requirement: The institution **must** demonstrate that its graduates of degree programs are competent in reading, writing, oral communication, fundamental mathematical skills and the basic use of computers.

Status: **In compliance**

Evidence: Emory College Course Catalog 1999-2001**,** pp. 309-315 [Appendix A]; LearnLink Web Site http://www.learnlink.emory.edu/ [158]; Oxford College Catalog 2001-2002, p. 82 [Appendix D]; Oxford Faculty Survey and Summary Results [159]; B.S.N. Program Outcomes [160]; School of Medicine Bulletin [Appendix V]; School of Medicine Academic Planner and Student Handbook for 2001-2002 [Appendix U]; Allied Health Bulletin 2001-2003, pp. 61 & 65 [Appendix N]; A.M.Sc. Student Handbook, pp. 48-52 [Appendix M]; B.M.Sc. Student Handbook, pp. 63 & 64 [Appendix O]; Allied Health Course Syllabus [156]; School of Medicine Course Syllabi [157]

Discussion: While Emory is certain its graduates are competent in these five areas, that competence is measured in different ways across the undergraduate program.

                        Reading and writing proficiency are admission requirements for all colleges and schools. Additionally, reading is necessary in virtually all liberal arts and sciences courses. Competence is measured by grades on course assignments, which are based largely on reading. A freshman writing requirement reinforces writing as an essential skill. In addition, students must complete three post-freshman writing requirements. Every student must satisfactorily complete

three writing-intensive courses after the freshman year; two of these courses must be completed before the senior year.

As recent undergraduate course syllabi show, in most courses students are graded on their oral participation. Many instructors require individual or group presentations; other courses require students to interact with their instructors or have oral exams.

The proficiency requirement in mathematics goes beyond fundamental skills. Students must earn a passing grade in a course in quantitative methods.

Each year, computer technology is increasingly integrated into course work. Most students enroll at Emory already comfortable with computers. All students use LearnLink, our custom designed e-mail and conferencing system. Designed to bring together faculty, staff, and students for both academic and extracurricular activities, LearnLink integrates a variety of personal and community-wide tools and services.

Students must access the Internet to use our on-line registration and student information system (OPUS—On-line Pathway to University Students). Use of the Library's computer-based catalog and the language labs are other common ways by which students become competent.

Some schools provide more specific computer training. In the business school, for example, the junior seminars include instruction in Excel, Powerpoint, and web design. The B.M.Sc. program requires students to gain computer skills in courses such as RADT 240: Computer Applications in Radiologic Technology.

Section Number/Title:	IV. Educational Program
Subsection Number/Title:	4.2 Undergraduate Program

Subsection Reference Number:	4.2.2 Undergraduate Completion Requirements
Line Reference Number(s):	Page 25: 33-37

Requirement: An institution **must** clearly define what is meant by a major or an area of concentration and **must** state the number of credits required for each. An adequate number of hours with appropriate prerequisites **must** be required in courses above the elementary level.

Status: **In compliance**

Evidence: Emory College Course Catalog 1999-2001**,** pp. 49-287 [Appendix A]; Oxford College Catalog 2001-2002 [Appendix D]; B.B.A. Program Catalog [Appendix E]; B.B.A. Area Depth Sheet [161]; Business School Web Site: http://goizueta.emory.edu/ [144]; http://www.learnlink.emory.edu/ (FirstClass Conference) [158]; School of Nursing Catalog, pp. 14-15 [Appendix K]; Allied Health Bulletin 2001-2003, pp. 61 & 65 [Appendix N]; A.M.Sc. Student Handbook, pp. 5 & 27 [Appendix M]; B.M.Sc. Student Handbook, pp. 6 & 26-27 [Appendix O]; Program Brochures [146]

Discussion: Course catalogs, bulletins, and handbooks from each school and college provide definitions of majors and minors and the credits required. The curricula for all departments offering majors or minors require prerequisites for courses above the elementary level. Each undergraduate department or program has a stated requirement of upper-level courses for their major or minor. Students in Oxford College and the medical school do not complete a major or area concentration.

In the B.B.A. program, faculty in each area determine the area depths. Each depth includes a minimum of three electives beyond the core class. Faculty in each area evaluate the elective offerings on

an annual basis and may make modifications to the depths as deemed necessary.

The B.S.N. degree requires 120 semester hours: sixty in general education and sixty in the nursing major. All courses in nursing are at the junior and senior level.

The Programs in Radiologic Technology clearly define the majors in both programs of study. Program and institutional publications explicitly state credit hour and graduation requirements. The number of credit hours required for the A.M.Sc. and B.M.Sc. degrees complies with accreditation standards.

Section Number/Title: IV. Educational Program

Subsection Number/Title: 4.2 Undergraduate Program

      Subsection Reference Number: 4.2.2 Undergraduate Completion
                                                    Requirements

      Line Reference Number(s):   Page 25:38-39; 26:1-2

Requirement: For degree completion, at least 25 percent of semester credit hours, or the equivalent quarter hours, **must** be earned through instruction by the institution awarding the degree.

Status: **In compliance**

Evidence: Emory College Course Catalog 1999-2001, pp. 292, 307, 317 [Appendix A]; Oxford College Catalog 2001-2002, p. 82 [Appendix D]; B.B.A. Residency and Curricular Requirements (in Catalog) [Appendix E]; School of Nursing Catalog, p. 15 [Appendix K]; School of Medicine Bulletin [Appendix V]; School of Medicine Academic Planner and Student Handbook for 2001-2002 [Appendix U]; Allied Health Bulletin 2001-2003, pp. 62 & 65 [Appendix N]; A.M.Sc. Student Handbook, pp. 26-27 [Appendix M]; B.M.Sc. Student Handbook, pp. 26-27 [Appendix O]

Discussion: All students, except those noted below, are required to earn at least sixty-four credits at Emory College. Oxford College students earning the associate of arts degree and continuing in Emory College must complete at least three semesters of residence and earn at least fifty-four semester hours of credit in Emory College.

              The last eight semester hours must be taken at Oxford or in Emory summer school to complete Oxford's residency requirement. For transfer students, a minimum of thirty-five semester hours (approximately 52 percent) must be completed at Oxford.

              Four semesters of residency are required in the business school, although one of these may be at an approved school abroad. In all cases, students receiving the B.B.A. degree from the Goizueta

Business School complete three semesters of residency and an absolute minimum of fifty-two hours, or 38 percent of 138 hours. Of the required sixty semester hours of nursing, forty-five semester hours must be earned at Emory.

For completion of both the A.M.Sc. and B.M.Sc. degree programs, students must meet a minimum residency requirement of three semesters. In the A.M.Sc. program, this would constitute completion of 50 percent of the semester credit hours. In the B.M.Sc. degree program, completion of forty-six semester hours of program course work is required while in residence.

Section Number/Title: IV. Educational Program

Subsection Number/Title: 4.2 Undergraduate Program

Subsection Reference Number: 4.2.2 Undergraduate Completion
                                             Requirements

Line Reference Number(s):   Page 26: 3-9

Requirement: All courses, other than those identified by the institution as developmental/remedial, offered by an institution for credit **must** be acceptable as requirements or electives applicable to at least one of its own degree programs or **must** be clearly identified on transcripts as not applicable to any of the institution's own degree or certificate programs.

Status: **In compliance**

Evidence: Emory College Transcript [162]; Oxford College Catalog 2001-2002 [Appendix D]; B.B.A. Program Catalog [Appendix E]; School of Medicine Bulletin [Appendix V]; School of Medicine Academic Planner and Student Handbook for 2001-2002 [Appendix U]; Allied Health Bulletin, pp. 62 & 65 [Appendix N]; A.M.Sc. Student Handbook, pp. 26-27 [Appendix M]; B.M.Sc. Student Handbook, pp. 26-27 [Appendix O]

Discussion: All credit courses are applicable to at least one degree. Oxford College courses that do not fulfill a distribution requirement are designated as such in the catalog description.

Section Number/Title:	IV. Educational Program
Subsection Number/Title:	4.2 Undergraduate Program

Subsection Reference Number:	4.2.3 Undergraduate Curriculum
Line Reference Number(s):	Page 26: 10-18

Requirement: Curricula must be directly related and appropriate to the purpose and goals of the institution and the diplomas, certificates, or degrees awarded; to the ability and preparation of the students admitted; and to the financial and instructional resources of the institution.
The institution must have a clearly defined process by which the curriculum is established, reviewed, and evaluated. This process must recognize the various roles of the faculty, the administration, and the governing board.

Status: **In compliance**

Evidence: Emory College Course Catalog 1999-2001 [Appendix A]; Bylaws of Emory College Faculty [131]; Sample Minutes of Emory College Standing Committees [163]; Oxford College Catalog 2001-2002, pp. 10-13 [Appendix D]; Oxford College of Emory University Faculty Bylaws (revised September 1997), in the Faculty Handbook, Section 2a [164]; Oxford College Academic Policy and Planning Committee (APPC) Forms for New Courses and Course Changes [165]; Business School Faculty Handbook [166]; School of Nursing Catalog, pp. 3,7, 8-12 [Appendix K]; CCNE Self Study 1999, pp. 7-9 [167]; School of Nursing Faculty Handbook 2002 [168]; School of Medicine Executive Curriculum Committee [169]; OMESA Annual Report [170]; LCME Institutional Self-Study [Appendix S]; Allied Health Bulletin 2001-2003, pp. 61-67 [Appendix N]; School of Medicine Academic Planner and Student Handbook for 2001-2002, pp. 3-4 [Appendix U]; A.M.Sc. Student Handbook, pp. 5-7 & 48-52 [Appendix M]; B.M.Sc. Student Handbook, pp. 5-6 & 63-64 [Appendix O]; School of Medicine Master Plan of Evaluation [171]; School of Medicine Course Evaluation Form [172]; School of Medicine Faculty Evaluation Form (PBL) [173]

Discussion:

The undergraduate curricula accord with the university mission in four essential regards: 1) they recognize the traditional arts and sciences as the core of higher education through a broad-based general introduction to human inquiry and a more in-depth exposure to at least one particular field of knowledge; 2) they promote both the transmission of knowledge and the creation of new knowledge; 3) they view the cultivation of the mind as fundamental to self-advancement and the common good; and 4) they are designed to demonstrate a standard of academic excellence that will guide undergraduates in the ongoing development of their intellectual, aesthetic, moral, and spiritual capacities. These purposes make the curricula fully appropriate to the B.A. and B.S. degrees awarded by Emory College.

In the nursing school, the curriculum is based on a set of outcome behaviors that grow out of the school's mission, goals, and philosophy. Course outcomes can be directly related to the program outcomes, and learning activities are planned that help students achieve outcome objectives. Ultimately the composite of learning experiences prepares the students for licensure examinations and for entry into practice as professional nurses.

The mission of the School of Medicine includes the following objectives: to provide outstanding programs in health and biomedical sciences; to teach the highest standards of professionalism and ethical behavior; and to develop outstanding clinicians who provide quality patient care.

The program of the School of Medicine leading to the M.D. degree meets these objectives by providing a curriculum designed to provide a comprehensive foundation in the basic and clinical sciences. Professionalism is addressed at annual class orientations and is encouraged through a voluntary mentoring program subscribed to by over 90 percent of our students in the first and second years of medical school. Professionalism is also specifically evaluated on all of the clinical clerkships.

The A.M.Sc. degree program presents a curriculum based on ASRT's *Professional Curriculum for Radiographers* and prepares the student for successful clinical practice. The curriculum is sequenced so that students are first introduced to basic concepts upon which more complex ideas can be built. As students progress through the

curriculum, they gain the knowledge and skills necessary to become competent radiologic technologists.

The B.M.Sc. degree program presents a curriculum that prepares students for success as radiologic science educators. The curriculum combines advanced level courses in radiologic science with fundamental courses in pedagogy. Students enrolled in the program are provided opportunities in both clinical and didactic teaching.

The primary responsibility for establishing, reviewing, and evaluating undergraduate curricula in the arts and sciences rests with the faculty of each college or school. Curricula are reviewed and evaluated regularly at three levels: the individual units, standing committees of the faculty, and the faculty as a whole. Departments and programs are responsible for continuing assessment of their course offerings and their major and minor concentrations. Faculty committees charged with curricular oversight must approve all additions, deletions, or changes in course offerings proposed by the academic units, and they must approve any new majors or minors, the discontinuation of any major or minor, and any changes in the requirements for a major or minor.

Decisions about the allocation of resources to support existing or proposed programs rest with the deans in consultation with the faculty. The dean of the medical school, with the accord of the Council of Chairs of the school, approves the degree programs offered by the School of Medicine.

Curriculum review is a continuous process. All faculty members review their individual courses each semester to insure that appropriate content is taught and effective methodologies are used. Each course is also reviewed at faculty meetings.

Formal curriculum revision is carried out through a formal process involving multiple stages of review by several faculty committees and administrators.

Section Number/Title: IV. Educational Program

Subsection Number/Title: 4.2 Undergraduate Program

Subsection Reference Number: 4.2.3 Undergraduate Curriculum

Line Reference Number(s): Page 26: 20-28

Requirement: For each major in a degree program, the institution **must** assign responsibility for program coordination, as well as for curriculum development and review, to persons academically qualified in the field. At least one full-time faculty member with appropriate credentials, as defined in Section 4.8.2, **must** have primary teaching assignment in the major. In those degree programs for which the institution does not identify a major, the above requirements apply to a curricular area or a concentration.

Status: **In compliance**

Evidence: Emory College Course Catalog 1999-2001 [Appendix A]; Emory College Annual Report, 2000-2001 [115]; School of Nursing Catalog [Appendix K]; Nursing Faculty CV's (on file in the Office of the Dean); School of Medicine Executive Curriculum Committee [169]; OMESA Annual Report [170]; LCME Institutional Self-Study [Appendix S]; School of Medicine (SOM) Faculty Curriculum Vitae (on file in the Office of the Dean); School of Medicine Master Plan of Evaluation [171]

Discussion: In Emory College, department faculty are responsible for coordinating all departmental major programs. Interdisciplinary major programs are the responsibility of designated program faculty members from various "home" departments. All major programs have more than one regular faculty member, with appropriate credentials, assigned to the teaching functions of the program.

While undergraduate programs outside Emory College do not have formal majors, program coordination, curriculum development, and review in each area are coordinated by a fully qualified faculty area

coordinator. Qualified faculty members teach in areas appropriate to their training and background.

Section Number/Title:	IV. Educational Program
Subsection Number/Title:	4.2 Undergraduate Program

Subsection Reference Number:	4.2.3 Undergraduate Curriculum
Line Reference Number(s):	Page 26: 29-39; 27: 1-2

Requirement: The governing board **must** be responsible for approving the number and types of degrees; the number and nature of departments, divisions, schools, or colleges through which the curriculum is administered; and the extent to which the institution should offer distance learning programs.

The administration and faculty **must** be responsible for the development of academic programs recommended to the governing board. They **are also responsible** for implementing and monitoring the general curriculum policy and the academic programs approved by the board. There should be an institution-wide process to coordinate programmatic and curricular changes.

Status: **In compliance**

Evidence: Bylaws of Emory University [17]; University Faculty Handbook [Appendix Z]; Emory College Course Catalog 1999-2001 [Appendix A]; Emory College Annual Report, 2000-2001 [115]; Bylaws of Emory College Faculty [131]; Graduate School of Arts and Sciences (GSAS) Course Atlas [175]; School of Nursing Faculty Handbook 2002, Policy on Curricular Changes [168]; CCNE Self Study 1999, Volume 2, Appendix B - Evaluation Plan [167]; School of Medicine Executive Curriculum Committee [169]; OMESA Annual Report [170]; LCME Institutional Self-Study [Appendix S]; School of Medicine Master Plan of Evaluation [171]

Discussion: Ultimately for all the schools and colleges, the Board of Trustees ratifies the number or types of degrees and the number and nature of academic departments through which the curriculum is administered. General curriculum policy and the approved academic programs are implemented and monitored by the faculty and administration.

The provost is the principal academic officer of the university under the president and is responsible for academic program development and management, evaluation and review, and strategic academic planning, including implementing and monitoring the general curriculum policy and the academic programs approved by the board.

The University does not offer distance learning programs at the undergraduate level.

Section Number/Title: IV. Educational Program

Subsection Number/Title: 4.2 Undergraduate Program

Subsection Reference Number: 4.2.3 Undergraduate Curriculum

Line Reference Number(s):   Page 27: 12-21

Requirement: Curricula intended to provide basic preparation for students who will subsequently transfer to another institution **must** be designed to consider the institutions to which these students transfer. Associate and baccalaureate degree-granting institutions should work cooperatively to develop articulation agreements. The agreements should be evaluated periodically to ensure an equitable and efficient transfer of students. "Inverted," "two plus two," and similar programs **must** include an adequate amount of advanced course work in the subject field.

Status: **In compliance**

Evidence: Georgia Tech Dual Degree Program [176]; B.B.A. Study Abroad Guidelines [177]; JRCERT *Standards for an Accredited Educational Program in Radiologic Sciences* [152]

Discussion: All students in Emory College are admitted with the expectation that they will complete a B.A., a B.S., a B.B.A., or a B.S.N. The College has no programmatic partnerships with secondary schools. Oxford College grants only one degree, the A.A.

Currently, the undergraduate programs have not entered into any programmatic partnerships with secondary schools, nor have articulation agreements been developed with other institutions.

However, the Goizueta Business School does have a relationship with Oxford College that includes pre-B.B.A. academic advising of Oxford students and multiple opportunities for interaction between Oxford students and members of the Goizueta program.

In cooperation with the Georgia Institute of Technology, Emory College offers a dual degree. The business school honors this agreement and provides counseling and academic flexibility to allow students interested in combining business with engineering the option of participating in the dual degree program. The programs offer students well-rounded knowledge in the liberal arts and business while preparing them in science and math for a pre-engineering background, leading to study at the Georgia Institute of Technology.

The 3-2 program leads to two undergraduate degrees: a bachelor's in business administration from Emory and a bachelor of science in engineering in any of the engineering disciplines from the Georgia Institute of Technology.

Section Number/Title:	IV. Educational Program
Subsection Number/Title:	4.2 Undergraduate Program

Subsection Reference Number:	4.2.4 Undergraduate Instruction
Line Reference Number(s):	Page 27: 33-37

Requirement: Instructional techniques and policies **must** be in accord with the purpose of the institution and be appropriate to the specific goals of an individual course. Instruction **must** be evaluated regularly and the results used to ensure quality instruction.

Status: **In compliance**

Evidence: Tenure and Promotion at Emory University: Policies and Guidelines 2002 [Appendix X]; Emory College Course Catalog 1999-2001 [Appendix A]; Emory College Sample Syllabi [178]; Graduate School of Arts and Sciences (GSAS) Course Atlas [175]; Emory College Course Evaluation Forms and Statistical Summaries [179]; Description of Technologically Upgraded Classrooms: http://www.emory.edu/ITD/LT/academic.online.html [180]; Oxford College Catalog 2001-2002, pp. 10-13 [Appendix D]; Self-Study for Oxford College 1993 (pp. 14-15) [181]; Oxford Example Syllabi [182]; Student Exit Survey (on file in the Office of the Director of Academic Services, Oxford College); Oxford Faculty Survey and Summary Results [159]; Goizueta Business School (GBS) Mission Statement (short and long) [75]; GBS Faculty Evaluation Report Form [77]; GBS Course Evaluation Form [76]; GBS Faculty Evaluation Report and Form [77]; School of Nursing Program Course Syllabi [183]; Nursing School Curriculum Committee Minutes [184]; School of Nursing Evaluation Plan [185]; Summaries of Nursing School Course Evaluations [186]; Minutes of Annual B.S.N. Faculty Retreats [187]; School of Medicine Bulletin [Appendix V]; School of Medicine Academic Planner and Student Handbook for 2001-2002 [Appendix U]; LCME Institutional Self-Study [Appendix S]; School of Medicine ECC Meeting Minutes and Associated Documents [188]; Minutes of the Progress and Promotions Committee (CONFIDENTIAL, contact: Margo Kuisis, Asst. Director, Medical Educator, 404/712-8417); School of

Medicine Medical Student Demographics [124]; School of Medicine Course Syllabi [157]; School of Medicine Master Plan of Evaluation [171]; Allied Health Course Syllabus [156]; School of Medicine Course Evaluation Form [172]; School of Medicine Faculty Evaluation Form (PBL) [173]; School of Medicine Post-Graduate Program Evaluation Form [189]; American Registry of Radiologic Technologist Score Report [190]

Discussion: Teaching techniques and practices in all colleges and schools are in accord with the purpose of the University and the individual school and appropriate to the goals of courses, as an examination of course syllabi will show. In Emory College, the Curriculum Committee weighs the appropriateness of instructional technique in relation to the goals of the course. Faculty members use many different pedagogical approaches, all of which are tailored to the course objectives. In the business school, for example, faculty use educational techniques that feature interactivity, teamwork, and analysis in order to provide skills and content that ground students in the fundamental theories of business while equipping them to apply these theories to a wide range of situations. In the School of Medicine, teaching is accomplished in lectures, in problem-based interactive sessions, in laboratories, and at the bedside, and in clinics through patient care.

Students in all undergraduate programs complete anonymous course evaluations at the end of each semester. The instructor evaluation forms contain standardized and quantifiable questions concerning the course instructor and instruction. The results of these evaluations are used to ensure quality instruction with individual faculty. Every department considers the quality of teaching in its faculty review process leading to reappointment and/or tenure, and the University now requires teaching portfolios as a part of tenure files. Annually, the departments carefully review the evaluation summaries and supplementary information on all teaching personnel.

In Emory College, for example, the teaching of each full-time, tenure-track faculty member is extensively examined during the course of his or her fourth-year and tenure reviews. In addition to submitting student course evaluations, the candidate for fourth-year or promotion and tenure review must submit a teaching portfolio that details methodologies and documents success and achievement in teaching.

Section Number/Title:	IV. Educational Program
Subsection Number/Title:	4.2 Undergraduate Program

Subsection Reference Number:	4.2.4 Undergraduate Instruction
Line Reference Number(s):	Page 27: 38-39; 28: 1-6

Requirement: Students **must** be provided written information about the goals and requirements of each course, the nature of the course content, and the methods of evaluation to be employed. Methods of instruction **must** be appropriate to the goals of each course and the capabilities of the students. Experimentation with methods to improve instruction **must** be adequately supported and critically evaluated.

Status: **In compliance**

Evidence: University Advisory Council Teaching (UACT) Brochure and Web Site: http://www.emory.edu/TEACHING/ [43 & 44]; University Teaching Fund Web Site: http://www.emory.edu/SENATE/facultycou/fac_cmtes/utf_bylaws.htm [191]; Emory College Course Catalog 1999-2001 [Appendix A]; Emory College Sample Syllabi [178]; Emory College Course Atlas, Fall 2001 [310]; Letter from Oxford Dean Dana Greene dated June 20, 2001 [192]; Oxford College Selected Syllabi [182]; Oxford College Catalog 2001-2002 [Appendix D]; Oxford College of Emory University Faculty Bylaws in the Faculty Handbook [164]; Oxford College ACT Report to the Faculty (March 9, 2000, and May 3, 2000) [193]; TLT Call for Proposals (March 2, 2001) [194]; Business School Course Syllabi [195]; GBS Faculty Evaluation Report Form [77]; School of Nursing (B.S.N.) Program Course Syllabi [183]; School of Medicine Bulletin [Appendix V]; School of Medicine Academic Planner and Student Handbook for 2001-2002 [Appendix U]; LCME Institutional Self-Study [Appendix S]; School of Medicine ECC Meeting Minutes and Associated Documents [188]; Minutes of the Progress and Promotions Committee (CONFIDENTIAL, contact: Margo Kuisis, Asst. Director, Medical Educator, 404/712-8417); School of Medicine Medical Student Demographics [124]; School of Medicine Course Syllabi [157]; School of Medicine Master Plan of Evaluation [171]; Allied Health

Course Syllabus [156]; School of Medicine Course Evaluation Form [172]; School of Medicine Faculty Evaluation Form (PBL) [173]; School of Medicine Post-Graduate Program Evaluation Form [189]; American Registry of Radiologic Technologist Score Report [190]

Discussion: In all the colleges and schools, course syllabi identifying the goals and requirements of the course, the nature of its contents, methods of evaluation, and, in many cases, more, are expected for all courses. Moreover, the Emory College course atlas also provides detail about course content. Course descriptions in the undergraduate catalogs provide a brief description of each course. Methods of instruction vary according to the goals of each course, and faculty are free to experiment with teaching strategies as long as students can meet the course objectives.

The University supports innovation in teaching through two university-wide programs: the University Advisory Council on Teaching, which provides opportunities for Emory faculty to learn about recent developments in teaching and learning from their Emory colleagues as well as national experts, and the University Teaching Fund, which supports teaching improvement and innovation in ways that fall outside the normal role played by departments and schools, such as funds for the development of new and nontraditional courses and curricula, or for inter-school teaching initiatives, for example. The various schools also support teaching innovations. Emory College, for example, supports and encourages improvement in instruction, from upgrading classrooms and faculty computers to grants for innovative experiments to the establishment of the Center for Teaching and Curriculum. The latter provides support to any faculty member wishing to learn about and discuss new methods of instruction. The Division of Information Technology, Center for Interactive Teaching provides technical support for the "Smart Classrooms" that contain podiums with computers, cable television, Internet access, data projectors, and document cameras, as well as support to faculty who wish to incorporate technology into courses. These innovative experiments are evaluated in traditional ways, through student course evaluations and promotion and tenure decisions.

At Oxford College, beginning Fall 2001, all syllabi contain the course requirements, specific goals of the course, and a statement of methods of evaluation; however, all syllabi from the academic year

2000-01 did not. In a letter to the faculty, dated June 20, 2001, the dean required that all syllabi for fall semester, 2001 contain the necessary information.

Oxford's Academic Policy and Planning Committee oversees and evaluates all curricula, including off-campus courses, which although not experimental in nature, provide new challenges with each different location and set of goals.

Each year, business school faculty self-assessments of teaching effectiveness include information on how courses are structured to assure that student development is enhanced to the maximum extent possible. Faculty members are specifically asked to describe course innovation and improvement, focusing on accomplishments over the past year that improve and update classes taught previously and new courses developed. They are also asked to outline pedagogical improvement, including written materials developed aimed at enhancing the teaching function as well as samples of exams, course projects, syllabi, and so forth. This material is part of the annual review and is considered by both the area coordinator as well as the senior associate dean of the faculty and research.

In the School of Medicine, the Executive Curriculum Committee and the executive associate dean review every course at least once every two years to determine whether course content meets the knowledge needs of the field and the students. Courses have goals and objectives, and extensive course content is provided in handouts and electronic format. The school gives annual awards for innovative teaching programs.

Section Number/Title: IV. Educational Program

Subsection Number/Title: 4.2 Undergraduate Program

Subsection Reference Number: 4.2.4 Undergraduate Instruction

Line Reference Number(s):   Page 28: 7-12

Requirement: An institution **must** use a variety of means to evaluate student performance. The evaluation **must** reflect concern for quality and properly discern levels of student performance. ***An institution must publish its grading policies and its grading practices must be consistent with policy.***

Status: **In compliance**

Evidence: Emory College Course Catalog 1999-2001, p. 317 [Appendix A]; Emory College Sample Syllabi [178]; Emory College GPA Distribution by Class [196]; Oxford College Catalog 2001-2002, p. 83 [Appendix D]; Oxford College Selected Syllabi (also on file in the Library and in the Office of the Dean) [182]; Tracking Reports of Oxford Graduates at Upper-Division Units of Emory University (on file in Records and Registration at Oxford College); Business School Course Syllabi [195], B.B.A. Grading System (in B.B.A. Catalog) [Appendix E]; GBS Course Evaluation Form [76]; GBS Student Grade Distributions [81]; School of Nursing (B.S.N.) Clinical Evaluation Tools [197]; B.S.N. Program Outcomes [160]; School of Nursing Undergraduate Student Handbook [138]; School of Nursing (B.S.N.) Program Course Syllabi [183]; School of Medicine Bulletin [Appendix V]; School of Medicine Academic Planner and Student Handbook for 2001-2002 [Appendix U]; LCME Institutional Self-Study [Appendix S]; School of Medicine ECC Meeting Minutes and Associated Documents [188]; Minutes of the Progress and Promotions Committee (CONFIDENTIAL: contact: Margo Kuisis, Asst. Director, Medical Education, 404/712-8417); School of Medicine Medical Student Demographics [124]; School of Medicine Course Syllabi [157]; A.M.Sc. Student Handbook, pp. 24-25 [Appendix M]; B.M.Sc. Student Handbook, pp. 24-25 [Appendix O]

Discussion:	In all the colleges and schools, instructors list on the syllabi the grading policy for a particular course, the means of evaluating performance, and often the relative value of each. Emory instructors generally use several of the following instruments: written and oral examinations, class presentations, participation in class discussion, attendance, essays and other submissions, laboratory work (sciences), journals, peer evaluations, standardized exams, problem-solving, individual and group projects, case write-ups, poster projects, and clinical performance evaluations.

The undergraduate catalogs, bulletins, and student handbooks explain grading policies and establish qualitative levels for letter-graded evaluations of students. The syllabi will also reflect concern for quality and levels of student performance. Finally, the deans and faculty use the registrar's grade distribution reports to monitor the use of grades as a measure of performance. In the medical school, Progress and Promotion Committees for each class year meet regularly to assure that students are not promoted unless they are well qualified.

Departments and deans have in place procedures for handling complaints or grievances about grading practices, thus ensuring that policies and practices are consistent.

Section Number/Title:	IV. Educational Program
Subsection Number/Title:	4.2 Undergraduate Program

Subsection Reference Number:	4.2.4 Undergraduate Instruction
Line Reference Number(s):	Page 28: 13-18

Requirement: The institution **must** evaluate the effectiveness of its instructional programs by a variety of techniques, which may include the following: use of standardized tests and comprehensive examinations, assessment of the performance of graduates in advanced programs or employment, and sampling of the opinions of former students.

Status: **In compliance**

Evidence: Emory College Course Evaluation Forms and Statistical Summaries [179]; Oxford College Selected Syllabi (also on file in the Oxford College Library) [182]; Summary of the Results of the Oxford Exit Survey 2001 (on file in the Office of the Director of Academic Services at Oxford); Comments from Oxford Senior Continuees (on file in the Office of the Dean); Oxford Student Evaluations (on file in the Office of the Dean); Feedback from Business School Alumni, Corporate Recruiters, and Popular Press [198]; School of Nursing Evaluation Plan [185]; School of Medicine Bulletin [Appendix V]; School of Medicine Academic Planner and Student Handbook for 2001-2002 [Appendix U]; LCME Institutional Self-Study [Appendix S]; School of Medicine ECC Meeting Minutes and Associated Documents [188]; Minutes of the Progress and Promotions Committee (CONFIDENTIAL, contact: Margo Kuisis, Asst. Director, Medical Education, 404/712-8417); School of Medicine Master Plan of Evaluation [171]; School of Medicine Summary of Evaluation Results [199]; School of Medicine Student Exit Questionnaire [200]; School of Medicine Post-Graduate Program Evaluation Form [189]; School of Medicine Graduate Follow-up Study: Employer Questionnaire [201]

Discussion: In addition to the school-specific methods of evaluation described below, Emory's Office of Institutional Research conducts a periodic survey of graduating seniors. The survey asks students to describe their post-graduate plans. In the most recent survey, conducted in Spring 2000, 46% of Emory students were planning to work after graduation; another 40% were planning to attend graduate or professional school. Further, systematic data on which graduate schools recent graduates attend will be made annually available by the office, using the enrollment search services provided by the National Student Clearinghouse. Future studies will also track the progress of alumni after a certain period of time since graduation. In addition to the data collected by Institutional Research, in Spring 2001 the Emory Annual Fund commissioned a survey of Emory alumni who earned their undergraduate degrees from 1955 to 2000. Almost all of the sampled participants (96%) reported being satisfied with the undergraduate experience they had at Emory, including 70% who were very satisfied.

In Emory College, student course evaluations are the chief method of evaluating instructional programs. Every student in virtually every course completes an evaluation at the end of each semester. Other evaluation methods include a "capstone" course, which determines the effectiveness of students' preparation in a particular discipline and is offered in some majors in lieu of a standardized test, as listed in the undergraduate catalog. Oxford College conducts exit interviews of graduating seniors. Some projects have steering/evaluation committees that assess quality.

In the business school the number of job offers at graduation and average starting salaries are tracked annually, and recruiters are frequently polled as to the effectiveness of recent hires.

The ultimate evaluation of the nursing program is the graduates' ability to pass the R.N. licensure examination. Students evaluate each course in the program at the end of the semester in which they took the course and the program as a whole just before graduation. Graduates are surveyed about their satisfaction with the program within one year of graduation and then three years after graduation. Employers are asked to evaluate graduates of the program, and periodic meetings are held with local nursing leaders to obtain feedback about the effectiveness of the program and the graduates.

In the School of Medicine, the effectiveness of the instructional program is evaluated through the examinations of the National Board of Medical Examiners (our students score substantially above the mean of Steps 1 and 2), the results of the National Resident Matching Program (80% of our students match at one of their top three choices, usually at other highly competitive programs), the careers of former students (in leadership positions), and exit interviews from senior students.

Section Number/Title:	IV. Educational Program
Subsection Number/Title:	4.2 Undergraduate Program

Subsection Reference Number:	4.2.4 Undergraduate Instruction
Line Reference Number(s):	Page 28: 19-28

Requirement: Courses offered in non-traditional formats, e.g., concentrated or abbreviated time periods, **must** be designed to ensure an opportunity for preparation, reflection, and analysis concerning the subject matter. The institution **must** demonstrate that students completing these programs or courses have acquired equivalent levels of knowledge and competencies to those acquired in traditional formats.

Status: **In compliance**

Evidence: Business School Summer Term Schedule, Course Syllabus [202]; School of Medicine Bulletin [Appendix V]; School of Medicine Academic Planner and Student Handbook for 2001-2002 [Appendix U]; LCME Institutional Self-Study [Appendix S]; School of Medicine ECC Meeting Minutes and Associated Documents [188]; Minutes of the Progress and Promotions Committee (CONFIDENTIAL, contact: Margo Kuisis, Asst. Director, Medical Education, 404/712-8417); School of Medicine Medical Student Demographics [124]; School of Medicine Course Syllabi [157]

Discussion: The only concentrated course work available to students is through summer instruction in Emory College and the Goizueta Business School. Each class meets for the same number of contact hours as the semester counterpart, and the material covered and syllabi are identical, as are methods of student evaluation. Each summer term is five weeks in length, during which time one four-credit-hour course is delivered.

Only two medical school courses are taught in isolated, abbreviated periods: embryology in the first year and immunology in the second year. Student and faculty satisfaction have increased with the format

change to these courses. Overall competency in these courses is measured by traditional examinations and the USMLE Step 1 exam and is at the high level we require of our students and above the national mean.

Section Number/Title:	IV. Educational Program
Subsection Number/Title:	4.2 Undergraduate Program

Subsection Reference Number:	4.2.4 Undergraduate Instruction
Line Reference Number(s):	Page 28: 30-34

Requirement: Effective instruction depends largely upon the maintenance of an environment conducive to study and learning. Therefore, an institution of higher education **must** provide a learning environment in which scholarly and creative achievement is encouraged.

Status: **In compliance**

Evidence: Emory College Course Catalog 1999-2001, pp. 14-32 [Appendix A]; Study Abroad, Emory College Annual Report [203]; Undergrad Instruction Special Initiatives [204]; Renaissance at Oxford, Master Plan/A Strategic Plan for Oxford College of Emory University 2010 [47]; B.B.A. Curriculum, Elective Offerings (in B.B.A. Catalog) [Appendix E]; Nursing School Contracts with Clinical Agencies and Faculty Teaching Assignments [206]; School of Medicine Bulletin [Appendix V]; School of Medicine List of Clinical Affiliates [205]

Discussion: Emory fosters an environment of scholarly achievement and creativity in its undergraduate programs in a variety of ways. They include a strict grading policy; honors program; Dean's List; academic honor societies, prizes and awards; and grants, fellowships, and internships offered on a competitive basis. Emory College offers a number of co-curricular academic programs, and academic "centers" provide opportunities for interdisciplinary learning and research, speakers, publishing, and other academically related activities.

One recent initiative, "Theory Practice Learning," engages students (and faculty) in a creative activity that combines community service with academic learning. The Michael C. Carlos Museum, Great Teachers Lecture Series, Theatre Emory, J. Harvey Young Lecture Series, Candler Professorship, and The Distinguished Faculty

Lecture Series are also resources that enhance the learning environment. Finally, an atmosphere that values and rewards faculty research and scholarship adds to the learning environment for undergraduates.

The business school creates a learning environment in which scholarly and creative achievement is encouraged in part through course work that enables students to move beyond the scope of faculty- and text-generated materials to work on their own self-generated or motivated projects. B.B.A. electives on subjects such as financial statement analysis, derivative asset analysis, consulting, business ethics, and entrepreneurship help foster an environment of creative and analytical thinking.

The School of Nursing provides an outstanding learning environment, in part through its new building that opened in December 2000. It is a state of the art facility with impressive technology in the classrooms and the clinical simulation lab. Students have clinical experiences in a variety of clinical agencies in the metropolitan Atlanta area. These experiences are compatible with concurrent courses the students are taking and are done under the supervision of faculty from the School of Nursing.

The School of Medicine (SOM) offers excellent facilities to foster scholarly achievement, including research classroom spaces in the new Whitehead Research Building and teaching clinics at Grady, Crawford Long, and Emory Hospitals. In addition, fundraising is underway for a new medical education building on the main campus, and a new teaching and office building will soon begin construction on the Grady Memorial Hospital campus. SOM faculty and staff are strongly supportive of the educational mission of the medical school and help create a culture and community that are highly conducive to the scholarly and creative activities of students.

Section Number/Title:	IV. Educational Program
Subsection Number/Title:	4.2 Undergraduate Program

Subsection Reference Number:	4.2.4 Undergraduate Instruction
Line Reference Number(s):	Page 28: 35-40

Requirement: In certain professional, vocational and technical programs (for example, allied health programs) clinical and other affiliations with outside agencies may be necessary. In all such cases, learning experiences for which credit is awarded **must** be under the ultimate control and supervision of the educational institution.

Status: **In compliance**

Evidence: B.B.A. Curriculum in B.B.A. Catalog [Appendix E]; Nursing School Contracts with Clinical Agencies and Faculty Teaching Assignments [206]; School of Medicine Bulletin [Appendix V]; School of Medicine List of Clinical Affiliates [205]

Discussion: Emory and Oxford colleges do not offer any of the above named programs.

Faculty hired under the governance of a specific academic area teach all four-hour courses offered in the B.B.A. program. No credit is awarded for any course work that is not specifically taught by faculty under contract to the Goizueta Business School. Senior and junior seminars, which carry one hour of credit each, are taught by either professional staff or instructors drawn from the corporate community, all of whom teach under contract to the business school.

Nursing school faculty have responsibility for supervision and evaluation of each student's clinical learning.

The medical and some of the allied health programs have agreements with non-core medical institutions or practices that help educate our students. At the Veterans Affairs Medical Center, Egleston Hospital,

and Grady Memorial Hospital, Emory faculty educate the students. Formal agreements are arranged with those institutions.

Section Number/Title: IV. Educational Program

Subsection Number/Title: 4.2 Undergraduate Program

Subsection Reference Number: 4.2.4 Undergraduate Instruction

Line Reference Number(s): Page 28: 41; 29: 1-5

Requirement: The institution **must** demonstrate that an effective relationship exists between curricular content and current practices in the field of specialization. *An institution must demonstrate that program length, clock hours or credit hours, and tuition and fee charges are appropriate for the degrees and credentials it offers.*

Status: **In compliance**

Evidence: Emory College Course Catalog 1999-2001 [Appendix A]; Emory College Annual Report, 2000-2001 Enrollment Statistics [115]; Emory College Schedule of Classes, Fall 2001 [127]; Oxford College Catalog 2001-2002 [Appendix D]; B.B.A. Curriculum, B.B.A. Objectives and Educational Policy, and Schedule of Tuition and Fees (in B.B.A. Catalog) [Appendix E]; Nursing School National Council Licensure Examination—Registered Nurse (NCLEX-RN) Results [207]; Approval by Georgia Board of Nursing (GBN) [208]; CCNE Self-Study 1999 (Commission on Collegiate Education in Nursing Accreditation Report) [167]; *The Professional Curriculum for Radiography* [209]; The American Registry for Radiologic Technologists Content Specifications [210]; JRCERT *Standards for an Accredited Educational Program in Radiologic Sciences* [152]; A.M.Sc. Student Handbook, p. 39 [Appendix M]; B.M.Sc. Student Handbook, p. 46 [Appendix O]

Discussion: In all the schools and colleges, academic activities assuring an effective relationship between curricula and current practices in fields of specialization are set by the faculty collectively and overseen by various committees including the Committee on Academic Standards, Educational Policy Committee, and Curriculum Committee.

These activities include external reviews of student work; faculty practice in the field; faculty consulting with corporations and industries; faculty research; adjunct instruction by practitioners; faculty participation in accrediting bodies and teams and in professional organizations; conference attendance; meetings with recruiters; placement staff communication with faculty and administration; and internal and external lectures, symposia, and seminars.

As an American institution of higher education and a private research university, Emory conforms generally to the practices of comparable institutions. Moreover, in an extremely competitive student recruiting market, Emory is constrained to keep its programs, course credit system, and fees and tuition within the cohort. Growth in undergraduate enrollment in the past decade is evidence of the prospective enrollees' (and their parents') belief that program length, credit hours, and tuition and fee charges are appropriate.

Course work in the business school includes an emphasis on the theoretical basis of business practice as well as a strong focus on the effective application of knowledge. In the specific courses in which students enroll, strong links are maintained with current practices via techniques such as professional outside speakers, case analyses, and corporate or industry research.

The curriculum of the B.S.N. Program meets the criteria established by the Georgia Board of Nursing (GBN) for its graduates to be eligible to seek initial licensure as registered nurses. The program is fully approved by the GBN and is fully accredited by the Commission on Collegiate Nursing Education.

In the School of Medicine, the Executive Curriculum Committee compares the duration of the program to those at peer institutions and finds it within the average range for duration of training. The program also meets requirements as set forth by the Liaison Committee on Medical Education (LCME). The program curriculum in radiologic technology is based on the ASRT's *Professional Curriculum for Radiography*. The American Registry for Radiologic Technologists Content Specifications and the JRCERT *Standards for an Accredited Educational Program in Radiologic Sciences* are also a consideration in curriculum development. The tuition and fees are comparable to those at peer institutions.

Section Number/Title:	IV. Educational Program
Subsection Number/Title:	4.2 Undergraduate Program

Subsection Reference Number:	4.2.5 Academic Advising of Undergraduate Students
Line Reference Number(s):	Page 29: 6-22

Requirement: Each institution **must** conduct a systematic, effective program of undergraduate academic advising. A qualified advisor should be assigned early in the student's program and should recognize the individuality of students and their particular needs and goals. Advisors should be proficient in using data to help determine students' major fields of interest, should have access to each advisee's records, and should have appropriate training or background and experience to carry out their responsibilities effectively. An institution **must** ensure that the number of advisees assigned to faculty or professional staff is reasonable.

An effective orientation program **must** be made available to all full- and part-time undergraduate students. Orientation and advisement programs **must** be evaluated regularly and used to enhance assistance to students.

Status: **In compliance**

Evidence: Emory College Course Catalog 1999-2001, pp. 37; 306-307 [Appendix A]; Directors of Undergraduate Studies in Emory College, 2001-02 [21]; Freshman Advising and Mentoring Experience (FAME) Advisor's Handbook, 2001 [148]; Emory College Course Atlas Fall 2001 [310]; The Oxford College Academic Advising Handbook [211]; Oxford Faculty Survey and Summary Results [159]; List of all Oxford Academic Advisers and their Advisees [212]; Agenda for the New Adviser Training Program Oxford College [213]; Oxford Freshman Orientation Schedule [214]; Summary of the Results from the Oxford College Exit Survey (on file in the Office of the Director of Academic Services); B.B.A. Area Depth Sheet [161]; B.B.A. Sample Degree Audit [154]; B.B.A. Advisee Assignments [215]; B.B.A. Orientation Schedule [216]; B.B.A. Orientation Evaluation [217]; B.B.A. Advisor Meetings

[218]; B.B.A. Student Feedback Forms [219]; School of Nursing Mentor Handbook [220]; School of Nursing Orientation Schedule [221]; Minutes of the Annual B.S.N. Faculty Retreats [187]; School of Nursing Evaluation of Orientation Questionnaire [222]; OMESA Annual Report [170]; School of Medicine Academic Planner and Student Handbook for 2001-2002 [Appendix U]; A.M.Sc. Student Handbook, p. 26 [Appendix M]; School of Medicine End-of-Semester Report [223]; Student Pre-Registration Forms [224]; Orientation Agendas: Allied Health (Example: Radiologic Technology) [225]

Discussion: Each college and school has a systematic and effective undergraduate academic advising program, but the programs vary in structure and organization. All students are assigned an academic advisor when they begin their programs. All advisors, who receive training for their roles from their respective schools, have access to student records and files. All schools and colleges hold orientation programs for new students that encompass academic advising, registration, and introductions to various dimensions of college life.

All first-year Emory College students participate in the Freshman Advising and Mentoring Experience (FAME) program, and the faculty leader of their FAME group advises them on course selection and helps guide their academic direction during their first year or two until they declare a major. Once students have chosen a major, they have a faculty member in the major field as their academic advisor. Additionally, students may consult with the undergraduate directors of all academic departments and programs, as well as the deans and the academic counselors in the Student Academic Affairs unit of the College office.

The College annually holds a five-day orientation for first-year students prior to registration and the start of classes in the fall term. The program involves several stages of academic planning for a student's initial semester as well as an introduction to various dimensions of college life. This introduction continues in weekly meetings of the individual FAME groups during the first half of the fall semester. Besides the faculty leader, these groups have a university staff member and one or two upperclass students as leaders; they are kept small in size (averaging fifteen to eighteen) so as to encourage the new students to interact and to develop relationships with the leaders and with each other. Orientations are

also conducted for new transfer students and for the students coming into Emory College from Oxford College.

While Oxford College is also in compliance with this requirement, it has been determined that several aspects of the academic advising program need improvement. Great strides have been made to begin the process of improvement of this program. Oxford students are assigned to an academic advisor based on their anticipated major. Academic advising is considered the responsibility of each full-time tenured and tenure-track faculty member. The orientation and advising programs are evaluated officially in the "Oxford College Exit Survey" and unofficially through discussions with various student groups.

Advisors to B.B.A. students include the three professional staff members in the B.B.A. program office, including the program director, who also holds a faculty appointment. The remaining advisors are professional staff members with significant tenure in the business school and extensive experience working with undergraduate students. Advisors communicate regularly via an on-line conference and meet at least once each semester to discuss changes and ongoing questions and concerns.

B.B.A. students fill out orientation evaluations after each orientation. Results are evaluated and discussed among all orientation presenters, and orientation is revised each semester. Evaluation of advising is done on a more ad-hoc basis, however, with most of the input originating with the advisors themselves. A survey form is currently being designed that will assist the office in engaging in a more formalized process of continuous improvement. We expect the first iteration of this form to be administered in Spring 2002.

In the B.S.N. program, no faculty member has more than twenty advisees at any one time. Faculty who are mentors also are assigned to the fall and spring semester professional development courses in the curriculum. In these courses the faculty serve as seminar leaders and resource persons during weekly seminars that are part of the two courses. Faculty and students review the mentor/advisor program annually, and both groups enthusiastically support the program.

In the medical school, the curriculum for the first two years is set for all students, and there are few opportunities for variations except in the sophomore elective course. Nevertheless, during the first days of

orientation for first-year students, students are informed about and introduced to a cadre of assistant and associate deans available to them for consultation. These individuals initiate discussions with students to help them to define their professional aspirations more clearly and to advise them on academic pathways required to realize their ambition. Students do make use of these advisory and consultative services. Additionally, during the spring term of the first year, all medical students are offered an opportunity to be matched with an "official" mentor. Full-time Emory faculty members, adjunct faculty who practice in the community, and Emory School of Medicine alumni are all represented on the roster of approximately one hundred active volunteer mentors. In addition, faculty mentors are selected in the third year to assist the students in planning their senior year, which now includes five elective units and to help the students work through the choice of residency programs. All classes evaluate their orientation programs via anonymous written questionnaires. The results are tabulated in early fall and guide revisions to orientations for the following year.

Students in the Program of Radiologic Technology (A.M.Sc. degree) are enrolled in a set course sequence in the program of study. These students are automatically pre-registered each semester for the appropriate courses by the program director. To ensure academic success, all students in this program are counseled at the mid-point and end of each semester by program faculty. Each faculty member is responsible for approximately nine students per semester. Students wishing to further their education in a related field are counseled by the program director upon their request for information.

Students in the Medical Imaging Technology Program (B.M.Sc. degree) are assigned to the program director for advisement. Students meet with their advisor at least once each semester to plan their course of study. On average, the program director advises two to three B.M.Sc. students each semester.

Orientations in the radiologic technology programs are evaluated informally with verbal feedback provided to the faculty regarding the value of the orientation and suggestions for improvement. The School of Medicine orientation is formally evaluated, and student suggestions are incorporated into future sessions as feasible.

Section Number/Title:	IV. Educational Program
Subsection Number/Title:	4.3 Graduate Program

Subsection Reference Number:	4.3.1 Initiation, Operation and Expansion of Graduate Programs
Line Reference Number(s):	Page 29: 23-32; 30: 1-2

Requirement: The administration and faculty **must** be responsible for the development of new academic programs recommended to the governing board. A graduate program **must** have curricula and resources substantially beyond those provided for an undergraduate program. Research, scholarly activity and/or advanced professional training **must** be included in graduate studies and supported by adequate resources. An institution **must** provide a competent and productive faculty, adequate library and learning resources, adequate computer and laboratory facilities, and an appropriate administrative organization.

Status: **In compliance**

Evidence: Faculty Vitae and Credentials (on file in the Offices of the Deans); Goizueta Business School Faculty Committee List [226]; School of Nursing Bylaws, Article I, Section 1B [227]; School of Nursing Faculty Handbook 2002 pp. 19-31 [168]; Nursing School Graduate Student Handbook 2001-2002 [228]; School of Nursing Web Site (www.nurse.emory.edu) [229]; School of Nursing Catalog pp. 30-51 [Appendix K]; School of Nursing Course Syllabi for Theory and Research Application [230]; Accreditation Council for Graduate Medical Education (ACGME) Guidelines: http://www.acgme.org [Appendix Y]; Graduate Medical Education (GME) Institutional Review Document, May 16, 2001 [Appendixes P, Q, R]; GDBBS Annual Report [231]; LCME Institutional Self-Study [Appendix S]; www.sph.emory.edu/APPLY/admitfaq/otherinfo.html [232]; School of Medicine Bulletin [Appendix V]; Graduate School of Arts and Sciences (GSAS) Course Atlas [175]; GDBBS Program Overview [233]; M.D./Ph.D. Program Student Handbook [234]; Allied Health Certificates of Accreditation (Example: Physician Assistant) [235];

Allied Health Bulletin 2001-2003 [Appendix N]; Individual Program Web Sites [236]; Doctor of Physical Therapy Brochure [237]; Allied Health Curriculum Committee Meeting Minutes [238]; RSPH Self-Study Report [Appendix G]; CEPH Accreditation Guidelines [239]; Letter from CEPH Awarding Accreditation [240]; Candler School of Theology Faculty Handbook [241]; Minutes of Professional Studies Committee and Personnel and Academic Policy Committee [242]; Candler Catalog 2001-2002 pp. 60-90 [Appendix L]; Evidence Provided by Pitts Librarian [243]; Law School Faculty Handbook (pp. 39-37 & 55-56) [Appendix I]; Law School Catalog [Appendix J]

Discussion: Emory University awards master's and doctoral degrees through the Schools of Business, Nursing, Medicine, Public Health, Theology, Law, and the Graduate School of Arts and Sciences. Graduate programs in all of these schools are developed by faculty and approved by the governing board. New Ph.D. training programs in both nursing and business, for instance, were reviewed and approved by the Graduate School Executive Council, the Deans, the Academic Affairs Committee, and ultimately the Board of Trustees. All programs provide appropriate administrative support and curricular and other resources substantially beyond undergraduate education. Catalogues, brochures, and web sites for graduate programs attest to existence of appropriate graduate-level courses and resources to support the programs. In most graduate programs, courses offered are open only to graduate students. All graduate programs require substantial research to produce theses and dissertations or other forms of scholarship, and provide access to libraries, computing facilities and equipment, and laboratories. A commitment to advanced research and teaching is evidenced by the *curricula vitae* of faculty across the University. In addition, the appointment, promotion, and tenure processes ensure that faculty members continue to produce high-quality research and to provide excellent teaching. All faculty involved in graduate education contribute to thesis, project, or dissertation committees if these are part of the degree program.

Each school is fully accredited by the appropriate professional association, and Emory belongs to the Association of American Universities. Emory's five campus libraries are available to all graduate students. As discussed below in Section 5.1, the University library system comprises over two million volumes and seventeen thousand subscriptions to serials and periodicals. A few of the other

facilities for graduate training and research include the Yerkes
Primate Research Center, the Center for Behavioral Neuroscience,
the Whitehead Research Building, and eleven teaching facilities on
campus and in the community for graduate students in the School of
Medicine.

Section Number/Title: IV. Educational Program

Subsection Number/Title: 4.3 Graduate Program

      Subsection Reference Number: 4.3.1 Initiation, Operation and
                                                      Expansion of Graduate Programs

      Line Reference Number(s):   Page 30: 6-31

Requirement: An undergraduate institution planning to initiate its first graduate program, a graduate institution planning to initiate a program at a degree level higher than that already approved, or a graduate institution planning to initiate a program at the same level but substantially different from those already approved **must** inform the Executive Director of the Commission on Colleges in advance of the admission of students. The institution also **must** document that any necessary approval from state or other agencies has been secured.

Before an institution moves from baccalaureate to graduate status, or attempts to expand the number of its graduate programs at the same level, it **must** demonstrate that it has conducted a thorough assessment of needs, market and environmental factors, and resource requirements and financial implications for the institution.

Institutions **must** maintain strong educational programs at the master's and/or baccalaureate levels before attempting doctoral programs, or **must** justify their departure from the requirement. Free-standing graduate and professional schools are exempted from this requirement. However, they **must** demonstrate not only the strength of their individual programs, but also that students admitted have met undergraduate requirements specified for the program.

Status: **In compliance**

Evidence: School of Nursing Catalog, p. 7 & 26 [Appendix K]; ACGME Accreditation Letter of Review [244]; Program Specific RRC Accreditation (Example: Internal Medicine) [245]; GME Institutional Review Document, May 16, 2001 [Appendices P, Q, R]; GMEC Meeting Minutes [246]; Letters to SACS dated May 21, 1998, September 26, 2001, and October 8, 2002 from Harriet King,

J.D., Sr. Vice Provost, Academic Affairs [11]; Accreditation Council for Graduate Medical Education (ACGME) Guidelines: http://www.acgme.org [Appendix Y]; School of Medicine Guidelines and Info for Students and Faculty [247]; Proposal for Transition from Master of Physical Therapy Degree Program to Doctor of Physical Therapy Degree Program [248]; RSPH Self-Study Report [Appendix G]; CEPH Accreditation Guidelines [239]; Letter from CEPH Awarding Accreditation [240]; GSAS Admissions Criteria [249]; Law Faculty Curriculum Vitae (on file in the Office of the Dean); Letter of ABA Approval [250]; Law School Administrative Organization Chart [251]; Programming Document for Candler School of Theology (On file in the Office of Institutional Planning & Evaluation); Candler Faculty Curriculum Vitae (on file in the Office of the Dean); Candler Fact Sheet [125]

Discussion: New program proposals at Emory must include the rationale for implementation of the program, an assessment of the employment potential of graduates from the proposed program, and an indication of the institutional resources that would be necessary to successfully implement the new program. In the Graduate School of Arts and Sciences, the Graduate School Executive Council evaluates new program proposals. If the Executive Council approves the proposal, it is then evaluated by the deans of the GSAS and Emory College, the Academic Affairs Committee, the provost, and ultimately by the Board of Trustees before final approval and implementation. New doctoral programs like these in nursing or physical therapy build on long-standing and successful master's programs. The baccalaureate program in nursing began in 1944, and the master's program in 1954. The School of Nursing received approval from the graduate school and the University to begin a doctoral program in Nursing and admitted the first class in 1999. The Doctor of Physical Therapy (D.P.T) similarly grew from an established and well-regarded master's program. That doctoral program was approved by the Council of Chairs, the dean, and the Board of Trustees in 2001, as was the new Ph.D. program in business. Both programs are currently accepting students. In each case, the Provost's office submitted appropriate requests for approval to SACS. No approvals for state or other agencies were required for the institution of any of these new programs.

The admissions criteria for master's and doctoral programs at Emory, as evidenced by their catalogs, demonstrate that all students

are required to have satisfied undergraduate requirements specified
by individual programs.

Section Number/Title:	IV. Educational Program
Subsection Number/Title:	4.3 Graduate Program

Subsection Reference Number:	4.3.2 Graduate Admission
Line Reference Number(s):	Page 30: 32-39; 31: 1-10

Requirement: An institution **must** establish qualitative and quantitative requirements which result in the admission of students whose educational preparation indicates the potential for a high level of performance. Admission criteria typically include an appropriate baccalaureate degree. In cases where the baccalaureate is not required, the institution **must** demonstrate that the student has adequate educational preparation to complete the graduate program. Admission procedures **must** include the requirement that an applicant submit, as part of the formal application process, official undergraduate transcripts of credit earned from all institutions of higher education previously attended; and other appropriate documents, such as official reports on nationally recognized aptitude tests and evaluations by professionals in the field as to the readiness of an applicant for graduate work. When possible, an interview with the applicant should be arranged. Admission criteria for all graduate programs **must** be published.

Status: **In compliance**

Evidence: Business School Viewbook [252]; M.B.A. Interview Evaluation Form [253]; School of Nursing Catalog, pp. 26-27 [Appendix K]; School of Nursing Web Site (www.nurse.emory.edu) [229]; House Staff Policies and Orientation Manual [254]; GME Institutional Review Document, May 16, 2001 [Appendices P, Q, R]; GDBBS Annual Report [231]; LCME Institutional Self-Study [Appendix S]; www.sph.emory.edu/APPLY/admitfaq/otherinfo.html [232]; M.D./Ph.D. Informational Brochure [255]; School of Medicine Bulletin [Appendix V]; GDBBS Informational Brochures (in Program Brochures folder) [146]; Allied Health Bulletin 2001-2003 [Appendix N]; RSPH catalog [Appendix F]; RSPH Curriculum Committee Handbook [Appendix H]; RSPH Application Packet for Admission [256]; Candler Catalog 2001-2002, pp. 11-23 [Appendix

L]; General Application for Admission - Instructions (M.Div, M.T.S., Th.M, and Special Students) and Th.D. Application for Admission – Instructions [257]; Candler School of Theology Student Handbook 2001-2002 p. 8 [61]; Theology Handbook Committee Assignment List [258]; Law School Application and Viewbook: pp. 37, 40, 41 and "Instructions for Application" [259]; Law School Catalog [Appendix J]; Law School Catalog Web Site: General Information and Admissions at www.law.emory.edu/LAW/main/admission.html [260]; GSAS Admissions Packet [261] and Individual Department Brochures (in Program Brochures folder) [146]

Discussion:	Both qualitative and quantitative admission requirements are published in the admissions catalogues and web sites of all schools at Emory that admit graduate students. All schools require scores from nationally recognized standardized tests, such as the GRE, MCAT, GMAT, and LSAT, as well as appropriate undergraduate degrees, course work, and grades as evidenced by official transcripts. TOEFL scores for students who do not speak English as a first language are also required. To assess candidates qualitatively, schools require essays as part of the application packet, letters of recommendation, and interviews with applicants. Nearly every Emory graduate student has received a bachelor's degree in an appropriate discipline. The GBS, however, does typically accept one candidate per year without a B.A. into the Executive M.B.A. program. These candidates must demonstrate at least thirteen years of managerial experience in lieu of the degree.

Section Number/Title: IV. Educational Program

Subsection Number/Title: 4.3 Graduate Program

Subsection Reference Number: 4.3.2 Graduate Admission

Line Reference Number(s): Page 31: 12-41; 32: 1-24

Requirement: Coursework transferred or accepted for credit toward a graduate degree **must** represent graduate course work relevant to the degree, with course content and level of instruction resulting in student competencies at least equivalent to those of students enrolled in the institution's own graduate degree programs. In assessing and documenting equivalent learning and qualified faculty, institutions may use recognized guides which aid in the evaluation for credit. . . .

Graduate credit **must** not be awarded for portfolio-based experiential learning which occurs prior to the matriculation into a graduate program and which has not been under the supervision of the institution. . . . Justification for an exception **must** include adequate documentation. . . .

Separate admission criteria **must** be formulated for each level of graduate work offered. Policies **must** clearly define probation or conditional admission, if any, including requirements for conditional admission and how long a student may remain in that status.

Admission criteria for each graduate program **must** be established with representation by the faculty responsible for instruction in that program. An institution **must** publish both the general criteria for admission and any special criteria for individual programs. . . . It must regularly evaluate its admission policies.

Status: **In compliance**

Evidence: Goizueta Business School M.B.A. Full-Time Viewbook [123]; School of Nursing Catalog, pp. 26-27 [Appendix K]; School of Nursing Web Site: www.nurse.emory.edu [229]; www.nurse.emory.edu/PHD/Admission.asp [262]; School of

Nursing Admissions Committee Minutes [263]; School of Nursing Faculty Minutes [264]; Nursing School Graduate Student Handbook 2001-2002, p. 21 [228]; School of Nursing Faculty Handbook 2002 [168]; School of Nursing, Bylaws Article III [227]; Accreditation Council for Graduate Medical Education (ACGME) Guidelines: http://www.acgme.org [Appendix Y]; GME Institutional Review Document, May 16, 2001 [Appendices P, Q, R]; School of Medicine Admission Criteria [265]; Allied Health Bulletin 2001-2003 [Appendix N]; GDBBS Program Web Sites (www.biomed.emory.edu) [266]; www.emory.edu/WHSC/MED/TEACHING/admissionsreq.html [143]; M.D./Ph.D. Informational Program Brochure [255]; GDBBS Informational Brochures (in Program Brochures Folder) [146]; M.D./Ph.D. Program Student Handbook [234]; RSPH Catalog [Appendix F]; RSPH Curriculum Committee Handbook [Appendix H]; RSPH Application Packet for Admission [256]; Candler Catalog 2001-2002, pp. 11-23 [Appendix L]; General Application for Admission - Instructions (M.Div, M.T.S., Th.M, and Special Students) and Th.D Application for Admission – Instructions [257]; Candler School of Theology Student Handbook 2001-2002, p. 8 [61]; Theology Handbook Committee Assignment List [258]; Law School Application and Viewbook, pp. 37, 40, 41 and "Instructions for Application" [259]; Law School Catalog [Appendix J]; Law School Catalog Web Site: General Information and Admissions at www.law.emory.edu/LAW/main/admission.html [260]; Graduate School of Arts and Sciences (GSAS) Handbook, p.15 [126]

Discussion: No graduate programs at Emory award graduate credit for portfolio-based experiential learning that occurs prior to matriculation into the graduate program. Some graduate programs at Emory, such as Allied Health, accept no transfer credits for graduate work. The programs that do accept some transfer credits—Theology, the Graduate Division for Biological and Behavioral Science and the Graduate School of Arts and Sciences, for instance—do so only after evaluation of syllabi and course descriptions by faculty who participate in the program into which the applicant is transferring. In all graduate programs, admission criteria are established by appropriate faculty and published. All admission policies are monitored regularly.

Probation policies are also published by all schools except theology, which will include a full statement of probational and conditional admission in its 2002-2003 Catalog. In Fall 2001, 13% of M.Div

students were enrolled on academic probation. The M.T.S., Th.M and Th.D programs do not offer admission on probation.

Section Number/Title: IV. Educational Program

Subsection Number/Title: 4.3 Graduate Program

Subsection Reference Number: 4.3.3 Graduation Completion
                                          Requirements

Line Reference Number(s):   Page 32: 25-39; 33: 1-11

Requirement: General completion requirements for graduate degrees offered by an institution **must** be determined by the faculty or an appropriate body representing the faculty. Policies governing these requirements **must** include the following: the specified period of time for degree completion, requirements governing residency, thesis and dissertation requirements (when applicable), the minimum number of credit hours required for the degree, the minimum acceptable grade-point average, standards for satisfactory academic progress, the level of academic progress at which the student should apply for candidacy, and the types of qualifying and exit examinations the candidate must pass.

These requirements, along with any others developed by the institution, **must** be published and distributed to all incoming graduate students and be appropriate to the degree and program being offered.

If individual academic units develop special completion requirements for their graduate programs, these requirements **must** be published in the official catalog.

All courses offered by an institution for credit **must** be acceptable as requirements or electives applicable to at least one of its own degree or certificate programs or **must** be clearly identified on transcripts as not applicable to any of the institution's own degree or certificate programs.

Status: **In compliance**

Evidence: Goizueta Business School (GBS) Graduate Catalog 2000-2001, pp. 5-28 & 30-33 [267]; Executive M.B.A. Viewbook 2000-2001, pp.

18-21 [268]; School of Nursing Bylaws, Article III [227]; School of Nursing Catalog, p 30 [Appendix K]; Nursing School Graduate Student Handbook 2001-2002 p. 25 [228]; Accreditation Council for Graduate Medical Education (ACGME) Guidelines: http://www.acgme.org [Appendix Y]; GME Institutional Review Document, May 16, 2001 [Appendices P, Q, R]; House Staff Policies and Orientation Manual [254]; Executive Council Meeting Minutes (CONFIDENTIAL: contact Bryan Noe, Ph.D., Assoc. Dean for Graduate Studies, 404/712-2545); www.sph.emory.edu/academic/degrees/dual/md-mph.html [269]; Allied Health Bulletin 2001-2003 [Appendix N]; Program Specific RRC Accreditation (Example: Internal Medicine) [245]; Graduate School of Arts and Sciences (GSAS) Course Atlas: www.emory.edu/GSOAS/courses.html [175]; GDBBS Program Web Site: www.biomed.emory.edu [266]; RSPH Catalog [Appendix F]; M.D./Ph.D. Program Informational Brochure [255]; M.D./Ph.D. Program Student Handbook [234]; Candler Catalog 2001-2002, pp. 8-37; 66-84 [Appendix L]; Law School Faculty Handbook, pp. 4-5 [Appendix I]; Law School Pre-Registration Guide, p. 3 [270]; Law School Catalog [Appendix J]; Law Degree Requirements, Curriculum [271]; Graduate School of Arts and Sciences (GSAS) Handbook, pp. 27-32 [126]

Discussion: Faculty determine graduate completion requirements for all Emory graduate programs. In many cases the requirements are designed to follow guidelines of national associations, such as those of the Accreditation Council for Graduate Medical Education followed by the medical school for medical residents. The faculty members elected to the Graduate School Executive Committee provide oversight of the Graduate School of Arts and Sciences policies on thesis and dissertation requirements, exit examinations, residency, and all requirements for academic progress. In theology, all applicants for the degree undergo an audit to ensure completion of required courses and hours of credit, and all faculty vote on conferring each degree.

All completion requirements are published in the graduate programs' catalogs—on web sites in some cases, and, for the GSAS, in the Graduate School Handbook. Special degree completion requirements of individual programs are documented on the web sites of the graduate departments and/or in program-specific handbooks. The business school also communicates policies to students through "First Class," an in-house electronic communication system.

All graduate courses offered for credit are accepted as requirements or electives applicable to at least one degree or certificate program at Emory.

Section Number/Title:	IV. Educational Program
Subsection Number/Title:	4.3 Graduate Program

Subsection Reference Number:	4.3.4 Graduate Curriculum
Line Reference Number(s):	Page 33: 12-25

Requirement: An institution offering graduate work **must** be able to demonstrate that it maintains a substantial difference between undergraduate and graduate instruction. Graduate study **must** be at a level of complexity and specialization that extends the knowledge and intellectual maturity of the student . . . It **must** require graduate students to analyze, explore, question, reconsider and synthesize old and new knowledge and skills. The graduate curriculum **must** afford the depth of education, the specialized skills, and the sense of creative independence that will allow the graduate to practice in and contribute to a profession or field of scholarship. Combined instruction of graduate and undergraduate students, if permitted at all, **must** be structured to ensure appropriate attention to both groups.

Status: **In compliance**

Evidence: Business School Course Syllabi for the Same Subject in the Graduate (BUS 531) and Undergraduate (BUS 330) Programs (in the Business School Course Syllabi Folder) [195]; Review of Undergraduate and Graduate Course Objectives for the Nursing School [272]; School of Nursing Catalog, Course Descriptions pp. 31-49 [Appendix K]; B.S.N. Program Outcomes [160]; School of Nursing Faculty Handbook, Review of Graduate Nursing School Program Outcome Objectives, p. 19 [168]; Graduate Course Overviews, School of Nursing Catalog, pp. 31-49 [Appendix K]; Accreditation Council for Graduate Medical Education (ACGME) Guidelines: http://www.acgme.org [Appendix Y]; School of Medicine Information and Guidelines for Students and Faculty [247]; Association of Schools of Public Health Web Site: http://www.asph.org [273]; Rollins School of Public Health Degrees Offered Web Site: http://www.sph.emory.edu/academic/degrees [274]; M.D./Ph.D. Program Student Handbook [234]; GSAS

Bulletin [275]; GDBBS Program Web Site: www.biomed.emory.edu [266]; School of Medicine Bulletin [Appendix V]; Allied Health Bulletin 2001-2003 [Appendix N]; RSPH Catalog [Appendix F]; RSPH Curriculum Committee Handbook [Appendix H]; RSPH Self-Study Report [Appendix G]; Letter from CEPH Awarding Accreditation [240]; Candler Catalog 2001-2002 [Appendix L]; Candler Syllabi (on file in Office of the Registrar at Candler); Candler Registrar's Class Rolls [276]; Candler School of Theology Faculty Handbook [241]; Candler Contextual Education Handbooks [277]; Association of Theological Schools Fact Book [278]; Candler Registrar's Records [279]; School of Theology Faculty Meeting Notes from 1993 – 1997 [280]; Candler Area Meeting Notes [281]; Candler Curriculum & Policy Committee Notes [282]; Law School Catalog [Appendix J]; Law School Pre-Registration Guide [270]; Law School Faculty Handbook, pp. 20, 50, 54-56 [Appendix I]; ABA Guidelines [283]; Graduate School of Arts and Sciences Course Syllabi of Undergraduate and Graduate Courses (on file in respective departments); GSAS Survey of Departmental Directors of Graduate Studies [284]

Discussion: The School of Public Health and School of Law offer only graduate instruction, but all other schools that teach both undergraduates and graduates ensure a substantial difference between the two through more demanding curriculum and intellectual expectations for graduate students.[10] For classes that combine instruction of graduate students and undergraduates, as a few do in the Graduate School of Arts and Sciences, requirements for graduate students differ markedly from those for undergraduates, chiefly in the amount and level of research required.

Graduate students are expected to develop critical analytical skills that facilitate exploration and understanding of the primary literature in their field, an approach that is rarely followed in undergraduate education. The intent of graduate education in all programs is to provide students with skills that prepare them for a lifetime of continued scholarly activity, or prepare them to pursue the profession of their choice. Course syllabi, degree requirements, and student files testify to the development of analytic skills, ability to synthesize information, and the creative independence of mind that are hallmarks of graduate education at Emory. For example,

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[10] Please note that information about the M.D. program can be found in Section 4.2, as the School of Medicine considers its M.D. program and undergraduate degree.

programs in the medical school that encourage the students' ability to contribute to the profession are the Journal Club and seminar courses where first and second year students learn to think critically about scientific methods and data and to present and review basic science research journal articles.

Essentially all of the graduate programs require students to take general examinations that test their knowledge of their field and to perform mentored research projects that contribute to the body of knowledge in their field.

Section Number/Title:	IV. Educational Program
Subsection Number/Title:	4.3 Graduate Program

Subsection Reference Number:	4.3.4 Graduate Curriculum
Line Reference Number(s):	Page 33: 27-31

Requirement: The curricular offerings **must** be clearly and accurately described in published materials. Curricula **must** be directly related and appropriate to the purpose goals of the institution and the degree program, and to the financial and instructional resources of the institution.

Status: **In compliance**

Evidence: Business School Viewbook [252]; Business School Web Site: http://goizueta.emory.edu/ [144]; Goizueta Business School Orientation Materials [285]; Goizueta Business School Mission Statement (short and long) [75]; School of Nursing Catalog and Web Site: http://www.nurse.emory.edu [229]; CCNE Self-Study 1999 (Commission on Collegiate Education in Nursing Accreditation Report) [167]; Accreditation Council for Graduate Medical Education (ACGME) Guidelines: http://www.acgme.org [Appendix Y]; GME Institutional Review Document, May 16, 2001 [Appendices P, Q, R]; Executive Council Meeting Minutes (CONFIDENTIAL: contact Bryan Noe, Ph.D., Assoc. Dean for Graduate Studies, 404/727-2545); RSPH Catalog [Appendix F]; M.D./Ph.D. Program Student Handbook [234]; Letter from CEPH Awarding Accreditation [240]; Allied Health Bulletin 2001-2003 [Appendix N]; Allied Health Curriculum Subcommittee Functions and Guidelines [286]; Candler School of Theology Curriculum Subcommittee Functions and Guidelines [287]; Candler Catalog 2001-2002 [Appendix L]; Candler Curriculum Committee [86]; Candler Self-Study Report [288]; Syllabi (on file in the Office of the Registrar at Candler); Candler Registrar's Class Rolls [276]; Candler School of Theology Faculty Handbook [241]; Candler Contextual Education Handbooks [277]; Association of Theological Schools Fact Book [278]; Candler Registrar's Records [279]; School of

Theology Faculty Meeting Notes from 1993 – 1997 [280]; Candler Area Meeting Notes [281]; Candler Curriculum & Policy Committee Notes [282]; Law School Catalog [Appendix J]; Law School Pre-Registration Guide [270]; Law School Faculty Handbook, pp. 20, 50, 54-56 [Appendix I]; ABA Guidelines [283]; Graduate School of Arts and Sciences (GSAS) Handbook, p. 8 [126]; Graduate School of Arts and Sciences (GSAS) Course Atlas: http://www.emory.edu/GSOAS/PDF/Course_Atlas_Fall_2002.pdf [175]

Discussion: School and program catalogs, course atlases, and web sites all clearly describe the curricular offerings of Emory's graduate programs. Each school reviews its curriculum regularly to ensure that it is directly related and appropriate to the degree programs. Graduate instruction at Emory is supported by Emory's relatively generous financial and instructional resources.

In the GSAS, for example, all changes to the curriculum must be submitted to and approved by the Graduate Executive Committee. In other schools, such as public health or law, curricular issues are reviewed by faculty committees appointed by the deans.

Section Number/Title:	IV. Educational Program
Subsection Number/Title:	4.3 Graduate Program

Subsection Reference Number:	4.3.4 Graduate Curriculum
Line Reference Number(s):	Page 33: 33-39; 34: 1-5

Requirement: The institution **must** have a clearly defined process by which the curriculum is established, reviewed and evaluated. The faculty and administration **are responsible** for implementing and monitoring the general curriculum policy and the academic programs approved by the board. There should be an institution-wide process to coordinate programmatic and curricular changes.

The governing board **must** be responsible for approving the number of types of degrees; the number and nature of departments, divisions, schools or colleges through which the curriculum is administered; and the extent to which the institution should offer distance learning programs.

Status: **In compliance**

Evidence: GBS Committee Chart – Program Committees for Each Degree Program [289]; School of Nursing Bylaws, Article I, Section 1B, Article II, Section A, Article III [227]; Accreditation Council for Graduate Medical Education (ACGME) Guidelines: http://www.acgme.org [Appendix Y]; GME Institutional Review Document, May 16, 2001 [Appendices P, Q, R]; Executive Council Meeting Minutes (CONFIDENTIAL: contact Bryan Noe, Ph.D., Assoc. Dean for Graduate Studies, 404/727-2545); RSPH Catalog [Appendix F]; M.D./Ph.D. Program Student Handbook [234]; Allied Health Bulletin 2001-2003 [Appendix N]; Allied Health Curriculum Subcommittee Functions and Guidelines [286]; RSPH Curriculum Committee Handbook [Appendix H]; RSPH Self-Study Report [Appendix G]; Letter from CEPH Awarding Accreditation [240]; Candler Catalog 2001-2002 [Appendix L]; Candler Syllabi (on file in the Office of the Registrar at Candler); Candler Registrar's Class Rolls [276]; Candler School of Theology Faculty Handbook [241];

Candler Contextual Education Handbooks [277]; Association of Theological Schools Fact Book [278]; Candler Registrar's Records [279]; Candler School of Theology Faculty Meeting Notes from 1993 – 1997 [280]; Candler Area Meeting Notes [281]; Candler Curriculum & Policy Committee Notes [282]; Law School Catalog [Appendix J]; Law School Pre-Registration Guide [270]; Law School Faculty Handbook, pp. 20, 50, 54-56 [Appendix I]; ABA Guidelines [283]; Graduate School of Arts and Sciences (GSAS) Handbook, p. 8 [126]; Graduate School of Arts and Sciences (GSAS) Course Atlas: http://www.emory.edu/GSOAS/PDF/Course_Atlas_Fall_2002.pdf [175]

Discussion: Faculty and administrators work together in all of Emory's graduate programs to establish, review, and evaluate the curriculum. In the medical school, the M.D./Ph.D. Program's Executive Committee meets biannually to discuss policy issues. The schools of business and law similarly use program committees to oversee curricular changes and make recommendations that the greater school faculty then votes on. And in the Graduate School of Arts and Sciences, all curricular changes must be approved by the Graduate School Executive Council. Ultimately, the University's Board of Trustees is responsible for approving any changes in the number or type of degrees, departments, or schools through which the curriculum is administered.

Section Number/Title:	IV. Educational Program
Subsection Number/Title:	4.3 Graduate Program

Subsection Reference Number:	4.3.4 Graduate Curriculum
Line Reference Number(s):	Page 34: 6-27

Requirement: An institution **must** make a distinction between a course of study leading to the master's or specialist degree and a course of study leading to the doctorate.

A program leading to a master's or to a specialist degree **must** be the equivalent of at least one year of full time graduate study. A master's or a specialist degree **must** provide the following: an understanding of research and the manner in which research is conducted; an understanding of the subject matter, literature, theory and methodology of the discipline; an association with resident faculty sufficient to permit their individual evaluation of the candidate's capabilities; and demonstrated means of certifying the knowledge and skills the candidate has acquired. The institution **must** demonstrate that an effective relationship exists between curricular content and current practices in the field of specialization. ***The institution must demonstrate that program length, credit hours, and tuition and fees are appropriate for its master's and specialist degrees and any other credential it offers.***

Status: **In compliance**

Evidence: GBS M.B.A. Full-Time Viewbook, pp. 9-11 [123]; Feedback from Business School Alumni, Corporate Recruiters, and Popular Press [198]; School of Nursing Catalog and Web Site: http://www.nurse.emory.edu [Appendix K and 229]; Review of Nursing School Graduate Course Syllabi [183]; Nursing School National Council Licensure Examination – Registered Nurse(NCLEX-RN) Results [207]; School of Nursing ACGME Guidelines: http://www.acgme.org [Appendix Y]; GME Institutional Review Document, May 16, 2001 [Appendices P, Q, R]; GDBBS Program Web Site: http://www.biomed.emory.edu [266]; Accreditation Council for Graduate Medical Education (ACGME)

Guidelines: http://www.acgme.org [Appendix Y]; GDBBS Training Program Guidelines [290]; RSPH Web Site: http://www.sph.emory.edu [291]; Doctor of Physical Therapy Brochure [237]; Allied Health Bulletin 2001-2003 [Appendix N]; School of Medicine Bulletin [Appendix V]; RSPH Catalog [Appendix F]; NIH Medical Scientist Training Grant (NIH MSTG) [292]; RSPH Curriculum Committee Handbook [Appendix H]; RSPH Self-Study Report [Appendix G]; Letter from CEPH Awarding Accreditation [240]; Candler Catalog 2001-2002 [Appendix L]; Candler Syllabi (on file in the Office of the Registrar at Candler); Candler Registrar's Class Rolls [276]; Candler School of Theology Faculty Handbook [241]; Candler Contextual Education Handbooks [277]; Association of Theological Schools Fact Book [278]; Candler Registrar's Records [279] ; Candler School of Theology Faculty Meeting Notes from 1993 – 1997 [280]; Candler Area Meeting Notes [281]; Candler Curriculum & Policy Committee Notes [282]; Law School Catalog: General Information, Mission Statement, Curriculum, Course Descriptions, Degree Programs, Admission and Registration [Appendix J]; Law School Pre-Registration Guide [270]; Law School Faculty Handbook, pp. 20, 50, 54-56 [Appendix I]; ABA Guidelines [283]; Annual Reports from Departments with Master's Programs (on file in the Office of the Dean); GSAS Survey of Departmental Directors of Graduate Studies [284]

Discussion: All programs leading to a master's or specialist degree at Emory are equivalent to one full year of study, and the courses of study leading to a master's or specialist degree and to a doctorate differ markedly. For example, in the School of Public Health, coursework completed for the M.P.H. or M.S.P.H. degrees does not fulfill the requirements for training in the two doctoral programs (Epidemiology and Biostatistics). Students studying for the M.P.H. or M.S.P.H. degree are training to be competent practitioners of public health, whereas students in Ph.D. programs are training to be independent investigators and scholars in their fields. All master's and specialist degree programs emphasize research, the theory and methodology of the discipline, and contact with resident faculty.

Programs find different ways of ensuring that curricular content coincides with current practices in their field. For instance, in the M.D./Ph.D. programs, a National Institutes of Health MSTP grant annual review of the programs encourages the direction of the curriculum and ensures it meets the current practices in the areas of

postgraduate specialization. The GDBBS graduate programs also have ten National Institutes of Health Training Grants that are extensively reviewed every five years by large external site visit teams and offer similar input into the structure and function of these graduate programs. And while theology has incorporated a contextual element into its curriculum for over twenty-five years, it completely revised this program just four years ago, re-establishing and reinforcing the practical component of theological education. The program is underwritten by a 1.5 million dollar Lilly grant. All professors at Candler participate in the contextual program as part of their course load.

Many schools, including nursing and theology, compare their program length, credit hours, and tuition and fees to peer institutions to make sure they are appropriate for the degrees they offer; others, such as medicine and law, consult guidelines published by professional organizations. Business, as another example, regularly benchmarks its programs against those of other top business schools, and theology adheres to the standards of the Association of Theological Schools for degree and financial integrity.

Section Number/Title: IV. Educational Program

Subsection Number/Title: 4.3 Graduate Program

      Subsection Reference Number: 4.3.4 Graduate Curriculum

      Line Reference Number(s):   Page 34: 28-41; 35: 1-15

Requirement: A doctoral degree program **must** be of sufficient duration to provide for substantial mastery of the subject matter, theory, literature, research and methodology of a significant part of the field, including any language or other skills necessary to its pursuit, and independent research as evidenced by a doctoral dissertation. A substantial period of residence **must** be included to provide student access to a wide range of support facilities, including a research library, cultural events and other occasions for intellectual growth associated with campus life, significant faculty/student interaction, opportunities for student exposure to and engagement with cognate disciplines and research scholars working in those disciplines, and significant peer interaction among graduate students. It should provide the opportunity for a mentoring apprentice relationship between faculty and students as well as adequate time for in-depth faculty evaluation of students. For appropriate professional programs, a project may be substituted for the research dissertation. In such cases, the institution **must** demonstrate a substantial level of competency appropriate to a doctoral degree. There **must** be appropriate and regular means for determining candidacy and the fulfillment of degree requirements. The institution **must** demonstrate that an effective relationship exists between curricular content and current practices in the field of specialization. ***The institution must demonstrate that program length, credit hours, and tuition and fees are appropriate for its doctoral degrees***.

Status: **In compliance**

Evidence: GBS M.B.A. Full-Time Viewbook, pp. 9-11 [123]; Feedback from Business School Alumni, Corporate Recruiters, and Popular Press [198]; Nursing School Dissertation Guidelines [293]; Nursing School National Council Licensure Examination – Registered Nurse(NCLEX-RN) Results [207]; School of Nursing Catalog

[Appendix K]; Accreditation Council for Graduate Medical Education (ACGME) Guidelines: http://www.acgme.org [Appendix Y]; GDBBS Training Program Guidelines [290]; Graduate School of Arts and Sciences (GSAS) Handbook: http://www.emory.edu/GSOAS/PDF/student_handbook2002-03.pdf [126]; School of Medicine Bulletin [Appendix V]; GDBBS Program Web Site: www.biomed.emory.edu [266]; M.D./Ph.D. Program Student Handbook [234]; Doctor of Physical Therapy Brochure (Program Description and Requirements) [237]; RSPH Catalog [Appendix F]; RSPH Curriculum Committee Handbook [Appendix H]; RSPH Self-Study Report [Appendix G]; Letter from CEPH Awarding Accreditation [240]; Candler Catalog 2001-2002 [Appendix L]; Candler Syllabi (on file in Office of the Registrar at Candler); Candler Registrar's Class Rolls [276]; Candler School of Theology Faculty Handbook [241]; Candler Contextual Education Handbooks [277]; Association of Theological Schools Fact Book [278]; Candler Registrar's Records [279]; Candler School of Theology Faculty Meeting Notes from 1993 – 1997 [280]; Candler Area Meeting Notes [281]; Candler Curriculum & Policy Committee Notes [282]; Law School Catalog: General Information, Mission Statement, Curriculum, Course Descriptions, Degree Programs, Admission and Registration [Appendix J]; Law School Pre-Registration Guide [270]; Law School Faculty Handbook, pp. 20, 50, 54-56 [Appendix I]; ABA Guidelines [283]

Discussion: Generally, forty-eight hours of advanced course work are required for a doctoral degree at Emory, whether a Ph.D. or a D.P.T. Mean times to completion of Ph.D. degree requirements of 5.8 years in the sciences, 6.9 years in the humanities, and 7.1 years in the social sciences correlate well with similar data from other Research I universities. As indicated by this time-to-degree data, essentially all doctoral students spend much more than two years in residence before completing their degree requirements. In the sciences, most of a student's time after the first two years is spent performing faculty-mentored, laboratory-based dissertation research. In the biological sciences, students are required to participate in program-based seminar series every year that they are in residence, and they have the opportunity to attend departmentally based seminars throughout the time that they are enrolled. Accordingly, multiple opportunities exist for students to obtain a broad-based, yet in-depth education in their own fields.

Across schools, students have many opportunities to interact with faculty during the time they are in training. In the humanities and social sciences, for example, numerous faculty seminars and lecture series offer students the opportunity to engage with researchers in cognate disciplines. In the School of Nursing, research residency experiences with faculty members perform that function.

The research dissertation is a required component of all Ph.D. programs, which provides the opportunity for students and faculty to develop a mentoring relationship. All policies for determining candidacy and meeting requirements are published in catalogs. In the Graduate School of Arts and Sciences, a dissertation committee, a dissertation research plan approved by the committee, and completion of all degree requirements are comprehensively documented. Theology similarly plots students' progress toward degree fulfillment with an official plan of study updated yearly.

To ensure an effective relationship exists between curricular content and current practices, all programs rely on faculty research and practice and professional accreditation requirements.

Section Number/Title: IV. Educational Program

Subsection Number/Title: 4.3 Graduate Program

Subsection Reference Number: 4.3.4 Graduate Curriculum

Line Reference Number(s): Page 35: 16-20

Requirement: The institution **must** conduct frequent systematic evaluations of graduate curricula offerings and program requirements. An institution **must** integrate research with instruction. Follow up of students is one method of testing the effectiveness of the graduate curriculum.

Status: **In compliance**

Evidence: Nursing School Curriculum Committee Minutes [184]; M.S.N. Committee Minutes [294]; Graduate and Employer Evaluation Forms [295]; Accreditation Council for Graduate Medical Education (ACGME) Guidelines: http://www.acgme.org [Appendix Y]; GDBBS Training Program Guidelines [290]; Graduate School of Arts and Sciences (GSAS) Handbook: http://www.emory.edu/GSOAS/PDF/student_handbook2002-03.pdf [126]; School of Medicine Bulletin [Appendix V]; GDBBS Program Web Site: www.biomed.emory.edu [266]; M.D./Ph.D. Program Student Handbook [234]; Doctor of Physical Therapy Brochure (Program Description and Requirements) [237]; RSPH Catalog [Appendix F]; RSPH Curriculum Committee Handbook [Appendix H]; RSPH Self-Study Report [Appendix G]; Letter from CEPH Awarding Accreditation [240]; Candler School of Theology Faculty Meeting Notes from 1993 – 1997 [280]; Candler Area Meeting Notes [281]; Candler Curriculum & Policy Committee Notes [282]; Law School Faculty Handbook, pp. 20, 50, 54-56 [Appendix I]; ABA Guidelines [283]; GSAS Survey of Departmental Directors of Graduate Studies [284]

Discussion: Internal and external reviews of graduate curricula and program requirements are undertaken on a regular basis by all schools. Often,

the accreditation process by professional associations also contributes to these reviews.

Each of eight programs in the Graduate Division of Biological and Biomedical Sciences is reviewed every three years for compliance with established guidelines, while the departments in the School of Public Health review their curriculum annually. In the Graduate School of Arts and Sciences (GSAS), departmentally based graduate programs are reviewed as part of overall departmental reviews conducted by the Emory College dean's office. These departmental reviews are performed on a staggered basis. Furthermore, one of the mandated foci for the outside peer reviewers is to evaluate the strength and quality of the departmentally based graduate training program. The results from these reviews are made available to the GSAS Dean.

Many of the schools follow up with alumni as one way of evaluating curriculum. The School of Medicine (SOM), for example, finds that the vast majority of its M.D./Ph.D. graduates are in or moving toward academic positions and are publishing in major journals.

Across graduate programs at Emory, research is integrated with instruction. As noted earlier, all Ph.D. candidates must complete a research-based dissertation. In the SOM, students are encouraged to integrate both research and medicine into their training through writing for a basic science journal during the first two years of medical school and clinical conferences later.

Section Number/Title: IV. Educational Program

Subsection Number/Title: 4.3 Graduate Program

     Subsection Reference Number: 4.3.5 Graduate Instruction

     Line Reference Number(s): Page 35: 26-38; 36: 1-8

Requirement: The institution **must** provide an environment which supports and encourages scholarly interaction and accessibility among the faculty and students consistent with the qualitative intent of the *Criteria*. Instructional methods and delivery systems **must** provide students with the opportunity to achieve the stated objectives of a course or program. . . . Students **must** be informed of the goals and requirements of each course, the nature of the course content, and the methods of evaluation to be employed. Methods of instruction **must** be appropriate for students at the specified level of graduate study. Experimentation with methods to improve instruction **must** be adequately supported and critically evaluated. The institution **must** use a variety of means to evaluate student performance. This evaluation **must** reflect concern for quality and properly discern levels of student performance. ***An institution must publish its grading policies, and its grading practices must be consistent with policy.***

Status: **In compliance**

Evidence: Business School Sample Teaching Ratings and School Norms [296]; Business School Course Syllabi (also on file in M.B.A. Program Office) [195]; Business School Bylaws [69]; School of Nursing Program Course Syllabi [183]; Nursing School Research Forums [297]; Summaries of Nursing School Course Evaluations [186]; E-mail to Nursing School Faculty [298]; Nursing School Course Descriptions (in Nursing School Catalog) [Appendix K]; Nursing School Graduate Student Handbook 2001-2002, p. 24 [228]; Accreditation Council for Graduate Medical Education (ACGME) Guidelines: http://www.acgme.org [Appendix Y]; GME Institutional Review Document, May 16, 2001 [Appendices P, Q, R]; GDBBS Annual Report [231]; School of Public Health Web Site: www.sph.emory.edu [291]; M.D./Ph.D. Program Informational

Brochure [255]; M.D./Ph.D. Program Student Handbook [234]; Allied Health Bulletin 2001-2003 [Appendix N]; Allied Health Course Syllabus [156]; Graduate School of Arts and Sciences (GSAS) Handbook [126]; RSPH Catalog [Appendix F]; Graduate School of Arts and Sciences (GSAS) Course Atlas [175]; Allied Health Course Evaluation Form [299]; RSPH Curriculum Committee Handbook [Appendix H]; RSPH Self-Study Report [Appendix G]; RSPH Course Syllabi (on file in the Office of Student Services at RSPH); Candler School of Theology Course Syllabi (on file in the Office of the Registrar at Candler); Candler School of Theology Faculty Handbook [241]; University Teaching Fund [191]; Contextualization of Candler Curriculum Grant [300]; Candler Catalog 2001-2002, pp. 34-35 [Appendix L]; Candler Registrar's Files of Audit of Plans of Study [301]; Law School Faculty Handbook, pp. 29-30; 43-44; 51, 56 [Appendix I]; Law School Catalog [Appendix J]; School of Law Mission Statement [87]; Law School Course Descriptions and Programs (in Law School Catalog) [Appendix J]; Law School Web Site, which contains calendar of colloquia and legal workshops: http://www.law.emory.edu/ [130]; Law School Bar Passage Rates [302]; School of Law Student Evaluation of Teacher (SET) Forms [122]; ABA Guidelines (Standards for Approval of Law Schools) [283]; Law School Application and Viewbook [259]; Letter from the Dean of the Law School to All Students [303]; GSAS Survey of Departmental Directors of Graduate Studies [284]

Discussion: Graduate students across Emory have many opportunities to interact with faculty, from small classes, to research projects, to special seminars and colloquia. For example, in the Graduate School of Arts and Sciences (GSAS), graduate students and faculty from different programs or disciplines come together in programs such as the Vernacular Modernities project, the Mellon Foundation Sawyer Seminar Series, the Center for the Study of Health, Culture, and Society, and in programs such as African Studies, Violence Studies, and Medieval Studies. The Quadrangle Fund for Advanced Research at Emory University, launched in 2000-01, also supports interdisciplinary faculty/student working groups, workshops, and symposia. In addition to the scholarly activities available for faculty-student interaction, many programs offer social events that allow for more casual networking.

The goals and requirements of courses, as well as grading policies, are spelled out in syllabi and course descriptions published by all

schools for graduate students. Methods of grading students vary from school to school. For example, the GSAS uses letter grades while the business school uses a five-tiered system that varies from "Distinction" to "No Credit." However, each program has structures in place to ensure that graduate grading practices are consistent with grading policies. In the medical school, for instance, the Office of Graduate Medical Education uses regular internal reviews to improve evaluation systems of all programs.

Instructional methods vary significantly among disciplines. Lectures, tutorials, seminars, laboratory exercises, directed readings, literature searches, and field studies are some of the methods of instruction used.

To develop new methods of instruction, faculty are supplied with grant money or release time. There has been a recent effort to begin to put certain courses, or certain parts of courses, on the web. In addition, the School of Theology has received monies from the Lilly Foundation to develop new courses that integrate practical skills with theory laden courses. To assess the effectiveness of new methods of instruction, faculty commonly hold seminars to discuss and evaluate syllabi and pedagogy.

Section Number/Title:	IV. Educational Program
Subsection Number/Title:	4.3.5 Graduate Program

Subsection Reference Number:	4.3.5 Graduate Instruction
Line Reference Number(s):	Page 36: 9-18

Requirement: Courses offered in non-traditional formats, e.g., concentrated or abbreviated time periods, **must** be designed to ensure an opportunity for preparation, reflection and analysis concerning the subject matter. At least one calendar week of reflection and analysis should be provided to students for each semester hour, or equivalent quarter hours, of graduate credit awarded. The institution **must** demonstrate that students completing these programs or courses have acquired equivalent levels of knowledge and competencies to those acquired in traditional formats.

Status: **In compliance**

Evidence: Business School Curriculum Design (in Catalog) [Appendix E]; Accreditation Council for Graduate Medical Education (ACGME) Guidelines: http://www.acgme.org [Appendix Y]; GME Institutional Review Document, May 16, 2001 [Appendices P, Q, R]; School of Medicine Bulletin [Appendix V]; RSPH Catalog [Appendix F]; M.D./Ph.D. Program Informational Brochure [255]; NIH Medical Scientist Training Grant [292]; M.D./Ph.D. Program Student Handbook [234]; RSPH Annual Report [56]; RSPH Catalog [Appendix F]; RSPH Curriculum Committee Handbook [Appendix H]; RSPH Self-Study Report [Appendix G]; RSPH Course Syllabi (on file in the RSPH Office of Student Services); Candler School of Theology Course Syllabi (on file in the Office of the Registrar at Candler); Candler Catalog 2001-2002 [Appendix L]; Candler School of Theology Faculty Handbook [241]; University Teaching Fund [191]; Contextualization of Candler Curriculum Grant [300]; Candler Registrar's Files of Audit of Plans of Study [301]; Law School Faculty Handbook, pp. 29-30; 43-44; 51, 56 [Appendix I]; Law School Catalog [Appendix J]; School of Law Mission Statement [87]; Law School Course Descriptions and Programs (in Law School Catalog [Appendix J]; Law School Web Site, which

contains Calendar of Colloquia and Legal Workshops: http://www.law.emory.edu/ [130]; Bar Passage Rates [302]; School of Law Student Evaluation of Teacher (SET) Forms [122]; ABA Guidelines [283]; Law School Application and Viewbook [259]; Letter from the Dean of the Law School to All Students [303]; Graduate School of Arts and Sciences (GSAS) Course Atlas [175]

Discussion: Several graduate programs offer one or more courses in non-traditional formats. In all cases, syllabi and policies for evaluating those courses show that they allow an appropriate opportunity for preparation, reflection, and analysis of the subject matter and represent equivalent levels of knowledge to credits awarded for traditionally formatted courses.

The fall Lead Week course in the business school departs from other non-traditional format courses at Emory in that it carries two course credits, but is essentially one week of full-time work. Students meet at least eight hours, but the activity is varied, including some lecture and mostly group research and planning. The business school would award 1.5 credits for fall Lead Weeks and 1.5 credits for the spring Lead Week, but the University will not award credits in .5 increments. Thus they split the credits with two for the fall and one for the spring. Students are evaluated on a Pass/Fail basis for the work they do in Lead Weeks.

Section Number/Title:	IV. Educational Program
Subsection Number/Title:	4.3 Graduate Program

Subsection Reference Number:	4.3.5 Graduate Instruction
Line Reference Number(s):	Page 36: 19-27

Requirement: There **must** be provision for assigning students to their advisors or directors, appointing their graduate committees, and monitoring their academic progress. . . . There **must** be frequent, systematic evaluation of graduate instruction and, if appropriate, revision of the instructional process based on the results of this evaluation.

Status: **In compliance**

Evidence: GBS Course Evaluation Forms [76]; Nursing School Graduate Student Handbook 2001-2002, p. 16: Evaluation Forms [228]; Accreditation Council for Graduate Medical Education (ACGME) Guidelines: http://www.acgme.org [Appendix Y]; GME Institutional Review Document, May 16, 2001 [Appendices P, Q, R]; Executive Committee Meeting Minutes (CONFIDENTIAL: contact Bryan Noe, Ph.D., Assoc. Dean for Graduate Studies, 404/727-2545); NIH Medical Scientist Training Grant [292]; M.D./Ph.D. Program Student Handbook [234]; School of Medicine Bulletin [Appendix V]; Graduate School of Arts and Sciences (GSAS) Handbook [126]; GDBBS Program Overview [233]; Allied Health Bulletin 2001-2003 [Appendix N]; Allied Health Accreditation Self-Study [235]**;** RSPH Annual Report [56]; RSPH Catalog [Appendix F]; RSPH Curriculum Committee Handbook [Appendix H]; RSPH Self-Study Report [Appendix G]; RSPH Course Syllabi (on file in the Office of Student Services at RSPH); Candler Syllabi (on file with the Office of the Registrar at Candler); Candler Catalog 2001-2002 [Appendix L]; Candler School of Theology Faculty Handbook [241]; University Teaching Fund [191]; Contextualization of Candler Curriculum Grant [300]; Candler Registrar's Files of Audit of Plans of Study [301]; Law School Faculty Handbook, pp. 29-30; 43-44; 51, 56 [Appendix I]; Law School Catalog [Appendix J]; School of Law Mission Statement [87]; Law School Web Site, which contains Calendar of Colloquia and Legal Workshops:

http://www.law.emory.edu/ [130]; Bar Passage Rates [302]; School of Law Student Evaluation of Teacher (SET) Forms [122]; ABA Guidelines [283]; Law School Application and Viewbook [259]; Letter from the Dean of the Law School to All Students [303]; Graduate School of Arts and Sciences (GSAS) Handbook [126]; GSAS Survey of Departmental Directors of Graduate Studies [284]

Discussion: Although they do it in different ways appropriate to their disciplines, all graduate programs at Emory make provision for assigning students to advisors, appointing their graduate committees, and monitoring their academic progress. Academic deans in the various schools also monitor progress toward the degree. In the Graduate School of Arts and Sciences, for example, each department's director of graduate studies evaluates students' progress annually. The assignment of students to advisors varies according to the research cultures in the different disciplines. In the natural sciences, such as Chemistry and the Graduate Division of Biological and Biomedical Sciences, graduate students begin lab work under a potential supervisor's guidance as early as the second year of the doctoral program. In the humanities, certain departments such as History, make an effort to recruit students evenly across all the areas of faculty expertise. Other departments, with strengths in certain fields of research, naturally attract students who wish to train in that area. All graduate students at the dissertation stage work with a committee as well as their primary supervisor.

All graduate programs evaluate instruction on a regular basis. In most schools, students are asked to complete anonymous course evaluations, and the results of those evaluations are communicated to the faculty member, the department chair, and the dean.

Section Number/Title:	IV. Educational Program
Subsection Number/Title:	4.3 Graduate Program

Subsection Reference Number:	4.3.6 Academic Advising of Students
Line Reference Number(s):	Page 36: 28-39; 37: 1-4

Requirement: Each institution **must** conduct a systematic, effective program of graduate academic advising. A qualified advisor should be assigned early in the student's program and should recognize the individuality of students and their particular needs and goals. Advisors should be proficient in using data to help determine students' major fields of interest, should have access to each advisee's records, and should have appropriate training or background and experience to carry out their responsibilities effectively. . . . An institution **must** ensure that the number of advisees assigned to faculty or professional staff is reasonable.

An effective orientation program **must** be made available to all full time graduate students. . . . Orientation and advisement programs **must** be evaluated regularly and used to enhance effective assistance to students.

Status: **In compliance**

Evidence: Goizueta Business School (GBS) Orientation Materials [285]; GBS Course Evaluation Form [76]; Nursing School Graduate Student Handbook, 2001-2002 p. 16 [228]; Nursing School Faculty Handbook 2002, pp. 16 & 38 [168]; School of Nursing Review of Advisor Lists [305]; Nursing School Copy of Enrollment Programs [306]; Nursing School Summary Evaluation Forms [307]; Accreditation Council for Graduate Medical Education (ACGME) Guidelines: http://www.acgme.org [Appendix Y]; GME Institutional Review Document, May 16, 2001 [Appendices P, Q, R]; GDBBS Program Web Site: www.biomed.emory.edu [266]; M.D./M.P.H. Program Student Handbook [308]; M.D./Ph.D. Program Student Handbook [234]; Allied Health Bulletin 2001-2003 [Appendix N]; Allied Health Accreditation Self-Study [235]; RSPH Catalog [Appendix F]; RSPH Curriculum Committee Handbook [Appendix

H]; Policies and Procedures: A Comprehensive Guide for RSPH Students [57]; Candler Registrar's Records [279]; Candler Catalog 2001-2002, p.10 [Appendix L]; Candler Records of Associate Dean of Admissions and Student Affairs and Assistant Dean of Student Programming [309]; Candler Records of Director of Contextual Education [277]; Candler Curriculum and Policy Committee Minutes [282]; Law School Catalog: Curriculum; Admissions and Registration [Appendix J]; Graduate School of Arts and Sciences (GSAS) Handbook [126]; GSAS Survey of Departmental Directors of Graduate Studies [284]

Discussion:

All graduate programs at Emory have mechanisms in place to ensure graduate students have access to qualified advisors early in their course of study. Some schools, like business, rely on a full-time director of academic advising. This individual performs grade analysis, reviews degree audits from the registrar, and helps students with questions about concentrations, course and program requirements, cross-registration, and directed study and can look up records and assist students in changing their class schedules. All departments in the Graduate School of Arts and Sciences (GSAS) have appointed a faculty member as director of graduate studies (DGS). The DGS monitors student advisement; dissertation directors also shoulder this responsibility.

The medical school notes that ensuring faculty are not overwhelmed with the number of students assigned to them is not a problem. The number of advisees in any one faculty member's laboratory is self-limiting, since the advisor must pay the full stipend of each student in his/her laboratory from the student's third year until the student meets all degree requirements. Thus, the normal maximum number of students being advised by a faculty member is two, with the exceptional circumstance being three.

All schools have effective orientation programs in place that are regularly evaluated and updated. The GSAS, for example, provides orientation prior to registration for all graduate students. The orientation features representatives from the Graduate School who inform students about important policies and procedures. Orientation is also mandatory for all new graduate students in the Goizueta Business School, the School of Law, Candler School of Theology, and the School of Public Health. Their respective orientation programs are evaluated yearly, and improvements are made based on responses to the evaluations.

Section Number/Title: IV. Educational Program

Subsection Number/Title: 4.4 Publications

Subsection Reference Number:

Line Reference Number(s):   Page 37: 5-20

Requirement: The content and design of publications produced and distributed by an institution **must** be accurate and consistent in describing the institution and rigorously adhere to principles of good educational practice.

An institution **must** make available to students and the public accurate, current catalogs or other official publications containing the following information: entrance requirements and procedures; admissions criteria and policies, including the admission of transfer students; rules of conduct; academic calendar; degree completion requirements; full-time faculty and degrees held; costs and financial obligations; refund policies; and other items relative to attending the institution or withdrawing from it.

Status: **In compliance**

Evidence: Emory College Course Catalog 1999-2001 [Appendix A]; Emory College Course Atlas, Fall 2001 [310]; Emory College Summer School Bulletin 2001 [311]; Emory College Freshman Advising and Mentoring Experience (FAME) Advisor's Handbook 2001 [148]; Oxford College Catalog 2001-02 [Appendix D]; *Goizueta Magazine* (3 issues) [312]; Goizueta Faculty Directory [313]; Goizueta Business School Full-Time M.B.A. Viewbook [123]; Evening M.B.A. Viewbook [314]; Executive M.B.A. Viewbook 2000-2001 [268]; School of Nursing Catalog [Appendix K]; *Emory Nursing* (2 issues) [315]; School of Medicine Bulletin [Appendix V]; School of Medicine Academic Planner and Student Handbook for 2001-2002 [Appendix U]; School of Medicine Financial Aid Handbook [316]; School of Medicine Admissions Viewbook [317]; School of Medicine Web Site: (http://www.emory.edu/WHSC/MED/index.html) [50]; Allied Health Program Bulletin [Appendix N]; Doctor of Physical Therapy

Brochure (Application Booklet) [237]; RSPH Catalog [Appendix F]; RSPH Curriculum Committee Handbook [Appendix H]; Policies and Procedures: A Comprehensive Guide for RSPH Students [57]; Candler Catalog 2001-2002; [Appendix L]; Candler School of Theology Student Handbook 2001-2002 [61]; Candler's Brochures for Degree Programs, Academic Programs, and Summer School [146]; *CONNECTION* Magazine [318]; School of Law Application and Viewbook [259]; Environmental and Natural Resources Law at Emory University School of Law [319]; Law and Religion Program Brochure [320]; International and Comparative Law at Emory [321]; Advocacy at Emory [322]; The Emory University School of Law Professional Conduct Code [323]; Law School Pre-Registration Guide [270]; Law School Catalog [Appendix J]; GSAS Published Brochures and Recruitment Materials [146]; Graduate School of Arts and Sciences (GSAS) Handbook [126]; www.emory.edu/COLLEGE [324]; http://www.emory.edu/COLLEGE/ATLAS/index.html [310]; http://www.emory.edu/COLLEGE/FAME/adviser'.htm [148]; http://www.emory.edu/COLLEGE/students/summer.html [311]; www.emory.edu/OXFORD [325]; www.goizueta.emory.edu [144]; www.nursing.emory.edu [229]; www.emory.edu/WHSC/MED [50]; www.sph.emory.edu/APPLY/admitfaq.html [232]; www.emory.edu/CANDLER [58]; www.law.emory.edu [326]; www.emory.edu/GSOAS/grants.html [327]

Discussion:

The University's nine schools annually or biennially review and update the materials describing their respective academic programs, admissions requirements, rules of conduct, costs and financial obligations, and other criteria specified in the must statement. The process for review varies from school to school, but typically includes careful review and revision by the chief admission officer, review by the respective deans' offices, and, in the case of some of the schools, review by members of the faculty and program staff. In addition, the editorial staff of the Publications Office carefully reviews each publication as it moves through the centralized publication process, ensuring that that information is consistent across all publications.

Catalogs and application materials are made available to current students, prospective students, and other interested individuals on request. In addition, the individual schools' web sites contain significant information about their programs, faculty, course offerings, admission requirements, and financial requirements. This information is available to anyone with Internet access.

Other publications produced and distributed by the communications offices of individual schools, such as *Goizueta Magazine*, *Emory Nursing* magazine, or *CONNECTIONS* magazine, work with departments within the schools to ensure consistency and accuracy in message and identity.

Section Number/Title:	IV. Educational Program
Subsection Number/Title:	4.5 Distance Learning Programs

Subsection Reference Number:

Line Reference Number(s):   Page 37: 21-29; 38: 1-5

Requirement: The Commission recognizes the legitimacy of distance learning, such as that conveyed through off-campus classroom programs, external degree programs, branch campuses, correspondence courses, and various programs using electronically-based instruction offered geographically distant from the main campus. An institution **must** formulate clear and explicit goals for its distance learning programs and demonstrate that they are consistent with the institution's stated purpose. Further, an institution **must** demonstrate that it achieves these goals and that its distance learning programs are effective and comply with all applicable *Criteria*. (See Commission policy statement "Distance Education: Definitions and Principles.")

Status: **In compliance**

Evidence: Oxford College Catalog 2001-2002 [Appendix D]; Oxford College Selected Syllabi [182]; M.B.A. Elective Course Outline: BUS 536 – Public Policy and Business Strategy [328]; Business School Course Outline: Organization and Management [329]; The C.M.P.H Mission [331]; C.M.P.H Program Overview [332]; C.M.P.H Prospective Student Evaluation Form [333]; C.M.P.H Registration Information [334]; C.M.P.H Curriculum: Course Listing & Descriptions, Prevention, Management & Healthcare Outcomes Curriculum Checklist [334]; Class of 2002, 2003, 2004 Course Delivery Schedules [335]; RSPH Special Studies Project Manual [336]; Career Master of Public Health Faculty and Staff [337]; RSPH Course Evaluation Forms & Procedures [338]; RSPH Exit Questionnaire Results 2000-2001 [339]; Benchmarks: Office of Career Education Quality Benchmarks in Distance Learning, Western Interstate Commission for Higher Education, Statement of Commitment, Best Practices, Developing a Distance Education Policy for 21st Century Learning, Quality on the Line: Benchmarks

for Success in Internet Based Distance Education [340]; Career
M.P.H Student Support and Procedures Manual [341]; Structure of
the Nursing School Standing Committee on Educational Resources
and Distance Learning [342]

Discussion:
Three schools, Oxford College, the Goizueta Business School and
Rollins School of Public Health, currently offer distance education
courses or programs. A newly formed standing committee of the
nursing school, the Educational Resources and Distance Learning
Committee, plans to develop and review quality-based distance
learning options in nursing education.

Oxford College currently conducts one course via teleconferencing
in partnership with Emory College. This course, Chinese, is
conducted in a manner consistent with the ideals of Oxford's mission
statement regarding sessions conducted by instructors on Oxford
campus. Oxford also offers a number of courses that prepare
students for field experiences both domestic (e.g., Texas, Utah,
Atlanta) and foreign (e.g., Ecuador and Scotland).

In addition, the Executive M.B.A. program incorporates limited use
of distance learning technology and resources. Interactive web and
phone-based communications between the instructor and students in
weekly and/or bimonthly sessions supplement weekend classes.
Roughly twenty percent of the total meeting times occurred using the
distance technology for three courses scheduled for Summer 2001.

The Career M.P.H Program is a 42-credit hour distance-based
program for professionals seeking the Master of Public Health
degree. The program targets public health professionals and other
professionals with five to ten years of experience. Students
participate in two on-campus sessions per semester. Instruction
between on-campus sessions takes place utilizing the web-based
Blackboard Software.

The curriculum of the Career M.P.H Program is comprised of the
core public health course requirements established by the traditional
program at the Rollins School of Public Health and a specialized
track in one of three concentrations: Prevention, Management or
Healthcare Outcomes. All core courses in the Career M.P.H
curriculum have been approved by the curriculum committee and are
currently being taught or have been taught in the traditional program.
Students in the Rollins School of Public Health and Career M.P.H

program are required to complete a culminating research project in addition to 200 hours of a departmentally approved practicum in a public health agency or agency related to the field of public health. Many Career M.P.H students are exempt from this option because they are working in the field while attending school.

In addition to standardized evaluation procedures such as surveys, course evaluations, and exit interviews, the Career M.P.H program has adopted the Institute for Higher Education's commissioned policy study on quality benchmarks for assessing the distance learning component of the program. Program reviews and improvements are made based on the assessment of these measures. Students in the Career M.P.H Program are held to the same rigorous academic standards of the traditional program, in addition to the challenges of working in an on-line environment.

Section Number/Title:	IV. Educational Program
Subsection Number/Title:	4.6 Continuing Education, Outreach and Service Programs

Subsection Reference Number:

Line Reference Number(s):   Page 38: 6-34; 39: 1-15

Requirement: Continuing education and outreach and service programs **must** be clearly related to the purpose of the institution. All continuing education programs, both credit and non-credit, **must** be evaluated regularly.

All continuing education and outreach and service programs offered for credit **must** comply with the requirements of the *Criteria*, and with Section IV in particular.

For non-credit continuing education programs, the institution should follow national guidelines for the recording of Continuing Education Units. (See Commission on Colleges' document *C.E.U.: Guidelines and Criteria*.) For outreach and service programs, an institution **must** provide the resources and services necessary to support the programs and **must** evaluate the programs regularly.

An institution planning to initiate, through continuing education or outreach programs, a degree program **must** inform the Executive Director of the Commission on Colleges in advance of program implementation. (See Commission document "Substantive Change Policy for Accredited Institutions.")

An institution **must** not award academic credit for work taken on a non-credit basis without appropriate documentation that the non-credit coursework is equivalent to a designated credit experience. In such cases, the institution **must** document that the credit awarded for non-credit coursework represents collegiate coursework relevant to the degree, with course content and level of instruction resulting in student competencies equivalent to those of students in the institution's own degree programs; and coursework taught by faculty members qualified to teach at the appropriate degree level. All

credit-bearing continuing education courses and activities **must** comply with the requirements of the *Criteria.*

Status: **In compliance**

Evidence: Emory Center for Lifelong Learning Mission Statement [343]; Emory Center for Lifelong Learning Course Evaluation Form [344]; Evening at Emory Class Schedule [345]; Emory's Senior University Class Schedule [346]; List of Schools Offering CEU Courses and Contact Persons [347]; Catalogs, Announcements, and Education Materials for Continuing Education Programs [348]; Goizueta Portfolio of Open Enrollment and Customized Executive Education Programs (http://goizueta.emory.edu/execed/index.asp), Goizueta Program Evaluations for Each Program, Instructor-Led Session, and Program Administration, Organizational Chart and Operations Budget [349]; Continuing Medical Education Annual Report 2000-2001 [350]; Continuing Medical Education Draft Report 8/01 (CONFIDENTIAL: contact J. Alan Otsuki, M.D., Director, CME, 404/727-0461); Accreditation Council for Continuing Medical Education Application 1999 [351]; Accreditation Council for Continuing Medical Education Accreditation Letter, July 1999 [352]; CME Example Course Files [353]; RSPH Continuing Professional Education Report for 2000-2001 [354]; RSPH SITE Course Calendar [355]; RSPH SITE Evaluation Form [356]

Discussion: Several schools of Emory University have "continuing education" offices or departments. Such entities include the Emory Center for Lifelong Learning, the Executive Education Program of Goizueta Business School, the School of Medicine's Office of Continuing Medical Education, and the Rollins School of Public Health's Office of Continuing Professional Education. A standing committee of the Woodruff School of Nursing, the Educational Resources and Distance Learning Committee, is investigating the development of a continuing education program in the school.

Directors and staff of the continuing education offices ensure that program offerings directly relate to the teaching and service missions of the sponsoring school and the University as a whole, and that courses meet the same criteria as regular courses, including faculty access and resource support. Students and faculty regularly complete evaluation forms, which are used by the schools to assess programmatic needs and appropriate target audience.

Continuing education programs operate out of University space and have access to services provided by Emory University, including custodial services, maintenance services, computer services, etc. Some programs involve Emory University faculty as course directors or as prominent members of course planning committees.

Students do not receive academic credit for any continuing education courses associated with the University. Continuing professional education sponsored by Rollins School of Public Health and Emory School of Medicine awards Continuing Medical Education (CME) credits, which are recognized continuing education units within the health related professions. School of Medicine courses are conducted locally and around the country, under professional guidelines. The Office of the Bursar maintains records of all continuing education, outreach, and service program course offerings at the University, and the Office of the Registrar maintains records of CME credits.

Section Number/Title:	IV. Educational Program
Subsection Number/Title:	4.7 Student Records

Subsection Reference Number:

Line Reference Number(s):   Page 39: 16-34; 40: 1-3

Requirement: The institution **must** have adequate student records for both credit and non-credit courses. Official student academic records for credit and non-credit courses should be maintained and stored in one central office at the institution. Complete back-up files, such as facsimiles, microfilm or electronic data banks, should be maintained continually, one set of which should be stored in a secure area outside the records office, preferably in a different building or at an off-site location. The institution **must** take all steps necessary to ensure the security of its student records, including storage in a secure vault or fireproof cabinet. Since computer generated and stored records present unique security problems, the institution should have in place special security measures to protect and back-up the data.

The institution **must** have policies concerning what constitutes the permanent record of each student, as well as policies concerning retention and disposal of records. It **must** establish and publish information release policies which respect the rights of individual privacy, the confidentiality of records, and the best interests of the student and institution.

Status: **In compliance**

Evidence: University Student Information Database: Records; Paper Records (on file in the Office of the University Registrar); Catalogs of the Schools and Colleges [Appendices A, D, E, F, J, K]; Emory College Schedule of Classes, Fall 2001 [127]; FERPA Standards [357]; Student Records Microfilm List/Index [358]; Items in a Student's Academic File (on file in the Registrar's Office); Retention Schedules [359]; Request for Release of Information [360]; Authorization for Release of Information [361]; Office of the Registrar's Policy on Student Records, available through

http://www.emory.edu/REGISTRAR/ [362]; Maintenance and Retention of Student Records, http://www.emory.edu/REGISTRAR/STAR/retention.html) [363]; Release of Information about Students in a "Nutshell" http://www.emory.edu/REGISTRAR/STAR) [364]; Campus Life Handbook, pp. 123-125, 130 [13]; Office of Admission and Student Services for the School of Nursing, Policy Document on the Maintenance and Retention of Student Records [365]; Director of Student Affairs and Admission Emory University, Student Records on file in the Office of Medical Education & Student Affairs, (CONFIDENTIAL: contact Margo Kuisus, Asst. Director for Medical Education, 404/712-8417); School of Medicine Academic Planner and Student Handbook for 2001-2002, Section on Student Records [Appendix U]; School of Medicine Bulletin [Appendix V]; Policy on the Confidentiality and Release of Information about Students (found in the University Faculty Handbook) [Appendix Z]; Policies and Procedures: A Comprehensive Guide for RSPH Students [57]; Request for Access and Use of Student Data [366]; University PeopleSoft Student Records System, https://www.opus.emory.edu/ [367]; Candler School of Theology Student Handbook 2001-02, pp. 28-29 [61]; Candler School of Theology Faculty Handbook: Policies Related to Students [241]

Discussion:

The University maintains the academic records of present and former students in two categories: those prior to 1990 and those since 1990. For the period prior to 1990, the University Registrar's Office maintains student academic records, located on the Atlanta campus, for all nine schools. A separate records office located on the Oxford campus maintains the records for Oxford College for that same period. Prior to 1990 the medium for all academic records was paper; records are backed up by microfilm that is stored off site. Since 1990, the University Records Office has kept students' academic records in electronic form. The backup for these records is electronic. Duplicate copies are maintained in remote locations.

The Office of the University Registrar is responsible for the security of the student records it maintains on the Atlanta campus and for all electronic records on the student database. All paper transcript records are kept in a separate file room, which has its own security point. Only authorized personnel have keys to the records vault. Student transcripts are produced only within the Registrar's office and are printed on secure paper. Two levels of password security protect computer access to on-line student records; all passwords are

changed every 30 days. As a further precaution, the Registrar's Office does not use student help. Each term students and faculty receive feedback data items in order to confirm security and accuracy of records.

The University Registrar uses the guidelines and policies of the American Association of Registrars and Admission Officers (AACRAO) for defining the contents of the permanent academic record and for establishing the records retention policy.

The University established rules pertaining to information release policies in accord with federal laws and regulations. These rules are published in the Campus Life Student Handbook and also are distributed to faculty and staff in separate form. The Registrar's web page and the access to electronic media also alert users to the rules.

Students may obtain their official transcripts through the Office of the University Registrar and may view on-line a copy of their academic record. Academic information about Emory University students is released only if students complete the Authorization for Release of Information form (to parents or other third party) and/or the Request for Release of Information (to another institution). All students are apprised of the policy concerning release of information during new student orientation and are reminded of the policy whenever they request the release of academic information.

In addition to the permanent academic records of students (specifically transcripts and grade rolls) maintained by the Office of the Registrar, most schools of the University keep some records concerning their students in their offices. Individual schools follow procedures and policies regarding maintenance, security, and release of information similar to the procedures and policies of the Office of the Registrar. During the 2001-02 year, for example, Candler School of Theology's Admissions, Scholarship and Honors Committee reviewed its own policy for the retention of student records in light of current Federal Rights and Privacy Act regulations and Emory University recommendations.

Section Number/Title: IV. Educational Program

Subsection Number/Title: 4.8 Faculty

Subsection Reference Number:

Line Reference Number(s):   Page 40: 4-14

Requirement: The selection, development and retention of competent faculty at all academic levels is of major importance to the educational quality of an institution. The commitment of faculty to institutional purposes determines in large measure the effectiveness of the total educational program. An institution **must** provide evidence that it has employed faculty members qualified to accomplish its purpose. Because of the importance of the faculty, the Commission on Colleges and its committees will give special attention to all criteria pertaining to faculty during institutional evaluations.

Status: **In compliance**

Evidence: Faculty Vitae and Credentials (on file in the Offices of the Deans); University Faculty Handbook [Appendix Z]; Tenure and Promotion at Emory University: Policies and Guidelines [Appendix X]; School of Nursing Faculty Handbook 2002 [168]; School of Medicine Guidelines for Appointment, Promotion, and Tenure, 2001 (see especially sections V, VI, VII, VIII, IX) [Appendix W]; School of Medicine Guidelines for Appointment, Promotion, and Tenure, 1996 (see especially sections V, VI, VII) [Appendix W]; School of Medicine Policy on Faculty Development [368]; School of Medicine Requirement for Board Certification [369]; Procedures Checklist for Clinical Credentialing Program [370]; RSPH Self-Study Report [Appendix G]

Discussion: Emory University consistently seeks highly qualified faculty who hold the Ph.D., J.D., M.D., or other terminal degree from other major research institutions. For appointments at the upper ranks, Emory recruits experienced teachers and researchers who have already established a strong reputation at another university or in a

professional field. Emory's promotion and tenure procedures ensure that the quality of the faculty is maintained at a high level.

The University provost has directed the dean of each school to assure that the faculty is qualified to accomplish the purpose of the school and to maintain evidence of those qualifications. Upon appointment to the faculty the candidate provides a CV with evidence of appropriate academic and scholarly achievement, together with copies of published works if applicable, and letters of reference from scholars or specialists in the field. In most cases the candidate must present a copy of his or her transcript, but in some cases professional licensure, which has previously required certification of a degree or reputation in the field will suffice as evidence of preparation. The few instances of permanent faculty without terminal degrees in their field are documented in the instructional faculty roster.

In the case of the nursing school, specific provisions for faculty search, appointments and promotions, and hiring requirements for nursing positions have recently been reviewed, and are reflected in the new School of Nursing Faculty Policies and Procedures document.

In addition, for Ph.D. and other non-M.D. faculty members in the School of Medicine, the departmental faculty records contain a copy of each faculty member's diploma and other applicable documents. Since virtually all of them have completed extensive post-doctoral training, their mentors usually send letters or are contacted. For faculty members who provide clinical services in The Emory Clinic and the Emory Hospitals, credentialing files located at The Emory Clinic contain records verifying medical degree, internships, residencies, and fellowships; board certifications; licensure; peer and competence references; and other records required by the Joint Commission on the Accreditation of Healthcare Organizations.

Furthermore, in the law school, no faculty member is hired until he or she provides the school with a transcript demonstrating conferral of an appropriate degree. The Law School Faculty Handbook does not, however, state this as a requirement.

Section Number/Title: IV. Educational Program

Subsection Number/Title: 4.8 Faculty

     Subsection Reference Number: 4.8.1 Selection of Faculty

     Line Reference Number(s):   Page 40: 15-32; 41: 1-4

Requirement: An institution **must** show that it has an orderly process for recruiting and appointing its faculty. This process will normally involve developing a pool of qualified candidates and interviewing those who appear to be best qualified. Institutions are encouraged to recruit and select faculty with highest degrees earned from a broad representation of institutions. Recruitment and appointment procedures **must** be described in the faculty handbook or other published documents.

It is **expected** that an institution will employ faculty members whose highest earned degree presented as the credential qualifying the faculty member to teach at the institution is from a regionally accredited institution.

If an institution employs a faculty member whose highest earned degree is from a non-regionally accredited institution within the United States or an institution outside the United States, the institution **must** show evidence that the faculty member has appropriate academic preparation.

Institutions **must** ensure that each faculty member employed is proficient in oral and written communication in the language in which assigned courses will be taught.

Status: **In compliance**

Evidence: Tenure and Promotion at Emory University: Policies and Guidelines [Appendix X]; Emory College Detailed Procedures for Recruitment and Selection [371]; Appointment and Review of Lecturers and Senior Lecturers in Emory College [372]; Memorandum from Dana Greene, "Procedures for Searches," dated August 29, 2000 [373]; Example: Candidate Interview Day [374]; Business School Faculty

Recruiting Handbook: Sample Position Announcement, Letter Sent
to Schools, Sample Campus Visit Schedule and Faculty Profile
[375]; School of Nursing Faculty Recruitment Handbook [376];
School of Medicine's University Affirmative Action Plan [377];
University Open Recruitment Method [378]; School of Medicine
Administrative Decision Method [379]; School of Medicine
Guidelines for Appointment, Promotion, and Tenure 2001, including
checklists [Appendix W]; School of Medicine Guidelines for
Appointment, Promotion, and Tenure, 1996 [Appendix W];
University Statement of Principles Governing Faculty Relationships
(Gray Book) [Appendix C]; School of Medicine Requirement for
Board Certification [369]; Procedures Checklist for Clinical
Credentialing Program [370]; RSPH Procedures Manual [304];
Faculty Vitae & Credentials (on file in the Offices of the Deans);
Candler School of Theology Faculty Handbook [241]; Law School
Faculty Handbook, p. 42 [Appendix I]; School of Law ABA Self-
Study Report, pp. 10-12, 22-24 [70]

Discussion: At Emory College, all tenured, tenure-track, and permanent lecture
faculty are recruited and appointed in accordance with published
procedures. Departments all conform their searches to these
procedures. The procedures guarantee that virtually every member
of the permanent faculty has come out of an intensive nationwide
search.

Occasionally individuals are appointed by administrative decision
which does not require the full process elaborated in the procedures.
Such persons are usually senior people of scholarly distinction and
with demonstrated competence as teachers. Letters and CVs are
gathered to support such appointments, and the College Faculty
Council (promotion and tenure committee) discusses each such case
and makes a recommendation to the dean. In all other cases the
College Affirmative Action Committee requires strict adherence to
all open-search procedures, which are framed to ensure maximum
consideration of women and minority candidates. Temporary
(including part-time) faculty are screened appropriately as described
in 4.8.3 below.

All Oxford faculty are selected according to the guidelines and
procedures put forth in the Oxford College Gray Book Supplement.

Similarly, all business school faculty are selected according to the
guidelines and procedures put forth in their Faculty Recruiting

Handbook, while both the School of Medicine and the School of Public Health adhere to policies and guidelines for recruiting and selecting faculty set forth by the University as well as their respective departments.

The School of Nursing rigorously adheres to University recruitment and hiring policies dictated by the Provost's Office and Human Resources as well as specifics described in the School of Nursing Faculty Policies and Procedures document.

The Law School Faculty Handbook contains a description of the Appointments Committee and a cursory discussion of its role. Although the detailed procedures of the Appointments Committee are well understood, they are not currently described in the Faculty Handbook. This omission will be corrected in the next edition.

In addition, the Appointments Committee will from time to time identify especially exciting lateral hire candidates who would add to the law school community regardless of precise curricular fit. This orderly process has resulted in identifying and pursuing several candidates, one of whom has joined the faculty permanently and serves as the first Sam Nunn Professor of Law.

The document entitled "2001-2002 Instructional Non-Medical Faculty with Graduate Degrees Conferred by Foreign Institutions" indicates that most faculty in the institution have received a Ph.D. or equivalent degree. Department chairs who regularly hire faculty with international degrees indicate that in addition to a doctorate from a prestigious foreign institution, most of these faculty also had some postdoctoral experience at a U.S. institution.

Candidates for positions in all schools demonstrate their proficiency in English during the hiring process, through both written materials and oral presentations.

Section Number/Title: IV. Educational Program

Subsection Number/Title: 4.8. Faculty

        Subsection Reference Number: 4.8.2 Academic and Professional
                                            Preparation & 4.8.2.1 Associate

        Line Reference Number(s):   Page 41: 10-37; 42: 1-15

Requirement: Both full-time and part-time faculty **must** meet the following criteria for academic and professional preparation.

In an associate program, full-time and part-time faculty members teaching credit courses in the following areas: humanities/fine arts; social/behavioral sciences; and natural sciences/mathematics **must** have completed at least 18 graduate semester hours in the teaching discipline and hold at least a master's degree, or hold the minimum of a master's degree with a major in the teaching discipline. In exceptional cases, outstanding professional experience and demonstrated contributions to the teaching discipline may be presented in lieu of formal academic preparation in the above areas. Such cases **must** be justified by the institution on an individual basis.

The Commission encourages interdisciplinary courses and recognizes that appropriate credentials for teaching may vary. The institution **must** document and justify the academic and professional preparation of faculty members teaching in such courses or programs.

Each full-time and part-time faculty member teaching courses in professional, occupational and technical areas other than physical activities courses that are components of associate degree programs designed for college transfer, or from which substantial numbers of students transfer to senior institutions, **must** have completed at least 18 graduate semester hours in the teaching discipline and hold at least a master's degree, or hold the minimum of the master's degree with a major in the teaching discipline.

Each full-time and part-time faculty member teaching credit courses in professional, occupational and technical areas that are components of associate degree programs not usually resulting in college

transfer, or in the continuation of students in senior institutions, **must** possess appropriate academic preparation or academic preparation coupled with work experience. The minimum academic degree for faculty teaching in professional, occupational and technical areas **must** be at the same level at which the faculty member is teaching. The typical combination is a baccalaureate degree with appropriate work experience.

Status: **In compliance**

Evidence: Faculty Vitae & Credentials (on file in the Offices of the Deans)

Discussion: Associate degrees are offered through only two schools at Emory University: Oxford College and the School of Medicine (SOM). Oxford offers the Associate of Arts degree and the SOM offers the Associate in Medical Science degree in Radiologic Technology through the Department of Radiology. All full-time and part-time faculty members teaching credit courses have at least a master's degree in an appropriate subject area, and most have doctorates.

Presently, there are three interdisciplinary courses which are listed in the Oxford College Catalog 2001-2002, page 58. There are four faculty members involved in these classes. IDS 104 and IDS 105 are text-based, student-centered courses led by faculty who have either completed a Master's of Liberal Arts at St. John's Institute or who have studied at St. John's Institute. The task force on interdisciplinarity in the Advisory Council on Teaching, Learning and Professional Development (an *ad hoc* committee of the Academic Policies and Procedures Committee) oversees these classes. A chemist who holds a pharmaceutical degree and an historian lead IDS 106, Historical Perspective of Medical Discoveries. These two individuals represent their respective fields in a multidisciplinary setting.

Section Number/Title: IV. Educational Program

Subsection Number/Title: 4.8.2

Subsection Reference Number: 4.8.2.1 Associate

Line Reference Number(s):   Page 42: 22-40

Requirement: It is the **responsibility** of the institution to keep on file for all full-time and part-time faculty members documentation of academic preparation, such as official transcripts and, if appropriate for demonstrating competency, official documentation of professional and work experience, technical and performance competency, records of publications, certifications and other qualifications.

Non-degree diploma or certificate occupational courses are typically taught by faculty members with some college or specialized training, but with an emphasis on competence gained through work experience. While competency requirements may vary, they should be clearly defined by each institution.

In all cases, faculty members **must** have special competence in the fields in which they teach. It is the responsibility of the institution to keep on file documentation of work experience, certifications and other qualifications if these are to substitute for or supplement formal academic preparation.

Status: **In compliance**

Evidence: Faculty Vitae and Credentials (on file in the Offices of the Deans); Oxford College Catalog 2001-2002 (Course Description p. 58) [Appendix D]; Provisions of the Nursing School's Accreditation Agency and Georgia State Board of Nursing Policies and Procedures [380]

Discussion: All full-time and part-time faculty members at Oxford College teaching credit courses have at least a master's degree in an appropriate subject area. All faculty members meet the required criteria for academic and professional preparation. Most of the

faculty members at Oxford College have the doctorate as the highest earned degree; the remaining faculty members (generally lecturers) have master's degrees. Files indicating these credentials are maintained in the dean's office.

Transcripts, curriculum vitae, and credentials from the American Registry of Radiologic Technologies are required of faculty in the Radiologic Technology Program and are maintained in the dean's office.

Section Number/Title: IV. Educational Program

Subsection Number/Title: 4.8. Faculty

     Subsection Reference Number: 4.8.2.2 Baccalaureate

     Line Reference Number(s):   Page 43: 15-30

Requirement: Each full-time and part-time faculty member teaching credit courses leading toward the baccalaureate degree, other than physical education activities courses, **must** have completed at least 18 graduate semester hours in the teaching discipline and hold at least a master's degree, or hold the minimum of a master's degree with a major in the teaching discipline. In exceptional cases, outstanding professional experience and demonstrated contributions to the teaching discipline may be presented in lieu of formal academic preparation. Such cases **must** be justified by the institution on an individual basis.

     The Commission encourages interdisciplinary courses and recognizes that appropriate credentials for teaching may vary. The institution **must** document and justify the academic and professional preparation of faculty members teaching in such courses or programs.

Status: **In compliance**

Evidence   Emory College Faculty on Regular Appointment, 2000-2001 [Appendix B]; Emory College Annual Report On Temporary Faculty, 2000-2001 [381]; Faculty Vitae & Credentials (on file in the Offices of Deans); Emory College Course Catalog, 1999-2001 [Appendix A]; Goizueta Business School Faculty Profile [382]; Undergraduate Course Schedule Spreadsheet, Fall 2000 and Spring 2001 [383]

Discussion: Four schools at Emory offer baccalaureate degrees: Emory College, Goizueta Business School, the Nell Hodgson Woodruff School of Nursing and the School of Medicine. Emory College appoints to its permanent faculty only persons with qualifications to teach at all

levels, from the bachelor's degree through the doctorate. Faculty in the arts (dance, drama, creative writing, etc.) hold MFAs or other appropriate credentials.

In the business school, all tenured and tenure-track faculty in the school have an earned doctorate or other terminal degree. In the exceptional case in which an entry level, tenure-track faculty member fails to complete his or her doctorate prior to the commencement of contract employment that individual is removed from the tenure track and his or her title is changed to that of Instructor. Only one tenure track and non-tenure track full-time faculty member of the business school does not have a graduate degree in his respective discipline. This individual has a Bachelor's degree in business, but spent 25 years as a human resource executive for a major U.S. corporation. He teaches courses for the school in human resource management.

All full- and part-time nursing faculty who teach in the undergraduate program have extensive clinical and teaching background in nursing, have at least a master's degree in nursing, hold limited appointments in the school, and are licensed in the state of Georgia, with one approved exception: a pharmacist, who teaches science courses requiring pharmacological perspectives in the undergraduate and graduate programs.

There is only one baccalaureate degree program in the School of Medicine: the Bachelor of Medical Science Degree in Medical Imaging Technology offered through the Department of Radiology. The clinical instructors hold degrees at the Baccalaureate level. In the field of Medical Imaging Technology, this is considered the terminal degree. However, M.D.'s and other faculty are also involved in the program.

Section Number/Title:	IV. Educational Program
Subsection Number/Title:	4.8.2 Academic and Professional Preparation

Subsection Reference Number:	4.8.2.2 Baccalaureate
Line Reference Number(s):	Page 43:31-38

Requirement: **It is the responsibility** of the institution to keep on file for all full-time and part-time faculty members documentation of academic preparation, such as official transcripts and, if appropriate for demonstrating competence, official documentation of professional and work experience, technical and performance competency, records of publications, certifications, and other qualifications.

Status: **In compliance**

Evidence: Emory College Faculty on Regular Appointment, 2000-2001 [Appendix B]; Emory College Annual Report On Temporary Faculty, 2000-01 [381]; Emory College Course Catalog, 1999-2001 [Appendix A]; Faculty Vitae & Credentials (on file in the Offices of the Deans)

Discussion: Documentation of the academic preparation of all Emory College faculty members, both permanent and temporary, is kept in individual file folders at both the College Office and in the appropriate department. Full documentation of each business school faculty member's academic preparation and demonstrated competence is kept in confidential personnel files in the Office of the Dean of the Faculty and Research. The nursing school also maintains files of faculty credentials in the dean's office. Departmental faculty files in the Department of Radiology for those who participate in the Radiologic Technology Program include: *curriculum vitae*, transcripts, and credentials from the American Registry of Radiologic Technologists.

Section Number/Title:	IV. Educational Program
Subsection Number/Title:	4.8.2 Academic and Professional Preparation

Subsection Reference Number:	4.8.2.2 Baccalaureate
Line Reference Number(s):	Page 44: 1-20

Requirement: At least 25 percent of the discipline course hours in each undergraduate major **must** be taught by faculty members holding the terminal degree, usually the earned doctorate, in that discipline. In some disciplines, the master's degree in the discipline may be considered the terminal degree, such as the M.F.A., the M.S.W., and the M.L.S.; in others, a master's degree in the discipline, coupled with a doctoral degree in a related discipline, is considered appropriate. However, **it is the responsibility** of the institution to justify the master's degree, or master's in the teaching discipline coupled with a related doctorate, as the terminal degree for faculty members teaching in these disciplines. The above requirement also **applies** to each major offered through distance learning, including those offered at branches at other sites.

Faculty members who teach in remedial programs **must** hold a baccalaureate degree in a discipline related to their teaching assignment and have either teaching experience in a discipline related to their assignment or graduate training in remedial education.

Status: **In compliance**

Evidence: Emory College Faculty on Regular Appointment, 2000-2001 [Appendix B]; Emory College Annual Report On Temporary Faculty, 2000-01 [381]; Faculty Vitae & Credentials (on file in the Offices of the Deans); Emory College Course Catalog, 1999-2001 [Appendix A]; Goizueta Business School Faculty Profile [382]

Discussion: In all baccalaureate degree programs at least 25% of the discipline hours are taught by faculty who hold terminal degrees in the field.

Section Number/Title: IV. Educational Program

Subsection Number/Title: 4.8 Faculty

          Subsection Reference Number: 4.8.2.3 Graduate

          Line Reference Number(s):   Page 44: 21-39; 45: 1-31

Requirement: Institutions offering either master's or specialist degrees **must** demonstrate a high level of faculty competence in teaching and scholarship. Institutions offering doctoral degrees **must** demonstrate the research capability of faculty members teaching in these programs. Eligibility requirements for faculty members teaching graduate courses **must** be clearly defined and publicized.

                    All institutions **must** have adequate resources to attract and retain a qualified faculty, especially in the disciplines in which doctoral programs are offered. Faculty members responsible for the direction of doctoral research **must** be experienced in directing independent study.

                    Each faculty member teaching courses at the master's and specialist degree level **must** hold the terminal degree, usually the earned doctorate, in the teaching discipline or a related discipline . . . **It is the responsibility** of the institution to justify the master's degree, or master's in the teaching discipline coupled with a related doctorate, as the terminal degree for faculty members teaching in those disciplines. All faculty members teaching courses at the doctoral degree level **must** hold the earned doctorate in the teaching discipline or a related discipline . . .

                    In either case, when an institution presents evidence of competence or academic credentials other than the doctorate in the discipline for its graduate faculty, it **must** justify the employment of such faculty . . . The institution **must** document and justify the academic and professional preparation of faculty members teaching in such courses or programs.

Status: **In compliance**

Evidence:	Emory College Faculty on Regular Appointment, 2000-2001 [Appendix B]; Emory College Annual Report On Temporary Faculty, 2000-2001 [381]; Faculty Vitae & Credentials (on file in the Offices of the Deans); Emory College Course Catalog, 1999-2001 [Appendix A]; GBS Faculty Profiles [382]; Business School Faculty Recruiting Handbook [375]; GBS Endowment [384]; GBS Revenue Flows [385]; GBS Doctoral Program Viewbook [386]; School of Medicine (SOM) Guidelines for Appointment, Promotion, and Tenure, 2001 (see especially Sections X.D.3.c and Appendix F, Appendices D & E and Section III) [Appendix W]; SOM Guidelines for Appointment, Promotion, and Tenure, 1996 (see especially VIII.D.4.c and pp. 23-26 and Section II) [Appendix W]; Graduate Division of Biological and Biomedical Sciences (GDBBS) Faculty Roster and Appointment Checklist (Membership Procedures) [387]; Research Database of the SOM Office of Business and Finance (on file at the University Office of Sponsored Programs); Table 25: AAMC Compensation of Full-Time Faculty Receiving Only a Base Component (September 1995) [388]; SOM Budget FY 2002 [55]; Procedures Checklist for Clinical Credentialing Program [370]; SOM Bulletin 2001-2002 (see especially pp. 66-67) [Appendix V]; Catalogs of the Schools and Colleges [Appendices A, D, E, F, J, K, L]; Number of Medical School Faculty by Department and Rank (as of 8/31/01) [37]; SOM Executive Curriculum Committee [169]; GDBBS Program Administration Directory [389]; GDBBS Faculty Roster [387]; GDBBS Executive Committee Roster [390]; GDBBS Advisory Council Roster [391]; D.P.T. Program: Table 1: Faculty Qualification Summary [392]; The Wallace H. Coulter Department of Biomedical Engineering Primary and Program Faculty Listing [393]; What is Biomedical Engineering? Description [394]; RSPH Procedures Manual [304]; RSPH Catalog [Appendix F]; Candler School of Theology Provisions for Faculty Salary [395]; Emory University Statement of Principles Governing Faculty Relations (Gray Book) [Appendix C]; Candler Policy Statement on Faculty Leave [396]; Law School Faculty Handbook, p. 45 [Appendix I]; Law & Religion Program Brochure [320]; Resumes of Frank Alexander, Michael Broyde, Harold Berman, Abdullahi An-Naim, John Witte and Johan Van der Vyver (on file at Office of the Dean of the Law School); Law School Annual Reports [397]
Discussion:	Emory College appoints to its permanent faculty only persons with qualifications to teach at all levels, i.e., in most cases bachelor's through the doctorate. Last year the College utilized 150 temporary faculty not including those listed under Physical Education. Part-

time appointments comprised 68% of this group. Ninety-four of the 150 temporary faculty members held doctorates (63%), and the others all held master's degrees or in a few cases other appropriate qualifications.

Faculty competence in research is demonstrated in part by the number of grants awarded to College faculty. In the past three years, faculty have won dozens of grants and fellowships from sources including the American Council of Learned Societies, Fulbright-Hayes and Guggenheim programs, National Endowment for the Humanities, and National Humanities Center, and the Ford, Rockefeller, Howard, Olin, Spencer, and Alfred P. Sloan Foundations. Faculty have additionally received sponsored research awards from such federal agencies as the National Science Foundation, the Departments of Energy and Education, NIH-NIMH, Office of Naval Research, and NASA.

All but a handful of the faculty of the Goizueta Business School have doctorate degrees in their respective fields. Faculty who do not have doctorate degrees are screened by school administrative personnel for appropriate professional qualifications that are relevant to the courses being taught. The business school has only recently initiated a doctoral program in business. In making the decision to move forward with doctoral education, the school took pains to recruit faculty who have good track records in producing doctoral students at other universities to take a leadership role in building our program. Moreover, many of the business school faculty have experience managing doctoral research assistants from other departments at Emory. The faculty are active in their disciplines, with many serving on editorial boards or as editors of major journals. Several have had leadership roles in important professional associations.

In the School of Nursing, all full- and part-time faculty who teach in the graduate program at the master's level have extensive clinical, teaching, and scholarly background in nursing; minimally they have a master's degree in nursing and are licensed in the state of Georgia with one exception, a pharmacist who teaches science courses requiring pharmacological perspectives in the undergraduate and graduate programs.

All faculty in the School of Medicine are competent in teaching, scholarship, and the direction of independent study, and almost all (with a few justified exceptions in non-Ph.D. and non-M.D.

programs) hold terminal degrees in their discipline. Most hold the M.D., Ph.D., or equivalent degree. It is important to note that some graduate programs in the School of Medicine are clinically and technically oriented rather than research oriented, so a faculty member's research capability may not be as important as his/her clinical or technical skill. In the new Doctor of Physical Therapy (D.P.T.) Program, all faculty who teach have advanced education and certification, but in the future, all new faculty hired will hold doctoral degrees. The current faculty in the D.P.T. Program who are engaged in Ph.D. study will complete those degrees within approximately two to three years (each has successfully completed all comprehensive examinations and is ready for candidacy qualification). Each faculty person who does not hold a doctoral degree but is eligible for the D.P.T. transition program will enroll in that program and earn the D.P.T. degree within the next two years

Faculty members teaching doctoral level courses in the School of Public Health have earned the doctoral degree in their field and have an active program of research and writing.

All full-time faculty of the Candler School of Theology hold the earned doctorate in the discipline in which they teach. However, Candler does appoint some persons whose responsibilities are primarily administrative but who teach on a part-time basis. Of these persons only one, Barbara Day Miller, does not hold an earned doctorate. Her professional degree (M.Div.) and her extensive professional experience qualify her for the post she holds, Assistant Dean of Worship and Ceremonial Life and for the courses she teaches as Lecturer in Liturgical Practices. Candler hires certain adjunct faculty who teach ministerial practices (e.g., evangelism, pastoral care). In these cases, too, the combination of the highest professional degree (M.Div.) coupled with extensive professional experience qualifies these persons for the courses they teach. Their curriculum vitae are on file in the office of the Associate Dean for Academic Affairs.

All School of Law faculty members hold at least the J.D. or equivalent degree. Law faculty teaching in the Law & Religion Program have the J.D. degree and an interdisciplinary degree or substantial scholarship in interdisciplinary studies.

Much like the faculty of the aforementioned departments and schools, Graduate School of Arts and Sciences (GSAS) faculty members are also thoroughly competent in the areas of teaching,

scholarship, research and the direction of independent study.
Because all GSAS faculty members hold an appointment in another
of Emory's schools, they are all addressed by the discussions above.

Section Number/Title:	IV. Educational Program
Subsection Number/Title:	4.8 Faculty

Subsection Reference Number:	4.8.2.3 Graduate
Line Reference Number(s):	Page 45: 32-39

Requirement: It is the **responsibility** of the institution to keep on file, for all full-time and part-time faculty members teaching graduate courses, documentation of academic preparation, such as official transcripts and, if appropriate for demonstrating competence, official documentation of professional and work experience, technical and performance competency, records of publications, and certifications and other qualifications.

Status: **In compliance**

Evidence: Emory College Faculty on Regular Appointment [Appendix B] Emory College Annual Report on Temporary Faculty, 2000-2001 [381]; Faculty Vitae & Credentials (on file in the Offices of the Deans); Goizueta Business School (GBS) Faculty Profile [382]; Business School Faculty Recruiting Handbook [375]; GBS Endowment [384]; GBS Revenue Flows [385]; GBS Doctoral Program Viewbook [386]; RSPH Procedures Manual [304]; RSPH Catalog [Appendix F]; List of Full-Time and Part-Time Candler Faculty [398]; Law & Religion Program Brochure [320]; Resumes of Law Professors Frank Alexander, Michael Broyde, Harold Berman, Abdullahi An-Naim, John Witte and Johan Van der Vyver (on file in the Office of the Dean of the Law School)

Discussion: Documentation of the academic preparation of all Emory College faculty members, both permanent and temporary, is kept in individual file folders at both the College office and in department offices. In the Business School, full documentation of each faculty member's academic preparation and demonstrated competence is kept in confidential personnel files in the Office of the Dean of the Faculty.

In the School of Medicine, faculty records in the departments and deans' offices include *curricula vitae*, department chairs' letters for faculty, evaluation letters for appointments and promotions for associate professors and professors, and teaching portfolios for associate professors and professors. The departmental faculty files include evaluations of faculty members. In addition for Ph.D. and other non-M.D. faculty members, the dean's departmental faculty records contain a copy of the faculty members' diploma and, in some cases, the front page of their dissertation theses.

Personnel files in the School of Public Health contain *curriculum vitae* and other evidence of bona fide credentials, such as official transcripts, as do those in the School of Nursing. In the School of Theology, information about scholarly and service activity is gathered from faculty on a monthly basis and published for distribution at the monthly meetings of the full faculty. A year-long compilation of teaching, research publication, and service activities is submitted to the dean at the close of each academic year. These annual reports are filed in the office of the dean.

Section Number/Title: IV. Educational Program

Subsection Number/Title: 4.8 Faculty

Subsection Reference Number: 4.8.2.3 Graduate

Line Reference Number(s):   Page 46: 3-10

Requirement: However, for each graduate degree program, an institution **must** employ at least four qualified full-time faculty members whose responsibilities include teaching in the program. All policies and regulations affecting graduate curricula, as well as requirements leading to graduate credit, certification and degrees, should be formulated by the graduate faculty or an appointed or elected group representing that faculty.

Status: **In compliance**

Evidence: Faculty Vitae & Credentials (on file in the Offices of the Deans); Emory College Faculty on Regular Appointment [Appendix B]; Goizueta Business School Faculty Profiles [382]; School of Medicine (SOM) Bulletin [Appendix V]; Allied Health Bulletins [Appendix N]; Number of Medical School Faculty Members by Department and Rank (as of 08/31/01) [37]; SOM Executive Curriculum Committee [169]; Doctor of Physical Therapy Program: Faculty Qualifications [399]; The Wallace H. Coulter Department of Biomedical Engineering Primary and Program Faculty Listing [393]; RSPH Procedures Manual [304]; RSPH Catalog [Appendix F]; Law School Faculty Handbook [Appendix I]; Law & Religion Program Brochure [320]; Resumes of Frank Alexander, Michael Broyde, Harold Berman, Abdullahi An-Naim, John Witte and Johan Van der Vyver (on file in the Office of the Dean of the Law School); Law School Annual Reports [397]

Discussion: The primary criteria for determining eligibility of faculty to become Graduate School of Arts and Sciences faculty members who teach graduate level courses and serve as thesis or dissertation mentors are related to their success as scholars in their respective fields. Such things as publication record in peer-reviewed journals, memberships

in professional societies, and invited presentations at national and international conferences in their respective disciplines are important factors in assessing eligibility to be a graduate faculty member. All of these faculty members hold appointments in other schools described below.

Emory College appoints to its permanent faculty only persons with qualifications to teach at all levels, i.e., in most cases bachelor's through the doctorate. In the most recent year of record, Emory's 377 tenured or tenure-track faculty all held the Ph.D. or other appropriate doctorate, except for nine in the arts (dance, drama, creative writing), who held M.F.A.'s or other appropriate qualifications. Of 63 permanent lecturers (not including PE), 42 held doctorates, twenty held appropriate master's degrees, and one was a distinguished writer in residence. Virtually all permanent appointments are full-time.

All but a handful of business school faculty have doctorate degrees in their respective fields. Business faculty who do not have doctorate degrees are screened by school administrative personnel for appropriate professional qualifications that are relevant to the courses being taught. The number of full-time business faculty in each of our five academic areas ranges from 13 to 16.

In the nursing school, all full- and part-time faculty (22 full-time and 19 part-time), who teach in our graduate program at the master's level have extensive clinical and teaching and scholarly background in nursing, at least a master's degree in nursing, and are licensed in the state of Georgia with one exception, noted above in section 4.8.2.2.

Currently, all faculty who teach in the School of Medicine have advanced education and certification. The SOM has more than 1,200 full-time faculty who teach in the medical, residency, graduate school, and allied health programs. Please note that the number of faculty members listed in the SOM Faculty by Departments list includes only four full-time faculty for the Wallace H. Coulter Department of Biomedical Engineering. (The 2002-2003 Emory roster will be longer). This program is jointly administered by Georgia Institute of Technology and Emory University. It is a fledgling department, and as of 2001 most of the faculty hold their primary appointments with Georgia Tech.

The School of Public Health includes adequate numbers of faculty for the academic programs being offered. It employs 65 tenure track and 45 non-tenure track full-time faculty members. The number of faculty is about at the mean for all 31 accredited schools of public health, according to the publications of the Association of Schools of Public Health. All but one academic department within the school offering a concentration in public health contains significantly more than four faculty members. One department, Environmental and Occupational Health, employs four full-time tenure track faculty members but shares expertise with cross-appointed faculty in the school, part-time faculty from neighboring public health institutions (e.g., the U.S. Centers for Disease Control and Prevention and the Agency for Toxic Substances and Disease Registry). Two additional full-time, tenure-track faculty members have recently been hired and will join that department in 2002.

Candler School of Theology M.Div, M.T.S., Th.M. programs (and the D.Min., in process of being phased out) are staffed by Candler's forty-four full-time faculty. The Th.D. program is staffed by a combination of Candler and Atlanta Theological Association faculty. The M.S.M. program is coordinated through the Music Department of Emory College. All policies and regulations affecting graduate curricula, including requirements leading to graduate credit, are discussed and recommended to the faculty by the Curriculum and Policy Committee. Any changes are reported to the faculty at its regular monthly meeting and discussed. At the following faculty meeting, a vote is taken and recorded in the faculty minutes.

Over 40 full-time law school faculty members teach in the J.D. program. The LL.M. program, which is open to international students and enrolls approximately 12 each year, allows students to take courses from the same faculty.

Section Number/Title: IV. Educational Program

Subsection Number/Title: 4.8 Faculty

Subsection Reference Number: 4.8.2.4 Distance Learning
                                                                    Programs/Activities

Line Reference Number(s):   Page 46: 11-17

Requirement: Institutions offering courses for credit through distance learning
                                      activities and programs **must** meet all criteria related to faculty.

                                      Whether through direct contact or other appropriate means,
                                      institutions offering distance learning programs **must** provide
                                      students with structured access to and interaction with full-time
                                      faculty members

Status: **In compliance**

Evidence: Oxford College Selected Syllabi (also on file in Oxford's Hoke
                                  O'Kelly Library) [182]; Career Master of Public Health (C.M.P.H)
                                  Curriculum: Course Listing [334]; C.M.P.H Faculty Vitae &
                                  Credentials (on file in the Office of the Dean); Resume of Law
                                  Professor Peter Hay [400]

Discussion: Only Oxford College, the School of Public Health, and the Law
                                    School offer distance learning courses. Oxford College's regular
                                    faculty teach our "off campus" courses, and the instructor for our
                                    teleconference course in Chinese is a regular Emory College faculty
                                    member. No part-time faculty are involved.

                                    The Career Master's of Public Health (C.M.P.H) Program, described
                                    in section 4.5.1, is taught by full-time faculty appointed in the RSPH
                                    supplemented by a small number of adjunct faculty members. All
                                    faculty hold terminal degrees in their academic specialty. A current
                                    curriculum vita and other documents indicating their credentials are
                                    available in the School of Public Health personnel files.

Public Health students interact in-person with faculty instructors during two intensive periods of on-campus instruction of 4 to 5 days each during a semester and in regular, sometimes daily, exchanges through the Internet.

The only law course offered through distance learning was taught by Peter Hay, who has served as Interim Dean and is the L.Q.C. Lamar Professor of Law. He is a tenured member of the law faculty. While resident in Dresden, Germany, Professor Hay taught Conflict of Laws to Emory students via two-way live audiovisual feed. He was available to engage with students for conferences by the same feed as well as by e-mail.

Section Number/Title: IV. Educational Program

Subsection Number/Title: 4.8 Faculty

     Subsection Reference Number: 4.8.3 Part-Time Faculty

     Line Reference Number(s):   Page 46: 18-37

Requirement: The number of full-time members **must** be adequate to provide effective teaching, advising and scholarly or creative activity, and be appropriate to participate in curriculum development, policy making, institutional planning and governance. The employment of part-time faculty members can provide expertise to enhance the educational effectiveness of an institution but the number of part-time faculty members **must** be properly limited. Part-time faculty members teaching courses for credit **must** meet the same requirements for professional, experiential and scholarly preparation as their full-time counterparts teaching in the same disciplines.

Each institution **must** establish and publish comprehensive policies concerning the employment of part-time faculty members.
It **must** also provide for appropriate orientation, supervision and evaluation of all part-time faculty members. Procedures to ensure student access to part-time faculty members **must** be clearly stated and publicized.

Status: **In compliance**

Evidence: Emory College Annual Report on Temporary Faculty, 2000-2001 [381]; Faculty Vitae & Credentials (on file in the Offices of the Deans); Emory College Policies Governing Temporary and Part-Time Faculty [401]; Oxford Faculty Orientation Agenda [402]; Oxford College Selected Syllabi (also on file in the Hoke O'Kelly Library) [182]; Goizueta Business School Faculty Profile [382]; Business School List of Faculty Standing Committees [403]; Business School Faculty Orientation Handbook [404]; School of Nursing Faculty Handbook 2002 [168]; University Faculty Handbook [Appendix Z]; Number of Medical School Faculty by Department and Rank (as of 8/31/01) [37]; GDBBS Program Administration Directory [389]; GDBBS Faculty Roster [387];

Doctor of Physical Therapy Program: Faculty Qualifications [399]; The Wallace H. Coulter Department of Biomedical Engineering Primary and Program Faculty Listing [393]; School of Medicine Guidelines for Appointment, Promotion, and Tenure, 2001 (see especially Sections IV, IX, and XI) [Appendix W]; School of Medicine Guidelines for Appointment, Promotion, and Tenure, 1996 (see especially Sections III, VII, and IX) [Appendix W]; RSPH Annual Report [56]; RSPH Catalog [Appendix F]; RSPH Procedures Manual [57]; RSPH Self-Study Report [Appendix G]; List of Full-Time and Part-Time Candler Faculty [398]; Current Candler Faculty Committees and Their Membership [405]; Annual Reports (on file in the Offices of the Deans); Candler Policy Statement Concerning Adjunct Faculty [406]; Copies of the Candler Course Lists for Academic Year 2000-2001 (on file in the Office of the Associate Dean for Academic Affairs, Candler); Candler Course Evaluation Form [407]; Syllabi of Part-Time (Adjunct) Theology faculty (on file in the Office of the Associate Dean for Academic Affairs, Candler); Law School Annual Reports [397]; Law School List of Adjunct Faculty and Courses [408]; Law School Adjunct Faculty Guidebook [409]

Discussion:

Most Emory schools and colleges use part-time faculty, usually for one or two reasons: 1) to cope with student demand for lower level courses, and 2) to cover specialty courses that lie outside the core competency of full-time faculty. In all cases, these faculty are properly credentialed and evidence of credentials are housed in the appropriate dean's office as outlined in section 4.8.2 above. In the most recent year of record (2000-01), Emory College's 150 temporary faculty (not including Physical Education) taught 6,498 students or 18.2% of undergraduate enrollment.

Part-time faculty enable Emory to cope with demands at the freshman-sophomore general education level, and at upper levels to offer valuable additional courses and to replace absent regular faculty in key established courses. The College has recently published written guidelines specifically covering temporary faculty, which includes virtually all part-time instructors. This policy statement was issued in February 2002.

At Oxford part-time faculty meet or exceed the academic qualifications specified for instructors in an AA degree-granting institution. All instructors receive faculty orientation, and they are instructed to provide adequate office hours for their students.

Generally Oxford has no more than three part-time faculty members in a given year.

In the business school, part-time faculty are recruited on a special need basis at the Area Coordinator level with approval of the Dean of the Faculty. All non-tenured and non-tenure-track (e.g. adjunct faculty, visiting professors, and instructors) business faculty are expected to possess an earned master's degree and extensive practical experience in the subject to be taught.

As stated in the Nursing Handbook, requirements for eligibility to part-time faculty status (limited appointments) are the same as for full-time faculty members as noted in Sections 4.8.2 above. Hiring, supervision, and evaluation of part-time faculty members are the responsibility of the chair of the hiring department. Part-time faculty members participate in regular all-faculty meetings of the school, may be elected or appointed members of nursing school committees, and participate in all activities of the school where faculty members participate.

All part-time faculty in the School of Medicine undergo a departmental review of credentials and suitability before they are hired and generally have credentials comparable to those of the full-time faculty. The departments must justify to the dean's office their need for part-time faculty members. Part-time M.D. faculty are typically hired to augment clinical instruction and patient care. Part-time Ph.D. faculty are typically hired to do research and teach. Some faculty take part-time status to accommodate personal needs. The number of part-time faculty is carefully monitored and properly limited. The Emory Clinic provides a thorough orientation for all clinical faculty, and each department has an orientation program for new faculty who practice in The Emory Clinic. All faculty, part- and full-time, are supervised by the division director and/or departmental chair. Part-time faculty undergo an annual salary merit review as do full-time faculty. There is no distinction made between full- and part-time faculty on course syllabi. Students are given equal access to part-time faculty.

Like most professional schools, the Rollins School of Public Health (RSPH) includes a number of adjunct faculty, primarily public health professionals at neighboring institutions and agencies. Because the RSPH is adjacent to some of the leading public health institutions in the world, the school has invited well-trained professionals to participate in the education of RSPH students by overseeing practica,

helping to supervise master's theses, providing guest lectures and, in some cases, teaching courses.

Part-time RSPH faculty members possess the doctoral degree or terminal degree in their field and are active scholars or public health practitioners. Their formal credentials are identical to those of faculty, although their professional activities may differ from those of full-time academics. They often provide exposure to practice experience, valuable in professional training but less available from full-time academic faculty. Adjunct RSPH faculty who teach in the school are oriented to the instructional program of the department through the department's assistant director for academic programs. Like all school faculty, they are required to schedule regular office hours and be available through Internet contact.

The School of Theology makes a distinction between (a) persons who are hired primarily for administrative positions but who teach on a part-time basis and have full faculty privileges and (b) part-time faculty with limited faculty privileges. The former category includes persons on continuous contractual appointment who carry substantial teaching, advising, and committee responsibilities. At the discretion of the dean, these persons are granted full participation and vote at faculty meeting. Of the persons currently in this category only one, Barbara Day Miller, does not hold an earned doctorate. Her professional degree (M.Div.) and her extensive professional experience qualify her for the post she holds, Assistant Dean of Worship and Ceremonial Life, and for the courses she teaches as Lecturer in Liturgical Practices.

The second category includes persons invited by the dean and area faculty to teach courses in the School of Theology because of their particular skills and knowledge. Orientation, supervision and evaluation of part-time faculty with limited faculty privileges is provided by the office of the Associate Dean for Academic Affairs and by the chair of the area in which the individual is teaching.

The School of Law faculty annual reports demonstrate that the core curriculum is being covered by regular faculty, with adjuncts employed for enrichment offerings. The ABA visit confirmed that the Law School's student/faculty ratio is 16:1, which is exceptional.

The Law School's policies concerning employment of adjunct faculty members are understood and include screening by the Appointments Committee and review by the Faculty Review

Committee. The Law School Adjunct Faculty Guidebook provides adjunct faculty with information on a variety of relevant topics, including examinations, grading, and faculty evaluation. The orientation of adjunct faculty at the law school includes discussion of the need to permit student access to the professors. In addition, each adjunct faculty member who requests an e-mail listserv for his or her class is accorded one.

Section Number/Title: IV. Educational Program

Subsection Number/Title: 4.8 Faculty

    Subsection Reference Number: 4.8.4 Graduate Teaching Assistants

    Line Reference Number(s):   Page 47: 1-35

Requirement: The employment of graduate teaching assistants is a well established practice in higher education, but should be carefully monitored. An institution **must** avoid heavy dependence on graduate teaching assistants to conduct classroom instruction. Each institution employing graduate teaching assistants **must** provide a published set of guidelines for institution-wide graduate assistantship administration, including appointment criteria, remuneration, rights and responsibilities, evaluation and reappointment. Graduate teaching assistants who have primary responsibility for teaching a course for credit and/or for assigning final grades for such a course, and whose professional and scholarly preparation does not satisfy the provisions of Section 4.8.2 **must** have earned at least 18 graduate semester hours in their teaching discipline, be under the direct supervision of a faculty member experienced in the teaching discipline, receive regular in-service training and be evaluated regularly. Institutions **may appoint** graduate teaching assistants for whom English is a second language **only** when a test of spoken English, or other reliable evidence of the applicant's proficiency in oral and written communication, indicates that the appointment is appropriate. Institutions employing graduate teaching assistants **must** provide a structure for administrative oversight at a level above that of the individual academic units to ensure conformity with institutional policies and procedures.

Status: **In compliance**

Evidence: Emory College Annual Report on Graduate Teaching Assistants, 2000-2001 [410]; Graduate School of Arts & Sciences Handbook 2001-2002 [126]; GDBBS Teaching Assistant Training & Teaching Opportunity Program [411]; GDBBS Admissions Requirements [412]; GDBBS Fast Facts [413]; Graduate School of Arts and Sciences Policies and Procedures Manual [414]; Course List for Fall

2000 and Spring 2001, with the Courses Taught by Theology Graduate Students [415]; Guidelines for Graduate Teaching Assistants Hired to Teach Courses in the School of Theology [416]; Graduate Students Course Evaluations [417]

Discussion: The training and employment of graduate teaching assistants is carefully regulated under the Graduate School of Arts and Sciences' Teaching Assistant Training and Teaching Opportunity (TATTO) program. TATTO establishes school-wide requirements and standards for teaching assistants and these guidelines are published in the *Graduate School of Arts and Sciences Handbook, 2000-2001*, pp. 21, 23, 34-35. Emory regards training for teaching as a Ph.D. degree requirement. All students are financially supported for graduate study. Teaching assistantships are considered to be a degree requirement.

Graduate teaching assistants may have primary responsibility for teaching a course for credit and/or for assigning final grades for such a course once they have completed a minimum of 24 graduate semester hours in their teaching discipline. The norm, with few exceptions, is that graduate students do not assume primary responsibility for teaching a course for credit before they have completed 48 semester hours of advanced course work. All graduate teaching assistants receive regular in-service training through their departmental pedagogy courses and roundtables, and their teaching is closely monitored, mentored, and evaluated by regular faculty. The most advanced form of graduate teaching assistant—the Dean's Teaching Fellow—follows Ph.D. candidacy and occurs not before the student's fifth year of advanced training.

Graduate teaching assistants from the Graduate School of Arts and Sciences' Ph.D. programs may assist instruction in a variety of Emory school settings, including Emory College, Rollins School of Public Health, Candler School of Theology, and the School of Medicine. Graduate teaching assistants are subject to the same academic standards, policies, and procedures that all instructors are subject to as established and monitored within those various schools. To underscore this fact, all graduate students in the Ph.D. program and master's students in those few terminal master's programs that employ graduate teaching assistants must complete the graduate school's summer course prior to their first and closely structured teaching experience. The summer course is taught by faculty from all schools in which graduate students teach and emphasizes the

importance of school specific standards and procedures, particularly for example, in the administration of the honor code.

Emory College TAs are used mostly to teach introductory sections in departments that (a) teach large numbers of undergraduates, and (b) have graduate programs where advanced students need teaching experience. The Graduate Division of Biological and Biomedical Sciences (GDBBS) program provides their graduate students the opportunity to teach a limited number of lectures within their first three years of graduate studies under supervision of faculty members. Because students admitted to the theology Ph.D. program at Emory must hold the master's degree or equivalent, they have well more than the required eighteen semester hours in their teaching discipline. During the 2000-2001 academic year, fewer than thirteen percent of courses offered in the School of Theology were taught by advanced Ph.D. students in the Emory University Graduate Division of Religion.

Most schools in the health sciences rarely use teaching assistants. In the nursing school, for example, graduate students are used infrequently in the undergraduate teaching mission of the school, thus the use of a large number of part-time faculty members. These graduate teaching assistants are regularly overseen by their faculty advisor as well as the B.S.N. Program Director. Graduate teaching assistants do not teach courses for students seeking the M.D. degree in the School of Medicine. They may provide laboratory instruction for M.D. students. The Rollins School of Public Health (RSPH) rarely employs graduate teaching assistants as course instructors. When this occurs in the two departments with doctoral programs (Epidemiology and Biostatistics), teaching assistantships conform to the rules of the Graduate School of Arts and Sciences. In 2000-01 academic year, no more than two courses were taught by doctoral student teaching assistants with primary responsibility for instruction.

The competence and progress of TAs as classroom instructors are monitored through the course evaluation system described in 4.8.10 below. All international students for whom English is not a native or first language are tested for English as a Second Language (ESL) as they enter graduate programs of study. Those who do not meet a threshold of proficiency are required to take ESL courses and are not permitted to serve as teaching assistants until they achieve a level of proficiency determined by repeated testing. ESL teaching support in

the form of ESL 520 is available to international students and required by some departments.

Section Number/Title: IV. Educational Program

Subsection Number/Title: 4.8 Faculty

    Subsection Reference Number: 4.8.5 Faculty Compensation

    Line Reference Number(s):   Page 48: 1-2

Requirement: Salary increases **must** be based on clearly stated criteria.

Status: **In compliance**

Evidence: Emory College Faculty Evaluation Form [418]; Emory College
                   Annual Report 2000-2001, pp. 90-92 [115]; Memo to FAC (Revised)
                   [419]; Retirement Plan
                   (http://emory.hr.emory.edu/85256BCF0069FD81/0/061998C70897E
                   40785256BCF006A88F1) [420]; Insurance Plan
                   (http://emory.hr.emory.edu/benefits.nsf/(title)/Faculty+&+Staff+-
                   +Summary+of+Benefits) [421]; Oxford College Gray Book
                   Supplement (Two, IX: Salary, p. 5; Three, III, A & B, pp. 7-8) [in
                   Appendix X]; GBS Annual Faculty Evaluation Report [77]; School
                   of Medicine Criteria for Salary Increases [423]; Table 25: AAMC
                   Compensation of Full-Time Faculty Receiving Only a Base
                   Component (September 1995) [388]; School of Medicine Guidelines
                   for Appointment, Promotion, and Tenure, 2001 [Appendix W];
                   School of Medicine Guidelines for Appointment, Promotion, and
                   Tenure, 1996 [Appendix W]; School of Medicine Policy on Faculty
                   Development [368]; Summary of Benefits for EU and Hospitals
                   (including Tuition Reimbursement Policy) [424]; Emory Clinic
                   Benefits [425]; Emory University Department of Human Resources
                   Benefits Manual [426]; Promotion and Tenure at Emory University:
                   Policies and Guidelines [Appendix X]; Association of Schools of
                   Public Health Faculty Salaries, 2000-2001 [427]; Comparative
                   Figures on Theology Faculty Compensation [428]

Discussion: Although the ways the various schools address the specifics of faculty
                   salary increases differ, in all cases salary increases are based on merit.
                   Each school collects and reviews comparative salary data and uses
                   those data to support faculty enhancement programs when warranted.

Emory College bases all salary increases on merit. Faculty are evaluated by the chair of the department who makes a salary recommendation to the dean based on that evaluation. Similarly, business school faculty salaries are based on systematic annual reviews of faculty performance in the domains of teaching, research and service, and they are conditioned by the reported salary structures of other comparable, leading schools of business administration and suggested guidelines received from the University administration. Oxford College salary increases are based on criteria stated in the Gray Book Supplement, which is available to all faculty.

The nursing school receives information from Emory's Human Resources, national and regional agencies such as National League of Nursing and the Commission on Collegiate Nursing Education and American Association of Colleges of Nursing as well at the dean of the school about how to set salaries. Clinical faculty salaries are more consistent across the board among Emory faculty and those of other private nursing schools in the Southeast, i.e., Duke, Vanderbilt. Tenured faculty salaries are set uniquely depending on amount and type of experience and research funding and credentials.

In the School of Medicine, each faculty member undergoes an annual merit review process based on school and departmental specific criteria. For clinical faculty, salary sources may include the University, the Emory Clinic, the Veterans Affairs Medical Center, the Emory Children's Center, and Children's Healthcare of Atlanta. Merit increases are based on productivity in academic and clinical performance, as appropriate, for all faculty. In all cases, the amount of merit increases is based on the availability of funds. All salaries and increases are reviewed and approved by the executive associate dean annually. The goal, when possible, is to maintain faculty salaries within the 50th -80th percentile range, based on the Association of American Medical Colleges salary table for private U.S. medical schools. The dean's office maintains records of each comprehensive departmental salary review for one calendar year.

Although neither theology nor law publishes documents that present the criteria for salary increments, it is clearly understood that salary increases are to be based on a professor's discharge of his or her duties in scholarship, teaching, and service. These expectations are published in the Guidelines for Promotion and Tenure in each school, which provide detailed discussions of review of professors

on limited appointment and of review for reappointment, tenure, and promotion.

Section Number/Title: IV. Educational Program

Subsection Number/Title: 4.8 Faculty

    Subsection Reference Number: 4.8.6 Academic Freedom and
                                            Professional Security

    Line Reference Number(s):   Page 48: 3-33

Requirement: Faculty and students **must** be free to examine all pertinent data, question assumptions, be guided by the evidence of scholarly research, and teach and study the substance of a given discipline. Institutions may endorse particular religious or philosophical beliefs, or specific social principles as they relate to the institutional statement of purpose. Such beliefs and principles may influence the curriculum and the selection of students, faculty and staff. Nevertheless, institutions of higher education exist to further the pursuit and dissemination of knowledge.

An institution **must** adopt and distribute to all faculty members a statement of the principles of academic freedom as established by the governing board, ensuring freedom in teaching, research and publication. Institutional policies **must** set forth the requirement for faculty members to carry out their duties in a professional, ethical and collegial manner that enhances the purpose of the institution. Although tenure policy is not mandated, each institution **must** provide contracts, letters of appointment, or similar documents to faculty members clearly describing the terms and conditions of their employment. All policies regarding employment, as established by the governing board, **must** be published and distributed to the faculty. If the institution uses faculty ranks and tenure, the policies and procedures for promotion, for awarding tenure, for providing adequate notice on non-renewal of a probationary appointment, and for termination of appointments, including those for cause, **must** be clearly set forth in the faculty handbook or other official publication. Termination and non-renewal procedures **must** contain adequate safeguards for protection of academic freedom.

Status: **In compliance**

Evidence:	Tenure and Promotion at Emory University: Policies and Guidelines [Appendix X]; Statement of Principles Governing Faculty Relationships (Gray Book) [Appendix C]; Emory College Sample Appointment Letter A [429]; Goizueta Business School Mission Statement [75]; Sample of a Generic Contract Letter for Business School [430]; School of Medicine Guidelines for Appointment, Promotion, and Tenure, 2001 & 1996 [Appendix W]; School of Medicine Faculty Grievance Procedure [431]; SOM Procedures Manual [432]; Candler School of Theology Faculty Handbook, pp. 39-47 [241]; Memorandum from Dean of Faculty (School of Law) Concerning LWRAP Faculty [433]

Discussion:	The University's Statement of Principles Governing Faculty Relationships (known popularly as the "gray book") applies to all parts of the University and contains provisions ensuring academic freedom and discussing professional ethics.
	The gray book emphasizes that faculty "should have security adequate for freedom to teach and seek truth." The book is distributed to all faculty when they are hired; it is also available in "Tenure and Promotion at Emory University: Policies and Guidelines" and on the web at: http://www.emory.edu/PROVOST/faculty/facmatters.htm.
	University procedures for termination are contained in the Statement of Principles Governing Faculty Relationships and its provisions relating to the Faculty Hearing Committee. In Emory College and the School of Medicine, for example, faculty recruitment letters state the terms and conditions of faculty appointments and provide web sites for pertinent policies. In addition, many schools, such as the Rollins School of Public Health, send faculty annual evaluation letters and letters of reappointment from their department chairperson that establish a rationale for the evaluation and expectations for future performance. This annual letter serves as a contract. School faculty handbooks and web sites also discuss this issue.

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Section Number/Title: IV. Educational Program

Subsection Number/Title: 4.8 Faculty

Subsection Reference Number: 4.8.7 Professional Growth

Line Reference Number(s):   Page 48: 34-37; 49: 1-9

Requirement: An institution **must** provide faculty members the opportunity to continue their professional development throughout their careers and **must** demonstrate that such development occurs. Among the means of accomplishing this goal are leaves of absence for study and research, additional graduate work in the discipline, participation in professional meetings, and in-service training such as instruction in computer usage.
The general tone and policies of an institution **must** make it clear that individual faculty members are to take the initiative in promoting their own growth as teachers, scholars and, especially in professional and occupational fields, practitioners.

Status: **In compliance**

Evidence: Teaching Resources for Faculty at Emory Brochure [434]; Passages Program Manual [435]; Faculty Development Brochure [436]; University Advisory Council on Teaching (UACT) Brochure and Web Site: http://www.emory.edu/TEACHING/ [43 and 44]; Faculty Leave Policy, Emory College [437]; Emory College Faculty on Regular Appointment 2000-2001 [Appendix B]; Emory College Sample Appointment Letter A [429]; Emory College Sample Appointment Letter B [438]; Annual Report of the Center for Teaching and Curriculum, May 2001 [439]; Oxford College Guidelines for FDC Grants in the Faculty Handbook, Section 5b [164]; Oxford College Gray Book Supplement in the Faculty Handbook, Section 1a [in Appendix X]; Guidelines for University Teaching Fund and the University Research Fund (http://www.emory.edu/SENATE/facultycou/fac_cmtes/utf_bylaws.htm) [191]; Description of ACT and TLT [193 & 194]; Memo to Faculty about Oxford Career Development (dated August 14, 2001) [441]; *Emory Nursing* (2 issues) [315]; Sabbatical Policy and Professional Leave Policy [442]; Summary of Benefits for EU and

Hospitals (including Tuition Reimbursement Policy) [424]; School of Medicine Policy on Faculty Development [368]; OMESA Innovations in Medical Education Grants [443]; OMESA Excellence in Teaching Award Call for Nominations [444]; RSPH Procedures Manual [304]; Emory University Statement of Principles Governing Faculty Relationships (Gray Book) [Appendix C]; RSPH Annual Report [56]; RSPH Strategic Plan 1998-2003 [35]; Candler School of Theology Faculty Handbook [241]; Peer Review in Theology [445]; Law School Faculty Handbook, pp. 50-51 [Appendix I]; School of Law ABA Self-Study Report, pp. 7-8 [70]; Law School Annual Reports [397]

Discussion:　　The Office of the Provost at Emory University sponsors a number of programs meant to help faculty grow as teachers and scholars. For example, the University Advisory Council on Teaching (UACT), a representative body with members from all nine of Emory's schools, offers a series of workshops on topics such as teaching and technology, developing teaching portfolios, and other issues related to teaching excellence. The Passages program, also sponsored by the Provost's Office, is a structured mentoring program that pairs junior faculty members with senior colleagues to help junior faculty develop career objectives and strategies leading to academic promotion and success.

In addition, the University provides growth opportunities through two internal grant programs: the University Teaching Fund (UTF), and the University Research Committee (URC). Both programs provide funds to faculty either for innovative teaching ideas (UTF) or for promising research projects (URC).

While the University offers a number of opportunities for professional growth, it also makes clear that the faculty are themselves responsible for taking the initiative in promoting their own growth as practitioners, teachers and scholars. In most departments, it is incumbent on the individual faculty members to use their professional development funding, seek research assistants, and request sabbatical leaves and light teaching loads. Some examples of such funding are the Teaching and Learning with Technology (TLT) grant at Oxford College, the Innovations in Medical Education Award and grant in the School of Medicine, and specific departmental grants such as the annual $2500 allotment given to theology faculty for research and travel. While the business school does give such departmental grants, there are no stated

policies for faculty leaves, which are granted by the dean only in unusual circumstances, and the school does not award sabbaticals.

Emory College provides faculty sabbaticals and supports growth by providing start-up funds to laboratory scientists, research funds for all professors, and access to the Center for Teaching and Curriculum.

The School of Medicine grants sabbaticals when funds are available; provides several forms of substantial research support and awards, as well as teaching awards, to faculty; presents an annual teaching workshop for faculty; implements the Faculty Development Policy, which requires faculty initiative in its departments; and encourages participation in departmental mentoring.

Section Number/Title:	IV. Educational Programs
Subsection Number/Title:	4.8 Faculty

Subsection Reference Number:	4.8.8 The Roles of the Faculty and Its Committees
Line Reference Number(s):	Page 49: 10-17

Requirement: Primary responsibility for the quality of the educational program **must** reside with the faculty.
The extent of the participation and jurisdiction of the faculty in academic affairs **must** be clearly set forth and published. Much of their business will normally be conducted through such structures as committees, councils, and senates, operating within the broad policies determined by the administration and governing board.

Status: **In compliance**

Evidence: Bylaws of Emory University [17]; University Senate Bylaws [447]; Faculty Council Bylaws [448]; University Faculty Handbook [Appendix Z]; Oxford College of Emory University Bylaws (in the Faculty Handbook) [164]; Business School Bylaws [69]; School of Nursing Faculty Handbook 2002 [168]; Nursing School Standing Committee Membership Listing 2001-2002 [449]; School of Medicine ECC Committee Member Roster 2001-2002 [188]; School of Medicine Council of Chairs Roster [450]; School of Medicine Faculty Committee on Appointments and Promotions Roster [451]; GDBBS Faculty Governance [452]; GDBBS Executive Committee Roster [390]; GDBBS Advisory Council Roster [391]; RSPH Procedures Manual [304]; RSPH Self-Study Report [Appendix G]; RSPH Curriculum Committee Handbook [Appendix H]; Law School Faculty Handbook, pp. 42-47, 54-57 [Appendix I]; School of Law ABA Self-Study Report, pp. 6-24 [70];

Discussion: The Bylaws of the University place primary responsibility for all educational programs in the hands of the University faculty under the direction of the president. In addition, the faculty of any school or college has jurisdiction over the educational programs, instruction

and degree requirements for that division. In many cases that jurisdiction grows out of various departmental committees. For example, the Business School has the B.B.A. and M.B.A. Program Committee (among others), and the School of Public Health has the Rollins School of Public Health (RSPH) Curriculum Committee. Such governance also takes place in the faculty meetings of each respective department. In all cases, the extent of the participation and jurisdiction of the faculty is published in faculty handbooks and on committee web sites.

The University Senate, a body composed of faculty, staff and students, provides overall University oversight, most especially through its Faculty Council. The Faculty Council serves as the chief representative body of the University faculty, and as part of its mission, considers and makes recommendations to the president concerning the academic affairs of the University, reviews all changes in existing policies or the establishment of new policies relating to matters of general interest to the University faculty, monitors and reviews the terms and conditions of faculty employment, and considers any suggestions or problems raised by any recognized faculty group.

Section Number/Title:	IV. Educational Program
Subsection Number/Title:	4.8 Faculty

Subsection Reference Number:	4.8.9 Faculty Loads
Line Reference Number(s):	Page 49: 18-32

Requirement: An institution **must** provide a faculty of adequate size to support its purpose. It **must** have procedures for the equitable and reasonable assignment of faculty responsibilities – including classroom instruction, academic advising, committee membership, guidance of student organizations, and research and service to the public.
The institution should have policies to protect faculty members from assuming or being assigned internal or external responsibilities which might encroach upon the quality or the quantity of the work they are employed to perform for the institution. The calculation of instructional loads should take into account such factors as number of preparations, number of students taught, nature of subject, and help available from secretaries and teaching assistants.

Status: **In compliance**

Evidence: Emory College Faculty on Regular Appointment, 2000-2001 [Appendix B]; Emory College Annual Report on Temporary Faculty, 2000-2001 [381]; Oxford College of Emory University Bylaws (in Faculty Handbook) [164]; Adviser Handbook Schedule of Classes for Fall 2001 [453]; Lecturer Descriptions (on file in the Office of the Dean, Oxford College); Goizueta Business School Faculty Profile [382]; Policy on Consulting, Teaching, and Other Services Outside the University [8]; School of Medicine Policies on Commitment, Private Consulting and Other Extraordinary Contributions [454]; School of Medicine Policy on Faculty Development [368]; AAMC Institutional Profile for 1996-1997 [455]; Number of Medical Faculty by Department and Rank as of 8/31/01) [37]; GDBBS Program Administration Directory [389]; GDBBS Faculty Roster [387]; Doctor of Physical Therapy Program: Faculty Qualifications [399]; The Wallace H. Coulter Department of Biomedical Engineering Primary and Program Faculty Listing [393]; RSPH Procedures Manual [304]; RSPH Self-Study Report

[Appendix G]; Size and Composition of the Theology Faculty for Courses Offered by the Theology Faculty in a Typical Year (2000-2001) [456]; Candler Faculty Standing Committees [457]; Law School Annual Reports [397]; Law School List of Adjunct Faculty and Courses [408]; Law School Faculty Handbook, pp. 50-53, 54-57 [Appendix I]

Discussion: All departments and schools, in various ways, adhere to the requirements for faculty support and the maintenance of the University's mission. More specifically, with respect to tenured and tenure-track faculty at Emory College, the normal load expected in humanities departments (including history) and in mathematics is four courses per year. In the social sciences the most common load is three courses, with enrollments per class typically higher than in humanities. In the natural sciences the load is two to three courses per year, with lower funded, less research-active faculty expected to teach more. Reductions are routinely granted to chairs of departments and programs, directors of undergraduate and graduate studies, and for certain other types of service. Permanent lecturers are expected to teach one or more courses per year above the load expected of tenure-track faculty in their respective disciplines. Normal course load for full-time temporary faculty in all departments is four to five courses per year. Theology also expects full-time faculty to teach four courses per year, although faculty who are preparing a large lecture class for the first time may apply for a course reduction.

Faculty members at Oxford Collge holding tenure-track positions in the sciences teach two lecture sections and two (three-hour) laboratories per week; faculty in physical education and dance teach five one-hour courses. Historically, faculty holding tenure-track positions in the humanities, mathematics, and social sciences taught seven, four-credit-hour courses per year; however, Oxford has been working to reduce these loads to six courses. After their first year, all tenure-track faculty at Oxford College advise students and serve on various committees. The current average faculty teaching load in the business school is three courses per academic year, regardless of discipline.

The nursing school adheres to all requirements for faculty support, though this year (2001-2002), the school plans to fill their three vacant endowed Chair positions as well as a couple of continuous appointment positions. Filling these positions will no doubt reduce

the number of part-time faculty positions existing, enhance educational programs, and enrich and increase research endeavors.

Department chairs in the School of Medicine set the assignments for faculty; because of patient care requirements and the accreditation, billing, and research compliance requirements of the accrediting bodies and federal government agencies, their authority is substantial. Nevertheless, faculty may appeal their assignments to the dean. The School of Medicine has developed several incentives to maintain a balance among research, clinical service, and teaching, including funds to support research and teaching and a productivity-based clinical incentive plan. Nonetheless, the school, like medical institutions nationwide, has felt the impact of managed care, and clinical faculty have heavy clinical loads to support their salaries.

Our clinical faculty generate the lion's share of their salaries from clinical and research activities. With ever decreasing clinical revenues, our best clinical teachers are being pulled out of the classrooms to spend more time in clinical activity (and less in teaching and research) to maintain their incomes. The SOM is making best efforts to create endowed chairs/professorships to reward some of our best faculty members. The income from these endowments provides some salary subsidy that "protects" academic time. Various other funding mechanisms exist to protect faculty time for academics.

Full-time tenure-track faculty in the Rollins School of Public Health are expected to teach two courses per year. Some faculty members may dedicate significant effort to projects receiving extramural funding and may teach less, although a minimum of one course per year is expected. Some faculty may teach additional courses and receive a greater percent of their effort covered from tuition-based accounts. Departments usually adjust the teaching load or compensation for teaching effort to correspond to demands, such as enrollment. Faculty are also expected to participate in mentoring students as advisors and thesis supervisors.

The ABA visit confirmed that the Law School's Student/faculty ratio of 16:1 is exceptional. It allows faculty loads to be kept at four per year as the norm, with one of these a seminar in the faculty member's area of research. Faculty committee work, advising, etc. are monitored by the dean to assure that that work is equitably distributed.

Section Number/Title:	IV. Educational Program
Subsection Number/Title:	4.8 Faculty

Subsection Reference Number:	4.8.10 Criteria and Procedures for Evaluation
Line Reference Number(s):	Page 49: 33-35; 50: 1-6

Requirement: An institution **must** conduct periodic evaluations of the performance of individual faculty members. The evaluation **must** include a statement of the criteria against which the performance of each faculty member will be measured. The criteria **must** be consistent with the purpose and goals of the institution and be made known to all concerned. The institution **must** demonstrate that it used the results of this evaluation for improvement of the faculty and its educational program.

Status: **In compliance**

Evidence: Tenure and Promotion at Emory University: Policies and Guidelines [Appendix X]; Emory College Faculty Evaluation Form [418]; Appointment and Review of Lecturers and Senior Lecturers in Emory College [372]; Emory College Course and Instructor Evaluation Form and Summary Sheet [458]; Guidelines for FDC Grants in the Faculty Handbook, Section 5b [164]; Oxford Annual Report Request Letter [459]; August Letter to Faculty [460]; Goizueta Business School 5-Year Strategic Plan, pp. 7-8 [64]; ACT Initiatives [461]; GBS Faculty Evaluation Report and Form [77]; Sample Three Year Review Letter [462]; Nursing School Annual Performance Reviews (on file in the Office of the Dean); School of Medicine Policy on Faculty Development [368]; School of Medicine Guidelines for Appointment, Promotion, and Tenure, 2001 (see especially sections V-IX and appendix F) [Appendix W]; School of Medicine Guidelines for Appointment, Promotion, and Tenure, 1996 (see especially sections V-VII) [Appendix W]; RSPH Annual Report [56]; RSPH Department Annual Reports (on file in the Office of the Executive Associate Dean for Academic Affairs); RSPH Self-Study Report [Appendix G]; RSPH Procedures Manual [304]; RSPH Course Evaluations (on file in the Office of Student Services); RSPH

Exit Questionnaire Results 2000-01 [339]; Candler School of Theology Faculty Handbook [241]; Law School Dean of Faculty Letter of 22 March 2001 [463]

Discussion: Criteria for evaluation are detailed in "Tenure and Promotion at Emory University: Policies and Guidelines," which is available to all faculty. All departments and schools conduct periodic evaluations of the performance of individual faculty members. What varies across departments is how often the evaluations take place (in most schools they occur every year) and how extensive the evaluations are (in nursing a more extensive evaluation is conducted every five years). Some faculty, such as tenure-track faculty in Emory College, are evaluated on research, teaching, and service, while the non-tenure-track faculty are evaluated only on their teaching.

The Law School Faculty Handbook contains detailed discussion of procedures and criteria for reviewing faculty members who are on limited appointment for purposes of retention, tenure, and promotion. Although it is well understood that every faculty member is reviewed annually on the bases of scholarship, teaching, and service, the Faculty Handbook does not say so. This oversight will be remedied in future editions. A detailed indication of the bases for annual review is contained in the annual letter to the faculty from the law school dean of faculty, a sample of which is included among the evidence as number 463.

In addition, students evaluate each undergraduate course and instructor through standardized evaluation forms. Some departments supplement the standard form with department specific forms and some also provide evaluations for graduate courses. These evaluations become part of each faculty members' teaching portfolio.

When deficiencies are noted in any of the three areas of evaluation, faculty are informed, asked to adjust their performance, and resources are provided for improvement. Positive reinforcement of faculty achievement and success often leads to revision of the curriculum, and institutional resources are marshaled to ensure that these revisions are institutionalized.

Section Number/Title:	IV. Educational Program
Subsection Number/Title:	4.9 Consortial Relationships and Contractual Agreements

Subsection Reference Number:

Line Reference Number(s): Page 50: 7-25

Requirement: A member institution which enters into such consortial relationships or contractual agreements **must** have sufficient control of relationships/agreements so as to maintain compliance with the *Criteria* when offering educational programs through such arrangements. All consortia and contracts **must** be evaluated regularly.

If an institution plans to participate in consortial relationships or enter into contractual agreements for educational programs, it **must** follow reporting policies and procedures related to substantive change. (See the Commission's substantive change procedure on the initiation of a consortium or contractual arrangements.)

Status: **In compliance**

Evidence: Hauk Letter dated 3-12-02 [464]; Affiliation Agreements with: Atlanta Veterans Administration Medical Center, Children's Healthcare of Atlanta (formerly Egleston Children's Hospital at Emory), Grady Health System, Georgia Institute of Technology (on file in the School of Medicine Dean's Office); Affiliation Agreements for Clinical Clerkships (on file in Program Directors' Offices); Law School Memorandum of Understanding [465]

Discussion: Since 1938, Emory University has been a member of the consortium originally named the University Center in Georgia and now called the Atlanta Regional Commission on Higher Education (ARCHE). ARCHE comprises twenty-one member institutions, all of which are accredited by SACS. The consortium provides for cross-registration among the institutions as well as for interlibrary loan and a program in cooperative purchasing.

With one of the ARCHE institutions—Georgia Institute of
Technology—Emory has had a long-standing joint-degree program
leading to the B.S. or B.A degree from Emory and a bachelor's
degree in engineering from Georgia Tech. Emory School of
Medicine has also created with Georgia Tech a joint department of
biomedical engineering. This change was reported to SACS by
Harriet King, J.D., Senior Vice Provost for Academic Affairs.

ARCHE is governed by a board of directors, which consists of the
presidents of the member institutions. Under this governance, and
with the management of a president of the consortium and his staff,
Emory is able to monitor the quality of academic and other programs
under the ARCHE umbrella.

The Goizueta Business School does not participate in any
consortium degree or certificate programs with other U.S.
institutions. However, it is currently engaged in several international
agreements with business schools around the world, each of which is
accredited by the government of the country in which they are
located. The list of participating institutions can be found in the
M.B.A. Full-Time Viewbook.

The clinical facilities with which Emory has contractual
relationships are critical components of the School of Medicine
M.D., residency, and Allied Health education programs. In addition
to Emory University Hospital, Crawford Long Hospital, and Wesley
Woods, all owned by Emory, Emory has affiliations with the Atlanta
Veterans Administration Medical Center (VAMC), Children's
Healthcare of Atlanta (CHOA), and the Grady Health System.

The relationships between the medical school administration and the
administrators of the owned and affiliated facilities are excellent.
The dean meets regularly with the CEOs of the facilities. In
addition, associate deans and/or other administrators are located at
Grady, the VAMC, and CHOA and oversee educational, clinical, and
research affairs.

The medical school has also established contractual relationships
with the DeKalb Crisis Center (for psychiatry) and many community
practices (approximately 60) for specialty teaching in Family
Medicine clerkships. Community physicians participating in
teaching the Family Medicine clerkships are carefully selected and
are given volunteer Emory faculty status in the Department of
Family Medicine and Preventive Medicine. To ensure the quality of

community-based practitioners for supervising, teaching, and evaluating medical students, the Family Medicine clerkship has instituted procedures for selecting highly-qualified physician preceptors. To provide consistency across practices, all preceptors receive the Family Medicine Clerkship Handbook, which includes "Guidelines for Preceptors," with information on the structure of the clerkship and guidelines for the clinical experience of each student. Students evaluate the preceptors by completing a written evaluation as well as reviewing their experiences with the director of the Family Medicine clerkship twice during the clerkship.

The law school has a relationship with Central European University (CEU) in Budapest, Hungary. A tenured faculty member from the School of Law holds appointments at both schools to provide academic supervisory consistency. He is in residence at CEU during the semester Emory students visit CEU and is at Emory during the semester CEU students visit Emory. The program receives continuous review from the program supervisor, and the associate dean from Emory visits CEU regularly.

The Law School's Memorandum of Understanding was signed in November 1998, and students were accepted in the fall of 1999. The program has not changed from the original agreement. However, if substantive changes are proposed, Emory University School of Law will follow the substantive change procedures.

Section Number/Title:	IV. Educational Program
Subsection Number/Title:	4.9 Consortial Relationships and Contractual Agreements

Subsection Reference Number:	4.9.1 Consortial Relationships
Line Reference Number(s):	Page 52: 26-32
	Page 53: 1-5

Requirement: A member institution seeking to participate in a consortium degree or certificate program **must** enter into such a relationship only with regionally accredited institutions offering degrees or certificates at the same level. Exceptions **must** be approved by the Commission in advance of the formation of or participation in the consortium.

The member institution **must** maintain the quality of all courses/programs offered through the consortium. Educational courses/programs offered through a consortial relationship **must** be related to the teaching purpose of the institution and comply with the Criteria.

Status: **In compliance**

Evidence: Hauk Letter dated 3-12-02 [464]; Emory University Mission Statement [4]; Georgia Institute of Technology and Emory University Affiliation Agreement (CONFIDENTIAL, contact the Office of the Dean in the School of Medicine, 404/727-5673)

Discussion: Since 1938, Emory University has been a member of the Atlanta Regional Commission on Higher Education (ARCHE, formerly named the University Center in Georgia). All members of ARCHE are accredited by SACS. Emory monitors the quality of consortium programs through the ARCHE governance structure, which consists of a board comprising the presidents of all member institutions. All programs offered through the consortium are related to the teaching purpose of Emory University as indicated by the Emory University mission statement.

Section Number/Title: IV. Educational Program

Subsection Number/Title: 4.9 Consortial Relationships and Contractual
                   Agreements

   Subsection Reference Number: 4.9.2 Contractual Agreements

   Line Reference Number(s):   Page 53: 6-17

Requirement: Educational services and programs offered through a contractual
agreement with another institution or organization **must** support the
purpose of the institution.

       The member institution **must** maintain the quality of
programs/courses offered through the contract and ensure ongoing
compliance with the Criteria. (See Commission document
"Guidelines for Contractual Relationships with Non-Regionally
Accredited Institutions.")

       ***If an institution enters into a teach-out agreement with another
institution, it must submit the agreement to the Commission for
approval (See Commission policy "Teach-Out agreements.")***

Status: **In compliance**

Evidence: Affiliation Agreements (on file in the Office of the Dean of the
School of Medicine); Law School Catalog, p. 11 [Appendix J]; Law
School Memorandum of Understanding [465]

Discussion: Only two of Emory's Schools offer programs through contractual
agreements. For information on the Medical School's Contractual
Relationships, see Section 4.9 above.

       The law school also participates in a contractual agreement. The
tenured faculty of the School of Law also hold appointments at
Central European University. The Registrar of the Law School
receives transcripts from Central European University. Only those
grades of 'C' or better are accepted for credit. The program is
accredited by the New York State Bar. Emory School of Law has

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the authority from both Emory University and the American Bar Association to offer the LL.M. degree. A select number of American educated law school graduates may enter the law school's LL.M. program. These students participate in a program with the legal department of Central European University in Budapest, Hungary. Students spend the fall semester in residence at Central European University and the spring semester in residence at Emory. A minimum of 24 credit hours of satisfactory work is required. No grade below a 'C' is accepted.

Emory is not involved in any teach-out agreements.

Section V
Educational Support Services

Library and Other Learning Resources and Instructional Support
(Subsections 5.1 and 5.2)

As the following pages will show, Emory University provides library and other learning resources that are more than adequate to support the programs and purposes of the institution. Emory Libraries comprise the General Libraries (Woodruff, Chemistry, Business, Music & Media, and Math/Science) and four specialized libraries (Health Sciences, Law, Theology, and Oxford). Together these libraries house over 2.5 million volumes and subscribe to approximately 27,000 journals. In addition, they provide audiovisual materials, archives, manuscripts, and access to a growing collection of university electronic resources available though EUCLID, GALILEO and the Information Gateway. Furthermore, the libraries are adequately staffed by qualified professionals. These professionals work with faculty to conduct collection development. Policies for collection development and for the elimination of materials are written and are available in each of the libraries.

The libraries offer a number of services meant to ensure that students and other library users become proficient in finding and using information. Each library offers bibliographic instruction, and in many cases, librarians work with faculty members to plan research instruction tailored to a particular course. Furthermore, an introduction to the library is an integral component in many schools' orientation programs. In order to allow students adequate access to these resources, the libraries are open long hours, and each library provides guides to the collections that make resources easy to locate. In addition, many resources, including reserve articles and the Information Gateway, are available through the Web and, hence, are accessible from remote locations even during times the library facilities are closed.

Emory Libraries participate in a number of cooperative agreements that enhance library resources. These cooperative ventures feature strong interlibrary loan agreements, cooperative purchasing opportunities, OCLC services, and various educational initiatives. Emory does not, however, rely on these cooperative resources to avoid responsibility for adequate local resources; in fact, in many cases, Emory has special responsibility to provide access to resources. All of these relationships are evaluated upon membership renewal.

In addition to its libraries, Emory provides a number of other instructional support services. These include physical resources such as computer laboratories available to students, specialized electronic classrooms, science laboratories, and specialized facilities in each of the professional schools. Other services include peer tutoring, a writing center, disability services, and science literacy programs, among others.

Information Technology Resources and Systems (Subsection 5.3)

Emory University is at the forefront of educational technology and has dedicated significant resources to incorporating technological advances into its operations. Technology is evident everywhere on campus, from everyday uses such as e-mail and communications systems to resources designed for specific purposes such as database applications and security implementation. Central administration of technology resources rests with the Information Technology Division (ITD). In addition to campus-wide systems and administrative structures, each school and college benefits from local on-line systems that have been developed to meet specific needs and from the expertise of a local staff of technology experts.

All Emory faculty, staff, and students have access to computing resources, through computer labs, offices, classrooms, and the library as well as through remote access over the World Wide Web. The University provides a number of training opportunities for both students and employees, through library courses, ITD courses, and courses available through the various schools and divisions.

The Emory Council on Information Resources and Technology (CIRT) has responsibility for overall policy and planning guidance for the use of information resources and technology at Emory, and the Emory Technology Advisory Committee, a campus-wide peer organization, also reviews internal policies. Policies and procedures are available to all users through the ITD web site. Security measures are in place for all academic and administrative systems.

Student Development Services and Intercollegiate Athletics (Subsections 5.4 and 5.5)

All incoming Emory students receive a copy of the Campus Life Handbook. This Handbook outlines the organization of the Division of Campus Life, which is staffed by a cadre of qualified professionals under the direction of the Senior Vice President and Dean of Campus Life. It also outlines the programs and services offered by the division, university policies that relate to students, and the rights and responsibilities of students. The Undergraduate Code of Conduct and the Honor Code are also included here. The Division of Campus Life plans programs and services that foster social, cultural, leadership, moral, and physical development of students, and the Division pays particular attention to maintaining standards and improving the quality for all enrolled students. Both personnel and programs are evaluated on a regular basis.

Emory University offers comprehensive student health services, which are staffed by physicians, psychiatrists, physician assistants, nurse practitioners, registered nurses, health educators, and administrators. These professionals offer students a wide variety of services, including primary medical care, gynecologic care, sports medicine, and counseling and mental health services. The University Health Service aims to empower

students to take responsibility for their own health thus complementing the mission of the University as a whole.

The University Housing Department provides on-campus housing to approximately 3,300 students in 18 residence halls, 4 theme houses, 9 sorority lodges, and 11 fraternity houses. The department's professional staff members have the academic training and experience necessary to enhance the learning environment of the residence halls through a number of programs offered to residents. The Housing Department seeks to respond to student needs in a timely manner and to maintain an environment that provides safety, comfort, and an effective learning environment.

Emory also provides an effective system of financial aid that reflects the needs of its students. The University offers several different types of aid, including scholarships, loans, grants, and work-study programs. The Office of Financial Aid coordinates the financial aid efforts of each school, and the funds for all financial aid programs are audited annually by both state and federal bodies in accordance with government requirements.

Students play an integral role in institutional decision-making at the University. They serve on committees of the University governance system, including the University Senate, and have representatives who work with faculty and staff to guide the agendas of various departments, including some of those listed above. The Student Government Association, Emory's major student governing body, works to ensure basic student rights and to respond to the needs and concerns of the student body. Policies regarding all of these governance structures are outlined in the various organizations' constitutions.

Emory University has a comprehensive program of intramural and intercollegiate athletics. The intramural sports program is centered on Emory's philosophy of "athletics for all" and is directed by the coordinator of recreation services. The program offers a full range of team and individual sports competitions featuring approximately 30 different sports activities or tournaments during the academic year.

Emory University's philosophy of intercollegiate athletics is based upon the premise that excellence in college athletics is dependent upon institutional integrity and the ability of institutions to integrate athletics into the academic fabric of higher education. The role of athletics in colleges and universities is properly secondary to the primary educational mission. The athletic program operation is overseen by an Athletic Policy Committee, a sub-committee of the University Senate of Emory University. In addition, the Director of Athletics and Recreation reports to the Senior Vice President and Dean for Campus Life. All staff and budget matters are functions of the Division of Campus Life.

Review of the academic eligibility of student-athletes is undertaken each semester with the appropriate academic deans. Grades are monitored at the end of each semester. Any students who are in exclusion or probationary status are made known to the Director of

Athletics and Recreation by means of a regular reporting system. Academic, admission, and financial aid policies are the same for all students; athletes do not receive special attention at either Emory University or Oxford College.

Southern Association of Colleges and Schools
Emory University
Reaffirmation of Accreditation – 2003
Compliance Audit Report

Section Number/Title: V. Educational Support Services

Subsection Number/Title: 5.1 Library and Other Learning Resources

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> **Subsection Reference Number:**   5.1.1 Purpose and Scope
>
> **Line Reference Number(s):**   Page 54: 1-25

Requirement: Because adequate library and other learning resources and services are essential to teaching and learning, each institution **must** ensure that they are available to all faculty members and enrolled students wherever the programs or courses are located and however they are delivered. Each institution **must** develop a purpose statement for its library and other learning resource services. The library and other learning resources **must** be evaluated regularly and systematically to ensure that they are meeting the needs of their users and are supporting the programs and purpose of the institution.

The scope of library and other learning resources, the types of services, and the variety of print and non-print and electronic media depend on the purpose of the institution. Learning resources and services **must** be adequate to support the needs of users. The size of collections and the amount of money spent on resources and services do not ensure adequacy. Of more importance are the quality, relevance, accessibility, availability and delivery of resources and services, and their actual use by students, regardless of location. These considerations **must** be taken into account in evaluating the effectiveness of library and learning resource support. Priorities for acquiring materials and establishing services **must** be determined with the needs of the users in mind.

Status: **In compliance**

Evidence: Emory College Course Catalog 1999-2001 [Appendix A]; Emory University Libraries Web Site: http://www.emory.edu/LIBRARIES/ [38];
General Libraries Homepage: http://www.emory.edu/LIB [467];
Euclid Search Page: http://www.library.emory.edu/uhtbin/cgisirsi/8xM6tWatTs/3276603 19/60/66/X [468]; Information Gateway Database Index:

http://www.library.emory.edu/IG/ [469]; Electronic Data Center Information [470]; Woodruff Library Multimedia Center Information [471]; Emory Center for Interactive Teaching (ECIT) Information: www.ecit.emory.edu. [472]; Goizueta Business Library Homepage: http://www.emory.edu/LIB/CBI/ [473]; Health Sciences Library E-journals: http://170.140.143.138/resources/ejournals [474]; Health Sciences Library On-line Resources of Emory University: http://www.emory.edu/WHSCL/online.htm [475]; Health Sciences Library *Bookmark* Newsletter No. 145, Fall 2001: http://www.emory.edu/WHSCL/BookMark/Aug01/Index.htm [476]; General Libraries Vision Statement [477]; Health Sciences Web Site: www.emory.edu/WHSCL [95]; Law Library Mission Statement [96]; Oxford College Library Vision Statement [97]; Oxford College Library Mission Statement [98]; Theology Library Mission Statement [99]; *Two Steps Forward: ILL Process Improvement at Emory* [479]; LibQUAL+ Summary Report 2001 [480]; Information Literacy Competencies Test for Anthropology 2001 Fund Proposal [481]; Health Sciences Library Feedback Page: http://www.emory.edu/WHSCL/feedback.htm [482]; Law Library Faculty Satisfaction Survey Results, Fall 2000 [483]; Law Library Student Satisfaction Survey Results, Fall 2000 [484]; Association of Theological Schools (ATS) Graduating Student Questionnaire, 2000-2001 Report [485]; Oxford College Library Sophomore Exit Survey 2001, Library Comments [486]; Oxford College Library ACT Student Opinion Survey [487]; Oxford College Library Faculty Survey Results, 2001 [488]; Woodruff Library Reference Information, Consulting and Instruction Highlights [489]; General Libraries Journals and Electronic Resources Statement [490]; ARL Statistics, 1999-2000 [491]; Woodruff Library Reserves Homepage: http://info.library.emory.edu/ereserves [492]; General Libraries Interlibrary Loan Homepage: http://www.library.emory.edu/uhtbin/nph-illiad [493]; Goizueta Electronic Reserves: http://business.library.emory.edu/ereserves/ereserves_index.html [494]; Goizueta Business Library Rankings [495]; General Libraries Access Services Fiscal Year 2000 Statistics [496]; General Libraries Reserve Desk Statistics, November 20, 2001 [497]; Letters of Commendation to Woodruff Library Circulation Department [498]; Theology Library Annual Report 2000-2001, Circulation Statistics [499]; Woodruff Library Reference Information, Consultation and Instruction Department Collection Policy [489]; University Libraries Budget Presentation, November 15, 2000 [500]; Goizueta Business Library Econtent Article, August 1999:

http://www.ecmag.net/EC1999/brody8.html [501]; Goizueta Business Library Faculty Services Information [502]; Theology Library Sample E-mail Solicitation for Acquisitions Recommendations [503]; Sample E-mail Solicitation for Info Commons Recommendations [504]; Guide to Library Resources and Services - Oxford College Emory University [505]; Oxford College Library Web Site: www.emory.edu/OXFORD/Library [506]; Annual Reports Hoke O'Kelley Memorial Library 1996-1997 through 2000-2001 [507]; Oxford College Library and Audiovisual Committee Minutes (on file in the Office of the Library Director); Hoke O'Kelley Memorial Library Collection Development Policy - Revised March 2000 (on file in the Office of the Library Director); Renaissance at Oxford Master Plan/A Strategic Plan for Oxford College of Emory University 2010 [47]; WebRelay for Remote Access: http://170.140.143.138/resources/ejournals/ [508]; LIBQUAL+ Summary Report 2001 [480]; Health Sciences Library Surveys [509]; Health Sciences User Input Forms [510]; EUCLID (On-line Catalog): http://www.library.emory.edu/ [511]; Health Sciences Collection Development Policies [512]; Health Sciences Book Selection Recommendation Process [513]

Discussion: The Emory Libraries consist of the General Libraries (Woodruff, Business, Chemistry, Music & Media, and Math/Science) as well as four specialized libraries (Health Sciences, Law, Theology and Oxford College). The libraries hold over 2.5 million volumes and subscribe to some 27,000 serials. Resources also include audiovisual materials, archives and manuscripts, and access to a growing collection of university electronic resources available through EUCLID, GALILEO, and the Information Gateway. The library web site serves as the gateway for access to the resources of the Emory libraries. With ILLiad and WebRelay students and faculty can submit interlibrary loan requests anywhere their research takes them. The libraries' mission statements may be found on their web sites.

The libraries can now reach faculty and students in a way that was impossible before the ubiquity of the World Wide Web. Emory libraries are reexamining and reaffirming their mission to support teaching and research due to these rapid technological changes. They are also more active in evaluating their services. In the spring of 2001, Emory participated in a new approach to measuring library effectiveness, called LibQUAL+. Emory plans to participate in this experimental survey again in the spring of 2002. The Oxford

College and Law libraries have also developed and administered more targeted surveys.

Results from the LibQUAL, Oxford, and Law surveys indicate that in most areas library users are satisfied with library services. Also, while budgets and acquisitions rates do not by themselves indicate quality, Emory was able to support new programs in a variety of disciplines during a decade of retrenchment for many research libraries. From the yearly budget presentation of the vice-provost and director of libraries to the suggestion forms common in one manner or another in all the Emory libraries, the library takes into account the needs of its users on a strategic and a daily operational level.

Section Number/Title:	V. Educational Support Services
Subsection Number/Title:	5.1 Library and Other Learning Resources

Subsection Reference Number:	5.1.2 Services
Line Reference Number(s):	Page 54: 26-34, 55: 1-10

Requirement: Each institution **must** ensure that all students and faculty members have access to a broad range of learning resources to support its purpose and programs at both primary and distance learning sites. Basic library services **must** include an orientation program designed to teach new users how to access bibliographic information and other learning resources. Any one of a variety of methods, or a combination of them, may be used for this purpose: formal instruction, lectures, library guides and user aids, self-paced instruction and computer-assisted instruction. Emphasis should be placed on the variety of contemporary technologies used for accessing learning resources. Libraries and learning resource centers **must** provide students with opportunities to learn how to access information in different formats so that they can continue life-long learning. Librarians **must** work cooperatively with faculty members and other information providers in assisting students to use resource materials effectively.

Status: **In compliance**

Evidence: Statistics for Databases and E-Journals, October 2001: http://libtest.cc.emory.edu:30322/200110webrelay.html [514]; Information Literacy Competencies Test for Anthropology 201 Fund Proposal [481]; Research Central Information on Accessing Databases: http://web.library.emory.edu/services/ressvcs/remote.html [515]; Research Central Research Guides: http://web.library.emory.edu/services/ressvcs/researchguides.html [516]; Music and Media Library Homepage: http://web.library.emory.edu/libraries/music/ [517]; Information Gateway Database Index: http://www.library.emory.edu/IG/ [469]; Chemistry Library Homepage: http://chemistry.library.emory.edu/ [518];

Chemistry Library Web Sites of Interest:
http://chemistry.library.emory.edu/quick%20links.html [519];
Chemistry Library Research Resources:
http://chemistry.library.emory.edu/researchresources.html [520];
Chemistry Library Journals and Microforms:
http://chemistry.library.emory.edu/MasterJournalList.html [521];
Goizueta Business Library Faculty Services Information [502];
Health Sciences Library On-line Resources of Emory University:
http://www.emory.edu/WHSCL/online.htm [475];
Emory College Orientation Web Page:
http://www.emory.edu/COLLEGE/students/orientation/ [522];
Frequently Asked Questions about Interlibrary Loan and ILLiad:
http://illiad.library.emory.edu/ [523]; Law Library Orientation Tour
Script [524]; Theology Library Collections Summary [525]; Oxford
College Library Guide to Resources and Services Brochure [526];
Theology Library Content of Library Orientation Program [527];
Theology Library Example of Orientation to Electronic Media [528];
Beck Center Web Server Statistics [529];
Research Central Homepage:
http://www.emory.edu/LIB/research/ [530];
Research Central Database Locator:
http://www.emory.edu/LIB/research/dbases.html [531];
Research Central Research Services:
http://web.library.emory.edu/services/ressvcs/index.html [532];
Emory Events Calendar: http://events.cc.emory.edu [533];
Chronicle of Higher Education Colloquy Live:
http://chronicle.com/colloquylive/2001/11/empty/ [534];
Oxford College Library Project to Create a New Library and
Information Technology Center Program Statement [535]; Schedule
for General Libraries Electronic Classrooms, Fiscal Year 2000
[536]; Electronic Data Center 2001 Annual Report [537]; Spanish
Language and Literature Research Guide:
http://web.library.emory.edu/subjects/humanities/langlit/gspan/index
.html [538]; Reference Database Sample Search:
http://info.library.emory.edu/Ref/search/ [539]; Beck Center Annual
Report, 1999-2000 [540]; Beck Center Information Sheet [541];
Woodruff Library Classrooms and Learning Centers Statement
[542]; Research Services Class Request Form:
http://web.library.emory.edu/services/instruct/request.htm [543];
Emory Report, January 24, 2000, Volume 52, No. 18:
http://www.emory.edu/EMORY_REPORT/erarchive/2000/January/e
rjanuary.24/er.html [544]; Goizueta Business Library Training
Statistics by Calendar Year [545]; Health Sciences Library Liaison
Program: http://www.emory.edu/WHSCL/liaison.htm [546];

Theology Library Instructional Program, 2000-2001 [547]; Theology Library Summer Institute for Candler Faculty [548]; Oxford College Library Web Site: www.emory.edu/OXFORD/Library [506]; Annual Reports Hoke O'Kelley Memorial Library 1996-1997 through 2000-2001 [507]; Oxford College Library Sample Research Guides: http://www.emory.edu/OXFORD/Library/Guide [549]; Health Sciences Library Web Site: http://www.emory.edu/WHSCL/index.htm [95]; HSC Morning Report: http://www.emory.edu/WHSCL/grady/amreport/mornchoose.html [550]; Health Sciences Print and Electronic Handouts: http://www.emory.edu/WHSCL/REFERENCE/handouts/index.htm [551]; Health Sciences Electronic Classroom and Learning Lab Grady Branch Library: http://www.emory.edu/WHSCL/grady/gradyb.html [552]; Emory Hospital Branch Library: http://www.emory.edu/WHSCL/WHSCLEUH.html [553]

Discussion: All Emory University Libraries (General, Oxford, and the professional school libraries) support Emory's programs and purposes. The libraries' Information Gateway features a large number of databases to support these programs. These databases are diverse and reflect the range of programs requiring library support.

The libraries' goal is that each student will become proficient at finding and using information needed for courses. Beyond this, the goal is that they will have the skills to engage in life-long learning. To this end, each of the Emory libraries has an extensive bibliographic instruction program. An introduction to the library is an integral part of orientation programs for Emory College, the professional schools, and Oxford College.

The libraries are beginning to test the effectiveness of library instructional programs in promoting information literacy. As a pilot project, the library received a University Teaching Fund grant to show how the library's instructional program could be integrated with the course requirements and expected outcomes for specific classes. The business library teaches a course for the Goizueta Business School to instruct undergraduate business majors in understanding business resources. At Oxford College, the librarians collaborate with individual faculty members to plan the most appropriate research instruction to help students learn how to access information in both print and electronic formats. The law school

offers a first year legal methods course which includes intensive instruction on the use of law library resources.

Section Number/Title:	V. Educational Support Services
Subsection Number/Title:	5.1 Library and Other Learning Resources

Subsection Reference Number:	5.1.2 Services
Line Reference Number(s):	Page 55: 17-38

Requirement: Libraries and learning resource centers should provide point-of-use instruction, personal assistance in conducting library research, and traditional reference services. This should be consistent with the goal of helping students develop information literacy—the ability to locate, evaluate, and use information to become independent life-long learners. Adequate hours **must** be maintained to ensure accessibility to users. Professional assistance should be available at convenient locations during library hours.

Library collections **must** be cataloged and organized in an orderly, easily accessible arrangement following national bibliographical standards and conventions. Students and faculty **must** be provided convenient, effective access to library resources needed in their programs. Convenient, effective access to electronic bibliographic databases, whether on-site or remote, **must** be provided when necessary to support the academic programs.

Libraries and other learning resource centers **must** have adequate physical facilities to house, service, and make library collections easily available; modern equipment in good condition for using print and nonprint materials; provision for interlibrary loan services designed to ensure timely delivery of materials; and an efficient and appropriate circulation system. Libraries should provide electronic access to materials available within their own system and electronic bibliographic access to materials available elsewhere.

Status: **In compliance**

Evidence: General Libraries Fall Schedule 2001 [554]; General Libraries Summer Schedule 2001 [555]; General Libraries Spring Exam Schedule 2001 [556]; General Libraries Spring Schedule 2001 [557]; General Libraries Fall Exam Schedule 2000 [558]; Music and Media

Library Hours and Information:
http://web.library.emory.edu/libraries/music/about/hoursetc.html
[559]; Theology Library Hours of Operation [560]; Euclid Search
Page:
http://www.library.emory.edu/uhtbin/cgisirsi/8xM6tWatTs/3276603
19/60/66/X [468]; Program for Cooperative Cataloging List of
Liaisons: http://www.loc.gov/catdir/pcc/pccliaisons.html [561];
National Library of Medicine Medical Subject Headings:
http://www.nlm.nih.gov/mesh [562]; Research Services Faculty
Consultation:
http://web.library.emory.edu/services/instruct/workshops.html#offic
e [563]; Oxford College Library Electronic Resources for Chinese:
http://www.emory.edu/OXFORD/CLASS/Ereserves/wanlihoereserv
e.htm [564]; Research Central Information on Accessing Databases:
http://web.library.emory.edu/services/ressvcs/dblocator/ [515];
WebCat Usage Statistics:
http://libtest.cc.emory.edu:30322/webusage.html [565];
Health Sciences Library *BookMark* Newsletter No. 145, Fall 2001:
http://www.emory.edu/WHSCL/BookMark/Aug01/Index.html
[476]; Woodruff Library Annual Statistics 2000-2001, Turnstile
Counts [566]; Center for Research Libraries Homepage:
http://wwwcrl.uchicago.edu [567]; New Euclid ID Number Brochure
[568]; Research Central Brochure [569]; Woodruff Library Reserves
Brochure [570]; Woodruff Library Location Guide, On-line:
http://web.library.emory.edu/services/stacks/stackguide.html [571];
How to Find a Reserve Reading in EUCLID Brochure [572];
Electronic Reserves Instructions for Using the Web-Based Carryover
List [573]; EUCLID Pocket Reference User Guide [574]; *Unlock the
Secrets of EUCLID* Guide [575];
Woodruff Library Circulation Policies Brochure [576]; ARCHE
Interlibrary Use Policy and Procedures:
http://www.atlantahighered.org/memberservices/librarypolicies.html
[577];
Music and Media Library Brochure [578]; Music and Media Library
Dedication Program [579]; Woodruff Library Center for Library and
Information Resources Brochure [580];
Center for Library Information and Resources Article, *Architectural
Record*, October 1998 [581]; Storage Library Homepage:
http://info.library.emory.edu/storage/ [582]; Theology Library
Interlibrary Loan Statement [583]; Oxford College Library Sample
Research Guides: http://www.emory.edu/OXFORD/Library/Guide/
[549]; Oxford College Library Project to Create a New Library and
Information Technology Center Program Statement [535];

Web Listing of Health Sciences Library Hours:
http://www.emory.edu/whscl/hours.htm [584]; National Library of
Medicine Classification. 5th ed. rev. 1999 [585]; Cutter-Sanborn
Three-Figure Author Table. rev.ed. 1969 [586]; Medical Subject
Headings - Annotated Alphabetical List, Permuted, and Tree
Structures 2001 [587]; Anglo-American Cataloging Rules. 2nd ed.
rev. 1988 with 1993 Amendments [588]; SIRSI UNICORN
Cataloging Documentation (On-line) [589]; OCLC Bibliographic
Formats and Standards. 2nd ed. c1996 [590]; National Library of
Medicine Locator Plus Page: http://locatorplus.gov/ [591]; MESH
Browser: http://www.nlm.nih.gov/mesh/MBrowser.html [592];
Health Sciences Interlibrary Loan Statistics – AAHSL Statistics
[593]; Health Sciences Full-Text Electronic Journals Database:
http://170.140.143.138/resources/ejournals/ [474]; General Libraries
Interlibrary Loan Homepage:
http://www.library.emory.edu/uhtbin/nph-illiad [493]; Health
Sciences On-line Resources:
http://www.emory.edu/WHSCL/online.htm [475]

Discussion:

The libraries are open long hours to ensure access to the collections.
For example, the Woodruff Library is open 137 hours/week, the
Oxford library is open 101 hours/week, and the Health Sciences
Library is open 102 hours/week.

The library collections are cataloged according to the Anglo-
American Cataloging Rules and in conformity with the Library of
Congress Rule Interpretations. The collections are represented
bibliographically to our users in EUCLID (the library's on-line
catalog) as well as in the OCLC and RLIN national bibliographic
databases. All the libraries except Oxford and Health Sciences use
the Library of Congress subject headings. Oxford catalogs in the
Dewey Decimal system, while Health Sciences uses the National
Library of Medicine classification scheme. Each library provides
guides to the collections to make resources easy to locate.

An Information Gateway web site on the libraries' home page
provides on-campus and remote access to more than 110 licensed
database and electronic journal aggregators. Over 1600 full text
electronic journals are currently accessible remotely, a number that
is constantly expanding.

The state of the physical facilities of the Emory Libraries ranges
from adequate to exceptional in their ability to house, service, and

make library collections available. Two libraries, General and Law, have opened new and renovated facilities within the past five years. Two others, the Pitts Theology Library and the Hoke O'Kelley Library at Oxford College, are in the planning stages for additions and renovations.

An off-site storage center at the University's Material Center has given the libraries the "breathing room" they need in terms of physical space on campus. Shared by all the Emory Libraries, the Storage Library is a 14,000 square foot temperature and humidity controlled facility that provides shelving for lesser-used materials on high-density compact moveable shelving.

The recent implementation of the ILLiad interlibrary loan system from Atlas systems should provide short turn around on requested items. ILLiad is a web-based system that allows users to place their own Interlibrary loan requests and track their progress.

All Emory libraries use the same circulation system, a module of the integrated library system SIRSI. Bibliographic records are linked to the circulation system, enabling users to see the circulation status of any item on-line. In addition, users may renew materials and place requests for recalls on-line. The aspect of the circulation system that has seen the most rapid growth has been electronic reserves, which was established in 1999. This system allows students to access reserve articles at anytime of day from any computer on campus.

Section Number/Title:	V. Educational Support Services
Subsection Number/Title:	5.1 Library and Other Learning Resources

Subsection Reference Number:	5.1.3 Library Collections
Line Reference Number(s):	Page 56: 1-12

Requirement: Institutions **must** provide access to essential references and specialized program resources for each instructional location. Access to the library collection **must** be sufficient to support the educational, research, and public service programs of the institution. The collections of print and non-print materials **must** be well organized. Institutions offering graduate work **must** provide library resources substantially beyond those required for baccalaureate programs. Librarians, teaching faculty, and researchers **must** share in the development of collections, and the institution **must** establish policies defining their involvement.

Status: **In compliance**

Evidence: Emory College Course Catalog 1999-2001 [Appendix A]; Research Central Homepage: http://www.emory.edu/LIB/research/ [530]; Information for Social Scientists, September 2001, Issue 19 [594]; Reference Database Sample Search: http://info.library.emory.edu/Ref/search/ [539]; Beck Center for Electronic Collections and Services Information [595]; Electronic Data Center Information [470]; Law Library Electronic Reference Desk Page: http://www.law.emory.edu/erd/index.html [596]; Health Sciences Library On-line Resources: http://www.emory.edu/WHSCL/online.htm [475]; Information Gateway Database Index: http://www.library.emory.edu/IG/ [469]; EUCLID Search Page: http://www.library.emory.edu/uhtbin/cgisirsi/8xM6tWatTs/3276603 19/60/66/X [468]; Chemistry Library Homepage: http://chemistry.library.emory.edu/ [518]; Chemistry Library Web Sites of Interest: http://chemistry.library.emory.edu/quick%20links.html [519]; Special Collections: Collections and Services for Research and Teaching [597]; National Library of Medicine Locator Plus Page:

http://locatorplus.gov [591]; Law Library Locations for Frequently Used Materials [598]; Law Library Map [599]; Chemistry Library Journals and Microforms List: http://chemistry.library.emory.edu/MasterJournalList.html [521]; Research Central Database Locator: http://www.emory.edu/LIB/research/dbases.html [531]; Woodruff Library Location Guide, On-line: http://web.library.emory.edu/services/stacks/stackguide.html [571]; *How to Find Materials in the Law Library*: http://www.law.emory.edu/LAW/libguide/find.htm [600]; Health Sciences Library Map [601]; Theology Library, *Locating a Book*: http://www.pitts.emory.edu/map.html [602]; Bibliographic Gateway Services Documentation Web Site: http://userwww.service.emory.edu/~libgess/catsdoc.html [603]; Law Library "State of the Stacks 2001" Report [604]; Beck Center Web Server Statistics [529]; Electronic Data Center 2001 Annual Report [537]; Beck Center Annual Report, 1999-2000 [540]; Woodruff Library Departmental Liaison Job Description [605]; General Libraries Subject Directory of Departmental Liaisons: http://web.library.emory.edu/services/collmgt/index.html [606]; Woodruff Library Reference Information, Consultation and Instruction Highlights [489]; General Libraries Fall Schedule 2001 [554]; African-American Collections Brochure [607]; Special Collections Brochure [608]; Literary Collections Brochure [609]; Selected Archives at Georgia Tech and Emory Brochure [610]; Manuscript Sources for Irish Literature [611]; Manuscript Sources for Methodist History [612]; Manuscript Sources for Civil Rights History [613]; *Library Collections News*, Fall 2001, Woodruff Library [614]; Guide to Women's Diaries and Journals in the Manuscript Collection [615]; Oxford College Library Faculty Survey Results, 2001 [488]; Health Sciences Liaison Program: http://www.emory.edu/WHSCL/liaison.htm [546]; Health Sciences Collection Development Policies [512]; LCME Institutional Self-Study [Appendix S]

Discussion:	The Emory Library system has three main components: the General Libraries (Woodruff, Business, Chemistry, Music & Media, and Math/Science), the professional school libraries (Health Sciences, Law, and Theology) and the Oxford College Library. Within these major components there are additional specialized locations. For example, the Health Sciences Center Library manages branches at Grady Hospital and the Emory Hospitals that have collections and services designed to meet the needs of the clinicians at those

locations. Within the General Libraries, the Beck Center and the Electronic Data Center partner with faculty and students who need to do research requiring the use of electronic full text or electronic numeric sources.

In addition, Woodruff Library's Special Collections Department houses rare books, university archives, and distinctive, world-class manuscript collections. These specialized collections support research at the graduate and professional levels in a number of disciplines. The professional school libraries must maintain accreditation within their discipline which ensures that their collections meet the needs of students and faculty members. Since 1975, Emory has been a member of the Association of Research Libraries, an organization whose membership is limited to the 122 largest research libraries in North America. Any library that is a member of ARL is expected to have resources substantially beyond what would be required for undergraduate work.

The library's collections (print, archival, and electronic) are well organized. The library's collections are represented in the on-line catalog, EUCLID, and each library provides finding aids to the physical collection. In addition, the electronic collections to which the libraries have access are for the most part represented in EUCLID's Information Gateway.

Most of the Emory Libraries conduct collection development through the means of a selector liaison interacting with teaching faculty. This system gives each faculty member a single point of contact within the library.

Section Number/Title: V. Educational Support Services

Subsection Number/Title: 5.1 Library and Other Learning Resources

      Subsection Reference Number: 5.1.3 Library Collections

      Line Reference Number(s):   Page 56: 13-17

Requirement: Each library or learning resource center **must** have a policy governing resource material selection and elimination, and should have a procedure providing for the preservation, replacement or removal of deteriorating materials in the collection.

Status: **In compliance**

Evidence: Sample Collection Development Policy Statement, Woodruff Library [616]; Law Library Collection Development Policy [617]; Preservation Office Homepage: http://web.library.emory.edu/preservation/ [618]; Preservation Office General Information Page: http://info.library.emory.edu/preservation/general.html [619]; Preservation Office Services: http://info.library.emory.edu/preservation/service.html [620]; Preservation Office Brochure [621]; *Preservation News*, Volume 2 Number 4, 2001 [622]; Preservation Office and Storage Library Annual Report, 2000-2001 [623]; ARL Preservation Statistics 1999-2000 [624]; American Library Association Preservation Policy, Abbey Newsletter, Vol. 25 No. 1, June 2001, p.9 [625]; Preservation Photocopy/Brittle Book Procedures [626]; Theology Library Brittle Books Policy [627]; General Libraries Collection Management Team Mission Statement [628]; Suggested Criteria for Weeding Monographs and Serials in Candler Storage [629]; Theology Library Collection Development Policy [630]; Theology Library Weeding Policy [631]; Oxford College Hoke O'Kelley Memorial Library Collection Development Policy - Revised March 2000 (on file in the Office of the Library Director); Health Sciences Collection Development Policies [512]; LCME Institutional Self-Study [Appendix S]; Health Sciences Weeding Policy [632]

Discussion: The Emory libraries have policies and procedures for the selection and elimination of materials. These policies and procedures are found in the individual libraries' collection development policies.

The Emory Libraries have a comprehensive preservation and conservation program. The Preservation Office serves all the Emory Libraries, advising on routine matters and offering services in the Preservation laboratory for more specialized needs. The Preservation Office has been a leader in the southeast in preservation photocopying and has recently extended its reach into digital preservation with the purchase of a digital camera suitable for the digitization of a variety of print artifacts. The Preservation Office has also extended itself to the larger community in Atlanta by offering education to individuals and organizations on how to do preservation of printed material.

Section Number/Title:	V. Educational Support Services
Subsection Number/Title:	5.1 Library and Other Learning Resources

Subsection Reference Number:	5.1.4 Information Technology
Line Reference Number(s):	Page 56: 18-29

Requirement: Although access to learning resources is traditionally gained through a library or learning resource center, a wide variety of contemporary technologies can be used to access learning resource materials. Institutions should supplement their traditional library with access to electronic information. Where appropriate, institutions should use technology to expand access to information for users at remote sites, such as extension centers, branch campuses, laboratories, clinical sites or students' homes. The institution **must** provide evidence that it is incorporating technological advances into its library and other learning resource operations.

Status: **In compliance**

Evidence: ITD 2000-2001 Annual Report [93]; ICDF 1990-2001 Funding Info Commons 4.5 Screen with Key [633]; Beck Center for Electronic Collections and Services Information [595]; Electronic Data Center Information [470]; Council on Technology Initiatives Charter Statement, General Libraries [634]; Frye Institute Brochure [635]; Proposal to the Andrew W. Mellon Foundation, "A Cross-Institutional Scholarly Metadata Service for Harvesting, Searching and Subject Organization" [636]; Lilly Endowment Implementation Grant Year One Summary [637]; *Highlights*: Information Resources and Technology Highlights, November 2001: http://www.emory.edu/ITD/VICEPROVOST/Highlights_text.html [638]; Bibliographic Gateway Services Documentation Web Site: http://userwww.service.emory.edu/~libgess/catsdoc.html [603]; LIBNET Homepage: http://info.library.emory.edu/libnet/ [639]; Digital Library Federation Homepage: http://www.diglib.org [640]; Digital Library Federation List of Members: http://www.diglib.org/about.htm [641]; Guide to Library Resources and Services - Oxford College Emory University [505]; Oxford College Library Web Site: www.emory.edu/OXFORD/Library

[506]; Annual Reports Hoke O'Kelley Memorial Library 1996-1997 through 2000-2001 [507]; Medweb: Biomedical Internet Resources [643]; WebRelay for Remote Access: http://170.140.143.138/resources/ejournals/ [508]; Health Sciences Serials Control Database [644]; Health Sciences Multi-Media Training CD's (on file in the Office of the Director, HSC Library); Health Sciences Multi-Media Videos (on file in the Office of the Director, HSC Library); OVID [645]

Discussion: The 2000-2001 Annual Report of the Information Technology Division (ITD) under Academic Services describes recent incorporation of technological advances into learning resource operations through classroom renovation and modernization, the opening of new classroom facilities, and the incorporation of wireless networking and SMART technologies in classrooms and libraries. The report also documents recent upgrades to student computing labs, kiosks, the residence hall data network, the LearnLink e-mail and conferencing system, the library catalog server, the streaming audio and video server, and the Blackboard web courseware server.

The Emory libraries are committed to the electronic delivery of information as indicated in Section 5.1.2 and 5.1.3 above. Hence, a central idea behind the construction of the Center for Library and Information Resources, the addition of Woodruff Library, was that the library needed to provide services electronically as well as through traditional means and through traditional media. The libraries felt that it would be important to partner with the Information Technology Division to bring enhanced services to our users. Hence, ITD and the Library have collaborated to offer the Information Commons as well as the Technology Centers. Technology is interwoven into everything the library does.

The Instructional Computing Development Fund (ICDF) 1990-2001 Funding report shows Emory's commitment to the incorporation of technology into teaching and instruction through ICDF. In addition, Emory libraries are involved in a number of organizations devoted to incorporating technological advances into library services. These organizations include the Council on Library and Information Resources (CLIR), which has located at Emory the Frye Institute for future leaders in higher education, a leadership institute for librarians and information technologists, and the Digital Library Federation, a

group of research libraries committed to using new digital technologies to enhance library service.

Section Number/Title:	V. Educational Support Services
Subsection Number/Title:	5.1 Library and Other Learning Resources

Subsection Reference Number:	5.1.5 Cooperative Agreements
Line Reference Number(s):	Page 56: 30-37

Requirement: Cooperative agreements with other libraries and agencies should be considered to enhance the resources and services available to an institution's students and faculty members. However, these agreements **must** not be used by institutions to avoid responsibility for providing adequate and readily accessible library resources and services. Cooperative agreements **must** be formalized and regularly evaluated.

Status: **In compliance**

Evidence: ARCHE Interlibrary Sharing: http://www.atlantahighered.org/memberservices/librarypolicies.html [646]; ASERL Interlibrary Loan Reciprocal Agreement: http://aserl.solinet.net/ILL/ILLproposal.htm [647]; GETS Consortium Letter and Agreement [648]; GETS Reciprocal Borrowing Brochure, Emory Students [649]; GETS Reciprocal Borrowing Brochure, Other Schools [650]; GALILEO Homepage and List of Databases: www.galileo.peachnet.edu [651]; SoliNET Marketing Trend Reports [652]; Center for Research Libraries Homepage: http://wwwcrl.uchicago.edu/ [567]; SHARES Interlending and Document Supply Partnership: http://www.rlg.org/shares/index.html [653]; Health Sciences Library Resource Library Agreement [654]; Health Sciences CONBLS Bylaws [655]; ARCHE: http://www.atlantahighered.org/ [656]

Discussion: The Emory Libraries participate in a number of cooperative agreements which enhance our resources. At the local level, Emory is a member of the Atlanta Regional Consortium for Higher Education (ARCHE), and Georgia, Emory, Tech and State (GETS). Both consortia feature strong interlibrary use agreements, which mean that the library resources of the greater Atlanta region are

available to Emory students and faculty. Students from other member libraries may also borrow from Emory. Through GETS, Emory has participated in joint purchases that would have been impossible for a single institution to buy, such as Elsevier's ScienceDirect and the complete electronic journals of Wiley Interscience. Emory is also a member of Georgia Library Learning On-line (GALILEO), which enhances the resources available to the Emory community.

On the regional level, Emory belongs to the Association of Southeastern Research Libraries (ASERL) and the Southern Library Network (SOLINET). ASERL is beginning a number of interesting initiatives, and SOLINET, in addition to offering OCLC services, also provides opportunities for discounted group purchases.

Emory is a member of a number of national consortia, among them the Center for Research Libraries (CRL) and the Research Libraries Group. These memberships also provide for interlibrary loan privileges. Emory does not enter into these memberships to avoid responsibility for adequate resources locally. Indeed, Emory has special responsibility for providing access to resources. For instance, the Health Sciences Center library is a Resource Library for the NN/LM Southeastern/Atlantic Region for a five year period that began in May of 2001, which requires the library to maintain a collection of current periodicals and monographs in the health sciences to support education, research and clinical practice, and provide onsite access to and use of collection to the extent it is able under license agreements.

Some of these cooperative arrangements are more formal than others. ARCHE has been in existence for over fifty years and has an elaborate structure, while GETS started out as an informal buying cooperative. At the time of membership renewal, an informal evaluation of the effectiveness of each of these memberships is carried out.

Section Number/Title:	V. Educational Support Services
Subsection Number/Title:	5.1 Library and Other Learning Resources

Subsection Reference Number:	5.1.6 Staff
Line Reference Number(s):	Page 57:1-16; 17-22

Requirement: Libraries and other learning resources **must** be adequately staffed by professionals who hold graduate degrees in library science or in related fields such as learning resources or information technology. In exceptional cases, outstanding professional experience and demonstrated competence may substitute for this academic preparation; however, in such cases, the institution **must** justify the exceptions on an individual basis. Because professional or technical training in specialized areas is increasingly important in meeting user needs, professionals with specialized non-library degrees may be employed, where appropriate, to supervise these areas.

The number of library support staff members **must** be adequate. Qualifications or skills needed for these support positions should be defined by the institution.

Organizational relationships, both external and internal to the library, should be clearly specified. Institutional policies concerning faculty status, salary, and contractual security for library personnel **must** be clearly defined and made known to all personnel at the time of employment.

Status: **In compliance**

Evidence: Statement on Qualifications for Membership in the Association of Research Libraries: http://www.arl.org/stats/qualify.html [657]; Appointment, Probation, Promotion and Separation Policies Concerning Permanent Professional Library Staff in the General Libraries of Emory University [658]; ARL Statistics for Emory University Libraries 1986-2000: http://fisher.lib.virginia.edu/cgi-local/arlbin/arl.cgi?task=setupreport [659]; Template for New Librarian Offer Letter [660]; Organization Chart – Hoke O'Kelley Memorial Library – Oxford College:

www.emory.edu/OXFORD/Library/ [661]; Oxford College Statement of Policies Governing the Professional Library Staff (1972) [662]; Health Sciences CONBLS Salary Survey [663]; Health Sciences Interlibrary Loan Statistics – AAHSL Statistics [593]; Health Sciences - Human Resources Position Descriptions for Library Classifications [664]; Health Sciences - Human Resources Position Descriptions for Information Technology Classifications [665]; HSCL Internal Job Descriptions [666]; School of Medicine Guidelines for Appointment, Promotion and Tenure 2001 [Appendix W]; School of Medicine Guidelines for Appointment, Promotion and Tenure 1996 [Appendix W]; HSCL Librarian Leave Policy [667]; Academy of Health Information Professionals - http://www.mlanet.org/academy/index.html [668]

Discussion: Emory University defines librarians as faculty equivalents, an employment category that requires an advanced degree. All persons appointed to librarian positions in all Emory Libraries hold advanced degrees. The *Appointment, Promotion, and Separation Policies Concerning Permanent Professional Library Staff in the General Libraries of Emory University* state: "Professionals appointed to Rank [I-V] will have a master's degree from an accredited school of library/information science or other appropriate equivalent educational background in their area of expertise if other than librarianship." Exceptions to academic preparation require approval from an administrative office outside the library (e.g. Human Resources). These *Policies* apply specifically to the General Libraries and are followed by the Pitts Theology Library, and the Oxford College Library.

Librarians in the Health Sciences Center Library are governed by the policies for faculty and professional staff within the School of Medicine. These policies are explained during the orientation of a newly hired librarian. Librarians hold graduate degrees in library and/or informational science. Most are members of the Medical Library Association's Academy for Health Information Professionals at the Senior or Distinguished level. Academy membership is renewed every five years. Exceptions to academic preparation for Health Sciences librarians must be justified to, then approved by, the Compensation Manager at Human Resources and the School of Medicine's executive dean.

The total number of associate professional librarians in the Emory Libraries is 93 FTE. This figure is well within membership criteria

of the Association of Research Libraries (ARL). The total number of support staff in the Emory Libraries is 170 FTE. As with professional staff, this figure is well within ARL criteria.

At the time of employment all professional librarians in the Emory Libraries receive information about faculty status, salary, and contractual security. Librarians in the General Libraries, Pitts Theology Library, and Oxford College receive the *Policies* mentioned previously. In addition, at the time of employment all librarians in all Emory Libraries attend a comprehensive orientation program sponsored by the Emory University Human Resources Department.

Section Number/Title:	V. Educational Support Services
Subsection Number/Title:	5.1 Library and Other Learning Resources

Subsection Reference Number:	5.1.7 Library/Learning Resources for Distance Learning Activities
Line Reference Number(s):	Page 57: 23-39; 58: 1-2

Requirement: For distance learning activities, an institution **must** ensure the provision of and ready access to adequate library/learning resources and services to support the courses, programs, and degrees offered. The institution **must** own the library/learning resources, provide access to electronic information available through existing technologies, or provide them through formal agreements. Such agreements should include the use of books and other materials. The institution **must** assign responsibility for providing library/learning resources and services and for ensuring continued access to them at each site.

When formal agreements are established for the provision of library resources and services, they **must** ensure access to library resources pertinent to the programs offered by the institution and include provision for services and resources which support the institution's specific programs—in the field of study and at the degree level offered.

Status: **In compliance**

Evidence: Goizueta Business Library Faculty Services Information [502]; Oxford College Library Electronic Resources for Chinese: http://www.emory.edu/OXFORD/CLASS/Ereserves/wanlihoereserve.htm [564]; Oxford College Library Web Site: www.emory.edu/OXFORD/Library [506]; Health Sciences On-line Resources: http://www.emory.edu/WHSCL/online.htm [475]; Health Sciences WebRelay – http://www.emory.edu/WHSCL/BookMark/ [669]; Health Sciences OVID Tutorial in Blackboard [670]; Morehouse School of Medicine Contract with Health Sciences Library [671]

Discussion: Emory's primary emphasis in distance learning has been through its professional schools. However, the Center for Library and Information Resources features a distance learning classroom with state of the art videoconferencing capabilities.

In addition, Oxford College students may enroll and participate in Emory College courses through high quality, interactive videoconference with the Atlanta campus. The Oxford library provides the library/learning resources for Oxford students enrolled in such courses. From the library web page, Oxford students and faculty have access to the same resources available to students and faculty on the Atlanta campus. Language lab materials are available via electronic reserves from the library web site. Using EUCLID and ILLiad, students and faculty may request items from other Emory libraries and other libraries in the United States.

The Health Sciences Library provides remote access to electronic journals and other full-text resources for students, faculty, and residents on rotation or practicing at satellite clinics around the state and region through WebRelay. The Health Sciences Library is also working with the School of Public Health to provide reference and educational programs, including a tutorial, to support their distance learning program. Furthermore, this library has a formal agreement with the Morehouse School of Medicine to provide library services and access to Emory library resources for Morehouse residents located on the Grady campus.

The business library offers desktop delivery services to the business school faculty. These services involve the same capabilities that are required to support distance learning activities. In general, the Emory Libraries can be said to be "distance learning ready." Although the need to support a great many distance learning activities has not arisen, the remote access capabilities that the library offers are able to meet the needs of distance learners.

Section Number/Title:	V. Educational Support Services
Subsection Number/Title:	5.2 Instructional Support

Subsection Reference Number:

Line Reference Number(s):   Page 58: 3-13

Requirement: To support its curriculum, each institution **must** provide a variety of facilities and instructional support services (e.g. educational equipment and specialized facilities such as laboratories, audiovisual and duplicating services, and learning skills centers) which are organized and administered so as to provide for faculty and student users. They must be adequate to allow fulfillment of the institutional purpose and contribute to the effectiveness of learning.

Status: **In compliance**

Evidence: Music and Media Library Homepage: http://web.library.emory.edu/libraries/music/ [517]; Music and Media Library Hours and Information: http://web.library.emory.edu/libraries/music/about/hoursetc.html [559]; Music and Media Library Circulation Services: http://web.library.emory.edu/libraries/music/services/mmcirc.html [672]; Music and Media Language Classroom, Language Lab and Television Brochure [673]; Computer Workstation Maps, Woodruff Library [674]; Photocopier, Printer and Reader-Printer Locations and Information, Woodruff Library [675]; Instruction Sessions 2000-2001, General Libraries [676]; Woodruff Library Location Guide, On-line: http://web.library.emory.edu/services/stacks/stackguide.html [571]; Bibliographic Instruction Monthly Statistics [677]; Emory College Instructional Support Materials [678]; Oxford College Results of Faculty Survey [159]; Oxford College Finance, Operations, and Information Technology Annual Report 2000-2001 [679]; Oxford College Department of Financial and Informational Services Annual Report 1999-2000 [107]; Oxford Computing Mission Statement [108]; Call for Proposal for the Teaching and Learning with Technology Institute [680]; Guide to Library Resources and Services - Oxford College Emory University [505]; Oxford College Library

Web Site: www.emory.edu/OXFORD/Library [506]; Annual Reports Hoke O'Kelley Memorial Library 1996-1997 through 2000-2001 [507]; Oxford College Faculty Survey - Fall 2001 – Results [159]; School of Nursing Undergraduate Student Handbook 2001-2002, pg. 8-13 [138]; Graduate School of Arts and Sciences (GSAS) Handbook, pg. 8-13 (http://www.emory.edu.GSOAS/PDF/student_handbook2002-03.pdf) [126]; School of Nursing Catalog 2000-2001, pg. 51 [Appendix K]; Nursing School Course Syllabi (NRSG 360: Clinical Nursing I; NRSG 380: Health Assessment; NRSG 548: Advanced Health Assessment; NRSG 536: Advanced Health Assessment and Primary Care for Children; NRSG 560: Nurse Midwifery I; NRSG 575: Wellness Across the Life Span) [138]; School of Medicine Bulletin [Appendix V]; Campus Life Handbook [13]; *Emory Campus Master Plan* [23]

Discussion:	At Emory, instructional support services are provided by a number of units, including the libraries, the Information Technology Division, Campus Printing, the College, and the professional schools.

The configuration of the Information Commons computers in Emory libraries means that it can serve as a computer lab as well as a place for delivery of electronic information. The instructional program in the library seeks to contribute to the effectiveness of learning by increasing the student's knowledge of the information resources available and how to use them.

In addition to the Information Commons and its equivalents in the other libraries, specialized facilities include the Marian K. Heilbrun Music and Media Library, the Technology Centers offering multimedia instruction, and audiovisual services offered in the Health Sciences Center Library and the Pitts Theology Library in collaboration with the Candler School of Theology. All of the libraries either provide specialized electronic classrooms or work closely with other units to support these facilities across the Emory campus.

In the College, the Academic Support Program provides peer tutoring in subject areas, the Writing Center provides supplemental instruction in the writing process in both English and Spanish, the Biology department provides programs to increase science literacy and preparation for minority students in the sciences, and the Office

of Disability Services provides accommodations for students' instructional needs in accordance with the Americans with Disabilities Act of 1990.

Oxford College provides computer laboratories in residence halls and the library as well as technology-enhanced classrooms and performing arts spaces with full multimedia presentation capability. There is also a videoconferencing/multimedia presentation facility in the library. The Oxford College Library provides support for circulating audiovisual equipment for the campus.

In the School of Nursing, instructional support, including advanced technological support, is provided by the Department of Instructional Communications, which is responsible for classroom support, maintaining a Learning Resources Center for faculty and students, and producing instructional materials for the faculty. The Center for Caring Skills also provides instructional support. This area contains a hands-on interactive laboratory to assist in the learning of psychomotor skills. Within this larger area four smaller areas provide optimal teaching/learning and allow use by several groups of students simultaneously.

The School of Medicine provides lecture halls and laboratories in the Cell Biology and Physiology Building, the Woodruff Health Sciences Center Administration Building, the Dental School Building, and the Clinical Skills Laboratory. It provides clinic spaces and departmental facilities at Grady Memorial Hospital. Audiovisual support, computer support, and duplicating services are all provided by the medical school.

Section Number/Title: V. Educational Support Services

Subsection Number/Title: 5.3 Information Technology Resources and Systems

Subsection Reference Number:

Line Reference Number(s):   Page 58: 14-23

Requirement: An institution **must** provide evidence that it is incorporating technological advances into its operations.

Information technology resources **must** support the planning function and the educational program component of the institution at appropriate levels. These resources include computer hardware and software, databases, communication networks, and a trained technical and user services staff.

Status: **In compliance**

Evidence: ITD 2000-2001 Annual Report [93]; Network Communications Annual Report [105]; Campus Fiber Optic Map [681]; Emory College Annual Report on Information Technology [682]; Inventory of College Primary Faculty/Staff Computers [683]; Inventory of Instructional Computing Spaces [684]; Renaissance at Oxford, Master Plan/A Strategic Plan for Oxford College of Emory University 2010 [47]; Organizational Chart of Oxford College [134]; Oxford College Finance, Operations, and Information Technology Annual Report 2000-2001 [679]; Oxford College Department of Financial and Information Services Annual Report 1999-2000 [107]; Oxford Computing Mission Statement [108]; IS Budget Expenditures [685]; Defining Our Future: The Teaching and Education Strategic Plan for the Emory University School of Medicine 1998-2004, Section V, Goal 4 [32]; Defining Our Future: The Research Strategic Plans for the Emory University of Medicine 1997-2002, Section IV, Goal 4 [31]; http://www.ecit.emory.edu [472]; Blackboard On-line Curriculum: http://www.emory.edu/ITD/BB/ [686]; WebCT On-line Curriculum: http://skinner.library.emory.edu:8900/webct/public/home.pl [687];

http://www.emory.edu/WHSCL/ [95];
http://www.learnlink.emory.edu/ [158]

Discussion: Emory recognizes the importance of information technology in higher education and has dedicated vast amounts of resources to incorporating technological advances into its operations. Such campus-wide advances have resulted in technology ubiquitous to everyday functions (such as e-mail and communication services or internet access) to resources designed for specific functions (such as administration, database applications, and security implementations).

The Annual Report 2000-2001 of the Information Technology Division (ITD) outlines in greater detail how Emory continues to incorporate advances in technology into University operations. The report describes upgrades and enhancements to application systems, the incorporation of new technologies into teaching and learning, and extensive replacements of older hardware and software with more advanced technology.

In addition to University-wide systems (such as Learnlink and Blackboard), various schools and divisions benefit from local on-line systems that have been designed to meet specific technological needs. A few examples: Goizueta Business School boasts web-based course offerings and on-line career resources; Emory College students can register for courses on-line, which allows students abroad to register through a web browser at the same time as their peers on campus; Oxford College provides an on-line registration and fee payment system; Rollins School of Public Health offers a distance learning initiative called eLearn ™, and the School of Medicine is investigating the enhanced capabilities of WebCT.

Recognizing the importance of information technology as a vital component of successful teaching and research, the School of Medicine Information Technology Services Office (EUSM ITS) was created in August 2000 and an Assistant Dean for Information Services/CIO was appointed to oversee its operation. The office was charged to provide oversight for the operation and management of IT resources; to provide a broad perspective regarding existing and future IT needs; to assure that effective IT planning and assessment are incorporated into all SOM allocation processes; to coordinate SOM faculty, chairs, students, administration, and University personnel to develop and implement an IT strategic plan for the school. A major initiative for the EUSM ITS office is to ensure that

faculty and students have access to Emory technology resources such as e-mail, library, internet, and instructional materials from the main campus as well as remote sites (such as the Grady campus).

Faculty, staff, and students are provided with local computing support, in addition to expert services offered by the University's ITD division. A three-year desktop replacement program has been implemented by Emory College, to ensure that all faculty and staff have a modern computer attached to the Emory network.

The College, in particular, has an aggressive technology upgrade program for classrooms. There are 22 instructional facilities with workstations where classes are held regularly, in addition to 20 "smart" classrooms (which have projectors, VCRs, DVD/CD players, document cameras and a central control system). Other schools and divisions (such as the School of Medicine, Public Health, Law, and Business) also maintain student computer learning labs and specially outfitted classrooms to utilize Emory resources.

The University has an elaborate fiber optic-based network bringing high-speed connectivity to all its facilities. Each school and division enjoys high-speed redundant Internet connections along with clear channel connectivity to Internet II.

Section Number/Title:	V. Educational Support Services
Subsection Number/Title:	5.3 Information Technology Resources and Systems

Subsection Reference Number:

Line Reference Number(s): Page 59: 3-13

Requirement: Institutions **must** provide the means by which students may acquire basic competencies in the use of computers and related information technology resources. A reliable data network **should** be available so that students, faculty, and staff may become accustomed to electronic communication and familiar with accessing national and global information resources. There **must** be provisions for ongoing training of faculty and staff members so that they may make skillful use of appropriate application software. These requirements **apply** to all programs wherever located or delivered.

Status: **In compliance**

Evidence: ITD 2000-2001 Annual Report [93]; Internet2 @ Emory: http://www.emory.edu/ITD/RP/I2/ [688]; Academic Resources On-line: www.emory.edu/ITD/LT/academic.online.html [689]; Student Records and Information On-line: www.emory.edu/ITD/LT/student.records.html [690]; Conferencing: www.emory.edu/ITD/conferencing.html [691]; LearnLink: www.learnlink.emory.edu/ [158]; Emory Television: www.emory.edu/ITD/EMORYTV/ [692]; World Wide Web: www.emory.edu/ITD/www.html [693]; Meeting Maker XP at Emory University: www.itd.emory.edu/MMXP/ [694]; Software Distribution: www.emory.edu/ITD/SW/distribution.html [695]; Satellite Conferencing Services: www.emory.edu/ITD/EMORYTV/satserv.html [696]; Customer Support Center (Now Called Client Services): www.emory.edu/ITD/CSC/ [697]; ITD Customer Support Center Staff: www.emory.edu/ITD/CSC/hours.html [698]; Teaching and Research: www.emory.edu/ITD/TR/ [699]; Local Computing Support at Emory: www.emory.edu/ITD/LOCSUP [700]; Local Computing Support at Emory by Department Number

(http://www.emory.edu/ITD/LOCSUP/local-dept.html) [701]; Local Support Conferences: www.emory.edu/ITD/LOCSUP/conferences.html [702]; Computing Groups at Emory: www.emory.edu/ITD/USER_GROUPS/ [16]; Classroom and Media Services: http://www.emory.edu/ITD/LT/MEDIA/ [703]; IT Services for Emory Students: www.emory.edu/STUDENTS_MAIN/webrequests.html [704]; ITD Faculty Services: www.emory.edu/ITD/faculty.html [705]; ITD Staff Services: www.emory.edu/ITD/staff.html [706]; Technical Support for Students: www.emory.edu/ITD/LT/student.techhelp.html [707]; Getting Started with Student Computing: www.emory.edu/ITD/LT/student.started.html [708]; Student Accounts at Emory: www.emory.edu/ITD/LT/student.email.html [709]; Technical Standards and Connectivity for Students: www.emory.edu/ITD/LT/student.standards.html [710]; Information Technology Services for Students: www.med.emory.edu/ITS/SUPPORT/ [711]; ITD/Hardware & Software: www.emory.edu/ITD/SW/ [712]; Operational Services Organization Chart [713]; Technical Services Organization Chart [714]; Emory Core Systems [715]; Network Communications Annual Report [105]; Campus Fiber Optic Map [681]; Emory College Annual Report on Information Technology [682]; Inventory of College Primary Faculty/Staff Computers [683]; Inventory of Instructional Computing Spaces [684]; Emory Report Articles on Exemplary Uses of IT in the College and Associated Web Site Material [716]; Renaissance at Oxford, Master Plan/A Strategic Plan for Oxford College of Emory University 2010 [47]; Organizational Chart of Oxford College [134]; Oxford Computing Mission Statement [108]; Call for Proposals for the Teaching and Learning with Technology Institute [680]; IS Budget Expenditures [685]; New Media Toolbox [717]; Information Services Support Staff [718]; http://www.ecit.emory.edu [472]; Blackboard On-line Curriculum: http://www.emory.edu/ITD/BB/ [686]; WebCT On-line Curriculum: http://skinner.library.emory.edu:8900/webct/public/home.pl [687]; http://www.emory.edu/WHSCL/ [95]; http://www.learnlink.emory.edu/ [158]; Peoplesoft Student Systems for Admissions, Registration, Add/Drop etc.: http://www.emory.edu/OPUS [719]; Resource25 for Classroom and Events Scheduling: http://resource25.cc.emory.edu/ [720]; University Web Site: www.emory.edu [721]; Customer Support Center (Now Called Client Services): http://www.emory.edu/ITD/CSC/ [697]; EUSM Home Page: http://www.emory.edu/WHSC/MED/index.html [722]; School of

Medicine Information Technology Services for Students:
http://www.med.emory.edu/ITS/SUPPORT/ [711];
http://www.emory.edu/WHSCL/ [95];
http://www.emory.edu/ITD/training.html [723];
http://www.ecit.emory.edu [472];
http://www.emory.edu/ITD/help.html [724];
http://www.emory.edu/ITD/students.html [725];
http://www.emory.edu/ITD/LT/academic.online.html [689];
http://www.emory.edu/WHSC/MED/ITS/DEVELOPMENT [726];
http://www.emory.edu/netcom/ [727];
http://skinner.library.emory.edu:8900/SCRIPT/MED2001/scris/serve home [728]

Discussion:	The use of the latest technologies at Emory is extensive. Every member of the Emory community is able to communicate and access academic and administrative resources using a high-speed data network that has connections in classrooms, offices, research facilities, and university apartments and residence halls. Wireless networking is in use in the main library, the quadrangle, and part of the university center. The campus has ready access to external on-line resources via the Internet at 45 Mbps and Internet2 at 155 Mbps. Most faculty and staff have the latest computer hardware and software as the result of university-established volume pricing agreements and upgrade plans. Infrastructure is in place to downlink broadcasts of conferences and other events from satellites and deliver them over the campus CATV network.

Packet shaper technology is deployed on our Internet connections to guarantee Quality of Service (QoS) for teaching and research uses. It also provides continual monitoring to assure that Service Level Agreements (SLAs) are met. Fully redundant network cores, employing wire speed routers, are planned for 2001-2002 to minimize outages, and enhance applications offerings and access.

Most students enter Emory College with their own computers, and in the last two years, almost all have had laptop computers. Students arrive with a fair amount of technical proficiency, which eases their introduction to LearnLink, the university's on-line conferencing system, of which the College students are a driving force.

For students who do not come to the University with a personal computer, resources are available across campus for their use. In addition to campus-wide library computers and computer labs,

individual schools and programs offer their own resources. For example, the business school has 34 laptops, 2 digital still cameras and 2 video camcorders in the Information Services checkout pool available to faculty, staff, and students for Goizueta Business School purposes.

Other on-line resources include the university phone book, student information, library resources, and systems for collaboration and course management. The entire Emory community uses e-mail for routine communication. Emory's listserv supports hundreds of mailing lists for discussions and announcements and includes lists for communicating with all students and faculty and all Atlanta alumni. Thousands of Emory staff manage meetings with each other electronically. The University also provides space on web servers for departmental pages and for personal pages.

Trained technical and user services staff is available both centrally and locally. For the most part, the Information Technology Division (ITD) is responsible for campus-wide IT resources and for general technical support. Supplementing ITD are the local support staff in schools, departments, and divisions, many of whom are responsible for local planning, installation, maintenance, and user support. A few examples: new faculty and staff at Goizueta Business School receive one-on-one training on standard tools and a variety of individual software packages; the Health Science Library offers orientations for the School of Medicine and School of Public Health, which provide overviews of electronic journals, on-line catalog, bibliographic databases, internet resources, as well as an on-line tutorial for Medline researchers via the library web site.

In conjunction with ITD's Emory Center for Interactive Teaching, Emory College offers both short, two-hour sessions on software like Dreamweaver and runs a competitive grant program each summer, Emory College On-line, which acts as an intensive three-week introduction to putting courses on the web. Courses are put on the web using the BlackBoard course management system, so the resources are password protected. Instruction in basic software, such as MS Office, is available through the ITD short course program.

Oxford Computing also recognizes the need for students to understand not only the technical aspects of computing but the ethical aspects as well. To that end, the Citizenship in Virtual Life (CIVL) program is offered each year. Now in its third year, CIVL has offered opportunities for students to hear panel discussions that

include copyright issues, ethical use of the technological infrastructure (passwords, spam e-mail, illegal student servers in the residence halls, etc.), and to participate in a variety of classes with ethical themes.

Oxford Computing also offers a Teaching and Learning with Technology Institute in the summer for faculty wishing to incorporate technology into an existing course or create a new course using technology. The three-week, concentrated program provides one-on-one instruction for a specific project. Faculty and staff are also offered many classes to support the respective functions involved. Classes from all appropriate application software to web skills are offered on a regular basis.

Section Number/Title: V. Educational Support Services

Subsection Number/Title: 5.3 Information Technology Resources and
                                             Systems

Subsection Reference Number:

Line Reference Number(s):   Page 59: 14-24

Requirement: Policies for the allocation and use of information technology
                     resources **must** be clearly stated and consistent with an institution's
                     purpose and goals. These policies **must** be evaluated regularly to
                     ensure that academic and administrative needs are adequately
                     addressed. Appropriate security measures **must** be installed and
                     monitored to protect the confidentiality and integrity of academic
                     systems, administrative systems, and institutional networks. There
                     should be a clearly defined program for maintaining and replacing
                     equipment and software so that they remain consistent with current
                     technology.

Status: **In compliance**

Evidence: ITD 2000-2001 Annual Report [93]; Policies and Statements of
                     Direction: www.emory.edu/ITD/policies.html [729]; Classroom
                     Media Policies and Procedures:
                     www.emory.edu/ITD/POLICY/whitehall.html [730]; Emory
                     University Network IDs (Previously Known as Eagle Services):
                     www.emory.edu/ITD/HELP/eagle.html [731]; ITD Direction in
                     Group Scheduling:
                     www.emory.edu/ITD/POLICY/direction.mmxp.html [732];
                     LearnLink Policies:
                     www.emory.edu/ITD/POLICY/learnlink.policy.html [733];
                     Statement of Direction Concerning ITD Support for the Macintosh:
                     www.emory.edu/ITD/POLICY/mac.support.html [734]; PPP
                     Account Policy: www.emory.edu/ITD/POLICY/policy.ppp.html
                     [735]; Information Technology & ResNet Policies:
                     www.emory.edu/ITD/POLICY/resnet.policy.html [736]; ITD
                     Satellite Conferencing Policies:
                     www.emory.edu/ITD/POLICY/satellite.policy.html [737]; Position
                     on Napster and Other Sharing Utilities:

http://www.emory.edu/ITD/ANNOUNCE/napster.html [738];
Information Technology Update on Windows 2000
www.emory.edu/ITD/WIN2K [739]; Policies, Guidelines and Laws:
http://www.emory.edu/ITD/POLICY/ [740]; Emory University
Policy on Assignment of Names Just Below EMORY.EDU:
www.emory.edu/ITD/POLICY/domain.below.html [741]; Policy on
Copying and Using Computer Software:
www.emory.edu/ITD/POLICY/copying.html [742]; Memorandum
from Rebecca Chopp to Paul Morris on Certain Email Policies:
www.emory.edu/ITD/POLICY/chopp.email.html [743]; Broad
Overview of Policies and Guidelines:
www.emory.edu/ITD/POLICY/policy.summary.html [744];
Guidelines on the Ethical Use of Information Technology:
http://www.emory.edu/ITD/POLICY/eth.full.html [745];
Information Access Policy:
www.emory.edu/ITD/POLICY/info.access.html [746]; Information
Technology Conditions of Use Statement:
www.emory.edu/ITD/POLICY/cu.full.html [747]; Emory University
Policy on Non EMORY.EDU Names on Internal "Academic"
Network: www.emory.edu/ITD/POLICY/domain.assignment.html
[748]; IT Architecture Documents:
http://www.emory.edu/EITA/documents.html [749]; Accounts and
Passwords: www.emory.edu/ITD/accounts.html [750]; Emory
University Network IDs (Previously Known as Eagle Services):
www.emory.edu/ITD/HELP/eagle.html [731]; Emory Network IDs:
www.emory.edu/ITD/netid.html [751]; Information Security at
Emory University: www.emory.edu/ITD/IRM/SECURITY/ [752];
Security Measures for the ERP (PeopleSoft) Systems at Emory
[753]; Enterprise Back-up Services [754]; Business Recovery [755];
Emory University Security Processes (Excerpt) [756]; Security
Domain Architecture (Sections 1-11):
www.emory.edu/EITA/DOCS/sec-arch.pdf [757]; NetCom Border
Network & Firewall Transition, Step 6 [758]; RSPH Network Final
[759]; Data Center Firewall Network Design (Conceptual) [760];
Network Communications Annual Report [105]; Campus Fiber
Optic Map [681]; Emory College Annual Report on Information
Technology [682]; Emory College Student Surveys on Information
Technology [761]; Renaissance at Oxford, Master Plan/A Strategic
Plan for Oxford College of Emory University 2010 [47]; Goizueta
Business School (GBS) 5-Year Strategic Plan [64]; Data Network
Case Studies [762]; Policy on Ownership of Independent Servers
[763]; Facebook Training Manual [764]; Business School New
Faculty Brochure [765]; New Media Toolbox Overview [717]; GBS
(Goizueta Business School) Technology Use Policy [766]; Web

Space Requests [767]; Intranet Firewall [768]; Emory ITD Policies: http://www.emory.edu/ITD/policies.html [729]; Network Communication Policies and Procedures: http://www.emory.edu/netcom/netops.html [769]; Emory University Security Domain Architecture Document: http://www.emory.edu/EITA/documents.html#Security [770]; EUSM IT Policies: http://www.med.emory.edu/ITS/POLICIES/ [771]; Document of Understanding (DOU) between Emory Healthcare Information Services (IS) and Emory Healthcare Clients [772]

Discussion:
The Emory Council on Information Resources and Technology (CIRT) has responsibility for overall policy and planning guidance for the use of information resources and technology at Emory. There are multiple policies and statements of direction as indicated in the Annual Report 2000-2001 of the Information Technology Division (ITD) and in the packets of attached policies from the ITD web site. The Accounts and Passwords document provides the policy on who receives automatic access and to what services. Many of these policies are undergoing revision and new ones are in draft.

In addition to (and consistent with) campus-wide policies, individual schools, divisions, and programs also have their own technology use guidelines. For instance, the business school has a Technology Use Policy that addresses acceptable use of technology resources for everyone given access with Goizueta Resources. The policy is reviewed in conjunction with Emory Technology Policy reviews and is periodically revised through the Goizueta Academic Computing Committee.

The Emory Technology Advisory Committee, a campus-wide peer organization, also reviews campus-wide technology related policies. Internal policies, such as student printing, e-mail policies, and student and faculty central disk quota limits, are approved by this committee.

Basic security for IT systems is in place and is being enhanced. To enable identification for access control purposes, all Emory student, faculty, and staff members are automatically assigned unique net IDs. All administrative and academic enterprise systems are protected by their native security systems using logins and passwords, and a process is in place for adding and removing access to those systems. Access to applications for financial accounting,

human resources, and student information is restricted to a need-to-know basis and reviewed at least annually. A service is available that enables control of access to web pages external to the web server where those pages reside.

Systems supporting academic and administrative enterprise applications and services are housed in a data center that provides fire suppression and whose climate and access are monitored and controlled. Enterprise databases and systems are backed up on a regular basis. To prevent snooping by other devices, communication among these systems is separated from the rest of the network, and communication to and from these systems is switched. A system security scanner service is in place to test systems for vulnerability to network attack. Virus scanning software is licensed and available for use campus-wide. A security analyst monitors security incidents and virus outbreaks and generates campus-wide alerts as needed.

Security enhancements in progress include firewalls, intrusion detection tools, e-mail virus scanning, and a business recovery strategy. "Security Domain Architecture" explains some of Emory's plans, including a zone of trust model for network security. The "NetCom Border Network & Firewall Transition, Step 6" shows the planned configuration for the border of Emory's internal network. The "SPH Network Final" illustrates implementation of the zones of trust model within the Emory network for a school.

The entire data communications network (over 29,000 nodes) is directly connected to the voice communications switches to enable a seamless communications environment. All are protected by a multilevel firewall strategy, which protects components based on an assessment of system assets. Inbound voice trunking employs SS7 signaling technology to enhance call routing and provide automatic rerouting of voice communications in the event of a central office failure. Work is underway to implement IP telephony at both the station and trunking levels. Consolidation of voice and data networks is in the testing phase, and we are currently assessing whether or not to implement the consolidation.

School-owned computing equipment purchases are made through the individual schools and divisions. Equipment is purchased throughout the fiscal year and the University adheres to a floating standard above an established baseline. This approach enables us to take advantage of new hardware and/or pricing changes. The best of older equipment is sometimes "bumped" down for unplanned

services. Most schools and divisions replace computer equipment on a 3 to 4 year schedule.

Section Number/Title: V. Educational Support Services

Subsection Number/Title: 5.4 Student Development Services

    Subsection Reference Number: 5.4.1 Scope and Accountability

    Line Reference Number(s):   Page 59: 25-34

Requirement: Student development services **are essential** to the achievement of the educational goals of the institution and **should** contribute to the cultural, social, moral, intellectual and physical development of students. To ensure effectiveness, the institution **must** develop goals for the student services program consistent with student needs and with the purpose of the institution. Appropriate student development services **must** be provided for distance learning programs as well as on-campus programs.

Status: **In compliance**

Evidence: Campus Life Handbook [13]; Campus Life Mission Statement [773]; Campus Life Goals: 2001-2002 [774]; SOM Annual Report 2001 [53]; Orientation Agendas: Allied Health [225]; First Year Class Orientation [775]; Second, Third, and Fourth Year Class Orientations [776]; OMESA Annual Report [170]; RSPH Catalog [Appendix F]; RSPH Student Services Mission Statement [777]; RSPH Student Services Organizational Chart [778]; Transcultural Award Program Information Sheet [779]; Candler Catalog 2001-2002, pp. 28-31, 33, 53-59 [Appendix L]; Candler School of Theology Student Handbook, pp. 11, 13, 15, 18, 19, 21-24, 30, 34, 35, 37, 38 [61]; Theology Orientation Booklet [780]; Office of Student Programming Mission Statement and Organizational Structures [781]

Discussion: The Division of Campus Life is responsible for co-curricular programs and activities that foster cultural, social, leadership, moral, and physical development of students. Specific attention is paid to maintaining standards and improving the quality of life for all enrolled students through active programming and individualized personal services.

The Campus Life Handbook is published each year and is distributed to all incoming students. It outlines the programs and services of each department and information about the professionals who staff them. The handbook also includes the university policies, such as the Student Conduct Code, the Alcohol Policy, and grievance procedures.

Distance learning programs at Emory University tend to involve primarily graduate students. The business, law, and public health schools provide information and student development services through their respective distance learning programs. Other schools (such as the medical school) also offer support services for students enrolled in distance learning, although it is only a small and tangential program for medical education.

Section Number/Title: V Educational Support Services

Subsection Number/Title: 5.4 Student Development Services

Subsection Reference Number: 5.4.1 Scope and Accountability

Line Reference Number(s):   Page 60: 1-15

Requirement: The institution **must** clearly designate an administrative unit responsible for planning and implementing student development services. Appropriate policies and procedures for student development programs and services **must** be established

Student development services **should** be given organizational status commensurate with other major administrative areas within the institution. These services **must** be staffed by individuals who have academic preparation and experience consistent with their assignments. In exceptional cases, outstanding professional experience and demonstrated competence may substitute for academic preparation. Exceptional cases **must** be justified by the institution on an individual basis. Student development services and programs **must** be evaluated regularly.

Status: **In compliance**

Evidence: Explanation of Organizational Structure of the Division of Campus Life [782]; Resumes for Campus Life Senior Staff [783]; Campus Life Mission Statement [773]; List of Campus Life Professional Staff and Their Earned Degrees [784]; Campus Life Annual Reports (on file in Campus Life office); Office of Medical Education Services [785]; OMESA Annual Report [170]; RSPH Organizational Chart [778]; Student Services Staff Profiles [786]; Campus Life Handbook [13]; Candler Catalog 2001-2002, pp. 28-31, 33, 53-59 [Appendix L]; Candler School of Theology Student Handbook, pp. 11, 13, 15, 18, 19, 21-24, 30, 34, 35, 37, 38 [61]; Office of Student Programming Mission Statement and Organizational Structures [781]

Discussion:	Central student development services provide a rich and developmentally sound base for all students. Emory's strong commitment to quality student services is evident in the University's organizational structure and the amount of resources allocated to the mission of proactively attending to the needs of students.

The University's highest official responsible for student development services is John L. Ford, Ph.D., a tenured member of the faculty of the Rollins School of Public Health. As the senior vice president and dean for Campus Life, Dr. Ford reports to the president and serves on the Administrative Council, the President's Cabinet, and the University Senate. He also staffs the Student Concerns Committee of the Board of Trustees.

Individualized services are also offered within the various schools, programs, and divisions. For example: student services are provided via the Office of Medical Education and Student Affairs in the Medical School, which is supported by an executive associate dean, three associate and assistant deans, a director, an assistant director, and an associate director. These individuals have appropriate administrative and budgetary support for overseeing such areas as admissions, multicultural student affairs, clinical education, and financial aid.

Most Campus Life directors and professionals possess, at minimum, a Master's degree and have previous experience in their work area; several hold doctoral degrees in their specialties.

Evaluation of services and programs are completed through focus groups and written surveys. Results are shared through annual reports and strategic plans of the departments. |

Section Number/Title: V. Educational Support Services

Subsection Number/Title: 5.4 Student Development Services

      Subsection Reference Number: 5.4.2 Resources

      Line Reference Number(s):   Page 60: 16-21

Requirement: Human, physical, financial, and equipment resources for student development services **must** be adequate to support the goals of the institution. Staff development **should** be related to the goals of the student development program and **should** be designed to enhance staff competencies and awareness of current theory and practice.

Status: **In compliance**

Evidence: *Emory Campus Master Plan* [23]; School of Medicine Organizational Chart [49]; School of Medicine Policies & Procedures Manual [787]; Annual Budget for Medical Education and Student Affairs [788]; Defining Our Future: The Teaching and Education Strategic Plan for the Emory University School of Medicine 1998-2004 [32]; RSPH Student Services Operating Budget [789]

Discussion: Physical, financial, and equipment resources for student and staff development are adequate. Overall, resource allocation for student services more than meets the needs of the University student body.

      The question of physical space has been raised by individual programs and divisions (particularly, the School of Medicine). The recently completed Strategic Plan for Teaching and Education in the medical school calls for either renovation of existing space or construction of new space within the foreseeable future to support the goals of the institution. In addition, the Provost's Office has recently hired an Associate Provost to look into the issues surrounding space planning.

      Periodic training sessions for policies and procedures (such as finance and human resources) are offered within the University on a fairly regular basis and anytime upon specific request.

Section Number/Title:	V. Programs and Services
Subsection Number/Title:	5.4 Scope and Accountability

Subsection Reference Number:	5.4.3.1 Counseling and Career Development
Line Reference Number(s):	Page 60: 22-30

Requirement: Each institution should provide personal counseling services for students, as well as a career development program. An effective career development program should include career information and planning, placement services, career counseling, testing services and follow-up activities. There should be clearly specified policies regarding the use of career development services by students, alumni and employers.

Status: **In compliance**

Evidence: Emory Student Counseling Center Annual Reports [790]; Emory Student Counseling Center Mission Statement and Staff Manual [791]; Emory Student Counseling Center Brochure [792]; Emory Student Counseling Center Web Site: www.emory.edu/SCOUNSEL/ [793]; Career Center Mission Statement on Web Site: www.emory.edu/CAREER [794]; Career Center Brochure Career Guide [795]; Business School Career Management Home Page: http://goizueta.emory.edu/career/index.asp [796]; Business School Alumni Career Resources Homepage: http://www.bus.emory.edu/alumnicareer/ [797]; School of Medicine Academic Planner and Student Handbook for 2001-2002 [Appendix U]; Mentor Program [798]; Orientation Agendas: Allied Health [225]; First Year Class Orientation [775]; Second, Third, and Fourth Year Class Orientation [776]; RSPH Catalog [Appendix F]; On-campus Interviewing Policies and Procedures [799]; Career Espresso Web Site: http://www.sph.emory.edu/studentservice/Career.html [800]; Public Health Employment Connection Web Site: http://cfusion.sph.emory.edu/PHEC/phec.cfm [801]; Campus Life Handbook [13]; Counseling and Spiritual Director Resource Lists [802]; Vocational Options Materials [803]; Career

Services Registration Form (First Year Students) [804]; Career
Services Registration Form (Second and Third Year Students) [805];
Career Services Registration Form (Employers) [806]; Fall
Recruiting Activities Memo 2001 (Students) [807]; Policy of
Reciprocity [808]

Discussion: The Emory Student Counseling Center was established in January
1982. In January 2002, the Counseling Center was integrated with
the Student Health Service in order to more effectively deal with
students' increasing mental health needs in an interdisciplinary
setting. The mission of the Center is to provide a wide variety of
mental health services to the Emory community, including
educational, preventive, and counseling services.

Emory students and alumni can also access opportunities offered
through the Career Center, which provides a multitude of career
development programs and placement services. The Career Center
staff recognizes their importance within the educational mission of
the University, which includes teaching career development and
management skills that can be used throughout the working life of
the student.

To supplement the career information and planning services, the
Career Center offers testing services (i.e., the Myers-Briggs Type
Indicator and the Self-Directed Search Assessment Tools),
placement assistance (such as on-campus recruitment, mock
interviewing, and pre-professional advising), and follow-up activities
(including one-on-one counseling and group workshops). The
Center also provides students with access to a resource library, to a
network of Emory alumni who offer career information and
mentoring, and information about internships. The Career Center
evaluates its programs on an on-going basis through student
evaluations of career counseling and workshops. In addition, the
Center conducts a senior survey each year to determine student plans
after graduation and to determine how the Career Center may be of
help in their life after Emory. A junior survey is also conducted to
determine career plans for work or graduate school.

Professional career counseling is also available through individual
schools and divisions. A few examples: the Goizueta Business
School has its own Career Management Center (CMC) for graduate
students and alumni which provides career counseling and access to
on-campus presentations and interviews with more than 100

employers. The medical school offers a formal mentoring program with faculty and clinical clerkships, and the Rollins School of Public Health maintains a Career Action Center, whose staff members work with faculty, alumni, community resources, and recruiters. The law school's Office of Career Services also offers career counseling and administers Emory's On-Campus Interview Program for law students.

Section Number/Title: V. Programs and Services

Subsection Number/Title: 5.4 Programs and Services

Subsection Reference Number: 5.4.3.2 Student Government, Student
                                     Activities and Publications

Line Reference Number(s):   Page 60: 31-36; 61: 1-8

Requirement: The institution **must** develop a statement of the student's role and participation in institutional decision-making.

The institution **must** have an activities program appropriate to its purpose and encompassing student interests. The institution **must** develop policies and procedures governing the supervisory role of the institution over student activities.

Student publications can contribute to the establishment and maintenance of an atmosphere of responsible discussion. When student publications or other media exist, the institution **must** provide a clearly written statement of the institution's responsibility regarding them.

Status: **In compliance**

Evidence: SPC Constitution [809]; Media Council Constitution [810]; Campus Life Handbook [13]; Student Activities Mission Statement [811]; L.E.A.D. Team Mission Statement [812]; SGA Constitution [813]; Oxford College University-Student Relationships Statement [814]; Oxford Student Government Association Constitution [815]; School of Medicine Bulletin [Appendix V]; School of Medicine Academic Planner and Student Handbook for 2001-2002 [Appendix U]; First Year Class Orientation [775]; Policies and Procedures: A Comprehensive Guide for RSPH Students [57]; RSPH Catalog [Appendix F]; Candler School of Theology Student Handbook 2001-2002, p. 35 [61]; Candler Catalog 2001-2002, p. 55 [Appendix L]; Law School Faculty Handbook, pp. 59-61 [Appendix I]; SBA Constitution [816]

Discussion:	Students play an integral role in institutional decision-making at Emory. They serve on committees of the University governance system (including the University Senate) and have liaison programs where representative student legislators (graduate and under-graduate) take an active role in guiding the agenda of a variety of University departments (including Parking/Transportation, Career Center, Student Health, Campus Dining, and University Housing). In short, students contribute by their representation and membership on innumerable committees, task forces, and ad hoc groups. The degree to which such activities are supervised by administration and/or faculty varies according to the purpose and mission of the group.

Although each of Emory's nine schools has its own student governing council, the major student governing and programming bodies, the Student Government Association (SGA), the College Council (which represents College undergraduate students) and the Student Programming Council (SPC), work directly and regularly with Student Activities professionals who serve as their primary advisors.

The Student Government Association (SGA) works to ensure basic student rights and to respond to the desires, needs, and concerns of the general student body. The SGA is composed of executive, legislative and judicial branches, and its president is the official spokesperson for the student body. Its Constitution documents the rights and responsibilities of students and their participation in university affairs.

Emory offers a wide range of student activities appropriate to the purposes of the University and its various constituencies. These activities are guided by policies developed by the University itself, the Division of Campus Life and the Office of Student Activities.

There are two significant programming groups on campus. The first is the Student Programming Council (SPC). Their mission is to function as the central programming body of the SGA for University-wide events and shall advise student organizations about programming. SPC has the power to establish its own rules of procedure and has the final approval over the expenditures of their funds, once authorized by the SGA budget committee. The second group, the Leadership through Event and Activity Development (L.E.A.D) Team, provides cultural, educational, and social

programming and helps students develop their intellectual capabilities and life skills.

Student media at Emory are encouraged to provide print and news media conduits for students' expressions of creativity and artistic values, opinions, and abilities. The Student Media Adviser works closely with all student media to provide opportunities for growth and development through one-to-one coaching, evaluation sessions, skill development workshops and role modeling.

By the authority given it by the Student Government Association, the Student Media Council serves as the governing body for all recognized SGA-chartered student media groups. It provides support and services to ensure the development and continuation of quality student-produced media at Emory University. The Council has the right to consider disciplinary action against any of its divisional organizations or its members for violation of statutory laws, rules, and regulations of Emory University, or the standards of responsible journalism.

Individual Emory schools and colleges also provide student governance and activity opportunities. Oxford College, for example, has its own SGA that participates in the campus decision-making process. And medical students serve on School of Medicine governance committees, including Executive Curriculum Committee, the Teaching and Education Strategic Plan Implementation Committee, and the Medical School Admissions process. They also have representatives to national student organizations of the American Medical Association, Association of American Medical Colleges, and Student National Medical Association.

In all cases, information about student governance and student activities is included in the Campus Life Handbook and in student handbooks of the individual schools.

Section Number/Title:	V. Educational Support Services
Subsection Number/Title:	5.4 Student Development Services

Subsection Reference Number:	5.4.3.3 Student Behavior
Line Reference Number(s):	Page 61: 9-15

Requirement: The institution **must** publish a statement of student rights and responsibilities and make it available to the campus community. The jurisdiction of judicial bodies (administrative, faculty, and student), the disciplinary responsibilities of institutional officials, and all disciplinary procedures **must** be clearly defined and broadly distributed.

Status: **In compliance**

Evidence: Undergraduate Code of Conduct: http://www.emory.edu/CAMPUS_LIFE/conduct.code.html [817]; Campus Life Handbook [13]; Honor Code of Emory College, January 1984: http://www.emory.edu/COLLEGE/students/honor.html [818]; Oxford *Student Survival Guide* contains the *Student Conduct Code* and the *Student Honor Code*, Available On-line at: (http://www.emory.edu/OXFORD/CampusLife/conduct.html) [820]; Goizueta Business School Honor Code [821]; School of Medicine Academic Planner and Student Handbook for 2001-2002, including School of Medicine Honor Code [Appendix U]; School of Medicine Conduct Code [822]; Candler Catalog 2001-2002, p. 36-40 [Appendix L]; Candler School of Theology Student Handbook 2001-2002 [61]; Emory University School of Law Professional Conduct Code, Tab 16 [823]

Discussion: The University has several statements of student rights and responsibilities that pertain to various constituent groups. The Division of Campus Life administers the *Undergraduate Code of Conduct*, which pertains to undergraduate students in Emory College, the Roberto C. Goizueta Business School, and the Nell Hodgson Woodruff School of Nursing. Every incoming

undergraduate student receives a copy of the code in pamphlet form or receives written instructions on how to access the code on the web server (http://www.emory.edu/CAMPUS_LIFE/conduct.code.html).

The jurisdictions, responsibilities, and procedures of all judicial bodies are described in the *Undergraduate Code of Conduct*, recently revised in August of 2002. Some policies receive further elaboration in the Campus Life Handbook. Some procedures are also explained further in conduct officer and conduct justice training materials.

Other schools, programs, and divisions provide their own publications regarding requirements and procedures for conduct. A few examples: Emory College publishes the Honor Code of Emory College, which is distributed and explained to new students during orientation. All incoming students of Oxford College receive a copy of the *Student Survival Guide*, which contains the "Student Conduct Code" and "Student Honor Code". The business school distributes its honor code to students at orientation, and all students sign a statement agreeing to abide by it. The school is currently developing a conduct code for M.B.A. students which will be in place Fall 2002.

The School of Medicine also has their own Student Handbook; it is updated each academic year and includes the medical student Honor Code and information concerning the function of the Honor Council. The law school promulgated the Professional Conduct Code effective March 1, 2000, which replaced the Honor Code of 1983. The new code contains statements of student rights and responsibilities and explains the jurisdiction in hard copy to every student and faculty member, and is available on the law school web site. Every student must pledge compliance with the code on every examination.

Section Number/Title:	V. Educational Support Services
Subsection Number/Title:	5.4 Student Development Services

Subsection Reference Number:	5.4.3.4 Residence Halls
Line Reference Number(s):	Page 61: 16-26

Requirement: If an institution has residence halls, it **must** develop policies and procedures governing them and **must** take reasonable precautions to provide a healthful, safe and secure living environment for the residents. The learning environment in the residence halls **must** support the educational mission of the institution. An adequate staff organization should be given responsibility for administration of the residence hall system. The staff should have sufficient academic training and experience to enhance the learning environment in the residence halls.

Status: **In compliance**

Evidence: Campus Life Annual Report (on file in the Campus Life Office); Undergraduate Housing Brochure [824]; "Dooley's Dates" Calendar [825]; Undergraduate Code of Conduct [817]; Undergraduate Housing Agreement [826]; Campus Life Web Site: http://www.emory.edu/CAMPUS_LIFE/ [827]; The Oxford College Guide to Personalizing and Decorating Your Room [828]; School of Medicine Bulletin [Appendix V]; Campus Life Handbook [13]; Policies and Procedures: A Comprehensive Guide for RSPH Students [57]; RSPH Catalog [Appendix F]; Candler Catalog 2001-2002, page 42 [Appendix L]; Brochure: Information for Turner Village Residents, 2001 – 02 [829]; Candler School of Theology Student Handbook 2001-2002, pp. 5-7 [61]

Discussion: The housing operation at Emory University (which is named University Housing) is comprised of four functional areas: residence life, residential services, university conferences, and Greek life. University Housing manages 39 buildings and 1,606,920 square feet.

The University Housing Department provides on-campus housing for approximately 3,300 graduate and undergraduate students in 18 residence halls, 4 theme houses, 9 sorority lodges, and 11 fraternity houses. Residence hall procedures are set forth in the Undergraduate Housing Brochure, the "Dooley's Dates" calendar distributed to all residential students, the Undergraduate Code of Conduct, and in the Undergraduate Housing Agreement that each resident is required to sign.

The learning environment in the halls is enhanced by approximately 1300 programs with 27,200 people in attendance each year. These programs are provided by resident advisors, sophomore advisors, and residence hall directors. The programs are cultural, community-action, informational, developmental, career growth, or social in nature. The Residence Hall Association (RHA) is the student governing body of the residence halls. In addition to programming in the halls, RHA provides excellent leadership positions to residential students and manages the refrigerator rental business.

The total staff includes 17 graduate-level residence hall directors, four master's level area directors, one associate director of residence life, a director of Greek life, one director of staffing, one director of residence life, and one assistant vice-president for housing/assistant dean for campus life. These staff members have the academic training and experience necessary to enhance the learning environment of the residence halls. A strength of this program is that the residence life and residential services staff cooperate in the best interest of the residents. Through this joint effort it is possible to respond to students' needs in a timely manner, taking into consideration their safety, comfort, and developmental and environmental needs.

All residents have the opportunity to evaluate their residence hall staff through a staff evaluation process. This information provides a basis for the formal staff evaluation done by the supervisors. Through various task forces, committees, and other evaluations (e.g. laundry survey) students have input into policy decisions and services that affect residence hall living.

The University Housing Program is developing a new campus (called the Clairmont Campus) which will incorporate the following mission: reasonably priced living environments (clean, attractive, well-maintained, comfortable, and safe), efficient and effective management, and a learning environment and related co-curricular

programs that promote maturity and academic success. This project includes: 434 new apartment units, 1100 new beds, including 600 undergraduate, 480 graduate, and 18 faculty apartments, and 185 new parking spaces for residential students. This new campus will allow the undergraduate residential profile to increase from 62% to 77%. The Clairmont Campus will also include a new Student Activity Center.

The Oxford College campus has four residence halls that house approximately 600 students. As at the Atlanta campus, residence life staff members are highly qualified. The Oxford housing agreement discusses compliance with policies, safety, security, and other contractual matters related to residential living. Students receive the housing agreement when they apply for housing. Residents participate in a number of programs, including, for example, a meet the faculty event, College Night at the High Museum of Art; Breast Cancer Awareness Walk; Alcohol Awareness Week and Diversity Week.

In addition, Candler School of Theology owns and operates Turner Village, a residential complex for Candler students and their families. A director supervises the security, maintenance, and care of the facility and its environs. Although not a traditional residence hall, the Turner Village apartment complex is meant to provide quality residence life to Candler students and affiliates in keeping with the Candler Mission Statement. Residents have opportunities to participate in spiritual life opportunities, social gatherings, and explore avenues of justice and reconciliation. In addition to the catalog and brochure noted above, a handbook for Turner Village is being developed with production scheduled for Spring 2002.

Section Number/Title: V. Educational Support Services

Subsection Number/Title: 5.4 Student Development Services

    Subsection Reference Number: 5.4.3.5 Student Financial Aid

    Line Reference Number(s):   Page 61: 27-35

Requirement: The institution **should** provide an effective program of financial aid consistent with its purpose and reflecting the needs of its students. Effective program administration **should** include counseling students on the efficient use of their total financial resources. There **must** be provision for institution-wide coordination of all financial aid awards.

        All funds for financial aid programs **must** be audited in compliance with all federal and state requirements.

Status: **In compliance**

Evidence: Federal Audit—Annual OMB Circular A-133 for 1999-2000 [830]; Annual Hope Scholarship Audit for 1999-2000 [831]; Fiscal Operations Report and Application to Participate (FISAP) 2000-2001 [832]; US D.O.E. FY 1999 Cohort Default Rate [833]; Office of Financial Aid Annual Report 2000-2001 [834]; Oxford Financial Aid Brochure [835]; Consumer Information Materials [836]; School of Medicine Bulletin [Appendix V]; School of Medicine Financial Aid Handbook [837]; Report from Emory Office of Financial Aid [838]; Policies and Procedures: A Comprehensive Guide for RSPH Students [57]; Candler Catalog 2001-2002, pp. 5, 41-52 [Appendix L]

Discussion: Emory University provides a highly effective program of financial aid that reflects the needs of its students. To meet those needs, the University offers several different types of aid, including scholarships, loans, grants, and work-study programs. Students are introduced to and counseled on financial aid options during the application and orientation process (see, for example, the Rollins School of Public Health 2001 Fall Orientation Schedule).

Emory University's Office of Financial Aid coordinates the financial aid efforts of each school. In all cases, the schools provide a liaison to the central office; this liaison provides information and counseling to students of the school. The director of the Office of Financial Aid reports to the senior vice provost for academic affairs.

The funds for all financial aid programs are audited annually by both state and federal bodies in compliance with government requirements. Emory University complies with all regulations established under Title IV of the 1992 Higher Education Amendments. As of the last audit, Emory's default rate was 1.3 percent; it has now dropped to 1 percent.

Section Number/Title: V. Educational Support Services

Subsection Number/Title: 5.4 Student Development Services

Subsection Reference Number: 5.4.3.6 Health Services

Line Reference Number(s): Page 62: 3-6

Requirement: An institution **must** provide access to an effective program of health services and education consistent with its purpose and reflecting the needs of its constituents.

Status: **In compliance**

Evidence: Emory University Student Health Services Annual Reports [839]; Emory University Student Health Services Mission Statement [840]; Emory University Student Health Services Brochure [841]; Emory University Health Services Web Site: http://www.emory.edu/UHS/healthform.htm [842]; School of Medicine Bulletin [Appendix V]; School of Medicine Academic Planner and Student Handbook for 2001-2002 [Appendix U]; Candler Catalog 2001-2002, pp. 58-59 [Appendix L]

Discussion: Emory University is fortunate to have a large, well-staffed, accessible University Health Service that serves the academic community. Emory University Health Services (EUSHS) is staffed by qualified, dedicated professionals who are available to meet students' primary health care needs. Physicians, psychiatrists, physician assistants, nurse practitioners, registered nurses, health educators and administrative staff comprise the EUSHS team; some of these professionals also have academic appointments in the School of Medicine, School of Nursing, and/or the School of Public Health.

The mission of EUSHS is to empower students to take responsibility for their health and to complement the academic mission of the University by providing unified services that are comprehensive, accessible and result in a healthy campus culture. EUSHS offers a wide variety of services, including primary medical and women's

health/gynecologic care, sports medicine, counseling and mental health services, and substance abuse counseling and prevention.

In February 2002, Emory University Student Health Services and Emory University Student Counseling Center merged administratively, joining these two sister institutions into a single organization with a shared mission of services. The Emory University Student Counseling Center provides free confidential counseling for enrolled undergraduate, graduate, and professional students. Consultation, outreach, and educational workshops are provided for Emory's faculty, staff, and students. The Student Counseling Center is located centrally on campus in Cox Hall, Suite 217.

EUSHS Health Education and Promotion staff promotes health and wellness and offers individual consultations and support in the areas of sexual and reproductive health, substance use/abuse, stress management, eating disorders, nutrition, and medical self-care.

The University Student Health Service is located in a building within five minutes walking distance from central campus, which allows students to access clinic services during lunch hours and on other breaks in class schedules. Students are informed about health services during orientation; they can also find complete information on the web at: http://www.emory.edu/UHS/.

In addition to responding to walk-in patients, the Student Health staff provides education programs to the campus community throughout the year. Student Health staff works collaboratively with the Counseling Center staff, Residence Life staff, University Athletic Association trainers, and other campus offices to respond to medical emergencies, sports injuries, and other incidents.

The Oxford Student Health office is staffed by one full-time and one half-time nurse practitioner. The offices, examination rooms, and waiting areas are adequate to serve the student population. A local physician is under contract with the college to serve as medical advisor. This physician oversees all medical/treatment protocols and serves as a referral source when a student's medical needs are beyond the expertise of the on-campus staff.

In addition to responding to walk-in patients, the Student Health staff provide educational programs to the campus community throughout the year. Student Health staff work collaboratively with the

Counseling Center staff, Residential Life staff, and other campus offices to respond to medical emergencies, sports injuries, and other incidents.

Section Number/Title: V. Educational Support Services

Subsection Number/Title: 5.4 Student Development Services

      Subsection Reference Number: 5.4.3.7 Intramural Athletics

      Line Reference Number(s):   Page 62:7-12

Requirement: Intramural sports programs contribute to the personal development of students and **should be** related to the total program of the institution. These programs **should be** directed and supervised by qualified personnel and **should be** appropriately funded.

Status: **In compliance**

Evidence: Emory University Athletics and Recreation Handbook, 2001-2002 [843]; Emory University Student-Athlete Handbook 2001-2002 [844]; Mission Statement and Published Information from the Oxford Intramural and Recreational Handbook [845]; Campus Life Handbook [13]

Discussion: The intramural sports program is centered on Emory's philosophy of "Athletics for All." Intramural and club sports programs are organized under the responsibilities of the coordinator of recreational services. This position reports to the director of athletics and Recreation. In addition, two full-time staff are also assigned to this office. These positions are an assistant coordinator of recreational services and a recreational services programmer.

The coordinator of recreational services holds a Master's Degree, and the two other positions require bachelor's degrees. The degrees must be in a field related to sports management, recreation or physical education, or the candidates must show direct work in the field. The individuals now in these three positions have a combined 19 years experience in the field.

The intramural program offers a full range of team and individual sports competitions featuring approximately 30 different sports activities or tournaments during the academic year. These range

from team sports such as volleyball, flag football, basketball, softball and soccer to individual tournaments in sports such as tennis and badminton. The office is well funded, with an annual budget of $20,000 dollars for supplies and equipment and $37,000 dollars for student wages.

The recreational sports program also sponsors 17 sports club programs. These sports clubs compete against other colleges and universities, and range from highly competitive clubs such as crew and women's water polo to more recreational clubs such as racquetball and badminton.

The sports clubs are funded by athletics and the Student Government Association (SGA), with funding in the amount of $43, 000 dollars from the Department of Athletics and Recreation and approximately $60,000 from SGA. The clubs also charge dues and raise funds to support their programs.

The recreational sports office also offers a number of non-credit instruction and activity courses. These programs require a fee to enroll and are self-supporting. Approximately eighteen different activities are offered, as well as a personal trainer program. All classes are open to students, faculty, and staff.

Facilities used by these programs include the Woodruff P.E. Center as well as the Candler intramural field area, a lighted field complex of approximately ten acres. Other facilities are used when needed, such as McDonough field, the varsity soccer field or the varsity softball field.

The Oxford College campus provides an intramural and recreational program supervised by a full-time recreation coordinator professional, an athletic director and the dean of campus life. The program offers intramural sports, extramural sports, certification classes, recreation outings, and open recreation to all eligible students.

Section Number/Title:	V. Educational Support Services
Subsection Number/Title:	5.5 Intercollegiate Athletics

Subsection Reference Number:	5.5.1 Purpose
Line Reference Number(s):	Page 62:13-29

Requirement: The intercollegiate athletics program **must** be operated in strict adherence to a written statement of goals and objectives which has been developed by the administration, in consultation with the athletic director, with appropriate input from the faculty, and which has been given official institutional approval. This statement **must** be in harmony with, and supportive of, the institutional purpose and should include explicit reference to the academic success, physical and emotional well-being, and social development of student athletes. The intercollegiate athletics program **must** be evaluated regularly and systematically to ensure that it is an integral part of the education of athletes and is in keeping with the educational purpose of the institution.

Evaluation of the athletics program **must** be undertaken as part of the self-study conducted in connection with initial accreditation or reaffirmation of accreditation.

Status: **In compliance**

Evidence: NCAA Division III Institutional Self-Study Guide [846]; Emory University Athletics and Recreation Handbook, 2001-2002 [843]; Emory University Student-Athlete Handbook, 2001-2002 [844]; Mission Statement from Five-Year Plan [848]; Emory University Student-Athlete Handbook 2001-2002, pp. 62, lines 7-12 [844]; Annual Report (on file in the Campus Life Office)

Discussion: Emory University's philosophy of intercollegiate athletics is based upon the premise that excellence in college athletics is dependent upon institutional integrity and the ability of institutions to integrate athletics into the academic fabric of higher education. The role of

athletics in colleges and universities is properly secondary to the primary educational mission.

Athletic competition should help promote improved spirit, institutional pride and a sense of community among students, faculty, staff, and alumni. Emory's athletic programs are intended to foster true amateur athletics. Such competition will enrich the lives of student-athletes, as well as other students, by adding to the vitality and diversity of University life.

Emory's varsity athletic programs are vitally linked to the educational mission of the University as adjunct or co-curricular activities, and they are concerned with the academic success of all student-athletes. In addition, the programs subscribe to the principles of fair play and amateur athletic competition as defined by applicable National Collegiate Athletic Association (NCAA) rules and the constitution and bylaws of the University Athletic Association, of which Emory is a member. The programs provide equal opportunities for men and women, and they provide comparable opportunities for competition by athletes from all varsity teams.

The Department of Athletics and Recreation endorses the philosophy statement adopted by the membership of the NCAA for Division III. This philosophy is distributed to all department members by way of a departmental handbook. It is also distributed to student-athletes as a part of the student-athlete handbook.

Emory University, as part of our NCAA obligations, undertakes the required self-study for Division III programs on a regular basis. Our last evaluation was completed in February of 2001.

In addition, a committee of the University Senate serves as a review committee over the Department of Athletics and Recreation. This committee, the Athletic Policy Committee, meets approximately eight times per academic year. The committee receives reports on programs sponsored by the department, reviews those programs and evaluates such topics as Title IX compliance, construction related to the sports facilities and other topics of interest to the group. The Committee is chaired by a faculty member and reports annually to the University Senate.

At Oxford College, intercollegiate athletics program also support and enrich liberal arts education. All students who wish to be part of the

athletics program and are willing to attend practices are welcome.
The Oxford College Athletics Committee which is made up of
faculty, staff, students, and alumni, meets regularly to discuss all
issues related to athletics making recommendations to the director of
athletics who in turn, makes recommendations to the Dean of the
College for final approval.

Evaluation of the intercollegiate program occurs annually with
meetings taking place with the Oxford College Athletics Committee
and with the Dean of Campus Life. The annual report, which serves
as the yearly evaluation of the intercollegiate athletics program, is
housed in the Campus Life office. This document specifies the ways
in which the athletic program meets and exceeds the standards set
forth in the athletic mission statement.

Section Number/Title: V. Educational Support Services

Subsection Number/Title: 5.5 Intercollegiate Athletics

Subsection Reference Number: 5.5.2 Administrative Oversight

Line Reference Number(s):   Page 63: 1-8

Requirement: The administration **must** control the athletics program and contribute to its direction with appropriate participation by faculty and students and oversight by the governing board. Ultimate responsibility for that control **must** rest with the chief executive officer. It is **essential** that responsibilities for the conduct of the athletics program and for its oversight be explicitly defined and clearly understood by those involved.

Status: **In compliance**

Evidence: Athletic Policy Committee Web Site: http://www.emory.edu/SENATE/Senate/us_cmtes/athletic.htm [847]; Mission Statement from Five-Year Plan [848]; Emory University Student-Athlete Handbook 2001-2002 (www.emory.edu/SPORTS/Directory_General.html) [844]

Discussion: The athletic program operation is overseen by an Athletic Policy Committee, a sub-committee of the University Senate of Emory University. The committee serves as a liaison between the Emory community and the Department of Athletics and Recreation. The committee is a sounding board for the community, receiving suggestions and complaints from the community. The committee may make recommendations to the Department of Athletics and Recreation, and the Department of Athletics and Recreation may also make recommendations to the Athletic Policy Committee. The faculty chair of the Athletic Policy Committee regularly reports on the action of the committee to the Faculty Senate.

In addition, the director of athletics and recreation reports to Senior Vice President and Dean for Campus Life Dr. John Ford. All staff and budget matters are handled through Dr. Ford and are functions

of the Division of Campus Life. Dr. Ford, in turn, is responsible to the president of the University.

At Oxford, the director of athletics reports to the associate dean of campus life. An athletics committee, which is made up of faculty and students, meets regularly and makes recommendations to the director of athletics, then reports to the associate dean of campus life. The associate dean of campus life will then decide whether or not to pass on the recommendations through to the dean and chief executive officer of the college. All final decisions rest with the dean and chief executive officer of the college.

Section Number/Title: V. Educational Support Services

Subsection Number/Title: 5.5 Intercollegiate Athletics

Subsection Reference Number: 5.5.3 Financial Control

Line Reference Number(s):   Page 63: 9-23

Requirement: All fiscal matters pertaining to the athletics program **must** be controlled by the administration, with ultimate responsibility resting with the chief executive officer. If external units (alumni organizations or foundations) raise or expend funds for athletic purposes, all such financial activities **must** be approved by the administration, and all such units **shall be required** to submit independent audits. The administration of scholarships, grants-in-aid, loans and student employment **must** be included in the institution's regular planning, budgeting, accounting and auditing procedures. All income, from whatever source, and expenditures for the athletics program **must** have appropriate oversight by an office of the institution that is independent of the athletics program. All such income and expenditures **must** also be appropriately audited.

Status: **In compliance**

Evidence: Department of Athletics and Recreations' Budgets (on file in Office of the Director of Athletics)

Discussion: All fiscal matters pertaining to the Department of Athletics and Recreation are functions of the normal Division of Campus Life budgetary policies. There are no external units for fundraising or expenditures of funds. As a Division III member of NCAA, no part of any student's financial aid package is based upon athletic performance or participation. All student financial aid is awarded and monitored through the Director of Financial Aid, independent of all athletic interests.

The director of athletics on the Atlanta campus administers the budget, which is assigned to the athletic program by the senior vice president and dean for campus life, and on the Oxford campus by the

dean and chief executive officer of the college. At this time, there is no alumni or foundation activity. Oxford College does not offer grant-in-aid, loans, and student employment to athletes that are not available to all students. The aid that is available is part of the regular college budget. The business office oversees all income and expenditures. The business office reconciles and audits the athletic budget at the end of each year.

Section Number/Title: V. Educational Support Services

Subsection Number/Title: 5.5 Intercollegiate Athletics

Subsection Reference Number: 5.5.4 Academic Program

Line Reference Number(s):   Page 63:24-37

Requirement: Institutions **must** have clearly stated written policies pertaining to the recruitment, admission, financial aid, and continuing eligibility of athletes and, with faculty participation, **must** annually monitor compliance with those policies. The implementation of academic, admission and financial aid policies **must** be the responsibility of administrators and faculty not connected with the athletics program. If there are special admissions for athletes, they **must** be consistent with the institutional policy on special admissions for other students and be under the control of regular academic policies and procedures. Academic policies governing maintenance of academic good standing and fulfillment of curricular requirements **must** be the same for athletes as for other students.

Status: **In compliance**

Evidence: Emory University Student-Athlete Handbook 2001-2002 [844]

Discussion: Review of the academic eligibility of student-athletes is undertaken each semester with the appropriate academic deans. Grades are monitored at the end of each semester. Any students who are in exclusion or probationary status are made known to the director of athletics and recreation by means of a regular reporting system.

In addition, the regular NCAA mandated program reviews, ongoing meetings between the chair of the faculty athletic advisory committee and the director of athletics and recreation are held.

Emory University is proud to have had more Academic All-Americans (12) in 2000-2001 than any other institution in any division of the NCAA. Emory University also had more NCAA post-graduate winners (seven) than any other NCAA institution.   All

teams have cumulative GPA's of at least 3.2, and many teams were honored by their sport's coaching groups for academic excellence.

Academic, admission, and financial aid policies are the same for all students; athletes do not receive special attention at either Emory University or Oxford College. Athletes are not given special consideration that any other student cannot receive. Eligibility of student athletes is governed by Oxford College in accordance with National Junior College Athletic Association rules. Compliance is monitored on a semester basis per eligibility reports to the NJCAA, which are housed in the athletic department.

Section VI
Administrative Processes

Organization and Administration (Subsection 6.1)

The University Charter and the Bylaws of Emory University are the principal governing documents for the University; they spell out the responsibilities of the principal administrative officers, the reporting lines of senior administrative officers, and the role of the faculty. The "Statement of Principles Governing Faculty Relationships" and the tenure and promotion guidelines of the schools and colleges outline the relationship between the University and the faculty and the policies governing employment security. These documents are published in several places, including the University web site and the *University Faculty Handbook*.

The University Charter and the Bylaws also outline the duties of the Board of Trustees, which serves to establish broad institutional policies and to secure the financial resources necessary to support institutional goals. The president of the University serves at the pleasure of the board, and the president works with the Board's finance committee to prepare the annual budget of the University. The Executive Committee of the Board as well as the Board as a whole meet regularly to attend to policy matters.

The administrative organization of Emory University reflects the purpose and philosophy of the institution and allows each unit to readily perform its responsibilities. All administrative officers possess the appropriate combination of credentials and experience. All administrative officers are reviewed annually, as is the chief executive officer of the University.

Institutional Advancement and Financial Resources (Subsections 6.2 and 6.3)

Emory's Institutional Advancement Division comprises a comprehensive program of fund raising, alumni relations, public affairs, and governmental and community affairs. All activities conducted by the division directly relate to the advancement and support of Emory's educational and research activities. Fund raising efforts are evaluated on an ongoing basis through monthly reports from the chief fund raisers to the senior vice president for Institutional Advancement and through regular reports to the Board of Trustees.

As of August 31, 2001, Emory University had a net worth of $5,208, 973,730. Although the University's net worth has declined in recent months with the general decline of the stock market, the University continues to have a very strong balance sheet. Over the past decade, student enrollment has remained robust, providing the University with excellent tuition revenue, and research funding has grown significantly. These aspects combine to provide Emory with the financial stability and viability to support University programs.

Business and financial functions are centralized under the direction of the executive vice president and chief operating officer, who reports directly to the president of the University. These functions include, among others, auxiliary services, controller, facilities management, investment management, human resources and auditing. The COO and the president present reports to the Board of Trustees (through its Executive Committee) on a monthly basis.

The University prepares its annual Educational and General Budget (the E&G budget) based on plans submitted by academic and administrative officers. During November, each budget manager presents information to his/her appropriate executive vice president. Each executive vice president distills the information accumulated and provides an executive summary to the Ways and Means Committee. Following those presentations, the Ways and Means Committee reviews the requests of the executive vice presidents and arrives at a proposed E&G Budget by establishing funding priorities based on anticipated available resources for the budgetary year.

The Controller's Office prepares a monthly report that compares actual unrestricted revenue receipts and expenditures to the Board-approved budget. Significant variances in actual revenue receipts and expenditures are identified and discussed with the appropriate dean or department head, who is asked to provide a plan identifying alternate and/or additional sources of funding and/or expenditure reductions. The financial accounting system (FAS) automatically generates monthly Account Statements for every account in the system.

The Emory University Accounting System is adopted from the generally accepted principles of institutional accounting as they appear in "College and University Business Administration," published by the National Association of College and University Business Officers. Annually, the University has its financial statements audited by a competent certified public accounting firm. The accounting firm employs the Audit Guide published by the American Institute of Certified Public Accountants for audits of college and universities.

The University handles a number of additional financial services. For example, the purchasing function at Emory University is a highly collaborative process with central approval, encumbrance, competitive bidding, and order processing operations performed by the University Purchasing Department. The Cashier's Office operates to process payments into proper departmental ledger accounts and student accounts. Payments are received either by cash, check, or credit card. The Cashier's Office also cashes checks for students, staff and faculty, redeems approved cash vouchers, and maintains operating cash for the various University departments. The University operates a number of auxiliary enterprises, including parking services, mail services and campus printing.

The University's endowment funds are invested in accordance with the standing investment policies of the Board of Trustees, with direct oversight by the Investment

Committee, which approves the written guidelines used for the management of University assets. Investment guidelines are monitored on an ongoing basis by the University Office of Endowment Investments and senior administrators.

The Emory University System, which includes Emory Healthcare, maintains a comprehensive risk management program that includes risk evaluation, risk avoidance, and risk financing. The Office of Risk and Insurance Services develops, implements, and monitors a proactive program for the entire Emory system. Oversight and support are provided as needed by the leadership of both Emory University and Emory Healthcare.

The University tuition refund policy is printed and updated regularly in several formats: at least once each school term in the Emory Bursar Bulletin, on the Registrar's web page, and the Office of the Bursar web page, and once yearly in the Financial Aid Facts Booklet. The policy provides for refunds of academic fees for official withdrawal based on a published calendar.

Physical Resources (Subsection 6.4)

Emory University provides physical facilities adequate to serve the needs of the institution in relation to its stated purpose and to create an atmosphere conducive to learning. At the end of fiscal year 2002, educational and general gross square footage was estimated to be 4,690,000. The physical spaces used for instructional purposes are generally outstanding; when problems associated with physical facilities are found, however, the division of Facilities Management has in place a system to handle such problems. In addition, Facilities Management employs a preventative maintenance program meant to forestall any such problems. In 1998, the University completed a Campus Master Plan, which identifies a framework for the physical development of the campus. Since the plan was approved, the University has completed six new buildings according to the plan's guidelines.

Emory maintains a safe and secure environment through a number of programs and departments. The Emory Police Department provides law enforcement services as well as crime prevention programs to provide the best possible protection to students and employees. The Fire Safety Department develops emergency evacuation plans, plans fire drills and performs fire alarm testing among other duties. The Office of Environmental Health and Safety issues safety plans and provides training in areas such as biosafety and industrial hygiene. In addition, the University has in place a General Evacuation Plan that is posted in every campus building.

Externally Funded Grants and Contracts and Related Corporate Entities (Subsections 6.5 and 6.6)

Emory's policies on externally funded grants and contracts ensure that proposed projects adhere to the University's mission statement. The Office of Grants and Contract

Accounting provides central oversight for the post-award fiscal activities of sponsored programs and administers the Cost Accounting Policies, which govern the expenditure of federal funds. University policies also preserve a researcher's freedom to investigate important questions and to report the results of their research.

Although Emory owns three hospitals and controls, through board appointments, the Emory Clinic, none of those involve operations and activities that are integral to the academic activities of the University.

Section Number/Title: VI. Administrative Processes

Subsection Number/Title: 6.1 Organization and Administration

Subsection Reference Number: 6.1.1 Descriptive Titles and Terms

Line Reference Number(s): Page 66: 9-13

Requirement: The name of the institution, the titles of chief administrators, the designations of administrative and academic divisions, the terms used to describe academic offerings and programs, and the names of degrees awarded **must** be accurate, descriptive and appropriate.

Status: **In compliance**

Evidence: University Charter [14]; Bylaws of Emory University [17]; Emory University Organizational Chart [849]; Catalogs of the Schools and Colleges [Appendices A, D, E, F, J, K, L].

Discussion: The official name of the institution is "Emory University." The University Organizational Chart and the catalogs of the schools and colleges clearly delineate the titles of administrators, schools, departments, and divisions; and descriptions of academic offerings, programs and degrees. The names of the degrees awarded are accurate, descriptive, and appropriate.

Section Number/Title: VI. Administrative Processes

Subsection Number/Title: 6.1 Organization and Administration

Subsection Reference Number: 6.1.2 Governing Board

Line Reference Number(s):   Page 66: 14-33; 67: 1-4

Requirement: Although titles and functions vary, the governing board **is** the legal body **responsible** for the institution and for policy making. . . . Except under clearly defined circumstances, board action **must** result from a decision of the whole, and no individual member or committee can take official action for the board unless authorized to do so.

The duties and responsibilities of the governing board **must** be clearly defined in an official document. This document **must** also specify the following: the number of members, length of service, rotation policies, organization and committee structure, and frequency of meetings. There **must** be appropriate continuity in the board membership, usually provided by staggered terms of adequate length. In addition, the document **should** include provisions governing the removal of a board member from office. A board member **may be** dismissed **only** for cause and by procedures involving due process.

Status: **In compliance**

Evidence: University Charter [14]; Bylaws of Emory University [17]; Board of Trustees Meeting Minutes (on file in the Office of the Secretary of the University).

Discussion: The governing board of Emory University, known as the Board of Trustees (BOT or Board), consists of 36 members and is currently chaired by Mr. Ben F. Johnson III. The duties and responsibilities of the board are specified in the University Charter, which establishes the Board as the decision-making body of the University and gives it authority over important aspects of University governance, including real property, endowment, all contracts and student discipline (see

Articles 5 and 11). The Board also has the power and authority to provide all educational programs and to prescribe all courses of study (Articles 12 and 14). No member of the Board can take action on any matter individually; rather, all actions must be approved by the entire Board or its Executive Committee.

The BOT meets regularly to attend to policy matters, as indicated in the Bylaws of Emory University. Their work is conducted through a number of standing committees, including Executive Committee; Investment Committee; Real Estate, Buildings and Grounds Committee; Finance Committee; Audit Committee; Robert W. Woodruff Health Sciences Board; Academic Affairs Committee; Campus Life Committee; and Committee on Governance, Trusteeship and Nominations. The specific responsibilities of each committee are outlined in the Bylaws of Emory University, Article II, Section 3.

The Charter of Emory University provides for a self-perpetuating Board with members holding staggered, eight-year terms (Article 6). BOT members may be dismissed only for the causes and using the procedures outlined in Emory's Bylaws.

Section Number/Title: VI. Administrative Processes

Subsection Number/Title: 6.1 Organization and Administration

Subsection Reference Number: 6.1.2 Governing Board

Line Reference Number(s): Page 67: 4-24

Requirement: The responsibilities of the governing board **must** include the following functions: establishing broad institutional policies, securing financial resources to support adequately the institutional goals, and selecting the chief executive officer. In addition, the governing board **must** have in place proper procedures to ensure that it is adequately informed about the financial condition and stability of the institution. The board **must** not be subject to undue pressure from political, religious or other external bodies. Furthermore, it **should** protect the administration from similar pressures.

There **must** be a clear distinction, in writing and in practice, between the policy-making functions of the governing board and the responsibility of the administration and faculty to administer and implement policy. General institutional policies **should** originate within the board or should be approved by the board upon recommendation of the administration. Once these have become official policies, the administration **should** implement them within a broad framework established by the board.

Status: **In compliance**

Evidence: University Charter [14]; Bylaws of Emory University [17]; Board of Trustees Meeting Minutes (on file in the Office of the Secretary of the University).

Discussion: As stated in the University Charter, Articles 5 and 11 – 15, the Board of Trustees (BOT or Board) has the responsibility to establish broad institutional policies and to secure the financial resources necessary to support institutional goals. In addition, the Bylaws of Emory University state that the president of the University "shall be elected

by the Board of Trustees, to serve at the pleasure of the Board"
(Article III, Section 1).

The BOT, through its Finance Committee, collaborates with the
president of the University to prepare the annual operating budget
and capital budgets of the University; the proposed annual budget is
then submitted by the president to the Executive Committee of the
Board for approval. The Finance Committee and the Executive
Committee also receive interim budget reports throughout the year.
In addition, the Investment Committee of the Board monitors and
manages University investments, and the Audit Committee arranges
for, examines and reports on the annual audit of the University's
financial records. Through these committees, the BOT remains
adequately informed about the financial condition and stability of the
University.

The functions of both the Board and high levels of the University
administration are outlined in the Bylaws of Emory University. In
general, broad governing and policy-making authority for the
University rests with the Board of Trustees; the executive
administration of the University is asked to manage the University
and administer its educational programs. Although Emory University
is affiliated historically with the Methodist Church, and several
Board members are Methodist ministers, the Board and the
University remain independent of church influence.

Section Number/Title: VI. Administrative Processes

Subsection Number/Title: 6.1 Organization and Administration

    Subsection Reference Number: 6.1.3 Advisory Committees

    Line Reference Number(s):   Page 67: 25-27

Requirement: Whenever lay advisory committees are used by institutions, these committees **should** be active and their role and function clearly defined.

Status: **In compliance**

Evidence: Bylaws of the Board of Counselors for Oxford College of Emory University [850]; Rollins School of Public Health Self-Study Report [Appendix G]; Graduate School of Arts and Sciences Advisory Board Roster and Agendas [851]; http://www.law.emory.edu/alumni/leaders.html [901].

Discussion: The Emory University Board of Visitors (BOV) was chartered by the Board of Trustees of Emory University on April 24, 1958, as an advisory group to the University. The Board of Visitors helps interpret Emory University, along with its programs and objectives, to the community and region, and brings to Emory's officers a reflection of the opinions, desires, and needs of the community. The BOV's overall objective is to improve and increase the service and performance of the University.

In addition to the Board of Visitors, the following schools and colleges use lay advisory committees: Oxford College, Goizueta Business School, School of Medicine, Candler School of Theology, the Graduate School of Arts and Sciences, and the School of Law.

The Oxford College Board of Counselors, established in 1971, evaluates the College's priorities and envisions the future actions (immediate and long-range) that the board and the College will take to appropriately address the aforementioned priorities.

The Goizueta Advisory Board is composed of men and women from the business community, many of whom are CEOs or CFOs of their respective companies. The Advisory Board provides advice on educational issues that face the school and helps provide a direct liaison between the school and the business community for the purpose of developing closer working relationships that are mutually advantageous.

The Emory School of Medicine Board of Advisors assists the school in being recognized as a preeminent medical school and an outstanding center of medical education, research, and patient care. Among other duties, the Board and its members advise the dean and faculty on strategic issues, aid the school in developing mutually beneficial partnerships and alliances with businesses, individuals, and organizations on a local, national, and international level, and assist in the development of financial resources needed for the school to achieve its goals. The Board meets twice yearly.

The RSPH Dean's Council is made up of public health leaders, business leaders and other leading citizens, mostly from the Atlanta metropolitan area, with an interest in the school and its activities. The Dean's Council meets periodically to provide the dean with advice on how to build programs of excellence in order to achieve the school's missions of teaching, research, and service.

Three principal advisory groups are specifically established to assist Candler School of Theology in fulfilling its mission: The Candler Alumni Executive Committee, the Clergy Advisory Council, and the Committee of 100. The three groups' membership comprises alumni and leading clergy. Each group meets regularly to advise the dean on development and curricular issues.

The Graduate School of Arts and Sciences (GSAS) Advisory Board includes members from both within and outside the Emory community. The Board meets twice yearly to discuss issues of importance to the Graduate School, such as the research mission of the University and the Intellectual Property Initiative.

The law school has three separate advisory bodies: the Law School Council, the Young Alumni Council, and the Law Alumni Association Executive Committee. Each body meets regularly and advises the dean on issues relating to fundraising and programming.

Section Number/Title:	VI. Administrative Processes

Subsection Number/Title:	6.1 Organization and Administration

Subsection Reference Number:	6.1.4 Official Policies
Line Reference Number(s):	Page 67: 28-35

Requirement: The institution **must** publish official documents which contain, but are not limited to, the following information: the duties and responsibilities of administrative officers, the patterns of institutional organization, the role of the faculty in institutional governance, statements governing tenure or employment security, statements governing due process, and other institutional policies and procedures that affect the faculty and other personnel.

Status: **In compliance**

Evidence: University Charter [14]; Bylaws of Emory University [17]; University Faculty Handbook [Appendix Z]; Emory University Statement of Principles Governing Faculty Relationships [Appendix C]; Provost's web site: http://www.emory.edu/PROVOST/ [852]; Human Resources web site: http://emory.hr.emory.edu/HR/policies.nsf/ [853]; Oxford Gray Book Supplement from Faculty Handbook [in Appendix X]; Organizational Chart of Oxford College [134] ; Oxford College of Emory University Faculty Bylaws (revised September 1997) in the Faculty Handbook, Section 2a [164]; Oxford PAC Guidelines from Faculty Handbook [855]; RSPH Procedures Manual [304]; RSPH Catalog [Appendix F]; Candler School of Theology Catalog 2001-2002 [Appendix L]; Candler School of Theology Student Handbook 2001-2002 [61]; Candler School of Theology Faculty Handbook [241].

Discussion: The basic institutional documents are the University Charter and Bylaws of Emory University, which include the responsibilities of the principal administrative officers, the reporting lines of senior administrative officers, and the role of the faculty. The Statement of Principles Governing Faculty Relationships is the official document

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regulating the relationship between the faculty and the University, and it, together with the Resolution of the Faculty Council on the Faculty Hearing Committee, and the employee handbook, governs the procedures for University-level protection of faculty employment security. In addition, each school has regulations for its faculty that are published and distributed in a handbook or other form. (Some examples are provided in the evidence documents listed above.) All employees are governed by the regulations of the Human Resources department which are published on the web.

Section Number/Title: VI. Administrative Processes

Subsection Number/Title: 6.1 Organization and Administration

Subsection Reference Number: 6.1.5 Administrative Organization

Line Reference Number(s):   Page 68: 1-17

Requirement: The administrative organization **must** reflect the purpose and philosophy of the institution and enable each functional unit to perform its particular responsibilities as defined by the stated purpose of the institution.

Administrative responsibility and authority for all educational offerings and functions of the institution **must** be clearly identified, and each institution **must** develop, publish and make available an organizational chart clearly delineating lines of responsibility and authority.

The duties of the chief executive officer, and of other administrative officials directly responsible to the chief executive, **must** be clearly defined and made known to faculty and staff. Administrative officers **must** possess credentials, experience and/or demonstrated competence appropriate to their areas or responsibility. The effectiveness of all administrators, including the chief executive officer, **must** be evaluated periodically.

Status: **In compliance**

Evidence: Emory University Organizational Chart [849]; Bylaws of Emory University [17]; CVs of President's Cabinet Members [856]; Administrative Reviews (on file in the Office of the President); Deans' Reviews (on file in the Office of the Provost); Chopp letter dated 2-8-01 [857].

Discussion: The administrative organization of Emory University reflects the purpose and philosophy of the institution and allows each unit to readily perform its responsibilities. The duties of each senior administrator are outlined in the Bylaws of Emory University,

Article III and Article IV, Section 2. These Bylaws are available to all members of the Emory community on the website of the University Secretary, as is an organizational chart that delineates lines of responsibility and authority.

All administrative officers possess the appropriate combination of credentials and experience, as their *curricula vitae* clearly illustrate. All administrative officers are reviewed annually; these reviews are available in the Office of the President. The Chief Executive Officer of the University is also evaluated yearly by the Board of Trustees. Ben Johnson, chair of the Board, is available to meet with SACS visiting team members to discuss those reviews.

The provost, with the executive vice president of health affairs as appropriate, reviews the dean of each school annually, and every five years, each dean undergoes a more intense review that involves both internal and external components. The five-year review is intended to provide useful feedback from faculty, staff and students that will help chart the direction of the school and provide a basis for determining whether an appointment should be extended for an additional five-year period.

Section Number/Title: VI. Administrative Processes

Subsection Number/Title: 6.2 Institutional Advancement

Subsection Reference Number:

Line Reference Number(s):   Page 68: 18-23

Requirement: Each institution should have a program of institutional advancement, which may include development and fund raising, institutional relations and alumni affairs. If there is an advancement program, it **must** be directly related to the purpose of the institution. Qualified persons should be responsible for administration of the program.

Status: **In compliance**

Evidence: Institutional Advancement Division Organizational Chart [858]; Fiscal Year-End 2000-01 Report of Contributions [859].

Discussion: Emory's Institutional Advancement Division comprises a comprehensive program of fund raising, alumni relations, public affairs, and governmental and community affairs. All activities conducted by the division directly relate to the advancement and support of Emory's educational and research activities: raising money and in-kind contributions to assist in funding such activities; building relationships and participating in constructive collaborations with governmental and community entities; increasing public awareness of Emory and its programs; and maintaining ongoing relationships with and fostering continuing involvement in Emory by its alumni. The leadership of the Institutional Advancement Division comprises a staff of seasoned, senior professionals with considerable experience and success in higher education advancement and administration.

Section Number/Title: VI. Administrative Processes

Subsection Number/Title: 6.2 Institutional Advancement

Subsection Reference Number: 6.2.1 Alumni Affairs

Line Reference Number(s):   Page 68: 24-30

Requirement: The relationship between the institution and its alumni should be one
                                   that encourages former students to continue to participate in the
                                   development of the institution. It should also assist in the evaluation
                                   of institutional effectiveness. Institutions are encouraged to maintain
                                   up-to-date records on the location of former students and to employ
                                   periodic surveys.

Status: **In compliance**

Evidence: Alumni Association web page: www.alumni.emory.edu/aea/ [860];
                                   Emory Magazine, Autumn 2000 [861]; *Emory Magazine*, Winter
                                   2001 [862]; *Emory Magazine*, Summer 2001 [863].

Discussion: The Association of Emory Alumni (AEA) is an active, vibrant
                                   component of Emory's institutional advancement program. The
                                   AEA conducts numerous programs for Emory alumni on Emory's
                                   campus and throughout the country and the world, encouraging
                                   alumni to continue participating in the life of the institution. *Emory
                                   Magazine*, Emory's alumni magazine, is published quarterly and sent
                                   to all Emory alumni.

                                   The Institutional Advancement Division maintains a donor records
                                   system that includes biographical and giving records for all Emory
                                   alumni. Representative groups of Emory alumni are periodically
                                   surveyed to ascertain their interest in Emory programs, their feelings
                                   about their Emory experience, and their ideas about how Emory can
                                   better serve them. The most recent such survey was conducted in
                                   Spring 2001.

                                   The colleges and schools also maintain their own alumni groups and
                                   associations whose activities and communication with their alumni

supplement that of the AEA, including, for example, the Association of Oxford Alumni, the RSPH Alumni Association, and the Candler Alumni Executive Committee.

Section Number/Title: VI. Administrative Processes

Subsection Number/Title: 6.2 Institutional Advancement

Subsection Reference Number: 6.2.2 Fund Raising

Line Reference Number(s):   Page 69: 1-6

Requirement: All fund raising **must** be related to the purpose of the institution. All aspects of fund raising **must** be incorporated into the planning process and evaluated regularly. An institution **must** develop policies and procedures for fund raising and ensure that such policies are appropriately disseminated and followed.

Status: **In compliance**

Evidence: Donor and Volunteer Allocation Document [864]

Discussion: All fund raising initiatives are implemented with the support needs of Emory's programs, schools, departments, and activities in mind. In cases in which acceptance of proffered support would be inconsistent with Emory's mission, or has the potential to be detrimental to the University, gifts are not accepted.

Fund raising efforts are evaluated on an ongoing basis through required, monthly reports from the chief fund raisers to the senior vice president for Institutional Advancement and through regular reports to the Board of Trustees. Moreover, regular meetings of all University fund raisers are held, during which each school or unit is expected to report on the status of major fund raising initiatives. These regular reporting opportunities reinforce the expectations for fund raising performance. Fund raising goals are set by each school and unit as part of the University's annual budget and planning process.

A University-wide fund raising policy per se has not yet been developed, but the expectations regarding the appropriate conduct of Emory's fund raising activities are continually reinforced in regularly scheduled meetings with the fund raising and professional

staffs of the Institutional Advancement Division. In addition, a Donor and Volunteer Allocation Policy guides how donors and volunteer leaders are allocated among Emory's schools and units. A fund raising policy and a gift policy will be developed in concert with the conversion to and implementation of a new donor records database, since the database will be implemented in such a way as to support Emory's identified practices and policies. The goal is to have the new system, and the fund raising and gift policies, implemented within the next two to four years.

Section Number/Title: VI. Administrative Processes

Subsection Number/Title: 6.3 Financial Resources

Subsection Reference Number: 6.3.1 Financial Resources

Line Reference Number(s):   Page 69: 7-12

Requirement: Because the financial resources of an institution influence the quality of its educational program, each institution **must** possess sufficient financial resources to support all of its programs. The recent financial history of the institution **must** also demonstrate the financial stability essential to its successful operation.

Status: **In compliance**

Evidence: See evidence in subsequent sections

Discussion: As of August 31, 2001, Emory University had a net worth of $5,208,973,730. Although Emory's net worth declined $532 million from the previous year, essentially caused by a $486 million decline in its endowment market value, the University continues to have a very strong balance sheet. Emory issued additional debt in October 2001 in excess of $200 million, while maintaining its double A rating.

Emory's student enrollment remains strong, with tuition revenue having exceeded the 2001 fiscal year budget of $8.8 million. Emory also continues to have strong growth in its research programs.

Emory's Medical Center has realized declining net revenue for the past two years and the future is expected to be difficult. Its hospitals and clinic, however, continue to operate at full capacity, and the University is confident that it will be able to get through the coming years in good financial health.

The University is nearing the completion of a major capital expenditure program, after which it will evaluate its capital spending in light of recent market losses.

Section Number/Title: VI. Administrative Processes

Subsection Number/Title: 6.3 Financial Resources

Subsection Reference Number: 6.3.2 Organization for the
Administration of Financial
Resources

Line Reference Number(s):   Page 69: 18-21; 70: 1-8

Requirement: The organization of the business office **must** be consistent with the
purpose of the institution, the size of the institution, and the volume
of transactions of a business or financial nature.

The chief executive officer **must** report regularly to the governing
board on the financial and business operations of the institution.

The chief business officer **should** have experience or training in
handling educational business affairs sufficient to enable the
business office to serve the educational goals of the institution and
assist in furthering its stated purpose.

Status: **In compliance**

Evidence: Office of Business Management 2000-01 Annual Report [865];
Meeting Minutes of the Board of Trustees (on file in the Office of
the Secretary of the University)

Discussion: In accordance with Article III of the Bylaws of Emory University,
the executive vice president (and chief operating officer) is
responsible for all non-academic operations. Emory University's
business and financial functions are primarily centralized under the
chief operating officer and vice president for finance and chief
financial officer.

The chief operating officer reports directly to the president. The
president, along with the vice presidents, meets monthly with the
Executive Committee of the Board of Trustees. At these meetings,
the Board is provided with a monthly Treasurer's Report and

periodic capital project reports as well as a variety of ad hoc reports that are presented to the Executive Committee of the Board. The vice president of finance and treasurer presents detailed information on significant variances and/or proposed future operations that will materially affect the University. The full Board meets thrice yearly and receives in November a comprehensive annual report on the fiscal status of the University.

The vice presidents reporting to the chief operating officer each have specific responsibilities for the financial and business areas of Emory University. The following positions report to the COO:

- **Vice President of Finance and Treasurer**
- **Vice President of Human Resources**
- **Senior Associate Vice President of Facilities Management**
- **Chief Investment Officer**
- **Associate Vice President of Administration**
- **Chief Audit Officer**
- **Associate Vice President of Network Communications**
- **Senior Associate Vice President of Business**

Each department administrative head meets informally (weekly) and formally (quarterly, at a minimum) with the chief operating officer to review the status of current operations and to project future financial challenges.

The Finance Division is organized into three areas of responsibility: The Controller's Office, Bursar and Disbursements (Accounts Payable, Payroll, Student Accounts, Student Loans, and Cashier) and Grants and Contracts. The role of the vice president for finance and treasurer includes establishing and operating the University's accounting systems.

Section Number/Title: VI. Administrative Processes

Subsection Number/Title: 6.3 Financial Resources

Subsection Reference Number: 6.3.3 Budget Planning

Line Reference Number(s):   Page 70: 9-30

Requirement: An institution **must** prepare an appropriately detailed annual budget. Its preparation and execution **must** be preceded by sound educational planning. Procedures for budget planning **must** be evaluated regularly.

                                  The budget **is presented** by the chief executive officer through proper channels to the governing board for final approval.

Status: **In compliance**

Evidence: 2001-02 Basic Educational and General Operating Budget [866]; Annual Board Minutes from February 15, 2000 (on file in the Office of the University Secretary); Document prepared by the University Budget Office for the Board of Trustees for the 2001-2002 Operating Budget (on file in the Office of the University Secretary); *Choices and Responsibility* [22]; *A Vision for Emory* [867]; *Teaching at Emory* Report [24]; Provost's Letters to the Faculty [45]; University Budget Office Planning Schedule [868]; Minutes from Ways and Means Committee (on file in Office of the Provost)

Discussion: **Basic Educational and General Budget**
                                  The Basic Educational and General Budget (the "E&G Budget") is the financial plan under which the academic and service units of the University operate to fulfill the instruction, research and public service mission of the University.

                                  The formal budgetary planning cycle for the next fiscal year begins during the summer of each year. The University's Budget Office presents a budget schedule to the Ways and Means Committee for approval. The Ways and Means Committee is chaired by the provost and executive vice president for academic affairs. (Other members

include the executive vice president and chief operating officer, the executive vice president for health affairs, senior vice provost for administration, associate vice president for administration, and vice president for health affairs.) The Budget Office then distributes the schedule to the deans, vice presidents and directors who have responsibility for the creation of a budget for their departments ("budget managers").

During November, each budget manager presents information to his/her appropriate executive vice president. Each executive vice president distills the information accumulated and provides an executive summary to the Ways and Means Committee. Following those presentations, the Ways and Means Committee reviews the requests of the executive vice presidents and arrives at a proposed E&G Budget by establishing funding priorities based on anticipated available resources for the budgetary year.

Once a balanced budget is developed, the provost and executive vice president for academic affairs briefs the president of the University. Next, the Ways and Means Committee presents its recommended budget to the Finance Committee of the Board of Trustees. The Finance Committee scrutinizes the proposed budget and approves it either in the form in which it was presented to the committee or in a revised form agreed to by members of both committees. The Board of Trustees approves the budget at its February meeting.

Woodruff Health Sciences Center Budget
The academic and research units within the Woodruff Health Sciences Center (School of Medicine, Nell Hodgson Woodruff School of Nursing, Rollins School of Public Health, and the Yerkes Regional Primate Research Center) prepare detailed annual budgets to coincide with Emory University's fiscal year. Before the fiscal budget process begins, the deans and directors present their vision, goals and objectives for their area of responsibility to the executive vice president for health affairs and the provost. This exercise is undertaken to obtain consensus on the direction in which the school/center is being taken.

Upon concurrence, the budgeted income is then developed based on a detailed estimation of enrolled students, market-driven tuition and fee rates, endowment income as forecast by the University, etc. Expenses are basically categorized into two components: 1) direct expenses necessary to operate the school or center, and 2) indirect cost allocation from the University that approximates the costs

associated with providing centralized services from the University specific to the school or center. The respective dean or director in collaboration with school/center administration, health sciences center administration, department heads and faculty develops each of these budgets (when appropriate). The dean then presents the budget to the executive vice presidents of health affairs and academic affairs (provost) and their administrative staffs. Upon approval, these budgets are submitted to the University's Ways and Means Committee for approval and incorporation into the University's total budget plan.

Emory Healthcare Budget
The operating budgets of Emory Healthcare are developed and approved by a similar process. The Ways and Means Committee reviews the budgets in June or July of each year. After this review, the budgets are presented for approval to the Woodruff Health Sciences Center Committee of the Board of Trustees and the Finance Committee of the Board of Trustees before final approval is requested at the July meeting of the Executive Committee of the Board of Trustees. The hospitals' operating budgets set charges for hospital services.

Section Number/Title: VI. Administrative Processes

Subsection Number/Title: 6.3 Financial Resources

      Subsection Reference Number: 6.3.4 Budget Control

      Line Reference Number(s):   Page 70: 31-37; 71: 1-5

Requirement:	After the budget has been approved by the chief executive officer and adopted by the governing board, a system of control **must** be established. This ensures that the budgetary plans of the governing board and the chief executive officer will be implemented. The business officer **must** render interim budget statements on a periodic basis to department heads for their guidance in staying within budgetary allocations. Budgetary control **is** an administrative function, not a board function. Necessary budget revisions **must** be made when actual conditions require such change and **must** be communicated to those affected within the institution.
Status:	**In compliance**
Evidence:	Annual Treasurer's Report (on file in the Controller's Office): https://www.finance.emory.edu/controller/default.htm
Discussion:	The Controller's Office prepares a monthly report for the treasurer who presents this report at monthly Trustee board meetings. This report compares actual unrestricted revenue receipts and expenditures to the Board-approved budget. The primary purpose of this report is to ensure that revenue is being received and expenditures made within the constraints of the University's operating budget. Significant variances in actual revenue receipts and expenditures are identified to determine their cause and impact on the unit's projected fiscal year-end. The dean or department head is asked to explain the variances and to provide a plan identifying alternate and/or additional sources of funding and/or expenditure reductions.

The financial accounting system (FAS) automatically generates monthly Account Statements for every account in the system. These reports are available on the Finance Division web page (www.finance.emory.edu/controller) on the third working day after the prior month end. The reports are also distributed to the appropriate dean, department head, or account administrator in paper copy several days thereafter. All account managers also have daily on-line access to these reports.

Special financial reports on all auxiliary operations are produced on a monthly basis by the Controller's Office and distributed to the responsible manager, the appropriate vice president, the vice president for finance and treasurer, the executive vice president, the associate vice president for administration, and the president. In addition to these controls, the Controller's Office generates deficit account reports. It is the responsibility of each unit to review and fund deficits.

Each department may submit budget revisions during the year to move funds within the unit or within the department, provided the net change is zero. Revisions are initiated in the department, flow to the Budget Office for approval, and are sent to the Controller's Office for entry.

In addition to these procedures, the University Budget Office reviews each account within the basic Education and General Budget and auxiliary budgets a minimum of once a quarter. Notes are sent to budget managers requesting revisions or explanations of any problems identified during the review process.

Section Number/Title: VI. Administrative Processes

Subsection Number/Title: 6.3 Financial Resources

Subsection Reference Number: 6.3.5 The Relation of an Institution to External Budgetary Control

Line Reference Number(s): Page 71: 6-16

Requirement: No outside or superimposed agency **should** exercise specific and detailed control over the financial affairs of an institution. Once funds have been appropriated, creating a budget, establishing priorities, and controlling expenditures **become the responsibility** of the institution – operating under the jurisdiction of the governing board and subject to its policies. Enforcement of budgetary law is imperative; however, the educational function of an institution **must** not be controlled through the use of budgetary techniques or controls by financial officials outside the institution.

Status: **In compliance**

Evidence: 2001-2002 Basic Educational and General Operating Budget [866].

Discussion: Emory University is a private, not-for-profit university and therefore does not receive its budget appropriation money from the state government. In addition, while Emory University is affiliated with the United Methodist Church, the church has no influence over the University budget, nor do the affiliated healthcare units.

Section Number/Title:	VI. Administrative Processes
Subsection Number/Title:	6.3 Financial Resources

Subsection Reference Number:	6.3.6 Accounting, Reporting and Auditing
Line Reference Number(s):	Page 71: 17-37

Requirement: An institution **must** adopt an accounting system that follows generally accepted principles of institutional accounting as they appear in *College and University Business Administration*, published by the National Association of College and University Business Officers. Institutions exempted from use of the required accounting system **must** arrange to provide comparable information. All proprietary institutions **must** provide revenue/expenditure reports consistent with NACUBO/AICPA publications, either independently certified in the audit report or included as supplemental data in the audit report.

The chief business officer **is responsible** for preparing financial reports for appropriate institutional officials, board officers and outside agencies. Periodic written reports to the chief executive officer of the institution **are essential**.

Status: **In compliance**

Evidence: Annual Treasurer's Report (on file in the Controller's Office)

Discussion: The Emory University Accounting System is adopted from the generally accepted principles of institutional accounting as they appear in "College and University Business Administration," published by the National Association of College and University Business Officers. Annually, the vice president for finance and treasurer prepares the Treasurer's Report from the accounting system, and the report is distributed and presented to the president, appropriate University officials, the Board of Trustees, and the Finance Committee of the Board of Trustees, and is available for all appropriate outside agencies. In addition to this annual report,

monthly reports are also prepared and distributed to appropriate individuals. The president of the university, executive vice presidents, Board of Trustees and Finance Committee are updated periodically during the year through a variety of ad hoc financial reports.

Section Number/Title:	VI. Administrative Processes
Subsection Number/Title:	6.3 Financial Resources

Subsection Reference Number:	6.3.6 Accounting, Reporting and Auditing
Line Reference Number(s):	Page 72: 1-13

Requirement: An annual fiscal year audit **must** be made by independent certified public accountants, or an appropriate government auditing agency, employing as a guide for institutions under the jurisdiction of the Financial Accounting Standards Board (FASB), *Audits of Not-For-Profit Organizations*, published by the American Institute of Certified Public Accountants (AICPA), or, for institutions under the jurisdiction of the Government Accounting Standards Board (GASB), *Audits of Colleges and Universities*, also published by the American Institute of Certified Public Accountants (AICPA), or, in the case of for-profit institutions, conducted in accordance with generally accepted accounting principles.

Status: **In compliance**

Evidence: 2001-02 Fiscal Year Audit (on file in the Office of Internal Audits)

Discussion: Annually, the University has its financial statements audited by a competent certified public accounting firm. The accounting firm employs the Audit Guide published by the American Institute of Certified Public Accountants for audits of college and universities. Currently, the University is using the accounting firm of KPMG for external audits. In addition, under the direction of the chief audit officer, the University is using the accounting firm of Deloitte and Touche for internal audits. These firms are independent from Emory University. The companies certify their independence by stating that the audits are performed in accordance with generally accepted auditing standards. As a result of the annual audits, the firms issue audited financial statements together with management letters to the president, which are shared with senior management and the Audit

Committee of the Board of Trustees. Management in turn addresses each of the issues raised in the management letters.

The Office of the Vice President for Finance and Treasurer is responsible for financial reporting, acting as receiver of tangible endowment assets and accepting and disbursing all institutional funds. The vice president for finance and treasurer assumes a key role in bond issues, the vehicle by which the University finances its capital improvements. This office is also responsible for preparation of the official bond statements and is involved in decisions relating to sizing, maturity, and timing of the issue.

Section Number/Title: VI. . Administrative Process

Subsection Number/Title: 6.3 Financial Resources

Subsection Reference Number: 6.3.7 Purchasing and Inventory Control

Line Reference Number(s): Page 73: 15-24

Requirement: An institution **must** maintain proper control over purchasing and inventory management.

Status: **In compliance**

Evidence: Purchasing Policy Manual [869]; Revised Policies for Recording Purchases and Disposition of University Equipment [870].

Discussion: The purchasing function at Emory University is a highly collaborative process with central approval, encumbrance, competitive bidding, and order processing operations reserved for the University Purchasing Department. The Purchasing Department is responsible for ensuring compliance with University purchasing policy, while adhering to sound business and ethical practices. The goals for the purchasing area focus on process improvement and cost reduction. These goals include the following:

- Monitor, review, and restructure the internal buying organization so as to optimize use of available technologies and emerging software solutions.
- Promote and provide leadership for joint purchasing initiatives within the higher education community.
- Promote and encourage use of efficient and emerging e-procurement practices in order to reduce processing costs.
- Provide leadership in the area of supplier diversity by implementing policies that maximize opportunity, promote outreach, and use of small disadvantaged businesses whenever practical.

Pre-award tasks, such as needs determination, budget approval, and fund source, are delegated to user departments. Developing bids, contract administration, vendor selection, and the obligation of University funds remain the responsibility of the purchasing staff. Small value purchases, those not requiring the issuance of a purchase order, are routinely processed using purchasing cards issued and administered by the Purchasing Department. Departments regularly receive information about available contracts and the purchasing processes through published guidelines, memorandums, and workshops.

Emory maintains two storeroom operations in which inventories of plant maintenance supplies and laboratory chemicals are warehoused. Each warehouse is equipped with software systems capable of optimizing inventory, recording transfers, establishing value, and tracking losses.

In addition to the storeroom operations, Emory also maintains an inventory system for the purpose of valuing and locating its equipment. This system is updated daily by way of electronic interfaces that connect the equipment inventory system to a system that manages both Purchasing and Accounts Payable. Management of the equipment inventory is the responsibility of the property management section of the Office of Grants and Contracts. This department has written policies in place pertaining to the security, valuation, transfer and use of its equipment.

Section Number/Title: VI. Administrative Processes

Subsection Number/Title: 6.3 Financial Resources

  Subsection Reference Number: 6.3.8 Refund Policy

  Line Reference Number(s):   Page 73: 25-31

Requirement: The institution **must** adhere to a published policy and procedure for refunding fees and charges to students who withdraw from enrollment. The policy and procedure **must** be in keeping with generally accepted refund practices in the higher education community, applicable to all students, and clearly stated in appropriate official publications.

Status: **In compliance**

Evidence: Emory Bursar Bulletin [871]; Emory Registrar Information and Procedures (http://www.emory.edu/REGISTRAR/) [872]; Financial Aid Facts Booklet [873]; Office of the Bursar web page: (https://www.finance.emory.edu/bursar/) [874].

Discussion: The University tuition refund policy is printed and updated regularly in several formats: at least once each school term in the Emory Bursar Bulletin, the Registrar's web page (entitled "Registration Information and Procedures"), and the Office of the Bursar web page, and once yearly in the Financial Aid Facts Booklet.

The policy provides for refunds of academic fees for official withdrawal (as approved by the appropriate dean) based on a calendar beginning on the day following the first day of class, as shown in Table 6.3.8 below.

Table 6.3.8: Refund Schedule

Period After Class Begins	Refund
One week or less	100%
More than one but not more than two weeks	80%
More than two but not more than three weeks	60%
More than three but not more than four weeks	40%
More than four but not more than five weeks	20%
More than five weeks	0%

The student meal plan brochure and the housing agreement state the refund policy for meal plan and housing charges. When a student ceases enrollment, he or she may be entitled to a refund of these costs on a prorated basis. These policies and procedures meet generally accepted refund practices in the higher education community and are applicable to all students. The University adheres to the published policies.

Section Number/Title:	VI. Administrative Processes
Subsection Number/Title:	6.3 Financial Resources

Subsection Reference Number:	6.3.9 Cashiering
Line Reference Number(s):	Page 73: 32-34; 74: 1-6

Requirement: There **must** be a suitable organization and adequate procedures for the management of all funds belonging to the institution.

The cashiering function **should** be centralized in the business office, and there **must** be a carefully developed system for the receipt, deposit and safeguarding of institutional funds.

All persons handling institutional funds **must** be adequately bonded.

Status: **In compliance**

Evidence: Finance Division Web Page: https://www.finance.emory.edu/default.cfm [875]; Cash Operations Web Page: https://www.finance.emory.edu/cashop/default.htm [876]

Discussion: The Finance Division is responsible for the collection, disbursement, accounting, control, and reporting for all University funds. The business units of Emory University are organized in such a way as to facilitate the segregation of duties necessary for proper management and control of University funds.

The University maintains cashiering functions on the main campus in the Boisfeuillet Jones Center building. As an extension of the Bursar's Office, the Cashier's Office operates to process payments into proper departmental ledger accounts and student accounts. Payments are received either by cash, check, or credit card. Other functions performed by this office include cashing checks for students, staff and faculty, redeeming approved cash vouchers, and maintaining operating cash for the various University departments. The Cashier's Office prepares daily summary reports for all funds received and the related accounts to be credited. Bank deposits are

made daily. The detail of the accounts credited is transmitted to the University data center for entry into the financial accounting system (FAS). The summary of daily reports is reviewed by the associate bursar and then forwarded to the Controller's Office for accounting and review.

At the Oxford College campus, the Business Office is responsible for a centralized cashiering function, and the office maintains an effective system for receipt, deposit, and safeguarding of institutional funds. All cash is stored in a locked cash drawer during business hours and the safe after hours. All checks received are deposited daily to Main Street Bank and the deposit shown monthly on a report to the University Controller's office. The Oxford campus Business Office prepares a monthly report of the daily deposits for the Controller's Office; the Controller's Office, in turn, posts these items to the Financial Accounting System.

In lieu of bonding for all persons handling institutional funds, the University is covered by crime insurance.

Section Number/Title: VI. . Administrative Processes

Subsection Number/Title: 6.3 Financial Resources

Subsection Reference Number: 6.3.10 Investment Management

Line Reference Number(s): Page 74: 7-21

Requirement: The institution **must** have a written statement of its investment policies and guidelines approved by the board.

Investment policies and guidelines **must** be evaluated regularly.

Status: **In compliance**

Evidence: Statement of Management and Investment Objectives and Guidelines for Investment Managers [877]; Investment Manager Selection and Monitoring Guidelines [878].

Discussion: The University's endowment funds are invested in accordance with the standing investment policies of the Board of Trustees, with direct oversight by the Investment Committee, which approves the written guidelines used for the management of University assets. Investment guidelines are monitored on an ongoing basis by the University Office of Endowment Investments and senior administrators. The Investment Committee reviews the asset allocation guidelines quarterly and formally reviews the overall guidelines annually. Overall portfolio strategy, asset mix, and investment manager selection are recommended and monitored on a ongoing basis by Emory's chief investment officer and a team of internal investment professionals. The goal of Emory's endowment is to seek maximum returns balanced against prudent levels of risk in order to support University spending for current operations as well as the growth of the endowment, providing for the long-term financial integrity of the institution.

Section Number/Title: VI. Administrative Processes

Subsection Number/Title: 6.3 Financial Resources

Subsection Reference Number: 6.3.11 Risk Management and Insurance

Line Reference Number(s): Page 74: 22-27

Requirement: The institution **should** have a comprehensive risk management program which includes risk evaluation, risk avoidance and insurance. Adequate replacement protection for all physical facilities **should** be covered by appropriate levels of insurance or appropriate provisions for obtaining funds.

Status: **In compliance**

Evidence: Office of Risk and Insurance Services (ORIS) packet, including Mission Statement and organizational chart; Claims, Risk Management and Underwriting Committee of Emory Healthcare (CRU) Charge and Description; Insurance Program Summary; Emory Property Loss Prevention Statement; 2001 Benchmarking Study; Mandatory Physician Training; Hospital staff orientation presentation; Resource Guides for physicians and staff; Patient Relations staff education materials; Emory Liability Program Question and Answer document; Actuarial letter [879].

Discussion: The Emory University System, which includes Emory Healthcare, maintains a comprehensive risk management program that includes risk evaluation, risk avoidance, and risk financing. Office of Risk and Insurance Services (ORIS) is composed of four units: Risk Management, Claims Management, Insurance and Loss Control, and Patient Relations. ORIS develops, implements, and monitors a proactive program for the entire Emory system. Oversight and support are provided as needed by the leadership of both Emory University and Emory Healthcare.

Risk Management staff conducts mandatory educational programs for physicians, nurses, other clinical and non-clinical staff, residents,

and medical students. Evaluation of both episodic and systemic liability issues is conducted by a team of risk managers on site in the various facilities. This group effectively conducts risk avoidance by utilizing methods of root cause analysis and identifying systemic and process causation for incidents, errors, and medication variances.

Claims Management staff consists of highly experienced analysts, researchers, and litigation specialists. Potential and actual claims are aggressively managed to minimize their financial impact on the organization. Where appropriate, ethical and fair settlements are pursued to protect all employees of Emory University. Judicious use of internal and external counsel allows full utilization of these resources and fosters a cooperative relationship among all individuals.

The Insurance and Loss Control unit focuses on the provision of a comprehensive program of commercial and self-funded insurance coverages. Appropriate limits, retentions, and policy specifics are vigorously evaluated on an annual basis. Pursuant to a "Property Loss Prevention Statement," the Loss Control Program is designed to manage the two critical principles of Property Loss Prevention: physical protection and human elements.

The Patient Relations unit of ORIS seeks to provide on-site problem resolution in the areas of patient, physician, and staff concerns. Effective communication, crisis counseling, and an understanding presence in an unfamiliar environment are the primary contributions of the Patient Relations unit.

The Emory system is insured for professional and general liability exposures under a comprehensive multi-layered program in which the system retains a portion of risk through a captive insurance company subsidiary, and transfers the remaining risk to the commercial market. Clifton Casualty Company Ltd. retains the primary limit for general and professional liability.

Section Number/Title: VI. Administrative Processes

Subsection Number/Title: 6.3 Financial Resources

    Subsection Reference Number: 6.3.12 Auxiliary Enterprise

    Line Reference Number(s):   Page 74: 28-35

Requirement: The institution may operate, or have contracted for operation, activities that may have a significant impact on the operation of the institution. These activities may include, but are not limited to, the following: bookstores, residence halls, food service operations, printing/duplicating services, child care and transportation services. These activities, when operated by or for the institution, **must** be documented and operated in a fiscally responsible manner.

Status: **In compliance**

Evidence: Monthly Operating Reports (sample of one operation) [880]; FY 01/02 Budgets [881]; Auxiliary Enterprise Reserve Report [882]; Financial Accounting System On-line Daily update (sample of one operation) [883]; Financial Accounting System Monthly Report (sample of one operation) [884]; Parking, Traffic, & Alternative Transportation Rules & Regulations Brochure; Alternative Transportation Shuttle Guide [885]; Campus Printing Brochure [886].

Discussion: Auxiliary operations, both internally and externally operated, are managed through different senior administrators with directors assigned to oversee the respective auxiliary operations. Annually, every auxiliary operation presents detailed budget information to Emory's Budget Office. In addition, monthly accounting statements are prepared by the Office of the Controller and disseminated to the directors for review and reconciliation. On-line daily reporting is available through the Financial Accounting System. All operations are subject to audit by the Office of Internal Audit. Some of these auxiliary operations include the following:

- Parking Services, which manages available parking spaces, projects future parking needs, and plans ways to meet those needs.
- Alternative Transportation, which seeks to reduce the demand for on-campus parking, reduce traffic congestion, and positively impact the environment, by promoting alternative forms of transportation via ongoing marketing and educational programs.
- Mail Services, which seeks to reduce outbound mail costs, and improve accuracy and timeliness in the distribution of inbound mail.
- Campus Printing, which delivers printing and copying services at prices that are competitive with those of the general marketplace.

Section Number/Title: VI.   Administrative Processes

Subsection Number/Title: 6.4 Physical Resources

Subsection Reference Number:

Line Reference Number(s):   Page 75: 1-8

Requirement: Physical resources, including buildings and equipment both on and off campus, **must** be adequate to serve the needs of the institution in relation to its stated purpose, programs and activities. The physical environment of the institution should contribute to an atmosphere for effective learning.

Status: **In compliance**

Evidence: APPA 1999-2000 Comparative Costs and Staffing Report for Educational Facilities (on file in Facilities Management); *Teaching at Emory* Report [24]; Emory College, Observations and Directions: A Report for Facilities Planning Fall 1997 [887]; Programming Analysis Data Report to the Campus Plan by Paulien & Associates, June 1, 1998 [898].

Discussion: The physical resources of Emory University are adequate to serve the needs of the institution in relation to its stated purpose, programs, and activities. The physical resources and space allocations used in the instructional programs are either above average or outstanding. Classroom space exists for lectures, seminars, laboratories, full multimedia presentations, or videoconferencing. Physical resources and equipment supporting other programs and functions are at least adequate, if not excellent. At the end of fiscal year 2002, educational and general gross square footage is estimated to be 4,690,000.

Section Number/Title: VI. Administrative Processes

Subsection Number/Title: 6.4 Physical Resources

      Subsection Reference Number: 6.4.1 Space Management

      Line Reference Number(s):   Page 75: 7-8

Requirement: Space allocated to any institutional function **must** be adequate for the effective conduct of that function.

Status: **In compliance**

Evidence: APPA 1999-2000 Comparative Costs and Staffing Report for Educational Facilities (on file in Facilities Management), *Teaching at Emory* Report [24]; Emory College, Observations and Directions: A Report for Facilities Planning Fall 1997 [887], Programming Analysis Data Report to the Campus Plan by Paulien & Associates, June 1, 1998 [898]; *Emory Campus Master Plan* [23].

Discussion: To ensure sufficient space for all University functioning, a report was prepared by Paulien and Associates that applied three different guidelines: The Council of Educational Facility Planners, International (CEFPI) guidelines, Western Interstate Commission for Higher Education (WICHE) guidelines, and Texas Higher Education Coordinating Board approach. Based upon their findings an analysis of space needs was documented. Through the Master Plan, a capital construction program was developed to meet the recommendations identified in this study. This plan, which calls for a ten-year program of sustained implementation beginning in 1998, is already being realized.

Section Number/Title:	VI. Administrative Processes
Subsection Number/Title:	6.4 Physical Resources

Subsection Reference Number:	6.4.2 Buildings, Grounds and Equipment Maintenance
Line Reference Number(s):	Page 75: 9-17

Requirement: An institution **must** have a plan for the upkeep of its property. The plan **must** address routine, preventative and deferred maintenance of buildings, equipment and grounds. The plan **must** be operational and evaluated annually.

Status: **In compliance**

Evidence: Major Repair and Renovation (MR&R) Report, September 2001 [888].

Discussion: Facilities Management (FM) has a preventative maintenance program that is scheduled and documented through its software system, FIMS. In 1996, Facilities Management established a department to perform routine maintenance on all HVAC equipment. Routine maintenance is handled through a "see it, fix it" approach in our maintenance zones.

Each year, Facilities Management is funded $2.1 million for Major Repair and Renovation. Projects are identified and prioritized by the Plant Operations staff in FM. Additional projects may be funded using other institutional funds. The program is currently operational and is reviewed on a regular basis.

Section Number/Title: VI. Administrative Processes

Subsection Number/Title: 6.4 Physical Resources

      Subsection Reference Number: 6.4.3 Safety and Security

      Line Reference Number(s):   Page 75: 18-23

Requirement: The institution **must** take reasonable steps to provide a healthful, safe and secure environment. Administrative responsibility for environmental health and safety programs **must** be assigned. A comprehensive safety plan **must** be developed, implemented and evaluated regularly.

Status: **In compliance**

Evidence: Owner Controlled Insurance Program (OCIP) [889]; Facilities Management (FM) Procedures Manual [890]; FM Fire Alarm Instruction Procedure [891]; Severe Weather Warning Plan Brochure [892]; Environmental Health & Safety Website: http://www.ehso.emory.edu/ [893].

Discussion: The Emory Police assist in providing a safe and secure environment, in which members of the community may work, study, and live, by providing lawful and impartial law enforcement services to all members of the community. Additionally, this department enhances traditional law enforcement services by providing quality community education and crime prevention programs in order provide the best possible protection in times of crisis.

The Fire Safety department develops emergency evacuation plans, systematic fire drills, and coordinated fire alarm monitoring systems for all University facilities. Fire Safety also orchestrates the alarms systems to send a daily test signal to the Emory Police. Fire alarm testing is performed annually.

Facilities Management regularly conducts training classes regarding the safe use and handling of supplies and equipment. Safety awareness is discussed in all shop meetings.

Procedures for fire safety, flooding, electrical and steam outages, fuel oil spills and hazardous waste spills are distributed to all shop supervisors.

The Office of Environmental Health and Safety issues safety plans and provides training in the areas of biosafety, chemical safety, industrial hygiene and radiation safety. Employees who work in these areas are required to take training courses on a regular basis.

Additionally, Emory is participating in an Owner Controlled Insurance Program (OCIP) for capital construction. This "wrap up" policy includes a well-coordinated and focused safety program, with a full-time safety officer on site.

The University has a General Evacuation Plan in place for (and posted in) all buildings. Some buildings have further developed more detailed plans. Each healthcare facility also has its own evacuation plan.

Section Number/Title: VI. Administrative Processes

Subsection Number/Title: 6.4 Physical Resources

    Subsection Reference Number: 6.4.4 Facilities Master Plan

    Line Reference Number(s):   Page 76: 1-4

Requirement: The institution **must** maintain a current written physical facilities master plan that provides for orderly development of the institution and relates it to other institutional planning efforts.

Status: **In compliance**

Evidence: *Emory Campus Master Plan* [23]; Emory University Campus Design Guidelines, adopted 1998, revised 2001, compiled by Ayers/Saint/Gross [894]; *A Vision for Emory* [867]; Capital Project Development Policy, adopted 1999 [895].

Discussion: The 1998 Master Plan identified sites for new major capital growth projects, including new buildings, site and landscape improvements, and infrastructure improvements. Since adoption of this plan, Emory has constructed six new buildings totaling approximately 780,000 gross square feet according to the Master Plan and Campus Design Guidelines. All projects have been designed and reviewed through the campus consensus building structure identified in the capital development process. Many and various campus committees composed of faculty, staff and students review each project.

Section Number/Title: VI. Administrative Processes

Subsection Number/Title: 6.5 Externally Funded Grants and Contracts

Subsection Reference Number:

Line Reference Number(s): Page 76: 5-6

Requirement: Externally funded grants and contracts **must** be related to the stated purpose of the institution. The institution's policy on such grants and contracts **must** provide for an appropriate balance between grant and contract activity and instruction, and guarantee institutional control over the administration of research projects.

Status: **In compliance**

Evidence: Office of Sponsored Programs web site: (http://www.osp.emory.edu/proposals/index.html) [896]; Policy for Consideration of Controversial Funding Offers [897].

Discussion: The review process for external grant and contract ensures that the proposed project adheres to the University's mission. The policy requires that all proposals be reviewed by department chairs, deans, and division chiefs (where applicable) before being sent to the Office of Sponsored Programs (OSP). Additionally, Emory's Policy for Consideration of Controversial Funding Offers identifies nine factors to be considered before the University will accept funds from a sponsor. This ensures that the mission and integrity of the University are not compromised.

The Office of Grants and Contract Accounting provides central oversight for the post-award fiscal activities of sponsored programs. It is responsible for ensuring financial compliance with federal and sponsoring agency regulations, cash collection, and fiscal reporting. It also administers the Cost Accounting Policies, which govern the expenditure of federal funds.

Section Number/Title: VI. Administrative Processes

Subsection Number/Title: 6.5 Externally Funded Grants and Contracts

Subsection Reference Number:

Line Reference Number(s):   Page 76: 10-12

Requirement: The researcher's freedom to investigate and report results **must** be preserved.

Status: **In compliance**

Evidence: Guidelines for the Responsible Conduct of Scholarship and Research (Section 1, Preamble) [5].

Discussion: The University requires that faculty must have the right to publish the findings of their research. Funds are not accepted from external sponsors that restrict a faculty member's right to publish.

University policy states, "The University is obligated to protect and foster the academic freedom and intellectual integrity of all members of the University community in their pursuit of knowledge…"

Section Number/Title: VI. Administrative Processes

Subsection Number/Title: 6.5 Externally Funded Grants and Contracts

Subsection Reference Number:

Line Reference Number(s):   Page 76: 15-25

Requirement: The institution **must** establish a clear policy concerning a faculty member's division of obligations between research and other academic activities. It **must** ensure that this policy is published in such documents as the faculty handbook and made known to all faculty members. Where applicable, the institution **must** develop policies regarding summer salaries paid from grant and contract funds, salary supplements paid from grants during the regular academic year, and fees for consultative services provided by faculty members. These policies **must** also be published and made known to the faculty.

Status: **In compliance**

Evidence: University Faculty Handbook (Chapter 3) [Appendix Z]; Tenure and Promotion at Emory University: Guidelines and Policies [Appendix X]; Office of Management and Budget (OMB) Circular A-21 [899].

Discussion: In conjunction with University policies, each school at Emory University has developed a policy regarding a faculty member's division of obligations with respect to scholarship (research), teaching, and professional service. These policies are addressed in the individual "Guidelines for Appointment, Promotion and Tenure" documents.

Emory defers to federal policies regarding salary supplementation and summer salaries paid from grants and contracts. These policies are published on the Office of Sponsored Program's web site under Research Policies (Cost Accounting Standard Policies) and in the OMB Circular A-21 entitled "Principles for Determining Costs Applicable to Grants, Contracts and Other Agreements with Educational Institutions."

The Faculty Handbook states the University's policy regarding faculty consulting activities. Additionally, each school has adopted policies and procedures for faculty within their school that require consulting activity to be disclosed to the department chair and dean of the school.

Section Number/Title: VI. Administrative Processes

Subsection Number/Title: 6.5 Externally Funded Grants and Contracts

Subsection Reference Number:

Line Reference Number(s):   Page 76: 26-31

Requirement: In accepting funds from outside agencies, the institution **must** ensure that it maintains control over research and instruction. Because many agencies attach stringent regulations directing and limiting the activities for which they provide funding, the institution **must** safeguard control over its own activities.

Status: **In compliance**

Evidence: Guidelines for Responsible Conduct of Scholarship and Research, (Section IV: The Conduct of Scientific Research subsection c: Access to and Retention of Scientific Research Protocols and Data) [5].

Discussion: The Office of Grants and Contract Accounting provides central oversight for the post-award fiscal activities of sponsored programs. It is responsible for ensuring financial compliance with federal and sponsoring agency regulations, cash collection, and fiscal reporting. It also administers the Cost Accounting Policies, which govern the expenditure of federal funds. Furthermore, Emory's "Guidelines for Responsible Conduct of Scholarship and Research" states that "Both the research director and the University have responsibilities and hence, rights concerning access to, use of, and maintenance of original research data… Consistent with the precepts of academic freedom and intellectual integrity, the investigator/scholar has the primary authority to make judgments involving the use and dissemination of the data."

Section Number/Title: VI. Administrative Processes

Subsection Number/Title: 6.5 Externally Funded Grants and Contracts

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       Subsection Reference Number:

       Line Reference Number(s):   Page 76: 32-33; 77: 1-9

Requirement: Continuity of support for general institutional activities **must** not be endangered by acquisition of research grants and contracts. Grants **must** be awarded and contracts **must** be made for specific periods of time . . . It **is also important** that an institution not become dependent upon indirect cost allowances from grants and contracts to support its regular operating budget.

Status: **In compliance**

Evidence: Audited Financial Statements (on file in Office of Internal Audits)

Discussion: Emory University funds general institutional activities through a variety of sources, including tuition and fees, endowment income, auxiliary enterprises, private gifts and grants. Therefore, these activities are not endangered by the acquisition of research grants and contracts, nor is the institution dependent on indirect cost allowances from these grants and contracts.

                All research grants and contracts undergo a rigorous approval process. First, each grant or contract is approved by the appropriate chair or dean, and in some cases, the provost, and is then reviewed by either the Office of Sponsored Programs or by Institutional Advancement. This review process assures that grants are awarded and contracts are made with specified start and end dates.

Section Number/Title: VI. . Administrative Process

Subsection Number/Title: 6.6 Related Corporate Entities

Subsection Reference Number:

Line Reference Number(s):   Page 77: 15-30

Requirement: When an institution is reliant upon such an entity, or when a separately-incorporated or related entity is reliant upon the institution, documentation outlining the mutual relationship and benefits **must** be maintained by the institution. This documentation **must** include the following: a description of the separately-incorporated unit's activities; a statement demonstrating the manner in which the activities relate to the purpose of the institution; a current roster of board members of the unit, including institutional personnel and board members who have responsibilities with both the institution and the incorporated entity, whether they are additionally compensated by the entity or not; a copy of the separately incorporated unit's annual financial audit report for the most recently completed year; and copies of the charter and bylaws of the unit.

Status: **In compliance**

Evidence: Affiliated Corporation Documents (on file in the Office of the Executive Vice President of Health Affairs)

Discussion: Emory owns three hospitals and controls, through board appointments, the Emory Clinic. There are a number of affiliated corporations; however, none of those involve operations and activities that are integral to the academic activities of the University.