The Laney Graduate School Handbook is the official reference for graduate students and others regarding the administrative and procedural policies, as well as the rule and regulations, of the Laney Graduate School. It contains rules governing degree programs, academic progress, and financial matters. The Handbook also contains the Laney Graduate School codes of conduct and honor as well as the Laney Graduate School grievance process. Finally, the Handbook contains a list of Emory University policies, relevant to graduate education.

The policies and procedures of programs in the Laney Graduate School must be consistent with the Laney Graduate School Handbook, but they may include additional policies and procedures than those found in this document. Students are expected to be familiar with the policies of the Laney Graduate School and with the policies of their degree programs.

The authoritative version of the Laney Graduate School Handbook is updated annually and published online at the Laney Graduate School website. In the event of a discrepancy, the version published on the Laney Graduate School website is the authoritative version.
Table of Contents

ARTICLE I: ACADEMIC AFFAIRS 6
Section 1: Degree Programs 6
Section 1.1: Minimum and Additional Program Requirements 6
Section 1.2: Residence 6
Section 1.3: Transfer Credit 6

Section 2: Doctor of Philosophy 7
Section 2.1: Degree Requirements 7
  Minimum Degree Requirements 7
  Doctoral Examinations 7
  Final Oral Examination 8
Section 2.2: Admission to Candidacy 8
  Requirements for Candidacy 8
  Procedure 9
  Effective Date 9
  Previous Policy 9
Section 2.3: Dissertation Committee 9
  Form and Timing 9
  Effective Date 9
Section 2.4: Membership 9
  Emory Faculty Relocates or Retires 10
  Serve as a member of the Dissertation Committee 10
  Serve as a co-chair/co-advisor of the Dissertation Committee 10
  Serve as a chair/advisor of the Dissertation Committee 11
  Changes to the Committee 11
  Requesting an Extension for Chair/Advisor of the Dissertation Committee 11
Section 2.5: Dissertation Completion Time 11
  Effective Date 12
  Extension of Time to Complete Requirements for the PhD 12
Section 2.6: TATTO Program 13
  TATTO Credit 13
  Teaching Assistants and Associates 14
Section 2.7: Jones Program in Ethics 14
  Program Elements 14

Section 3: Master’s Degrees 15
Section 3.1: Standard Master’s Degree Requirements 15
Section 3.2: Alternative Requirements for the terminal Master’s degree 16
Section 3.3: Master's based on candidacy and Interim Master's degrees 16
Section 3.4: Maximum Time to Complete the Master’s Degree 16

Section 4: Graduate Certificates 17
Section 4.1: Declaration 17
Section 4.2: Credits 17
Section 4.3: Completion 17

Last Revision Date: November 8, 2021
## Section 5: Dual and Joint Degrees
- Section 5.1: Dual Degrees
- Section 5.2: Joint degrees
- Section 5.3: 4+1 Dual Degrees
- Section 5.4: Four-Year Bachelor's/Master's Programs

## Section 6: Standards of Academic Performance
- Section 6.1: Grades and Performance
  - Grading System
  - Grading Basis
  - Failure to Complete a Course
- Section 6.2: Academic Performance and Status
- Section 6.3: Due Progress
- Section 6.4: Permanent Academic Record (Transcripts)
- Section 6.5: Grade Appeals
- Section 6.6: Sealing Student Records
- Section 6.7: Academic Status
  - Change of Degree Program

## Section 7: Withdrawals and Leaves of Absence
- Section 7.1: Voluntary Withdrawals
- Section 7.2: Involuntary Withdrawals
- Section 7.3: Leaves of Absence

## Section 8: Readmission
- Readmission in Special Standing

## Section 9: Parental Accommodation
- Section 9.1: Policy
- Section 9.2: Eligibility
- Section 9.3: Stipend Support during Accommodation Period
- Section 9.4: Accommodation Principles
  - Enrollment status:
  - Suspension of academic requirements:
  - Accommodation is not a Leave of Absence:
- Section 9.5: Requesting Accommodation Procedure

## Section 10: Degree Completion
- Section 10.1: Registration and Awarding of Degrees
- Section 10.2: Application for Degree
- Section 10.3: Degree Clearance Form (Completion of Requirements Report)
- Section 10.4: Dissertation or Thesis Submission
- Section 10.5: Graduate Education Exit Survey and Survey of Earned Doctorates
- Section 10.6: ProQuest/UMI Publishing Agreement
- Section 10.7: Master’s Degree based on Candidacy
- Section 10.8: Financial Obligations to the University
- Section 10.9: Commencement Ceremony
- Section 10.10: Diploma Notation and Name

## Section 11: Registration
- Section 11.1: Continuous Registration
  - Continuing Students Registration Procedures
  - Signing up for Courses

Last Revision Date: November 8, 2021
Article I: Academic Affairs
Section 1: Degree Programs
Visit our [Degree Programs page](#) to discover the range of degree programs offered at the Laney Graduate School.

In graduate education, the quality of student performance is of greater importance than the mere fulfillment of formal requirements. The graduate experience may consist of lecture courses, seminars, laboratory courses, directed study, teaching opportunities, and research. The student’s program of study must be planned in consultation with an appointed adviser or advisory committee.

The Laney Graduate School expects that, barring exceptional circumstances, the graduate project will be finished in sequence and as expeditiously as possible. Generally, students are permitted to fulfill degree requirements under the rules in effect at the time of their first admission to the Laney Graduate School.

Section 1.1: Minimum and Additional Program Requirements
The Laney Graduate School sets minimum degree requirements. Individual programs may have additional or more demanding requirements. Students should consult program handbooks, program directors, and Directors of Graduate Studies to obtain further information on specific program requirements.

Section 1.2: Residence
Full residence in any term requires satisfactory completion of a minimum of 9 credit hours of courses, research, or directed study acceptable for graduate credit. If a student is registered for a terminal master’s degree at Emory, they may request permission from the program director or director of graduate studies to pursue the degree on a part-time basis and earn partial residence credit. The procedure for requesting reduced enrollment can be found on the [LGS website](#).

Section 1.3: Transfer Credit
The Laney Graduate School requires that most, if not all, credits counted toward LGS degrees be earned at Emory. Under certain circumstances, programs may appeal for up to 9 hours of transfer credit from an accredited institution to be counted in place of Emory course study. No courses that are accepted for transfer credit can have been applied toward another conferred degree. The director of graduate studies or program director must submit a written request to confirm that transferred credit is not counted toward another degree and indicate which Emory courses are deemed equivalent to the courses for which transfer credit is proposed. Any amount over 9 hours must have strong support and justification from the program and be approved by the Dean. Written requests should be emailed to the Assistant Dean of Student Affairs.

Students admitted with general or specific deficiencies, or whose prior degrees were conferred eight or more years before admission may be required to complete additional requirements. The director of graduate studies or program director will discuss additional requirements with the student.

Last Revision Date: November 8, 2021
Section 2: Doctor of Philosophy

The program leading to the Doctor of Philosophy degree provides education for a career of creative scholarship. The degree is not conferred upon a candidate merely on the condition of fulfilling a specific number of requirements. The highest scholastic degree is awarded only to students who have demonstrated the capability to produce original scholarship and who give the promise of qualifying as an authority in a chosen field.

Specific requirements for the degree include but are not limited to: a program of study covering a body of coherently related fields, investigation of a research problem in the major field of study, and completion of other general requirements such as the LGS Teaching Assistant Training and Teaching Opportunity (TATTO) and Jones Program in Ethics (JPE) programs.

Section 2.1: Degree Requirements

Minimum Degree Requirements

In addition to satisfying general requirements for admission to the Laney Graduate School, the student seeking the PhD degree must fulfill certain requirements before and during candidacy. Individual programs and divisions may specify additional and more demanding requirements. All requirements for the degree, including receipt by the Laney Graduate School of the dissertation as approved by the student’s program, must be completed within nine years of admission.

Teaching Assistant Training and Teaching Opportunity Program

In 1991, the Laney Graduate School inaugurated the Teaching Assistant Training and Teaching Opportunity (TATTO) program to prepare students to be competent and confident instructors in a variety of settings, including college and university classrooms. Completion of the TATTO program is required for all students pursuing the Emory PhD. Any student who accepts a teaching assistant appointment must take TATTO 600. Request for exemptions should be submitted in writing to the Assistant Dean of Professional Development and Career Planning.

Although many universities have programs for preparing teaching assistants, two characteristics distinguish the Emory program: (1) TATTO is a degree requirement across the Laney Graduate School; and (2) TATTO is a scaffolded experience involving several stages.

For more specific information, see Section TATTO.

Jones Program in Ethics

The Jones Program in Ethics (JPE) provides broad and deep engagement with the ethical issues of research, scholarship, and professional life for all PhD students in the Laney Graduate School. This engagement will take place both within broad, interdisciplinary forums and within the student’s graduate program. A student’s engagement with ethics should cover areas relevant to the student’s course of study and should be appropriately staged throughout a student’s career.

Completion of the JPE program is required for doctoral students. For more specific information, see Section JPE.

Doctoral Examinations

Doctoral examinations determine the student’s qualifications for advanced study and mastery of the...
field of specialization. The examinations must verify adequate intellectual mastery in the student’s given area and any required supporting fields. The examinations are usually prepared and administered by the program or division of specialization, and the individual program or division determines the schedule for the general doctoral examinations. If the primary field of study does not lie within one program, the examination may be prepared and administered by a committee appointed by the Dean of the Laney Graduate School. Credit for study completed elsewhere does not exempt the student from any part of the doctoral examinations.

As a fundamental requirement for the PhD degree, a student must demonstrate mastery of methods and tools of research, the potential for productive scholarship, and promise as an authority in a special subject. This demonstration is embodied in a dissertation setting forth the results of the student’s original investigations. The dissertation must make an actual contribution to existing knowledge or be a fresh and significant critical interpretation of existing knowledge. It is the most important, concrete proof of the candidate’s scholarly abilities.

The dissertation, approved by the candidate’s adviser and dissertation committee, must be submitted to the Dean of the Laney Graduate School within nine years of admission. Deadlines for submission are indicated in the [LGS Academic Calendar](https://www.laneyschool.org/courses/). The graduate faculties of the programs have full responsibility for the proper preparation of the dissertation by the student. The Dean of the Laney Graduate School reviews every dissertation. Any errors, including errors of spelling, punctuation, and grammar, may result in the dissertation being returned for correction. A dissertation is not complete until it has been approved by the Dean.

**Final Oral Examination**

Most programs require a final oral examination or defense of the dissertation. Students should consult program regulations and advisers about program-specific requirements.

### Section 2.2: Admission to Candidacy

Candidacy status is an indication that a doctoral student has developed sufficient mastery of a discipline to produce an original research contribution in his or her field. Students should apply for candidacy as soon as they complete these preliminary degree requirements. Candidacy is a marker of program quality and reflects nationally and internationally on program success. Failure to apply for candidacy at the appropriate time can cause probation, delay fellowship continuation, and in some cases graduation. (Note: Students cannot apply for candidacy and graduate in the same term.)

**Requirements for Candidacy**

To be eligible for candidacy, a student must meet the following requirements:

1. Complete all program requirements for candidacy: coursework and other training required by the degree program, including program required JPE training
2. Complete qualifying examinations required by the degree program
3. If required by the degree program, obtain approval of a dissertation prospectus
4. Complete TATTO 600, TATTO 605, and JPE 600
5. Resolve any Incomplete (I) or In Progress (IP) grades
6. Have a minimum cumulative 2.70 GPA
7. Have earned at least 54 credit hours at the 500 level or above

TATTO 610 and JPE 610 may be completed after entering candidacy. Additionally, programs

Last Revision Date: November 8, 2021
may reserve the dissertation prospectus and committee requirement to be completed after candidacy (see Dissertation Committee section).

**Students must reach candidacy by September 15 of their fourth year.** Students who do not meet this deadline will be placed on academic probation. Students on probation will not be eligible for PDS funds and may forfeit financial support. These sanctions will be lifted when the student enters candidacy.

**Procedure**

Students enter candidacy by submitting an Application for Admission to Candidacy. Instructions for how to apply for Candidacy are available on the LGS website. The application requires programs to affirm that all program requirements have been met (1-3 above), and LGS affirms that the remaining requirements have been met (4-7).

Students are considered “in candidacy” when the Dean has approved the application to enter candidacy.

**Effective Date**

This policy applies to all students immediately, with two exceptions: students who started their programs before the fall of 2017 must meet the candidacy deadline in effect when they first enrolled and must be in candidacy no later than August 1 before their fifth year of study. Students who started their programs before the fall of 2017 will not be placed on probation if they fail to meet the candidacy deadline.

**Previous Policy**

For students who started their degree programs before Fall 2017, please refer to the previous candidacy policy and associated requirements (found in the 2016-17 LGS Handbook).

**Download the 2016-17 LGS Handbook.**

**Section 2.3: Dissertation Committee**

**Form and Timing**

Students who have met all program requirements for an approved dissertation prospectus should submit a dissertation committee form to obtain LGS approval for their committees.

Students must obtain approval no later than March 15 of their fourth year.

Students who do not meet this deadline will be placed on academic probation, will not be eligible for PDS funds, and may forfeit financial support. These sanctions will be lifted when the student files a dissertation committee form.

**Effective Date**

This policy is effective starting fall term 2017, and applies to all students immediately, with two exceptions: students who started their programs before the fall of 2017 must meet the dissertation committee deadline in effect when they first enrolled and must have an approved dissertation committee no later than August 1 before their fifth year of study, and students who started their programs before the fall of 2017 will not be placed on probation if they fail to meet the dissertation proposal defense deadline.

**Section 2.4: Membership**

The Laney Graduate School requires at least three members of the committee belong to the Laney

**Last Revision Date: November 8, 2021**
Graduate School faculty. Emory faculty who are not Laney Graduate School faculty may serve on a committee, but do not count toward the three LGS faculty requirement.

Laney Graduate School recognizes the value of involving scholars who possess expertise relevant to the interest of PhD candidates who are not Emory faculty. Scholars at universities or other institutions may serve on the committee with the Dean’s permission. If a committee member outside Emory is identified, the following steps should occur:

1. The Director of Graduate Studies or Division Director will write a request to seek approval from the Dean of Laney Graduate School. The request should include the proposed member’s recent CV and a memo explaining how this member will contribute to the student’s committee.

2. The written request should be submitted by the student as part of the dissertation committee approval form.

Emory Faculty Relocates or Retires

When any Emory dissertation committee member moves from Emory to another academic or research institution or a faculty member retires, the student should consult with their advisor and Director of Graduate Studies or Program Director for guidance on how to proceed with the composition of their committee. This action ensures that the student has the support and guidance needed to complete the dissertation project.

Serve as a member of the Dissertation Committee

- A faculty member who moves from Emory to another academic or research institution may continue to serve as one of the three required Laney Graduate School faculty members on a dissertation committee if the committee was already formed before the faculty member leaves the Emory faculty. The faculty member may serve in this capacity up to three years after departure. Under extraordinary circumstances the Director of Graduate Studies or Program Director may petition the Dean, on behalf of the student, to extend this time limit.
- Retired or Emeriti Professors who were affiliated with an Emory doctoral program may continue to serve on dissertation committees as Laney Graduate School faculty for five years after they retire. After five years, they may continue to serve as a member, but will not remain as one of the three required LGS faculty.

Serve as a co-chair/co-advisor of the Dissertation Committee

- A faculty member who currently serves as co-chair/co-advisor of a dissertation committee and then moves from Emory to another academic or research institution may continue to serve as co-chair/co-advisor of the committee, as one of the three Laney Graduate School faculty members, for up to three years after departure, assuming that the other co-chair/co-advisor is an LGS faculty member. If the other co-chair/co-advisor is not a Laney Graduate School faculty member, then the committee will need to be reconstituted to include one current LGS faculty member as co-chair/co-advisor. Under extraordinary circumstances the Director of Graduate Studies or Program Director may petition the Dean, on behalf of the student, to extend this time limit. Retired or Emeriti Professors who were affiliated with an Emory doctoral program may continue to serve as co-chair/co-advisor on dissertation committees as Laney Graduate School faculty for five years after they retire. After five years, they may continue to serve as co-chair/co-advisor, but will not
remain as one of the three required LGS faculty.

**Serve as a chair/advisor of the Dissertation Committee**

- A faculty member who currently serves as chair/advisor of the dissertation committee and then moves from Emory to another academic or research institution may continue to serve as chair/advisor of the committee, as one of the three Laney Graduate School faculty members, if the student completes the dissertation within one year of the chairperson’s/advisor’s departure. If the student’s dissertation is not completed within one year, the faculty member may continue to serve as co-chair/co-advisor with a current member of the LGS faculty for up to three years after departure.
- Retired or Emeriti Professors who currently serve as chair/advisor of the dissertation committee may continue to serve as chair/advisor of the committee, as one of the three Laney Graduate School faculty members, if the student completes the dissertation within one year of the chairperson’s/advisor’s departure. If the student’s dissertation is not completed within one year, the faculty member may continue to serve as co-chair/co-advisor with a current member of the LGS faculty for up to five years after they retire.
- Faculty who move from Emory to another academic or research institution and retired or Emeriti Professors who were affiliated with an Emory doctoral program may continue to serve as a chair/advisor of dissertation committees for a limited time by special arrangement (see the LGS Dissertation Committee webpage for more details).

**Changes to the Committee**

If the membership of a dissertation committee needs to change, students should submit a change of dissertation committee form as soon as possible.

When a student submits a completed dissertation, the membership of the dissertation committee must match the members listed on the most recent dissertation committee form submitted and approved by the Laney Graduate School.

**Requesting an Extension for Chair/Advisor of the Dissertation Committee**

An extension should only be requested for an LGS faculty member who has served as Chair/Advisor for one year following their departure, and who wishes to continue to serve as Chair/Advisor for a limited extended period.

The Director of Graduate Studies/Program Director must submit a written request for an extension to the Sr. Associate Dean of LGS. The request should include a list of all committee members, the roles (current or proposed) of each member, and the length of time as members. If roles are changing the DGS should describe the faculty member’s expertise in the dissertation topic, the reason for the extension, and the end date for an extension.

**Section 2.5: Dissertation Completion Time**

Students are expected to complete their dissertations and apply for their degrees within six years.

If a student has not completed the degree at the end of the seventh year, the program may grant a one-year extension. The program must submit a notice of this extension to the Dean, no later than August 1 of the seventh year (before the eighth year). The notice must contain a completion timeline signed by both the student, DGS, and the dissertation committee chair or co-chairs. Students who enroll for this extension year will be responsible for some tuition, as detailed in Article II Financial Information.

Last Revision Date: November 8, 2021
If a student has not completed the degree at the end of the eighth year, the student may continue work for at most one additional academic year and only with approval from the Dean. To obtain approval, the program must submit a request to the Dean no later than August 1 of the eighth year (before the ninth year). The request must:

- Outline the reasons the student has not completed;
- Consider whether the student needs to repeat any part of the qualifications for candidacy or obtain approval of a new dissertation prospectus; and
- Present a detailed completion timeline signed by both the student and the dissertation committee chair or co-chairs.

**Effective Date**

This dissertation completion time policy is effective fall term 2017. It applies to all students who started their programs in the fall term of 2017 or later. Students who started before then remain covered by the policy in effect when they first enrolled, reproduced below.

*Below is the previous policy [labeled 1.1.1(K) in 2016-17 Handbook], applying to students who started their degree programs before the fall of 2017. [Download previous LGS Handbook (2016-17)]*

**Extension of Time to Complete Requirements for the PhD**

A student must complete all requirements for the PhD, including the dissertation, within eight years of admission to advanced standing. Extensions beyond this period will be granted only under extraordinary circumstances. The process for requesting an extension is as follows:

1. Student submits a written request to their program DGS prior to the end of the term in which the eight-year limit is reached, allowing the program sufficient time to consider this request. This request must state the circumstances that make an extension necessary and must describe a plan and schedule for completion of the remaining degree requirements. Any subsequent requests for extensions will be expected to detail progress accordingly.
2. DGS will forward the student’s request to the LGS Assistant Dean of Student Affairs with a letter of support or denial.

Students not on an approved official extension will have their enrollment blocked or risk having their registration canceled.

Programs may grant a maximum of 3 one-year extensions.

The program, at its option, may require re-examination or other demonstration of the currency of a student’s preparation beyond the eight-year limit.

A student beyond the eight-year limit who fails to obtain an extension from their program, or who exhausts the extension granted without completing requirements for the degree, will no longer be considered a degree candidate. No request for an additional extension of time will be considered except by application to the Dean of the Laney Graduate School, and none will be granted except in extraordinary circumstances. When the program requests an extraordinary extension, the decision and rationale on re-examination must be communicated to the Laney Graduate School, along with the extension request.

A student on an extension may not request a leave of absence.

_Last Revision Date: November 8, 2021_
Section 2.6: TATTO Program

The four stages of the Teaching Assistant and Teaching Opportunity (TATTO) program provide students with a strong foundation and the opportunity to gain teaching experience in steps of increasing responsibility. With few exceptions, a student may not teach more than a total of five terms in any combination of Teaching Assistant and Associates positions during the first five years at Emory. TATTO 600 and 605 must also be completed before applying for candidacy.

1. TATTO 600: The first stage of the TATTO program, TATTO 600, is a one-credit hour course offered in the Fall Pre-term. The course is graded satisfactory/unsatisfactory. TATTO 600 is a prerequisite for any Emory teaching assistantship, included TATTO 605, TATTO 610, or any paid TA position at Emory. TATTO 600 should be taken immediately before a student’s first teaching experience. Faculty for TATTO 600 are drawn from diverse fields of study and are committed to excellence in teaching and research. The syllabus covers general topics of importance to all students, including inclusive pedagogy, lesson planning, and assessment, the use of online pedagogical tools, classroom and lab instruction, accessibility, and responsibilities.

2. Program-Based Course in Teaching: In the second stage, students complete a program-based course on teaching strategies from the perspective of the student’s discipline. Optimally, students enroll in this course at the same time they enroll in TATTO 605, the teaching assistantship.

3. TATTO 605: The third stage of the TATTO program, TATTO 605, is a non-financially compensated, closely mentored, teaching assistantship. The specific responsibilities of this assistantship are determined by the program and faculty mentor. The faculty member should provide continuing guidance and evaluation of the teaching assistant during the term of the teaching assistantship.

4. TATTO 610: The fourth stage of the TATTO program, TATTO 610, is the Teaching Associateship, which is an advanced teaching opportunity. The Laney Graduate School favors a co-teaching model for this stage, in which the student and a faculty member collaborate in all aspects of a course, from syllabus design to final grading. In many programs, Teaching Associates are largely responsible for teaching a course of their own design. In all cases, teaching associates receive attentive mentoring and evaluation. Students register for TATTO 610 during the term of the Teaching Associateship position.

Students who demonstrate exceptional teaching ability may be eligible to apply for the Dean’s Teaching Fellowship. To be eligible for consideration, a student must have completed all Laney Graduate School and program requirements (except the dissertation) and must have been admitted to PhD candidacy. Dean’s Teaching Fellows have complete responsibility for the course they teach. The Laney Graduate School offers a number of these merit-based fellowships to students, usually in their sixth year, on a competitive basis.

TATTO Credit

The Registrar notes TATTO credit on transcripts, which documents fulfillment of the degree requirement. TATTO 600 must be completed unless an equivalent number of hours of formal...
instruction in teaching have been met. In such cases, the student’s DGS should submit a written request for exemption to the Assistant Dean of Professional Development and Career Planning, outlining the extent of the student’s prior teaching experience. If the prior experience closely matches a given TATTO requirement, in intellectual scope and duration, that requirement may be waived. However, the first stage, TATTO 600, is required of all doctoral students, without exception.

Teaching Assistants and Associates

The graduated stages of the TATTO program are intended to ensure PhD students are properly prepared for various instructional roles and that a student’s opportunities to learn in the classroom grow with experience. TATTO prepares our students to apply this education in a variety of professional settings both inside and outside of the academy.

The terms teaching assistant and teaching associate designate a student’s progress through the TATTO program. Teaching Assistant experience varies from program to program. The defining characteristic of this opportunity across all programs is a mentored initial teaching experience. A Teaching Assistant may be responsible for 10 to 12 hours per week of discussion, laboratory supervision, etc. The Teaching Associate experience advances the student to a teaching opportunity with greater learning experiences, sometimes in a co-teaching arrangement with a faculty member. In some programs, the student and faculty cooperate on all aspects of a course, from syllabus design to final grading. In other programs, a teaching associate has the opportunity to learn from teaching an entire class with ongoing mentoring.

In compliance with recommendations of the Southern Association of Colleges and Schools, students may not be the instructor of record for a course before they have completed at least 18 hours of graduate credit in their teaching field.

Teaching assistants and associates may not take on additional instructional responsibility without the approval of the Dean. A student should not be a teaching assistant or teaching associate for more than five terms during his or her first five years at Emory without the approval of the Dean. Students wishing to teach more than five terms as either a teaching assistant or teaching associate should submit a letter of request to the Dean explaining their rationale for desiring these additional educational opportunities.

Section 2.7: Jones Program in Ethics

The Jones Program in Ethics (JPE) provides broad and deep engagement with the ethical issues of research, scholarship, and professional life for all PhD students in the Laney Graduate School. This engagement will take place both within broad, interdisciplinary forums and within the student’s graduate program. A student’s engagement with ethics should cover areas relevant to the student’s course of study and should be appropriately staged throughout a student’s career.

Program Elements

There are three elements of the Jones Program in Ethics. Completion of all elements (1) and (2) are required for candidacy, and (3) is required for graduation.

1. JPE 600: Students take a 6-hour course in scholarly integrity, supported by the Laney Graduate School. The course is graded Satisfactory/Unsatisfactory. This course has no
associated credit hours but completion is a graduation requirement. Incoming students beginning their first year in their graduate studies must register for JPE 600. Students should discuss the appropriate time to register for the course with their Program Administrators. Participation in this course is recorded on the student’s transcript.

2. Program-based training: Students will complete a minimum of 6 hours of training in program-based ethics material. The disposition of this time is at the program’s discretion. This training may take place within existing courses, such as methodology or professionalization courses. It may also take the form of faculty-led workshops or journal clubs. The intention of this part of the program is to promote student discussions with their own program faculty, and to integrate explicit attention to ethics into the regular course of graduate education. Student participation in this element of JPE is monitored by the student’s program. The student’s program indicates on the candidacy form that students have fulfilled the minimum of 6 hours of program-based material.

3. JPE 610: Students will also participate in a minimum of 4 JPE 610 sessions designated by the Laney Graduate School as eligible for ethics training credit. JPE 610 sessions occur regularly throughout the academic year and are listed on the JPE website. All sessions align with at least one of JPE’s Areas of Scholarly Integrity, align with the JPE program outcomes, and are delivered by faculty, staff, or partners with expertise in the subject matter. Participation is recorded on the student’s transcript as sections of JPE 610.

JPE Credit
The Registrar notes participation in JPE 600 (1 section) and JPE 610 (4 sections) on transcripts, which documents fulfillment of the degree requirement.

Section 3: Master’s Degrees
The Master of Arts degree is conferred upon a candidate who has completed all requirements in any one of the fields of humanistic studies and social sciences. Candidates in mathematics, the natural sciences, and the physical sciences may elect to receive the Master of Science or the Master of Arts degree. Only a few programs accept applicants solely for master’s study. Students admitted to terminal master’s degree programs at Emory may not subsequently pursue a doctoral program without submitting a complete application to the PhD program. LGS offers two types of master’s degrees: (1) A terminal master’s degree and (2) an interim master’s degree.

Students who discontinue their graduate study for any given reason may be eligible for a terminal master’s degree. Students who seek an interim master’s degree earn this degree on their way to earning a PhD. Students should discuss both options with their program’s Director of Graduate Studies.

Section 3.1: Standard Master’s Degree Requirements
The Laney Graduate School sets standard requirements for the Master’s degree. They include the following.

1. Satisfactory completion of at least 30 credit hours as follows:
   • At least 15 credit hours must be in courses or seminars, not including Directed Study 597 or Research 599.

Last Revision Date: November 8, 2021
- At least 11 credit hours must be at the 500 level or the 700 level.
- A grade of B- or better must be earned in at least 11 credit hours of courses taken.
- No course on the 100 or 200 level may be applied to a master’s degree program.

2. A written thesis:
   - A student must submit an acceptable thesis demonstrating an ability to use the methods of advanced investigation or research. The nature of the thesis, as well as its form, varies among the different fields. The thesis is submitted to LGS after approval by the student’s advisory committee. The student’s advisory committee requires three members of the LGS graduate faculty. The Dean of the Laney Graduate School reviews every thesis. Any errors, including errors of spelling, grammar, and punctuation, may result in the thesis being returned for correction. Deadlines for submitting a thesis to the Dean are listed in the academic calendar. Students must be registered in the term in which they receive the degree. Before the Dean accepts the thesis, the program must certify that the student has completed all requirements for the degree.

Section 3.2: Alternative Requirements for the terminal Master’s degree
LGS program requirements for the terminal Master’s degree vary. Some programs require considerably more course activity than the standard requirements listed above. Some require examinations and some waive the thesis requirement. Some programs have additional requirements related to foreign language proficiency or other research skills that are deemed relevant to a student’s course of study. Students should consult with programs for specific details.

Section 3.3: Master’s based on candidacy and Interim Master’s degrees
Some, but not all, programs allow students to earn a Master’s degree based on doctoral candidacy. A student who has been granted program approval to file for a Master’s based on candidacy must meet all LGS and program requirements for the Master’s degree (except for the thesis) and must submit a Master’s degree clearance form to LGS. Students who plan to apply for an interim master’s degree should be in candidacy before applying for the degree. LGS will not award a Master’s degree based on candidacy retroactively after a student has completed the PhD; therefore students must apply for the Master’s degree immediately upon reaching eligibility.

Section 3.4: Maximum Time to Complete the Master’s Degree
A student must complete all requirements for a terminal Master’s degree within five years of admission. Extensions beyond this period may be granted only in extraordinary circumstances. Programs may grant a single one-year extension beyond the five-year limit. The process for requesting an extension is as follows:

Student submits a written request to their program’s DGS or Director before the end of the term in which the five-year limit is reached. This request must state the circumstances that make an extension necessary and must describe a plan and schedule for completion of the remaining degree requirements.

The program DGS/Director will forward the student’s request to the LGS Assistant Dean of Student Affairs with a letter of support or denial.

A student beyond the five-year limit who fails to obtain an extension from their program or exhausts the extension granted without completing requirements for the degree will no longer be considered a
degree candidate.

Section 4: Graduate Certificates
Graduate certificate programs provide graduate students with interdisciplinary expertise. Certificates are intended to enhance student education and research in addition to expanding students’ professional competencies. Students interested in a Graduate Certificate should consult the Certificate Program Director about eligibility criteria and requirements. More information on the active certificate program can be found on the Laney Graduate School website.

Section 4.1: Declaration
Once accepted to the desired certificate program, students should complete and submit to LGS a Certificate Declaration Form, found on the LGS website.

Section 4.2: Credits
Students may enroll in more than one certificate program, but no more than 3 credits may be counted toward two certificates. If a student is enrolled in a degree program, because certificates are intended to enhance interdisciplinary education, no more than 3 credits from a student’s home program may be counted toward any one certificate. Transfer credits may not be applied toward certificate requirements.

Section 4.3: Completion
Completion of a certificate program requires at least 12 credits of course study at the 500 to 700 level. Certificates must have some requirements, in addition to the minimum credit hours, that make the course of study systematic and cohesive. This may take the form of required core courses, exams, projects, or practicum.

Upon finishing the certificate program requirements, the student must obtain and submit a completed Certificate Clearance Form documenting completion of the requirements.

If the student is earning a degree and a certificate the student should complete an Application for Degree in addition to the Application for a Degree submitted for the dissertation. This will allow the certificate to be noted on the transcript. Students will not be awarded a paper certificate from the Laney Graduate School. Certificates are only notated on student transcripts. (Students obtaining a certificate in Translational Research who are not enrolled in an Emory PhD program constitute an exception. They should contact their program for instructions.)

Section 5: Dual and Joint Degrees

Section 5.1: Dual Degrees
Dual degrees are typically pursued and completed in stages and are awarded sequentially. The Laney Graduate School requires that all dual degree programs be allowed a maximum of 20% of credit hours to be double-counted or exchanged toward the dual degree. For example, if a Master’s Degree consists of 30 credit hours, a maximum of 6 credit hours may be double-counted with the other degree.

Section 5.2: Joint degrees
Joint degrees are typically pursued in a mixed curriculum and awarded together.

Section 5.3: 4+1 Dual Degrees

Last Revision Date: November 8, 2021
Available to baccalaureate students enrolled in Emory College of Arts and Sciences, the Laney Graduate School offers several 4+1 dual degree programs, which bridge the undergraduate senior year with a fifth (“+1”) year of graduate study in the Laney Graduate School, resulting in the awarding of the Master’s degree by the Laney Graduate School.

Visit our Bachelor/Master's Programs page to view offerings.

Section 5.4: Four-Year Bachelor's/Master's Programs
Exceptional Emory College of Arts and Sciences (ECAS) students with superior undergraduate records may be eligible for a combined degree program in which the bachelor’s and master’s degrees are awarded conjointly at the end of four years. ECAS departments reserve the option of offering such a program and selecting students for participation. Interested undergraduates should consult their departments as early as possible for details. A Four-Year Bachelor’s/Master’s Application for Admission must be submitted during the spring semester of the junior year (before commencement), along with the departmental recommendation letter for the program. Students will not be recognized by the Laney Graduate School as dual-degree students unless these steps were completed before the deadline.

Visit our Bachelor/Master's Programs page to view offerings.
Section 6: Standards of Academic Performance

Section 6.1: Grades and Performance

Grading System

The symbols A, A-, B+, B, B-, C, F, W, WF, S, U, WU, IP, I, IF/IU, and AUD are used in the Laney Graduate School to indicate the following:

<table>
<thead>
<tr>
<th>Grade</th>
<th>Meaning</th>
<th>Quality Points</th>
</tr>
</thead>
<tbody>
<tr>
<td>A</td>
<td>Superior</td>
<td>4.0</td>
</tr>
<tr>
<td>A-</td>
<td></td>
<td>3.7</td>
</tr>
<tr>
<td>B+</td>
<td></td>
<td>3.3</td>
</tr>
<tr>
<td>B</td>
<td>Satisfactory</td>
<td>3.0</td>
</tr>
<tr>
<td>B-</td>
<td></td>
<td>2.7</td>
</tr>
<tr>
<td>C</td>
<td>Marginal</td>
<td>2.0</td>
</tr>
<tr>
<td>F</td>
<td>Failing</td>
<td>0.0</td>
</tr>
<tr>
<td>S</td>
<td>Satisfactory*</td>
<td></td>
</tr>
<tr>
<td>U</td>
<td>Unsatisfactory*</td>
<td></td>
</tr>
<tr>
<td>W</td>
<td>Withdrawal without penalty*</td>
<td></td>
</tr>
<tr>
<td>WF</td>
<td>Withdrawal while failing</td>
<td>0.0</td>
</tr>
<tr>
<td>WU</td>
<td>Withdrawal while performing unsatisfactorily*</td>
<td></td>
</tr>
<tr>
<td>IP</td>
<td>In progress*</td>
<td></td>
</tr>
<tr>
<td>I</td>
<td>Incomplete*</td>
<td></td>
</tr>
<tr>
<td>IF/IU</td>
<td>Incomplete failing / Incomplete unsatisfactory</td>
<td></td>
</tr>
<tr>
<td>AUD</td>
<td>Audit*</td>
<td></td>
</tr>
</tbody>
</table>

* These grades are not included in the calculation of a student’s grade point average; additionally, students must be enrolled in the courses they audit.

For students taking graduate-level courses (500 and above), the grades A and B only may be modified as A-, B+, B-.

Grading Basis

In some programs, a student is allowed to take courses outside the program or division of concentration on a satisfactory/unsatisfactory (S/U) or letter-grade basis. Students should consult their director of graduate studies, program director, or advisors to determine whether this S/U or
letter grade option is allowed within the program or division, and what restrictions may apply. No residence or course credit is allowed for an F, U, W, WF, WU, IP, I, or IU.

Two tentative status notations may be given:

1. An I notation (incomplete) is appropriate when a student, due to illness or some other unexpected circumstance, fails to complete all requirements for a course.

2. IP grades may only be used for courses that are designed to run two consecutive terms. Sequential courses that require or use IP grades must be approved by the Laney Graduate School. IP grades are inappropriate for courses designed to be one term in length.

A student must complete all incomplete (I) and/or in progress (IP) courses before completing a degree.

Failure to Complete a Course

When course assignments are not completed in a term, the instructor may assign a grade of I (incomplete). If assignments are not completed within one calendar year (12 months), the Laney Graduate School will change the grade from I to IF or IU (depending on the grading basis). A grade of IF or IU is deemed unsatisfactory, resulting in probation. Only the Laney Graduate School can change the grade of IF or IU. To change the grade, the instructor must submit a request to the Laney Graduate School, citing compelling reasons for the grade change.

Section 6.2: Academic Performance and Status

The Laney Graduate School sets the minimum standards a student must meet for satisfactory academic performance. Programs may establish more stringent standards. The Laney Graduate School defines unsatisfactory academic performance as follows:

- A GPA in any term of less than 2.7
- Receipt of a grade of F, U, IF, or IU in any course
- Receipt of two or more incompletes in a term, or
- Receipt of an incomplete in one 9 credit hour course.

A student whose academic performance is deemed unsatisfactory will be placed on probation for one term. During the probationary term, the student:

- Will not be allowed to take incompletes in any course without permission from the Laney Graduate School;
- Must earn passing/satisfactory grades
- Must receive no failing grades;
- Must reduce the number of incompletes on their record to one; and
- Must attain a cumulative GPA of at least 2.7.

A student who fails to meet the above conditions will be placed on probation for a second term. The Laney Graduate School will terminate a student who merits a third consecutive probationary term unless the program provides written justification for the student’s continuation, and the Laney Graduate School approves. In the event of termination, international students should notify International Student and Scholar Services.

Last Revision Date: November 8, 2021
Any student who meets the conditions of probation described above will be reinstated to good standing the following term. The reinstatement happens automatically, and the student will not be notified of the action. The director of graduate studies or program director should discuss with the student the terms and conditions of probation and reinstatement to good standing.

Section 6.3: Due Progress

A student will be making progress toward the degree if they are in good standing and meets one of the following conditions:

- Enroll each term of the academic year for a minimum of 9 graded credit hours with a cumulative GPA of 2.7.
- Students in tuition-paid status who have submitted dissertations or theses (terminal programs) and are registered in 799R (dissertation research) or 599R (thesis research) to meet the registration requirement. Note: Only students in candidacy may enroll in 799R. The student is within an officially awarded extension period and meets the registration requirement stated above.
- The student has been granted and officially awarded a leave of absence. Note: Loan and federal agencies might not recognize a leave of absence as grounds for deferment.

Section 6.4: Permanent Academic Record (Transcripts)

The permanent and official record of a student’s academic performance is the transcript. The transcript is maintained by the Office of the University Registrar. Copies of transcripts can be requested via OPUS, by email, or in person, and can be in electronic or printed format. Visit the Office of the University Registrar for more information.

Section 6.5: Grade Appeals

Students who believe that an assigned grade is incorrect should first discuss the assigned grade with the instructor. Students who do not think the problem has been or may be resolved in this manner should address their concern to the director of graduate studies or program director who will seek to resolve the matter with the instructor and the student. Consistent with principles of academic freedom, responsibility for the evaluation of a student’s course performance rests with the course instructor. Use of this procedure for resolution of a grade dispute will not prejudice in any way a student’s rights under the Laney Graduate School or University student grievance procedures.

Section 6.6: Sealing Student Records

The conferral of an Emory University degree is the most important milestone in a student's academic career. Graduating students must fulfill all the academic requirements for the degree requirements before the date of conferral. After students graduate from the university, their records are sealed, and no further changes are allowed. The correction of clerical mistakes is possible by petitioning the University Registrar. View full Emory policy.

Section 6.7: Academic Status

Change of Degree Program

A student who wishes to transfer from one program to another within the Laney Graduate School must make a written request to the director of graduate studies or program director of both programs using the Request for Program Transfer form available on the Laney Graduate School website. The request is approved after review by the graduate program and the Dean of...
the Laney Graduate School. Students wishing to transfer from one program to another do not have to submit new applications or application fees to the Laney Graduate School.

The new program will determine the number of hours credited from the prior program based on new degree objectives and requirements. Programs may prescribe additional course requirements for transferring students. The maximum credit that can be transferred from the student's former program is 18 hours.

When an international student’s program transfer has been approved and processed by the Laney Graduate School, the student must consult with the International Student and Scholar Services office about any necessary adjustment to the student’s I-20.

If the student is a veteran, they must contact the Office of the Registrar at registr@emory.edu.

**Section 7: Withdrawals and Leaves of Absence**

**Section 7.1: Voluntary Withdrawals**

A voluntary withdrawal occurs when a student chooses to leave Emory during a term and requests to be withdrawn from all classes after the Add/Drop/Swap deadline has passed. A student who decides to withdraw from their program of study should consult with the director of graduate studies or program director. International students are required to discuss their plans to withdraw with International Student and Scholar Services to determine how the withdrawal will impact their visa status. If the student is a veteran, they must contact the Office of the Registrar at registr@emory.edu to confirm their enrollment change does not affect their certificate of eligibility.

**Section 7.2: Involuntary Withdrawals**

A student may be withdrawn involuntarily from Emory if the University determines that the student represents a direct threat to the health and safety of themself or others by:

1. Engaging or threatening to engage in behavior that poses a high probability of substantial harm to themself or others; or

2. Engaging or threatening to engage in behavior that would cause significant property damage, would directly and substantially impede the lawful activities of others or would interfere with the educational process and the orderly operation of the University.

Withdrawals in such cases shall normally incur no academic penalty for the term in which the student is enrolled, and a tuition refund, if any, shall be based on the schedule established for voluntary withdrawal. Because the involuntary withdrawal policy applies to cases in which there is a concern about the safety of the student or others, the Dean or their designee may require a student who has been involuntarily withdrawn under this policy to be re-evaluated before they are readmitted.

**Section 7.3: Leaves of Absence**

A student in good standing may be granted 2 one-year leaves of absence upon recommendation of the student’s program and approval of the Dean. Leaves of absence are available to students only within eight years of admission. The student must demonstrate that during this period they must interrupt progress toward the degree. The student should be aware that the University will not certify to loan officers or government agencies that a student on leave of absence is in residence or actively
pursuing a course of study. International students are required to discuss their plans to withdraw with International Student and Scholar Services to determine how the leave of absence will impact their visa status. If the student is a veteran, they must contact the Office of the Registrar at registr@emory.edu.

To be eligible for a leave of absence, a student must be in good standing and have no incomplete assignments. Time spent on a leave of absence does not count toward the nine-year limit for the doctoral degree or the five-year limit for the terminal master’s degree. Students beyond these limits are not eligible for leave but may apply for an extension of the time allowed to complete degree requirements in accord with the rules governing such extensions.

Leaves of absence are not to be used to resolve academic difficulties or finish incomplete assignments. Rather, this policy is intended to allow students to step out of academic life for a specified period, during which they will be unable to continue to make progress toward the degree in any way. Examples include a unique professional opportunity, short-term disabilities, or competing responsibilities of a nature that preclude meaningful progress toward the degree. Circumstances pertaining to pregnancy, childbirth, and childcare should first be considered through our Parental Accommodation policy, but may also be addressed through the leave of absence policy.

A student returning to the Laney Graduate School after a leave of absence should request readmission at least 30 days before the beginning of the term in which he or she wishes to return.

Section 8: Readmission

Students who have not been enrolled for one or more terms need to apply for readmission. This is required both for students who were on approved leaves of absence and for students who allowed their enrollment to lapse without obtaining approved leave. The first step to apply for readmission is to contact the graduate director of graduate studies of the program. The student must then submit an online form, found on the LGS website and their program will be asked to approve the student’s readmission in an online system. Readmission is approved at the discretion of the program and/or division, which may also prescribe additional course requirements. Students who fail to maintain continuous enrollment must submit an online form and apply for readmission at least 30 days before the term in which they wish to re-register.

Students who fail to maintain continuous registration become inactive, and are ineligible for financial aid and health insurance, and will need to apply for readmission.

Consideration for readmission includes a student’s academic standing at the end of the last term registered and grades of incomplete that were converted to Fs during the student’s absence. Students who have exceeded the nine-year limit on time to degree cannot be readmitted. Students who have enrollment holds must contact Emory’s Student Financial Services and apply for readmission once the hold has been removed.

Students who discontinued graduate study with a terminal Master’s degree will not be readmitted.

Readmission in Special Standing

Those whose registration has lapsed for one term or more must complete the online process for readmission at least 30 days before registration.

Last Revision Date: November 8, 2021
Section 9: Parental Accommodation

Parental Accommodations are for students with substantial parenting responsibility as a result of childbirth, care of a newborn, or a newly adopted child. This policy guarantees LGS students a minimum level of accommodation and academic modification during the transition to parenthood. Graduate students should develop and discuss plans with their advisors and director of graduate studies (DGS)/ program director (PD) and consult LGS Student Affairs as needed.

Section 9.1: Policy
PhD students designated as the caregiver, having substantial parental responsibility may be relieved of graduate responsibilities for up to eight weeks after the birth or adoption of a child. Up to four of those weeks may be situated before the anticipated birth or adoption date. Modifications for master's students are based on a case-by-case basis and worked out between student, academic program advisor, and DGS depending on the students’ stage of progress i.e. coursework, teaching, research, and nature of research environment. If both parents are LGS students, only one student may receive accommodations at a time. Students are not employees and thus are not subject to the provisions of the Family and Medical Leave Act (FMLA).

Section 9.2: Eligibility
Any matriculated doctoral student in good academic standing. Note: If both parents are Emory PhD students, they may discuss with their respective programs and the Laney Graduate School a reasonable and feasible proposal for dividing a twelve-week accommodation period.

Section 9.3: Stipend Support during Accommodation Period
Eligible students who are receiving stipend support continue to receive this support throughout the accommodation period. If a student receives their stipend through a training or research grant, the extramural sponsor will be expected to continue to fund the student to the extent allowable by the granting agency. If the sponsor does not allow stipend support during this accommodation period, the program will identify an alternative funding source at Emory for this accommodation period.

During these eight weeks, students are expected to maintain registration, remain in contact with their advisors, and engage in limited academic activity (e.g., reading), assuming the good health of the student and the infant or child. After the eight weeks is over, students are expected to resume their responsibilities as outlined by the granting agency.

Section 9.4: Accommodation Principles
Enrollment status: PhD students benefitting from the accommodation will remain as full-time students, and thus their eligibility for graduate student benefits remains intact (e.g., student services and health insurance).
Suspension of academic requirements: PhD students benefitting from accommodation are relieved of full-time academic and related educational activity, such as teaching and research assistant academic requirements, official academic examinations such as qualifying or preliminary examinations, lab and research deadlines, and course activity.
- Scheduled courses or examinations should be rescheduled if possible and as necessary to avoid conflicts with the accommodation period; re-scheduling should provide reasonable time to complete these academic requirements. If the amount of course work to be rescheduled is
excessive, the student may need to drop a course and retake it in another term.

- The student’s program will develop a plan to replace necessary required academic activities, such as teaching and research. The Laney Graduate School expects that the program will exercise flexibility in this process. Contact the Senior Associate Dean of the Laney Graduate School for specific discussion of this matter, if necessary.

Accommodation is not a Leave of Absence: Students benefiting from accommodation are expected to maintain registration, remain in contact with their advisors, and engage in limited academic activity (e.g., reading), assuming the good health of the student and the infant or child. Students may prefer to apply for a Leave of Absence.

Section 9.5: Requesting Accommodation Procedure
PhD students seeking accommodation should inform their program (normally through their director of graduate studies/program director, advisor, and the Laney Graduate School in writing at least 3 months before the accommodation is anticipated (unless unforeseen circumstances arise) for programs to have adequate time to plan any activity that might be carried out by other students. Students are expected to take into consideration the needs of their programs and collaborators in determining when to inform their programs. Students must discuss accommodation plans with their advisors and director of graduate studies/program director before submitting the request to the Laney Graduate School.

View form and instructions for the Parental Accommodation Request.

Section 10: Degree Completion
A student approaching the end of a degree program is responsible for ensuring that they meet all program, Laney Graduate School, and University requirements and deadlines. Failure to do so may result in failure to receive the degree until the following term. All deadlines are published on the Laney Graduate School Academic Calendar. Details are on the Degree Completion page on the LGS website.

Section 10.1: Registration and Awarding of Degrees
Students must be registered full-time in the term in which they receive their degrees. If students have not defended, they should: enroll in course 599R if not in candidacy or 799R if they are in candidacy. If the student has defended, then they should enroll in the appropriate course to satisfy the requirement. Master’s students should enroll in course 599R.

Section 10.2: Application for Degree
Students must submit a formal Application for Degree to be awarded in a particular term: spring, summer, or fall. The form is available on the LGS website on the LGS Degree Completion page. The application can also be completed online, in OPUS, if the student’s record indicates that the current term is their anticipated term of graduation.

Degree applications are valid only for the term in which they are filed. A student who applies for the degree and does not complete all requirements must apply again and register full time for the term in which the student will receive the degree.

Section 10.3: Degree Clearance Form (Completion of Requirements Report)
The Degree Clearance Form certifies that the student has completed all requirements for the degree. Students receiving a Master’s degree must attach a copy of their transcript to the form. Note: Students must upload their theses or dissertations to the ETD Repository before submitting the
required forms to LGS. Dates for receipt of forms can be found on the LGS Academic Calendar.

Candidates must resolve all I grades as well as P and IP grades before submitting the Clearance Form.

Section 10.4: Dissertation or Thesis Submission
All dissertations and theses are submitted electronically, through the Electronic Theses and Dissertation (ETD) Repository. The electronic copy submitted to the ETD Repository becomes the official and archival copy of record.

The dissertation is reviewed by the Laney Graduate School and must be approved by the Dean before a student can be cleared to graduate.

Detailed instructions are available on the LGS website.

Section 10.5: Graduate Education Exit Survey and Survey of Earned Doctorates
The Laney Graduate School requires that PhD candidates complete two online surveys: the LGS Graduate Education Exit Survey and the Survey of Earned Doctorates. Upon completion of each survey, students receive a certificate of completion. Certificates should be saved and submitted when submitting a degree completion form and other required documents. Master’s students are only required to complete and submit the Graduate Education Exit Survey for Master’s students.

Section 10.6: ProQuest/UMI Publishing Agreement
All PhD candidates must complete and submit the ProQuest/UMI Publishing Agreement. Copyrighting is optional. Master’s candidates do not need to publish their theses with ProQuest/UMI, but may do so. Master’s candidates who want to copyright their theses can do so through ProQuest/UMI.

Section 10.7: Master’s Degree based on Candidacy
Some doctoral programs award Master’s degrees to students who have reached doctoral candidacy. Students who are receiving a Master’s based on candidacy must submit Candidacy, Application for Degree, and Degree Clearance forms to LGS by the published deadlines. (see LGS Academic Calendar)

Section 10.8: Financial Obligations to the University
All financial obligations to the University must be cleared before a student graduates. These obligations include tuition, student health charges, parking fines, and library fines if any. Failure to settle outstanding charges will result in holds being placed on diplomas, transcripts, and other student records. Eligibility for stipend expires when a student graduates.

Section 10.9: Commencement Ceremony
University commencement is held once each year, at the end of spring term.

Students who graduate in the summer and fall should indicate whether they expect to return for commencement in the spring and update their OPUS record to make sure it contains a permanent email address for confirmation of their attendance plans.

Students who have a FERPA information suppression hold on their personal information should know that their names will not be printed in the commencement program. Names will be printed only if the FERPA hold is removed, and the hold can be removed only by the University Registrar’s office.

Last Revision Date: November 8, 2021
Section 10.10: Diploma Notation and Name
Students should note that while transcripts will show majors and degrees received, diplomas will not. Only the degree received is displayed on a diploma, not the major field. For example, a student receiving a PhD in English will receive a diploma stating that they have been awarded the Doctor of Philosophy, not the Doctor of Philosophy in English. The same applies to Master’s diplomas.

Prior to graduation, students should update their permanent mailing addresses and email addresses in OPUS.

The diploma from Emory University will be printed with the student’s official name as it appears in OPUS. For more information, see Emory’s name policy at http://policies.emory.edu/10.1.

Section 11: Registration
For information about new student registration, see the Laney Graduate School website.

Unless instructed otherwise by the program, all continuing degree-seeking students in the Laney Graduate School can register themselves via OPUS. To assist with the registration process, students are provided with specific instructions by email prior to pre-registration dates. Additionally, students should pay particular attention to program instructions regarding registration.

Students must settle their accounts with Emory’s Student Financial Services. Students who do not complete payment by published deadlines will be assessed a $150 late fee, and their registration may be canceled.

Section 11.1: Continuous Registration
Students must maintain continuous registration throughout their course of study in the Laney Graduate School. If a student does not register for one term or more, or if a student withdraws after registering, the student will become inactive and must apply for readmission.

Continuing Students Registration Procedures
There are two steps to registration: signing up for courses and paying or arranging for payment of outstanding accounts. Students should check with program staff prior to pre-registration for program-specific requirements.

Signing up for Courses
After complying with program procedures, students may pre-register in OPUS. The dates of pre-registration are published on the Office of the Registrar’s website and the LGS Academic Calendar.

Students are responsible for obtaining the required program approval for their schedules and for verifying that their registration is correct.

Special standing students may not use OPUS to pre-register. Special standing students must obtain the required signatures from course instructors and programs. Some programs require special-standing students to obtain permission from the director of graduate studies or program director. Special standing students submit instructor approvals to the Laney Graduate School. The Laney

Last Revision Date: November 8, 2021
Graduate School will enter the schedule in OPUS on the first day of Registration.

Section 11.2: Registration Status
Students in the Laney Graduate School register in one of two forms:

1. Enrollment: All students must be in enrollment status. This includes all audit, directed study, and research courses as well as standard courses for both degree-seeking and special standing students.

2. Tuition-paid: Degree-seeking students who have completed six terms, excluding summers, are registered in tuition-paid, full-time status. They may register for 9 hours in dissertation research, or for courses.

Section 11.3: Payment of Accounts
After a student’s schedule is entered into OPUS, Student Financial Services generates an electronic invoice that is posted in OPUS. A student is notified of this posting by an email sent to the student’s Emory email address. The Office of Student Financial Services does not mail paper statements. Students are required to register in addition to paying their bills. Accounts will reflect charges, anticipated aid, and an account summary. Bills are payable upon receipt. Students should follow instructions provided by The Office of Student Financial Services on their website.

Students who fail to settle their accounts by published deadlines must pay a late registration fee of $150. Registration may be canceled for students with outstanding balances on their accounts. Students who fail to enroll in courses and do not pay their bills by the end of add/drop will have their registration and their financial award (tuition and/or stipend) canceled.

Section 11.4: Course Load and Adjustments
The normal course load for a student in full-time status is 9 credit hours during fall, spring, and summer terms. Some programs require students to register for 12 hours per term. The maximum number of credits allowed in any term is 16. Any additional credits should be reviewed and approved by the director of graduate studies or program director and the Laney Graduate School.

Course Adjustments
Students’ schedules can be adjusted during the University add/drop period. Any adjustments, including changing grading options, should be made with the approval of the student’s faculty adviser and the director of graduate studies or program director. Students may make changes through OPUS, but they must first obtain program approval for all changes. After the add/drop period through the date of record, only the Laney Graduate School can adjust a schedule. After the Registrar’s date of record, no adjustments will be made. It is the student’s responsibility to ensure that the adjustments to a course schedule are properly made prior to the date of record.

Section 11.5: Grading Options
Students take graduate-level courses for letter grades (A, A-, B+, B, B-, C, or F). Contingent upon program approval, they may elect to take a limited number of courses as S/U (satisfactory/unsatisfactory). Degree-seeking students also may audit graduate courses with the permission of their program and the course instructor. The Registrar’s calendar lists the last date on which changes in grading basis may be made in any term.

Last Revision Date: November 8, 2021
Section 11.6: Withdrawal
A student who wishes to drop a course or make a complete withdrawal after add/drop must complete the Withdrawal Signature Form posted on the LGS website and then follow the steps outlined on the LGS Withdrawal, Leave of Absence, Parental Accommodation page. The instructor for each course must assign a grade of W, WF, or WU. Courses with a grade of W will not count toward candidacy or tuition-paid status. Withdrawing from courses and dropping below full-time status may result in a reassessment of student charges and/or a recalculation of student financial aid for the term. Exact consequences will depend on several factors, including the type and amount of financial aid the student has received and the official date of withdrawal.

Section 11.7: Undergraduate Courses
Programs sometimes suggest or require that students take undergraduate-level language courses to fulfill foreign language requirements. Permission by programs and instructors must be granted before enrolling in undergraduate courses.

Section 11.8: Student Loan Deferment
Registration status may affect the status of student loan deferments. Only students registered for 9 or more hours of credit are recognized as pursuing degrees full-time status. The Laney Graduate School will certify full-time enrollment for those students. Students are advised to consult with their lending agencies for specific enrollment requirements.

Section 11.9: Dual Registration
Students may not establish residence in more than one school of the University at the same time. An LGS student who wishes to take a course in a degree program offered by another school at Emory must obtain permission from their advisor, the course instructor, and the director of graduate studies/program director. The student registers through the Laney Graduate School, and course credit will apply only toward the student’s LGS degree program. Courses taken may count only toward a single degree.

Students in recognized joint or dual degree programs, such as the JD/PhD, will be accommodated in ways that vary from program to program.

Section 11.10: Cross Registration – Atlanta Regional Consortium for Higher Education (ARCHE)
Emory participates in the Atlanta Regional Consortium for Higher Education cross-registration agreement. Students may take courses on a space-available basis at member institutions if the course is not being offered concurrently at the home institution. Participating institutions are Agnes Scott College, Brenau University, Clark Atlanta University, Clayton State University, Columbia Theological Seminary, Emory University, Georgia Gwinnett College, Georgia Institute of Technology, Georgia State University, Interdenominational Theological Center, Kennesaw State University, Mercer University – Atlanta, Mercer University, Morehouse College, Morehouse School of Medicine, Oglethorpe University, Savannah College of Art and Design – Atlanta, Spelman College, University of Georgia, and the University of West Georgia. ARCHE registration application forms are available in the Laney Graduate School or online at http://atlantahighered.org/. Cross-registration does not take place during the summer.

Before cross registering, students must obtain permission from their advisers, programs, and the Laney Graduate School. Many participating schools require certain immunizations and students may be required to produce copies of immunization records before cross registering. Questions about
cross-registration should be directed to the cross-registration coordinator for Emory University, at 404-727-6042. Details are at http://www.registrar.emory.edu/Students/arche.html.

Section 11.11: Registrar
The Office of the Registrar at Emory University is responsible for supporting the academic progress of all students by ensuring the accuracy of all student records with a particular emphasis on processes related to maintaining efficient and accurate systems for student registration and enrollment, faculty grading, and transcript production, and for upholding the school's academic policies and procedures. For more information, visit the Registrar's website.

Section 12: Amendments
The Emory University by-laws provide that the faculty is responsible for instructional programs under the direction of the President (Instruction, 25). The Laney Graduate School Dean is responsible for the general direction of the graduate school and exercises leadership in the development of educational policies and programs (Instruction 26). In practice, these responsibilities are closely intertwined. Reflecting this connection, Laney Graduate School operates via a model of shared governance. Amendments to the Laney Graduate School Handbook require approval of the Laney Graduate School Executive Council when they materially alter policies related to (1) the approval of new programs and courses; and (2) maintaining, revising, and implementing discipline appropriate standards of quality for admission, instruction, and student research in the Laney Graduate School. Handbook amendments that merely clarify existing policy do not require Executive Council Approval.

Article II: Financial Information
Section 1: Graduate Cost of Attendance
The cost of attendance is an estimate of the total amount it will cost a student to go to school for an academic period, and it’s determined using rules established by law. The cost of attending Emory University includes tuition and student fees, living expenses, health insurance, parking fees, and incidentals, such as the purchase of textbooks and supplies. All tuition and fees are determined by the Board of Trustees and are subject to change without notice. Information about tuition and fees can be found on the Tuition and Costs page of the Laney Graduate School website.

Doctoral students who have reached Tuition-Paid Status are exempted from Activity and Athletic fees.

Section 1.1: Transcript Fee
All new degree and certificate students are required to pay a one-time transcript fee of $70 at the time they first enroll at Emory. This is a one-time fee that pays for all future transcripts. If you already obtained a degree from Emory, you may have paid this fee already. The fee will be assessed only to students seeking their first degree from Emory.

For more information see the Registrar's website.

Section 1.2: Mandatory Health Insurance
All new and continuing degree-seeking and international Emory University students are required to have health insurance. Under this requirement, students must either purchase the Emory University Student Health Insurance Plan or provide documentation of enrollment in a comparable United States-domiciled plan. New students wishing to waive enrollment in the Emory Student Health Insurance Plan will need to complete the annual waiver process via OPUS before the first day of classes of their first semester at Emory. All returning students must also complete the enrollment/waiver process annually before the first day of classes of Fall term.

Last Revision Date: November 8, 2021
If a student has not waived out of the Emory Student Health Insurance Plan by the date of Emory’s pre-term Student Financial Services bill, they are billed for the Emory/Aetna student insurance plan. However, the student will still have until the first day of term classes to complete a waiver and have the insurance enrollment and charge reversed. Students will need to complete the annual insurance enrollment/waiver process each year they are enrolled at Emory. For more information, visit the **Student Health Services website**.

**Section 1.3: Financial Responsibility to the University**

Students are responsible for maintaining good financial standing with the University, including timely payment of tuition, emergency loans, and other fees, as well as fines that may be incurred from the libraries or parking office. Penalties for past due accounts include but are not limited to: cancellation of registration, refusal to approve continued registration, refusal to release transcripts, and withholding of diplomas.

For more information, visit the **Student Financial Services website**.

**Section 1.4: Courtesy Scholarships**

The Courtesy Scholarship is a grant that covers tuition exclusively (not textbooks, fees or other miscellaneous charges). It is made available to Emory employees and their family members who apply and are admitted for enrollment in academic programs at Emory University. The percentage of tuition covered depends on your years of service.

Emory employees must contact **Human Resources** for information about eligibility for Courtesy Scholarships. Application fees and tuition for audited courses are not covered by Courtesy Scholarships.

**Section 2: Merit Awards and Financial Aid**

Tuition scholarships and stipends are awarded on a competitive basis to students in the Laney Graduate School. Official notification of merit awards comes from the Laney Graduate School, although some programs advise students of their award recommendations. Additionally, all offers of financial assistance are made in accordance with the April 15 Resolution adopted by the Council of Graduate Schools (CGS). A copy of the April 15 resolution and a list of CGS member institutions that support the resolution is available on the **CGS website**.

The Laney Graduate School reviews continuing students each term and evaluates their eligibility for merit awards. The Laney Graduate School sets the minimum eligibility for these awards. The Teaching Assistant Training and Teaching Opportunity (TATTO) program is required of all PhD students, whether or not they are receiving Laney Graduate School financial awards.

**Section 2.1: Loans and Office of Financial Aid**

Student loans are money, which is borrowed to help pay for university tuition, books, and living expenses. These funds must be repaid. For many Emory University students, loans are an important way in which they pay for a portion of their educational costs.

Contact the Office of Financial Aid for information about federal and private loan programs. Financial Aid Advisors are assigned to students based on as indicated on the Office of Financial Aid’s website.

**Section 2.2: LGS Awards**

**Tuition Scholarships**

Tuition scholarships may cover partial or full tuition. These scholarships are awards for tuition credits.

**Last Revision Date: November 8, 2021**
only. They are not a cash and cannot be converted to another purpose or paid directly to students.

Doctoral students in their eighth year and beyond who have been granted an extension will receive partial tuition scholarships.

Student Stipends
Doctoral student stipends are disbursed monthly on the last business day of the month. Eligibility for stipend support expires when a student graduates, withdraws, is not enrolled, is terminated, or otherwise becomes ineligible. Doctoral student stipends are disbursed over 12 months from September - August.

Section 2.3: Electronic Stipend Deposit Advice
All doctoral students receiving a Laney Graduate School stipend must enroll in Direct Deposit to receive funds. Several days before funds are deposited into accounts, the University will send an email notification that the deposit is forthcoming. Funds will be deposited on the last business day of the month, not on the day the email notification is sent.

Section 2.4: Termination or Suspension of Stipend Support
Eligibility for student stipends ends when a student graduates, withdraws, is not enrolled, or is terminated. Unused stipends cannot be deferred or reserved. Stipend support for a student on an approved leave of absence will be suspended.

Section 2.5: Conditions and Eligibility for Merit Awards

Academic Performance
The Laney Graduate School sets the minimum standards a student must meet for satisfactory academic performance. Programs may establish more stringent standards. The Laney Graduate School defines unsatisfactory academic performance as follows:

- A GPA in any term of less than 2.7, or
- Receipt of a grade of F, IF, U or IU in any course, or
- Receipt of two or more incompletes in a term, or an incomplete in one 9 credit hour course.

A student whose academic performance is deemed unsatisfactory will be placed on probation for one term. During the probationary term, the student must receive no failing grades, must reduce the number of incompletes on his or her record to one, and must attain a cumulative GPA of at least 2.7. During the probation, the student will not be allowed to take incompletes in any courses without permission from the Laney Graduate School. A student who fails to meet the above conditions will be placed on probation for a second term. The Laney Graduate School will terminate a student who merits a third consecutive probationary term unless the program provides written justification for the student’s continuation. A written justification should outline the nature of the request, completed milestones, year in the program, and detailed plans and timeline for returning to satisfactory academic standings. The written request is submitted to the Assistant Dean of Student Affairs. The Dean of the Laney Graduate School grants final approval.

Any student who meets the conditions of probation described above will be reinstated to good standing. The reinstatement happens automatically, and the student will not be notified of the action. The Director of Graduate Studies or Program Director should discuss with the student the

Last Revision Date: November 8, 2021
terms and conditions of probation and plans for reinstatement to good standing.

Due Progress
A student will be considered to be making due progress toward the degree if they are in good standing and meets one of the following conditions:

- The student maintains through the academic year a minimum registration in the fall, spring, and summer terms of at least 9 graded term hours with a cumulative GPA of 2.7. Withdrawals do not count.
- The student is within an officially awarded extension period and meets the registration requirement stated above.
- The student has been granted an officially awarded leave of absence by the Dean.

Registration Requirements
Doctoral students must maintain full-time registration of at least 9 graded term hours in the fall, spring, and summer terms. Doctoral students who do not maintain continuous enrollment may lose eligibility for subsequent Laney Graduate School merit awards.

The terms of a merit award made by the Laney Graduate School may prevent a student from gaining employment. A student should consult their Director of Graduate Studies or Program Director before accepting employment of ten or more hours a week while receiving a merit award. Employment of ten or more hours a week while receiving a merit award will require the Director of Graduate Studies or Program Director to obtain the permission of the Dean of the Laney Graduate School. A written justification should outline the nature of the request, the student’s year in the program, and a detailed plan for maintaining satisfactory or completing any future milestones. A written request is submitted to the Assistant Dean of Student Affairs. The Dean of the Laney Graduate School grants final approval.

Section 2.6: Tax Liability
The tax treatment of scholarships, fellowships, grants, awards, or stipends may vary for each student. Students should consult the IRS for information about taxes.

Emory University does not offer personal tax advice. Emory University recommends seeking professional tax counsel whenever necessary.

Section 3: LGS Emergency Loan Fund
The purpose of the Laney Graduate School Emergency Loan Fund is to help students through unexpected financial crises, such as illness, family job loss, and delays in other types of funding. The maximum loan amount is $1,000. A student who receives an emergency loan must sign a promissory note agreeing to repay the loan within 89 days of issue. Emergency loans are interest-free for 89 days.

Section 3.1: Eligibility
A loan applicant must be a full-time student in a degree program and be enrolled for a minimum of 9 credit hours in the term they wish to receive the loan.

A Loan applicant must not have any outstanding debt due to a previous loan from the Laney

Last Revision Date: November 8, 2021
Graduate School Emergency Loan Fund or the University.

A Loan applicant must demonstrate financial need of an emergency nature. Students in special standing are not eligible to receive emergency loans.

Section 3.2: Procedure
Emergency Loan Fund application forms are available in the Laney Graduate School office and on the LGS website. Applicants must fill out the application form completely and accurately and turn it in the Laney Graduate School. The student is required to state on the application how the loan will be repaid.

New students are eligible to apply for emergency loans once the following conditions are met:

- The student is enrolled full time in the current term; and
- The student’s financial aid has been posted or is pending (students should consult their OPUS account for financial aid status)

Finally, new students must have their director of graduate studies, program director or program administrator sign the emergency loan application.

All loans must be approved by the Laney Graduate School. Requests are usually processed in 1 day.

After the loan request is approved, the student must sign a promissory note and deliver it to the Office of Student Financial Services, 101 Boisfeuillet Jones Center. Usually the student can pick up the loan check within 2-3 days of delivering the promissory note to the Office of Student Financial Services, but under some circumstances the process may take longer.

Loans must be repaid in full within 89 days of issue. The amount and payment due date of the loan will be posted to the student’s account when the loan is issued. On the day the emergency loan is due to be repaid, this amount will become a current charge and will appear on the student’s bill during the next billing cycle.

Past due emergency loans are subject to interest charges. Student borrowers who do not repay loans according to schedule shall be responsible for the payment of any costs associated with the collection of the loan, including attorneys’ fees. Nonpayment can result in the student not being allowed to register, receive a transcript, or graduate.

Section 4: Financial Aid and Satisfactory Academic Progress
Federal regulations require that students receiving financial assistance maintain satisfactory academic progress. The Office of Financial Aid is required to monitor a student aid recipient’s academic progress. Aid recipients must meet certain quantitative and qualitative measures and complete their programs within a maximum time frame. All students who receive financial aid, whether from federal, state, or Emory-funded sources, must be enrolled degree candidates in good standing to retain financial aid awards. Academic records will be evaluated each term. Evaluation factors include:

- Grade point average (GPA),
- Time to degree completion, and
- Percentage of courses passed.

Last Revision Date: November 8, 2021
Students must also meet the following minimum grade requirements to meet satisfactory academic progress standards.

- Master Programs (MA, MDP, MM, MS, MSM): Must maintain a 2.7 current GPA each semester and an overall 2.7 cumulative GPA.
- Doctor of Philosophy (PhD): Must maintain a 2.7 current GPA each semester and an overall 2.7 cumulative GPA.

Any student who fails for two successive term to pass two-thirds of the hours taken shall be automatically excluded regardless of any previous average.

All students are expected to complete their degree programs within a maximum time frame. The maximum time frame for graduate students is 150% of the hours required to complete their degree program. Time to degree completion is calculated for all credit hours for which the student enrolls or receives credit at Emory and any of the following grades are assigned: A, B, C, D, F, Satisfactory and Unsatisfactory. A course assigned an Incomplete, In Progress, or Withdrawal is also counted toward attempted credits. Audited classes are not considered attempted credits.

- Master Programs (MA, MDP, MM, MS): Must complete the degree within 108 attempted units based on a 72 unit degree requirement. Doctor of Philosophy (PhD): Must complete the degree within 324 attempted units based on a 216 unit degree requirement.

Section 4.1: Monitoring Eligibility: Disqualification, Probation, Suspension, and Conditions of Reinstatement

Students whose academic records fall below the minimum standards stated above may be disqualified from receiving future financial aid payments. Disqualified students may be approved to receive financial aid after successfully appealing their case. Students who successfully appeal are placed on Probation. During the probationary period, students remain eligible for financial aid. Students who, at the conclusion of the probationary period, are making satisfactory academic progress will have their financial aid reinstated unconditionally for the next award term. Students on probation must receive a GPA of at least 2.7 and are not permitted to receive grades of F, U, W, WF, WU, I, IF, or IU. Students who receive aid on probation and fail to meet probationary conditions will be ineligible for future financial aid payments. Students who become ineligible for financial aid or fail to meet probationary terms can re-establish their eligibility by attending classes at their own expense or with the help of private resources from outside the University. Once minimum standards are met, financial aid funding may be reinstated.

An appeal for extenuating circumstances should be submitted by the first day of class for the term you are appealing to ensure adequate time to prepare for any impact to the student account. Failure to submit your complete appeal by this date may result in your probationary term being postponed to a future semester.

A Satisfactory Academic Progress Appeal Form should be submitted with supporting documentation of any mitigating circumstances that negatively impacted academic progression. Please contact your financial aid advisor if you have questions specific to your
case.

Generally, the Office of Financial Aid will only approve one appeal per academic degree. This policy may be waived on a case-by-case basis where extenuating circumstances can be documented. For more information, including answers to some frequently asked questions, please refer to the Satisfactory Academic Progress page of the Office of Financial Aid's website.

Article III: Honor, Conduct, and Grievance

Part 1: LGS Honor Code

Preamble
This code is presented to acquaint students with:
- The rights and responsibilities of members of the academic community; and
- Some of the policies that apply to students as members of the academic community at Emory University.

All students and members of the faculty in the Laney Graduate School are expected to cooperate in maintaining academic integrity. Below are Honor Code definitions of academic dishonesty and the procedure for hearings in cases where academic misconduct is suspected.

Section 1: Jurisdiction
The Honor Code shall apply to cases of academic misconduct by students enrolled in the Laney Graduate School.

Section 2: Academic Misconduct
Academic misconduct is an offense generally defined as any action that is offensive to the integrity and honesty of members of the academic community. These actions include but are not limited to the following: cheating or obtaining unauthorized assistance in any academic assignment or examination; acquiring, receiving, or passing on information about the content of an examination prior to its authorized release; plagiarizing, passing off the work of another (content or expression) as one’s own; falsifying data or results when conducting research; and attempting to do any of the foregoing. It is the obligation of every student to know the regulations regarding academic misconduct. Ignorance of these regulations will not be considered a defense. Article IX of this code and incorporated herein is the document entitled “The Use of Sources in Writing Research Papers, Theses, and Dissertations in the Laney Graduate School.”

Section 3: Procedures for Reporting Cases
A. Any individual, when they suspect that an offense of academic misconduct has occurred, shall report this suspected breach to the appropriate director of graduate studies, program director, or the Dean of the Laney Graduate School. (Wherever “Dean” appears in this code, it shall include any person designated by the Dean of the Laney Graduate School to act in their stead.)
B. When a case comes to a director of graduate studies or program director, they should notify in writing the Dean of the Laney Graduate School. The Dean shall conduct a preliminary investigation to determine that sufficient evidence exists for the case to go forward. If not, the charge shall be dismissed. In cases that require a hearing, the Dean shall notify the Laney Graduate Student Council (LGSC).
C. If evidence exists for the case to go forward, following the written compilation of relevant information, the accused student is notified and shall meet with the Dean of the Laney Graduate School.
Graduate School at a mutually convenient time. The student shall have outlined the circumstances surrounding the alleged instance of violation of the code. At this meeting, the student will be advised of their rights and informed of the procedures of the Laney Graduate School in such matters.

D. At the end of this meeting, or shortly following this meeting, a written statement of charges will be made available to the student, informing the student of the alleged academic misconduct and the student’s right to a hearing. This letter shall include the date, time, and place of the hearing and shall inform the student of the names of known persons who might appear as witnesses. This letter shall also inform the student of the right to select an adviser.

Section 4: Hearing Procedures

A. A Hearing Committee will be formed consisting of:
   - The Vice President of the Laney Graduate School Council (LGSC), or Vice President’s delegate who will act as Chair of the committee
   - A member of the LGSC, not from the student’s program or the program of the Vice President (or their delegate), appointed by the Vice President of the LGSC
   - Two members of the LGS graduate faculty, one of whom is from the student’s program division (sciences, social sciences, or humanities)

B. The accused student shall have the right to have an adviser at the hearing that may, but need not, be a faculty member. The adviser shall be any member of the Laney Graduate School – student, faculty, or staff. In cases where this restriction poses a hardship in the view of the Dean, the student may, upon the approval of the Dean, select any non-attorney from within the University community as an adviser.

C. The student shall have the right to testify and the right to be present at the hearing. The student or the adviser shall have the right to question witnesses, to call a reasonable number of witnesses on the student’s behalf, to present documentary and physical evidence, and to make a closing statement. Members of the committee may question witnesses as well. The Chair of the committee may exclude any question that he or she finds inappropriate.

D. Should the accused, after proper notification, not appear at the time and place specified, the hearing might be conducted with the accused in absentia. In this event, the committee shall render its decision based upon such evidence as it has before it.

E. Hearings shall be fair and impartial. The rules of evidence of courts of law shall not apply. Evidence that, in the opinion of the Chair, is relevant and appropriate may be presented. Witnesses shall testify without oath, and signed statements may be submitted from witnesses who do not attend the hearing. Other than the witness while testifying, only the members of the Hearing Committee, the adviser, a member of the decanal staff of the Laney Graduate School designated by the Dean, and the accused may be present during the hearing. A tape recording will be made of the hearing, except for the final deliberations of the committee. The Hearing Committee shall determine the weight and pertinence of the evidence.

F. At the conclusion of the presentation of evidence, the Hearing Committee shall retire to deliberate in private. A three-fourths vote shall be required for a finding of an Honor Code violation. If the committee determines that there was a violation on the part of the accused student, the committee shall secure from the Dean the record of any previous University proceedings where the student was found to have engaged in academic misconduct or violation of any Honor Code. On the basis of its findings in the case and the student’s previous record, the committee shall render to the Dean a recommendation by plurality vote as to the proper sanction or sanctions. The Dean, may, however, impose a different sanction than that recommended by the Hearing Committee.
Section 5: Sanctions
When a student is found guilty of an Honor Code violation, one or more of the following sanctions may be imposed:

A. **Warning.** The student shall be notified by letter, or by both letter and appointment with the Dean, that his/her academic conduct has violated Laney Graduate School standards.

B. **Probation for a specific period of time.** The student shall be notified by letter, or by both letter and appointment with the Dean, that his/her academic conduct has violated Laney Graduate School standards and that conviction for another serious Honor Code violation will most likely bring harsher disciplinary action.

C. **A grade of F in the course or on the work in question.** The student shall be notified by letter, or by both letter and appointment with the Dean, that their academic conduct has violated Laney Graduate School standards and that conviction for another serious Honor Code violation will most likely bring harsher disciplinary action.

D. **Dismissal.** The student shall be notified by letter, or by both letter and appointment with the Dean, that the student’s academic conduct has violated Laney Graduate School standards and that the student should vacate the campus, and all buildings and property owned by the University by a certain date. Dismissal generally will be for a specified time, after which the student may go through the standard application procedure for readmission. This sanction automatically invokes sanction E below.

E. **Revocation of financial support.** Conviction for an Honor Code violation may result in the revocation of financial support received from the University. This sanction may also be used in conjunction with other sanctions. Revocation of financial support is automatically applied with the recording of sanction.

F. **A recommendation different from those listed above, appropriate for the particular academic misconduct issues involved.**

Section 6: Post-hearing Procedure
In the case of a finding of an Honor Code violation, the Hearing Committee shall promptly prepare a concise, but thorough, written summary of pertinent evidence and facts that shall be transmitted to the Dean with the accompanying recommendation for sanction. After receipt of the summary, the Dean shall promptly transmit to the accused, in writing, their decision on the charge. The Dean may increase or decrease the severity of the recommended sanction. The student shall be notified by the Dean, in writing, of the decision and the sanction imposed.

Section 7: Appeal Procedure
The judgment of the Dean shall be final unless, within seven (7) days of that notification to the student, the Dean receives a written appeal from the student. The appeal shall state specifically the grounds. Mere dissatisfaction with the decision of the Hearing Committee is not a ground for appeal.

On receipt of the appeal, the Dean shall form an Appeal Committee to advise them concerning the case. The Appeal Committee shall consist of:

- Two members of the Executive Council of the Laney Graduate School appointed by the Dean, one of whom shall be appointed Chair of the Appeal Committee; and
- Two members of the LGSC, not from the student’s program, appointed by the LGSC
President.

- No member shall be appointed who has served on the Hearing Committee in that case or who was a participant in the proceedings before that committee.

The Appeal Committee may review the records in the case, may consult with members of the original Hearing Committee, may confer with the Dean, or may decide to rehear the case.

In the case of a new hearing, the Appeal Committee shall notify the student in writing of the date, time, and location of the appeals hearing. The student and adviser shall have the rights specified above and the hearing shall be conducted in accordance with the hearing procedures above.

Having completed its investigation, the Appeal Committee shall promptly transmit to the Dean a written summary of its findings and its recommendations on whether to affirm, reverse, or modify the previous decision.

The Dean shall promptly notify the student in writing of their final decision on the appeal.

Section 8: Miscellaneous

Confidentiality: Because alleged instances of academic dishonesty can have a serious impact on a student’s professional career and relations, all proceedings of the Hearing Committee and reviews of the Appeal Committee shall be carried out with due regard for privacy. It shall be the responsibility of the Chairs of the Hearing Committee and the Appeal Committee to take reasonable steps to see that this privacy is maintained and that the student is afforded all rights and privileges. All evidence shall be considered confidential prior to, during, and after the proceedings here described.

This Honor Code is effective August 1, 1992, and supersedes the Laney Graduate School Honor Code that was revised in February 1984. The 1984 Laney Graduate School Honor Code is hereby repealed.

Section 9: The Use of Sources in Writing Research Papers, Theses, and Dissertations

Because of the seriousness of the act of plagiarism when conducting scholarly research, the Laney Graduate School Executive Council has adopted the following statement on plagiarism. Each student is responsible for understanding this statement and for conducting his/her research and writing in accordance with the highest standards of integrity.

A writer’s data, facts, ideas, and phraseology should be regarded as his/her property. Any person who uses a writer’s data, facts, ideas, or phraseology without giving due credit is guilty of plagiarism. Information may be put into a research paper, thesis, or dissertation without a footnote or other documentation only if it meets all of the following conditions: (1) it may be found in several books on the subject; (2) it is written entirely in the words of the student; and (3) it is not paraphrased from any particular source and is generally regarded as common knowledge. Whenever any idea is taken from a specific work, even when the student writes the idea entirely in their own words, there must be a citation giving credit to the author responsible for the idea. Methods of citation vary. The student must give appropriate credit.
The student is entirely responsible for knowing and following the principles of paraphrasing:

*In paraphrasing you are expressing the ideas of another writer in your own words. A good paraphrase preserves the sense of the original, but not the form. It does not retain the sentence patterns and merely substitute synonyms for the original words, nor does it retain the original words and merely alter the sentence patterns. It is a genuine restatement. Invariably it should be briefer than the source.* (Floyd C. Watkins, William B. Dillingham, and Edward T. Martin, *Practical English Handbook*, 3rd ed., Boston, 1970, p. 245.)

Any direct quotation must be documented in an acceptable fashion. Even when a student uses only one unusual or key word from a passage, that word should be quoted. If a brief phrase that is common is used as it occurs in a source, the words should be in quotation marks. Any questions should be referred to the director of graduate studies or program director in the student’s program.

**Part II: LGS Conduct Code**

**Preamble**

This code is presented to accomplish the following objectives:

- To acquaint students with the rights and responsibilities of members of the academic community; and
- To introduce policies that apply to them as members of the academic community at Emory University.

All students, as members of the Laney Graduate School and the University community, are presumed to know:

- That the University community assumes high standards of courtesy, integrity, and responsibility in all of its members.
- That the requirements of student conduct expressed or implied in this code are in effect and applicable to all students.
- That they are individually responsible for their conduct and their violations of the requirements of student conduct.
- That continuation as a student is conditional upon compliance with these requirements.

This code does not pretend to catalog every law or regulation related to the student’s life. Rather, it attempts to identify only those whose violation is almost certain to be considered a breach of acceptable conduct. This code further describes in detail the operation of the conduct procedures within the Laney Graduate School.

**Section 1: The University and the Public Law**

A. The University campus does not condone violations of or provide a sanctuary from, public law or its enforcement. Official cooperation with public law enforcement agencies has been exercised traditionally concerning the interests of the University community.

B. Students under prosecution for violation of public law may be subject to disciplinary action under institutional regulations. Such University disciplinary action may be initiated before, concurrently with, or after procedures regarding the same conduct.
Section 2: Division of Jurisdiction and Responsibility

A. Under authorization established in the by-laws of Emory University, the president has delegated to the Dean and faculties of each school of the University primary responsibility for identifying, correcting, and/or punishing conduct not in accordance with University standards.

B. Discretionary responsibility for handling extreme cases, where such action is essential to maintaining the orderly processes of the University, will be retained by the President.

C. It is contemplated that other officers or agencies of the University must and will promulgate rules and regulations applicable to the conduct of students in particular situations. These include such officers and agencies as having responsibility for housing, student health, food service, traffic and safety, athletics and other public events, libraries and student organizations and activities.

D. Students are subject to all such rules and regulations.

E. Serious violations of such rules and regulations should be reported to the Dean of the school in which the student is enrolled for handling through established conduct procedures.

F. The Vice President and Dean for Campus Life, or the Dean’s delegate acting in this capacity, is the officer of the University charged with the welfare of all students. This charge implies a prima facie responsibility in all matters relating to student discipline and conduct. Accordingly, the Dean for campus life or the Dean’s delegate in emergencies has full authority to deal with student conduct according to the exigencies of the emergency and for its duration. The office of the Vice President and Dean for Campus Life has been delegated responsibility pertaining to the conduct and welfare of all students, irrespective of divisional affiliation. In an emergency, therefore, the Dean for Campus Life shall not hesitate to take necessary and appropriate action with the full understanding that established procedures will be initiated when the emergency has passed.

Section 3: Conduct on Campus

A. The student should remember that the violation of any public law—city, county, state, or federal—by a student might result in a conduct charge being brought against that student. It is neither possible nor necessary to set forth beforehand every instance of misconduct that could result in disciplinary action against a student. While the following list is not exhaustive, examples of conduct offenses are outlined in items I-VIII below.

I. **Dishonesty**: Including knowingly furnishing false information to the University or its agents, counterfeiting, forging, or altering any University document, theft of any property of the University itself, or any property of any member of the University community, or its visitors or guests.

II. **Personal Abuse**: The intentional, wanton, or reckless physical abuse or serious verbal abuse of any person by a student on the campus or property owned or controlled by the University, or at a function under the University’s supervision or sponsorship or such abuse of a member of the Emory community at any location.

III. **Malicious Damage/Breaking or Entering**: Malicious damage by a student to the property of another member of the University community (student, faculty, or staff) or the property...
of the University itself, or to the property of any visitor or guest of the University or a
member of the University community. Breaking into a locked room, office, or facility of the
University, or entering a room, office, or facility of the University marked or understood to
be a prohibited or restricted area without authorization.

IV. **Disorderly Conduct and/or Disruption of Class or Research Space**: Interference by a
student by violence, force, disorder, obstruction, or vocal disruption of University activity,
or activity authorized or sponsored by the University or by any school, program, division,
or authorized student body, including disciplinary proceedings. Interference by a student
with the instructor’s right to conduct class as the instructor sees fit within the bounds of
academic freedom and responsibility. If a person other than the instructor brings charges
of interference with an instructor’s rights as defined above, the Dean or assistant/associate
Dean shall confer with the instructor before any formal charges are brought.

V. **Improper and/or Unauthorized Use of University Facilities**: The refusal by a student to
vacate a room, classroom, office, or facility of the University at a time when it is not open
or not available to the use of students generally, or the student or groups of students in
particular.

VI. **Drugs and Alcohol**: Emory University does not permit the use of illicit drugs or the
unauthorized use of drugs sometimes prescribed for medical purposes. Users, possessors,
and/or providers of such drugs violate federal laws and state laws. Students who possess
or use illicit drugs or who furnish drugs to others while on property owned or controlled by
the University are committing a serious conduct offense. Emory University does not permit
drunkenness or furnishing alcoholic beverages to underage persons (under 21) or
noticeably intoxicated persons. The full text of both the Emory Drug Policy and the Division
of Campus Life Alcohol Policy may be found in this handbook.

VII. **Stalking**: Behavior where a person follows, places under surveillance, or contacts another
person without the consent of the other person for the purpose of harassing and
intimidating the other person. The term “contact” means to make or attempt to make any
communication, including, but not limited to, communication in person, by telephone, by
mail, by broadcast, by computer or computer network, or by any other electronic device.
“Harassing and intimidating” refers to communication directed at a person that causes
emotional distress because of a reasonable fear for the person’s safety or safety of others,
and which serves no legitimate purpose. It does not require that an overt threat of death
or bodily injury be made.

VIII. **Sexual Harassment**: Unwelcome conduct, based on sex or on gender stereotypes, which is
so severe or pervasive that it unreasonably interferes with a person’s University
employment, academic performance or participation in University programs or activities
or creates a working, learning, program, or activity environment that a reasonable person
would find intimidating, hostile or offensive. Sexual harassment may include, for example,
an attempt to coerce an unwilling person into a sexual relationship; to repeatedly subject
a person to egregious, unwelcome sexual attention or advances; to punish a refusal to
comply with a sexual-based request; to condition a benefit on submitting to sexual
advances; sexual violence or sexual assault; intimate partner violence; stalking; gender-
IX. **Other Conduct Offenses:** Refusal to comply with the directions of Emory officials acting in proper performance of their duties. Other conduct offenses include lewd, indecent, or obscene conduct, or sexual misconduct on property owned or controlled by the University, violating Emory University Policies on Discriminatory Harassment and Sexual Assault.

Emory University’s Sexual Misconduct Policy, Policy 8.2 ([http://policies.emory.edu/8.2](http://policies.emory.edu/8.2)) applies to each of Emory’s schools, including to the students of the Laney Graduate School. Policy 8.2 sets forth a centralized reporting, investigation, and grievance/conduct process for allegations of sexual misconduct pursuant to Title IX of the Education Amendments of 1972 (Title IX). Policy 8.2, which is administered through the office of Emory’s **Title IX Coordinator for Students**, shall apply in the principal instance to address sexual misconduct allegation(s) in matters where the respondent is a student.

Although each student is also bound by the provisions of the Laney Graduate School’s conduct code, any investigation and adjudication pursued under Policy 8.2 shall take precedence over the Laney Graduate School’s separate conduct code or honor code provisions. If there are multiple violations implicated by a reported incident (e.g., a violation of Policy 8.2 in addition to a violation of Laney Graduate School policy), the student/respondent may either be subject to multiple conduct proceedings, depending on the particular facts involved or, upon the student’s request or request by the Title IX Coordinator for students, consent to a single proceeding under Policy 8.2, wherein all charges are adjudicated in one forum. At all times, however, the Laney Graduate School shall retain jurisdiction over any alleged violations of the Laney Graduate School’s conduct and honor codes, even if a conduct process is initially pursued against the responding student under Policy 8.2. Moreover, if a student is ultimately found not to have violated Policy 8.2, the student may still be subject to separate disciplinary proceedings under the Laney Graduate School’s policy. To the extent that there may be any conflicts between the Laney Graduate School’s policies and Policy 8.2, the provisions of 8.2 shall govern allegations of sexual misconduct.

**Section 4: Suspension**
A student may be summarily suspended for a temporary period for failure to comply with a specific and proper directive from an officer of the Laney Graduate School or the University acting in an official capacity, or if, in the opinion of the Dean of the Laney Graduate School, the student’s presence on the campus would be detrimental to the safety or security of persons or property of the institution. Such suspension shall be for a stated period of time during which conduct charges must be completed and a final decision of the Dean rendered. The duration and conditions of suspension shall be communicated to the student in writing except under extraordinary circumstances.

**Section 5: Pre-hearing Procedures**
Alleged or suspected cases of student misconduct shall be reported promptly to the Dean of the Laney Graduate School. Wherever “Dean” appears in this code, it shall include any person designated by the Dean of the Laney Graduate School to act in his or her stead. The Dean shall have the responsibility for gathering relevant evidence in the case. This investigation shall be completed within a reasonable length of time.

Cases identified by any office or on-campus agencies that involve students of the Laney Graduate
School shall be referred to the Dean of the Laney Graduate School for investigation. Any available evidence shall be transmitted from the office of campus life to the Laney Graduate School.

Following the compilation of relevant information, the accused student shall meet with the Dean of the Laney Graduate School at a time that is mutually convenient. The student shall have outlined the circumstances surrounding the alleged instance of violation of the code. At this meeting, the student will be advised of his/her rights and informed of the procedures of the Laney Graduate School in such matters.

At the end of this meeting, or shortly following this meeting, a written statement of charges will be made available to the student, informing the student of the alleged violation, describing the conduct alleged to constitute the violation and the student’s right to a hearing. This letter shall include the date, time, and place of the hearing and shall inform the student of the names of known persons who might appear as witnesses. This letter shall also inform the student of the right to select an adviser.

**Section 6: Hearing Procedure**

These hearings will not be conducted according to the procedures or rules of evidence of a court of law. The student shall have the right to have an adviser at the hearing that may, but need not, be a faculty member. The adviser shall be any member of the Laney Graduate School – student, faculty, or staff. In cases where this restriction poses a hardship in the view of the Dean, the student may, upon the approval of the Dean, select any non-attorney from within the University community as adviser. If the student is unable to secure an adviser, the Dean will attempt to secure one for the student.

There will be a minimum of a week, except for special circumstances, between the time the statement of charges is issued and the hearing, in order that the student may confer with his/her adviser and generally prepare for the hearing. If the student wishes, he or she may request a hearing at any earlier time, which request may be granted or denied at the discretion of the Dean.

The committee will consist of the following:

- Vice president of the LGSC, or the Vice President’s delegate who will act as Chair;
- A member of the LGSC not from the student’s program or the program of the Vice President or the Vice President’s delegate, appointed by the Vice President of the LGSC;
- Two members of the LGS graduate faculty, one of whom is from the student’s program division (sciences, social sciences, or humanities)

The student shall have the right to testify and the right to be present at the hearing. The student or the adviser shall have the right to question witnesses, to call a reasonable number of witnesses on the student’s behalf, to present documentary and physical evidence, and to make a closing statement. Members of the committee may question witnesses as well. The Chair of the committee may exclude any question that he or she finds inappropriate.

Should the accused, after proper notification, not appear at the time and place specified, the hearing might be conducted with the accused in absentia. In this event, the committee shall render its decision and recommendations based upon such evidence as it has before it.

Hearings shall be fair and impartial. The rules of evidence of courts of law shall not apply. Evidence
that, in the opinion of the Chair, is relevant and appropriate may be presented. Witnesses shall testify without oath, and signed statements may be submitted from witnesses who do not attend the hearing. Other than the witness testifying, only the members of the Hearing Committee, the adviser, a member of the decanal staff of the Laney Graduate School designated by the Dean, and the accused may be present during the hearing. A tape recording will be made of the hearing, except for the final deliberations of the committee. The Hearing Committee shall determine the weight and pertinence of the evidence.

At the conclusion of the presentation of evidence, the Hearing Committee shall retire to deliberate in secret. A three-fourths vote shall be required for a finding of a Conduct Code violation.

If the committee determines that there was a violation on the part of the accused student, the committee shall secure from the Dean the record of any previous University discipline proceedings where the student was found to have engaged in misconduct. On the basis of its findings in the case and the student's previous record, the committee shall render a recommendation by a plurality vote as to the proper sanction(s). The Dean, however, may impose a different sanction than that recommended by the Hearing Committee.

Section 7: Sanctions
If a student is found to have violated the Conduct Code, one or more of the following sanctions may be imposed:

A. **Warning.** The student shall be notified by letter, or by both letter and appointment with the Dean, that their conduct has violated Laney Graduate School standards for a specified period of time.

B. **Probation for a specified period of time.** The student shall be notified as under (A) that their conduct has violated Laney Graduate School standards and that another conduct offense will most likely bring harsher disciplinary action.

C. **Dismissal.** The student shall be notified as under (A) that the student’s conduct has violated graduate Laney Graduate School standards and that they should vacate the campus, and all buildings and property owned by the University, by a certain date. Dismissal generally will be for a specified time, after which the student may go through the standard application procedure for readmission. This sanction automatically invokes Sanction D below.

D. **Revocation of financial support.** A serious conduct offense may result in the revocation of financial support received from the University. This sanction may also be used in conjunction with other sanctions. Revocation of financial support is automatically applied with the recording of sanction C, “Dismissal.”

E. A recommendation that is different from those listed above, yet specific to the particular conduct issues involved.

Section 8: Post-hearing Procedure
In the case of a finding of a Conduct Code violation, the Hearing Committee shall promptly prepare a concise, but thorough, written summary of pertinent evidence and facts that shall be transmitted

Last Revision Date: November 8, 2021
to the Dean with the accompanying recommendation for sanction. After receipt of the summary, the Dean shall promptly transmit to the accused, in writing, their decision on the charge. The Dean may increase or decrease the severity of the recommended sanction. The student shall be notified by the Dean, in writing, of the decision and the sanction imposed.

Section 9: Appeal
The judgment of the Dean shall be final unless, within seven (7) days of that notification of the student, the Dean receives a written notice of appeal from the student. The notice shall state the grounds of the appeal. The only basis for an appeal will be new evidence or a documented demonstration of procedural irregularities in the hearing.

On receipt of the appeal, the Dean shall form an Appeal Committee to advise them concerning the case. The Appeal Committee shall consist of:

- Two members of the executive council of the Laney Graduate School appointed by the Dean, one of whom shall be appointed Chair of the Appeal Committee; and two
- Two members of the LGSC, not from the student’s program, appointed by the LGSC president.
- No member shall be appointed who has served on the Hearing Committee in that case or who was a participant in the proceedings before that committee.

The Appeal Committee may review the records in the case, may consult with members of the original Hearing Committee and confer with the Dean, or may decide to rehear the case.

In the case of a new hearing, the Appeal Committee shall notify the student in writing of the date, time, and location of the appeal hearing. The student and adviser shall have the rights specified in VI.C above and the hearing shall be conducted in accordance with the policy above.

The Appeal Committee shall promptly transmit to the Dean a written summary of its findings and its recommendations on whether to affirm, reverse, or modify the previous decision.

The Dean shall promptly notify the student in writing of their final decision on the appeal.

Section 10: Miscellaneous
Confidentiality: Because alleged instances of misconduct can have a serious impact on a student’s professional career and relations, all proceedings of the Hearing Committee and reviews of the Appeal Committee shall be carried out with due regard for privacy. It shall be the responsibility of the Chairs of the Hearing Committee and the Appeal Committee to take reasonable steps to see that this privacy is maintained. All evidence shall be considered confidential prior to, during, and after the proceedings here described.

This Conduct Code is effective July 1, 1992, and supersedes the Laney Graduate School Conduct Code that was revised in February 1984. The 1984 Laney Graduate School Conduct Code is hereby repealed.
Part III: Involuntary Withdrawal Policy and Procedure

Preamble

Emory University considers the safety and welfare of its students, faculty, and staff a top priority. When a student engages in behavior that violates Emory's rules of conduct, the behavior will be addressed as a disciplinary matter under the applicable Student Conduct Code. The Student Conduct Code defines prohibited conduct and outlines a process for conducting disciplinary proceedings.

This Involuntary Withdrawal Policy and Procedure is not a disciplinary code, policy, or process. It is not intended to apply to situations in which a student engages in behavior that violates the University’s rules of conduct. It is intended to apply when a student’s observed conduct, actions, and/or statements indicate a direct threat to the student’s health and/or safety or a direct threat to the health and/or safety of others. There may be situations in which both this Involuntary Withdrawal Policy and the Student Conduct Code may apply. In all cases, the Dean of the Laney Graduate School shall have final authority regarding the decision, enactment, enforcement, and management of the involuntary withdrawal of a student.

Section 1: Conditions

A student may be withdrawn involuntarily from Emory if the University determines that the student represents a direct threat to the health and safety of themselves or others by:

1. Engaging or threatening to engage in behavior which poses a high probability of substantial harm to themselves or others; or
2. Engaging or threatening to engage in behavior that would cause significant property damage, would directly and substantially impede the lawful activities of others or would interfere with the educational process and the orderly operation of the University.

Section 2: Procedure

When the Dean or their designee, based on a student’s conduct, actions, or statements, has reasonable cause to believe that the student meets one or more of the criteria for involuntary withdrawal, he or she may initiate an assessment of the student’s ability to safely participate in the University’s program.

An Assistant or Associate Dean initiates this assessment by first meeting with the student to:

- Review available information concerning the behavior and/or incidents that have caused concern;
- Provide the student with a copy of this Involuntary Withdrawal Policy and Procedure and discuss its contents with the student;
- Provide the student an opportunity to explain their behavior; and
- Discuss options available to the student, including counseling, voluntary withdrawal, and evaluation for involuntary withdrawal.

If the student agrees to withdraw voluntarily from the University and waives any right to any further procedures available under this policy, the student will be given a grade of W for all courses, will be advised in writing of any conditions necessary before re-enrollment, and will be referred for appropriate mental health services.

If the student refuses to withdraw voluntarily from the University, and the Assistant or Associate...
Dean continues to have reasonable cause to believe the student meets one or more of the criteria for involuntary withdrawal, the Assistant or Associate Dean may require the student to be evaluated by an appropriate mental health professional.

Section 3: Evaluation

The Assistant or Associate Dean may refer the student for a mandatory evaluation by an appropriate mental health professional. The mental health professional may be selected by the University, so long as there is no cost to the student for the evaluation. A written copy of the involuntary referral shall be provided to the student.

The evaluation must be completed within five school days after the date the referral letter is provided to the student. Prior to the evaluation, the student will be required to sign a written authorization authorizing the exchange of relevant information among the mental health professional(s) and the University. Upon completion of the evaluation, copies of the evaluation report will be provided to the Assistant or Associate Dean and the student.

The mental health professional making the evaluation shall make an individualized and objective assessment of the student’s ability to safely participate in Emory’s program, based on a reasonable professional judgment relying on the most current medical knowledge and/or the best available objective evidence. This assessment shall include a determination of the nature, duration, and severity of the risk posed by the student to the health or safety of themself or others, the probability that the potentially threatening injury will occur, and whether reasonable modifications of policies, practices, or procedures will sufficiently mitigate the risk. The mental health professional will, with appropriate authorization, share their recommendation with the Assistant or Associate Dean, who will consider this recommendation in determining whether the student should be involuntarily withdrawn from Emory. A copy of the mental health professional’s recommendation will be provided to the student, unless, in the opinion of the mental health professional, it would be damaging to the student to do so.

If the evaluation results in a determination by the mental health professional that the student’s continued attendance presents no significant risk to the health or safety of the student or others, and no significant threat to the property, to the lawful activities of others, or the educational processes and orderly operations of the University, no further action shall be taken to withdraw the student from the University.

If the evaluation results in a determination that the continued attendance of the student presents a significant risk to the health or safety of the student or others, such that there is a high probability of substantial harm, or a significant threat to the property, to the lawful activities of others, or the educational processes and orderly operations of the University, the student may be involuntarily withdrawn from the University. In such an event, the student shall be informed in writing by the Assistant or Associate Dean of the involuntary withdrawal, of the student’s right to an informal hearing, of their right to appeal the decision of the hearing officer, and any conditions necessary for re-enrollment. In most cases, a student who is involuntarily withdrawn will be given a grade of W in all courses in which the student is currently enrolled.

Section 4: Informal Hearing

A student who has been involuntarily withdrawn may request an informal hearing before a hearing officer appointed by the Assistant or Associate Dean by submitting a written request to be heard.
within two business days from receipt of the notice of involuntary withdrawal. A hearing will be set as soon as possible. The student shall remain involuntarily suspended pending completion of the hearing.

The hearing shall be informal and non-adversarial. During the hearing, the student may present relevant information and may be advised by an Emory faculty or staff member or a licensed health professional of his/her choice. The role of the advisor is limited to providing advice to the student. After the hearing, the hearing officer shall decide whether to uphold the involuntary withdrawal or whether to reconsider, and the student shall be provided written notice of the hearing officer’s decision as soon as possible.

Section 5: Appeal to the Dean
The student may appeal the hearing officer’s decision to the Dean, who shall review all information presented and make a final decision as to whether to uphold the involuntary withdrawal.

Section 6: Emergency Suspension
The University may take emergency action to suspend a student pending a final decision on whether the student will be involuntarily withdrawn, in situations in which:

- There is imminent danger of serious physical harm to the student or others;
- There is imminent danger of significant property damage;
- The student is unable or unwilling to meet with the Assistant or Associate Dean;
- The student refuses to complete the mandatory evaluation; or
- The Assistant or Associate determines such other exceptional circumstances exist that suspension is warranted.

In the event emergency action is taken to suspend the student on an interim basis, the student shall be given notice of the emergency suspension and an initial opportunity to address the circumstances on which the emergency suspension is based.

Section 7: Conditions for Readmission
Because this Involuntary Withdrawal Policy applies to cases in which there is a concern about the safety of the student or others, the Dean or their designee may require a student who has been involuntarily withdrawn under this Policy to be re-evaluated before they are readmitted to assure that they do not present a direct threat to themself or others.

Part IV: LGS Grievance Procedure
Students who wish to outline grievances or disagreements of an intra-program nature should first address either the program Chair or the appropriately designated committee in their program. Students who do not receive satisfaction through these channels, or who believe that they have recognized academic or professional problems that cannot be presented profitably to their programs, may present grievances to the Laney Graduate School Committee on Grievances. This committee is composed of three graduate faculty members. Any student who wishes to present grievances in academic matters to the Laney Graduate School Committee on Grievances should communicate with the Senior Associate Dean of the Laney Graduate School.

To file a formal complaint, the student is required to submit a written statement to the

Last Revision Date: November 8, 2021
committee addressed to the Senior Associate Dean of the Laney Graduate School. This statement must state concisely the grievance to be considered; describe fully the nature of the grievance, the evidence available in support of the grievance, and all circumstances surrounding the events in question; and describe previous efforts to resolve the difficulty. This written statement and any supporting documentation may be shared with others deemed appropriate by the committee.

Upon receipt of the formal complaint, the committee may request additional information from or about the student, and statements from other parties. The committee may also request to meet with the student or other parties involved. Such meetings are for informational purposes only. No party may be represented by another, or accompanied by a representative, except on the express invitation of the committee. The committee may meet and discuss the case after sufficient information has been acquired.

On the basis of the written statement and any other information requested or available to it, the committee will make a recommendation to the Dean. The committee will provide the Dean all supporting documentation relevant to its considerations. Ultimate responsibility for deciding the legitimacy of the grievance and determining any further action rests with the Dean. The Dean will inform the student and the committee of his or her decision.

Student appeals beyond the Laney Graduate School Committee on Grievances may be addressed to the Laney Graduate School Executive Council. The Dean of the Laney Graduate School or an elected faculty member designated by the Dean will preside, and, consistent with the policy that the faculty has final authority in academic matters, the decision of the Executive Council will be final.

Use of the Laney Graduate School grievance procedure will not prejudice in any way a student’s rights under the University’s Student Grievance Procedure. (08/95)

Emory Policy 10.12 Student Complaints:

Section 1: Emory Policy Overview

Emory University is committed to receiving and addressing written student complaints against the University, its faculty, staff, or administrative personnel in a timely manner. Appropriate procedures are described below and should be adhered to in response to student complaints. Students should first attempt to resolve their complaints with the office most directly responsible for the action being challenged. Each school at Emory has an office of Student Services that can further assist students and direct them within their specific school if they are uncertain about where to start. In addition, students may use the ombudsperson to assist with complaints if they are uncertain or wish to discuss a situation confidentially before taking more formal action.

Federal financial aid laws and regulations require that each state has a process to review and act on complaints concerning educational institutions in the state. You may file a complaint about Emory University with the State of Georgia Office of Inspector General (OIG) by following the directions on the OIG website. If OIG receives a student complaint relating to financial aid, it will forward it to the Office of Inspector General of the U.S. Department of Education.
Selected University Policies

**Emory University Communication Policy:** Email is the primary medium for official communication with students at Emory University. Each registered student is assigned an official email address by the University. All University communications sent via email will be sent to this address. Students are expected to maintain their accounts and check their email regularly so that new mail will be properly received and read. Certain communications may be time critical.

**Emory University Accreditation:** Emory University is accredited by the Southern Association of Colleges and Schools Commission on Colleges to award associate, baccalaureate, master’s, doctorate and professional degrees. Contact the Commission on Colleges at 1866 Southern Lane, Decatur, Georgia 30033-4097 or call 404.679.4500, or visit the web at http://www.sacscoc.org for questions about the accreditation of Emory.

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**Policy 1.3**

**Equal Opportunity and Discriminatory Harassment Policy**

**Responsible Official:** University President

**Administering Division/Department:** Office of Equity and Inclusion (formerly Equal Opportunity Programs or EOP)

**Effective Date:** April 13, 2007

**Last Revision:** June 02, 2015

**Policy Sections:**

I. Overview
II. Applicability
III. Policy Details
IV. Related Links
V. Contact Information
VI. Revision History

**Overview**

**EMORY UNIVERSITY NONDISCRIMINATION STATEMENT**

Emory University is an inquiry-driven, ethically engaged, and diverse community dedicated to the ideals of free academic discourse in teaching, scholarship, and community service. Emory University abides by the values of academic freedom and is built on the assumption that contention among different views is positive and necessary for the expansion of knowledge, both for the University itself and as a training ground for society at large. Emory is committed to the widest possible scope for the free circulation of ideas.

The University is committed to maintaining an environment that is free of unlawful harassment and discrimination. Pursuant to the University’s commitment to a fair and open campus environment and in accordance with federal law, Emory cannot and will not tolerate discrimination against or harassment of any individual or group based upon race, color, religion, ethnic or national origin, gender, genetic information, age, disability, sexual orientation, gender identity, gender expression, veteran’s status, or any factor that is a prohibited consideration under applicable law. Emory University welcomes and promotes an open and genuinely diverse environment.
This policy is a republishing of the Emory University Equal Opportunity and Discriminatory Harassment Policy, which previously was published at: http://www.emory.edu/EEO/equalopportunitydiscriminatoryharassment.htm

This policy also supersedes and retires Policy 8.6, Grievance Procedures – Employee and Student Complaints of Discrimination, and unifies the grievance process. The effective date represents only the date that this version was published on policies.emory.edu and does not reflect the original effective date of this policy.

Applicability

This Policy shall apply to persons who are employees and students of Emory University, vendors, contractors, guests, patrons, and other third parties participating in any Emory-sponsored event or program, whether on or off campus, and to such persons in other situations in which the respondent is acting as a member of the Emory community.

Complaints Against Students

Students are bound by the principles outlined in this policy. However, complaints against students (when acting in the capacity as a student) shall be resolved under the Conduct Code provided by that student’s school or college unless the student’s school or college conduct code provides otherwise. Investigation of complaints against students who are acting in the capacity of an employee shall be conducted by the Director of Office of Equity and Inclusion (OEI) and/or
the Title IX Coordinator, or his or her designee, who shall report his or her findings and recommendations to the
Senior Vice President and Dean for Campus Life and the Dean of the school or college in which the student is
enrolled.

Sexual Harassment Complaints Against Students

Sexual Misconduct is a form of gender discrimination prohibited by Title IX of the Education Amendments of 1972.
Title IX specifically prohibits sexual harassment and sexual misconduct in the educational setting. Emory
University has adopted a separate Sexual Misconduct Policy, University Policy 8.2 that applies to student-on-
student allegations or allegations in which the respondent is a student. Policy 8.2 explains how to report
allegations of sexual misconduct, and sets forth detailed procedures designed to provide a fair process for parties
when students are involved in allegations of sexual misconduct.

Policy Details

1.31. EQUAL OPPORTUNITY POLICY

Emory University is dedicated to providing equal opportunities to all individuals regardless of race, color, religion,
ethnic or national origin, gender, genetic information, age, disability, sexual orientation, gender identity, gender
expression, and veteran’s status. Emory University does not discriminate in admissions, educational programs, or
employment on the basis of any factor stated above or prohibited under applicable law. Students, faculty, and staff
are assured of participation in University programs and in the use of facilities without such discrimination. Emory
University complies with all applicable equal employment opportunity laws and regulations, and follows the
principles outlined above in all aspects of employment including recruitment, hiring, promotions, transfers,
discipline, terminations, wage and salary administration, benefits, and training.

1.3.2. DISCRIMINATORY HARASSMENT POLICY

In keeping with its commitment to maintaining an environment that is free of unlawful discrimination and with its
legal obligations, Emory maintains a policy prohibiting unlawful harassment. Discriminatory harassment of any
kind, whether it is sexual harassment or harassment on the basis of race, color, religion, ethnic or national origin,
gender, genetic information, age, disability, sexual orientation, gender identity, gender expression, veteran’s
status, or any factor that is a prohibited consideration under applicable law, by any member of the faculty, staff,
administration, student body, a vendor, a contractor, guest or patron on campus, is prohibited at Emory.

At the same time, Emory recognizes the centrality of academic freedom and the University’s determination to
protect the full and frank discussion of ideas. (See Policy 8.14.) Thus, discriminatory harassment does not refer to
the use of materials for scholarly purposes appropriate to the academic context, such as class discussions,
aademic conferences, or meetings. Additionally, discriminatory harassment does not refer to participation in
lawful protests, public forums, or campus publications established for the purpose of freely expressing opinions or
ideas in the university community.

A. Discriminatory Harassment of a Sexual Nature

Sexual harassment includes unwelcome conduct, based on sex or gender stereotypes, when;

- Submission to such conduct is made either explicitly or implicitly a term or condition of an individual’s employment
  or student status or;
- Submission to or rejection of such conduct is used as the basis for employment or academic decisions affecting
  such individual or;
- Such conduct is so severe and/or pervasive it has the purpose or effect of unreasonably interfering with a
  person’s university employment, academic performance or participation in university programs or activities, or
  creates a working, learning, program or activity environment that a reasonable person would find intimidating,
  hostile or offensive.

Depending upon the severity and/or pervasiveness of the conduct, sexual harassment may include, for example,
subjecting a person to egregious, unwelcome sexual attention, physical or verbal advances, sexual flirtations or
propositions, vulgar talk or jokes, degrading graphic materials or verbal comments of a sexual nature about an
individual or his or her appearance, or the display of sexually suggestive objects outside a scholarly context and
Sexual harassment includes sexual misconduct, sexual violence, sexual assault, intimate partner violence, stalking, and gender-based bullying. Prohibited sexual harassment in the working or learning environment includes an attempt to coerce an unwilling person into a sexual relationship; to punish a refusal to comply with a sexual based request; to condition a benefit on submitting to sexual advances, and to make direct or implied threats that submission to sexual advances will be a condition of employment or academic opportunity. Sexual harassment may also occur in the form of unwelcome, sexually suggestive cartoons, pictures, email, text, tweets, video or other graphic materials that may contribute to a hostile working or learning environment.
The alleged harasser may be a member of the faculty, staff, administration, student body, a vendor, a contractor, a guest or patron on campus.

B. Discriminatory Harassment of a Non-Sexual Nature

Emory’s policy prohibits discriminatory harassment of a non-sexual nature, which includes verbal, physical, or graphic conduct that denigrates or shows hostility or aversion toward an individual or group on the basis of race, color, religion, ethnic or national origin, gender, genetic information, age, disability, sexual orientation, gender identity, gender expression, veteran’s status, or any factor that is a prohibited consideration under applicable law, and that is so severe and/or pervasive it:

- **Has the purpose or effect of creating an intimidating, hostile, or offensive employment, educational, or living environment; or**
- **Has the purpose or effect of unreasonably interfering with an individual’s work performance or a student’s academic performance.**

Depending upon its severity and/or pervasiveness, the prohibited behavior may include conduct or material (physical, oral, written, graphic, electronic messages or media posted or circulated in the community) involving epithets, slurs, negative stereotyping, threatening, intimidating, or hostile acts, that serve no scholarly purpose appropriate to the academic context and gratuitously denigrates or shows hostility or aversion toward an individual or group because of race, color, religion, ethnic or national origin, gender, genetic information, age, disability, sexual orientation, gender identity, gender expression, veteran’s status, or any factor protected by applicable law.

The alleged harasser may be a member of the faculty, staff, administration, student body, a vendor, a contractor, a guest or patron on campus.

C. Reporting to Office of Equity and Inclusion (formerly Equal Opportunity Programs or EOP)

Emory encourages anyone who has knowledge of discrimination on campus to report alleged violations of this policy. Because discriminatory harassment interferes with the University’s educational mission and may be unlawful, anyone who becomes aware of discrimination or discriminatory harassment committed by a member of the faculty, staff, administration, student body, a vendor, a contractor, guest or patron on campus, is encouraged to report the harassment to the Director of the Office of Equity and Inclusion (OEI).

Emory faculty, administrators and supervisors are required to immediately report any employment complaints they receive or incidents of discrimination or discriminatory harassment they witness, to their immediate supervisor or to the Office of Equity and Inclusion.

Contact Information:

Maurice Middleton  
Director  
Office of Equity and Inclusion  
Emory University  
201 Dowman Drive  
Administration Bldg,  
Ste 305 Atlanta, GA  
30322  
MS: 1000-001-1AX  
(404) 727-6198/(404) 712-9108 fax  
maurice.middleton2@emory.edu

OR

Lynell A. Cadray  
Associate Vice  
Provost  
Office of Equity and Inclusion  
University Title IX Coordinator  
Emory University  
201 Dowman Drive
D. Prohibition Against Retaliation

Retaliation against an individual who, in good faith, complains about or participates in an investigation or a hearing relating to an allegation of discrimination or harassment is prohibited. Any individual who feels retaliated against, or
has been threatened with retaliation, should report that allegation immediately to the Office of Equity and Inclusion (OEI).

E. False Accusations

Anyone who knowingly makes a false or bad faith accusation of discrimination, harassment, or retaliation will be subject to appropriate sanctions. However, failure to prove a claim of discrimination, harassment, or retaliation does not, in and of itself, constitute proof of a knowingly false accusation.

1.3.3. INVESTIGATION AND RESOLUTION PROCESSES

Individuals who believe that they have experienced or have information about acts of discrimination or discriminatory harassment may seek resolution through one of the methods discussed below. The University’s response to the alleged discrimination will depend upon the severity and pervasiveness of the alleged conduct, which may be determined by the existence of prior incidents of harassment or discrimination. Depending upon the severity of the offense, however, a single violation of this Policy may be sufficient to support a violation.

The University will take seriously every allegation or report of discrimination or harassment received. Emory University’s response is intended to ensure that all parties involved receive fair treatment, and that allegations are handled in a prompt, thorough and equitable manner.

A. Direct Communication with the Alleged Harasser

If the aggrieved person feels comfortable speaking directly with the alleged offending person to address concerns and obtain an appropriate resolution, he or she is encouraged to do so. While this method of resolution may be successful in solving the immediate problem, unless information is provided through the reporting channels covered in this policy, Emory may remain unaware of the issue and be unable to take any additional steps that might be necessary to address broader concerns. Individuals who choose not to address the alleged harasser directly, or who have not obtained a satisfactory resolution following such a discussion, are encouraged to utilize one of the other methods outlined below for addressing their concerns.

B. Filing an internal complaint with the Emory University Office of Equity and Inclusion

If a member of the Emory University community believes that he or she has been the victim of discrimination or discriminatory harassment or has information about discrimination/harassment in the university community, he or she may promptly report, without fear of reprisal, the facts of the incident and the name(s) of the individual(s) involved to the Office of Equity and Inclusion, located in Suite 305 of the Administration Building, or call the Office of Equity and Inclusion at (404) 727-9867. This report initiates a complaint.

Alternatively, a member of the university community may report the situation to his or her immediate supervisor, department head, or Dean, who will immediately notify OEI of the report. This report initiates a complaint. Supervisors must immediately report any complaints they receive or incidents of alleged harassment or discrimination they witness to the Office of Equity and Inclusion. However, if the complaint relates to a member of the Office of Equity and Inclusion, the complaint should be directed to the Supervisor of the Director of the Office of Equity and Inclusion, who shall appoint an appropriate investigator.

The Office of Equity and Inclusion (or an alternate investigator, where appropriate) will promptly, fairly and thoroughly investigate all timely claims of harassment and discrimination, regardless of whether such complaints are reduced to writing. All complaints of discrimination and harassment will be treated in the strictest confidence possible under the particular circumstances.

All complaints of discrimination or harassment should be filed as soon after the alleged offending conduct as possible, but in no event more than 180 calendar days after the most recent conduct alleged to constitute discrimination or harassment.

Emory will not retaliate or take any adverse action against anyone for truthfully reporting conduct that he or she believes to be in violation of this Policy, or for participating in good faith in an investigation of alleged discrimination or harassment, or for participating in any proceeding or hearing relating to such complaints.

Upon receipt of a complaint, the Director of the Office of Equity and Inclusion (or an appropriate alternate investigator) will assign an investigator who will, within forty-five (45) work days, investigate the circumstances of the
allegations. However, if additional time is needed to conduct a thorough investigation, OEI may, at its discretion, extend the time for completing the investigation as reasonably necessary. In this case, OEI will notify the complainant and the respondent of the extension.

The investigation will include interviews with the complaining party, the respondent, and any material witnesses identified, as well as a review of any documents or other evidence. The complaining party and the respondent will be kept apprised of the conduct of the investigation and will be given the opportunity to provide any additional relevant information to the investigator, including the names of additional witnesses to contact and/or additional documents to review before the investigation is closed. At any time before the conclusion of the investigation, the Dean or equivalent
division head of the unit of the University to which the respondent is assigned may take interim emergency action
(not involving reduction of compensation) until the conclusion of the investigation.

The final written determination will state only whether, based on OEI’s investigation, there was a violation of
this Policy. The complainant and respondent will be promptly notified of the final determination. The Office of
Equity and Inclusion shall have no independent authority to impose sanctions.

If OEI finds that there has been a violation of this policy and if the Dean or division head seeks advice as to the
appropriate penalty, OEI may provide a recommendation as to the appropriate sanction. The Dean or division head
will then be responsible for deciding upon and imposing disciplinary action as soon as reasonably possible, but
within no more than one month after receiving the final determination and advice of OEI. The Dean or deciding
official shall notify OEI of the penalty imposed, if any.

Sanctions imposed on those individuals who have been found to be in violation of the University’s Equal
Opportunity Policy or its Discriminatory Harassment Policy shall be commensurate with the severity and/or
frequency of the conduct, and shall be adequate and sufficient to prevent such conduct in the future. The sanctions
may include, but are not limited to, an apology to the victim; a verbal or written reprimand; a requirement to
attend remedial training; appropriate workplace restrictions; denial of a merit pay increase or other benefit; denial
of promotion; or reassignment, suspension or separation from the University. Staff members who receive
disciplinary penalties under this policy may consult Human Resources for information about the Grievance process,
which may be used to challenge alleged violations, misinterpretations, or inequitable application of policies or
procedures.

D. Issues Specific to Faculty

If at any time during the investigation, a bona fide question arises out of a conflict between the principles of
academic freedom and the requirements of this Policy, the respondent or Director of the Office of Equity and
Inclusion may request that the Provost or his/her designee appoint a Faculty Review Panel to review the evidence
and to provide advice to OEI as to whether there was a violation of Policy. If the Provost agrees that the situation
involves a bona fide conflict between the principles of academic freedom and the requirements of this Policy, the
Provost shall appoint a Faculty Review Panel. The convening, investigation and recommendation of the Faculty
Review Panel will be concurrent with the investigation of OEI. The Faculty Review Panel will consist of a group of 5
to 7 faculty members, 3 of whom are from the respondent’s school, who will be chosen by the Provost from among
a pool of eligible faculty members who are elected by University faculty. Once selected by the Provost, the Faculty
Review Panel may question the respondent, the complainant, and any other witness necessary to adequately
address the issue. The Faculty Review Panel may also review the OEI investigatory file and any other documentary
evidence needed. The procedures shall be kept as confidential as possible so as to respect the rights of all involved
parties. At the conclusion of its review, the Faculty Review Panel shall provide a recommendation to OEI as to
whether it believes that there was a violation of the Discriminatory Harassment Policy. OEI shall include the
recommendation of the Faculty Review Panel in submitting the final report to the Dean. The Dean shall make the
final decision as to what, if any, sanctions may be appropriate under the circumstances.

Following a determination of sanctions, faculty may avail themselves of avenues of appeal as listed in the Statement
of Principles Governing Faculty Relationships. Specifically, a faculty member shall be entitled to a hearing of the
Faculty Hearing Committee when the sanction imposed by the Dean for violation of this Policy is the suspension,
transfer, or termination of his/her employment.

E. Filing an External Complaint

An individual who believes that he or she has been subjected to unlawful discrimination, harassment, or retaliation
has the right to file a complaint with an appropriate local, state, or federal agency, such as the Department of
Education Office of Civil Rights (OCR) http://www2.ed.gov/about/offices/list/ocr/index.html or the Equal
Employment Opportunity Commission (EEOC) http://www.eeoc.gov/, within applicable time limits. In addition, any
person who is dissatisfied with Emory’s internal procedures utilized for handling complaints, or who is dissatisfied
with the result of the investigation or the sanctions imposed, may seek redress through the EEOC, to the extent
allowed by law. The complainant should be aware that filing a complaint with the University’s Office of Equity and
Inclusion or other University resource does not extend or postpone the deadline for filing with external agencies. In
the event that a complaint is filed with an external agency or court, the University reserves the right to determine,
at its discretion, whether the University’s internal complaint resolution procedure should be discontinued or
continued separately.
1.3.4. COMPLAINTS AGAINST VENDORS, CONTRACTORS AND THIRD PARTIES

Emory’s commitment to providing members of its community with a working and learning environment that is free of discriminatory harassment includes freedom from inappropriate conduct by vendors, contractors, and third parties. If a member of the University community believes he or she has been subjected to harassing conduct by a vendor, contractor, or third party, he or she should report such conduct to the Office of Equity and Inclusion, to his or her immediate supervisor or Dean, or to a higher University official. Such complaints should be forwarded to the Office of Equity and Inclusion immediately. OEI will work with the complaining party to investigate the complaint, and the University will take prompt corrective action if inappropriate conduct is found to have occurred.
1.3.5 DEFINITIONS

**Allegation** - A statement by a complainant that an act of harassment or discrimination has occurred.

**Coercion** - Coercion is unreasonable pressure for sexual activity. Coercive behavior differs from seductive behavior based on the type of pressure someone uses to get consent from another. When a person makes clear that the person does not want sex, wants to stop, or that going past a certain point of sexual interaction is unwanted, continued pressure beyond that point can be coercive.

**Complainant** - The person making an allegation or complaint of discrimination.

**Complaint** - A formal notification, either orally or in writing, of the belief that discrimination or violation of this Policy has occurred.

**Consent** - Consent is clear, unambiguous, and voluntary agreement between participants to engage in specific sexual activity. Consent is active, not passive, and is given by clear actions or words. Consent may not be inferred from silence, passivity, or lack of active resistance alone. A current or previous dating or sexual relationship is not sufficient to constitute consent, and consent to one form of sexual activity does not imply consent to other forms of sexual activity. Being intoxicated does not diminish one’s responsibility to obtain consent. In some situations, an individual may be deemed incapable of consenting to sexual activity because of circumstances or the behavior of another, or due to their age. Examples of such situations include, but are not limited to, incompetence, impairment from alcohol and/or other drugs, fear, unconsciousness, intimidation, coercion, confinement, isolation, or mental or physical impairment.

**Force** - The use of physical violence and/or imposing on someone physically to gain sexual access. Force also includes threats, intimidation (implied threats) and coercion that overcomes resistance or produces consent. There is no requirement that a person has to resist the sexual advance or request, but resistance is a clear demonstration of non-consent. The presence of force is not demonstrated by the absence of resistance. Sexual activity that is forced is by definition non-consensual, but non-consensual sexual activity is not by definition forced.

**Incapacitation** - Incapacity can result from mental disability, sleep, involuntary physical restraint, or from intentional or unintentional taking of alcohol and or other drugs. An incapacitated person does not have the ability to give knowing consent. Sexual activity with a person who one should know to be – or based on the circumstances should reasonably have known to be – mentally or physically incapacitated, constitutes a violation of this policy. The perspective of a reasonable person will be the basis for determining whether one should have known about the impact of the use of alcohol and/or drugs on another’s ability to give consent.

**Intimate Partner Violence (IPV)** - Physical, sexual, or psychological harm by a current or former partner or spouse. This type of violence can occur among heterosexual or same-sex couples, whether cohabitating or not, and does not require sexual intimacy. IPV can vary in frequency and severity, can occur on a continuum, and can include acts of physical violence, sexual violence, threats of physical or sexual violence, or psychological or emotional violence.

Psychological or emotional violence is a broad term that results in trauma to a victim caused by acts, threats of acts, or coercive tactics, and can include acts of humiliation, intimidation, isolation, stalking, and harassment.

**Non-Consensual Sexual Contact** - Any intentional sexual touching by a person upon a person, that is without consent and/or by force. This includes, but is not limited to, intentional contact with the breasts, buttocks, groin, or genitals, or touching another with any of these body parts, or making another touch oneself or themselves with or on any of these body parts; any intentional bodily contact in a sexual manner, though not involving contact with/of/by breasts, buttocks, groins, genitals, mouth or other orifice, with any object.

**Non-Consensual Sexual Intercourse** - Any sexual intercourse, however slight, by a person upon a person, that is without consent and/or by force. Intercourse includes, but is not limited to, vaginal penetration by a penis, object, tongue or finger; anal penetration by a penis, object, tongue, or finger; and oral copulation (mouth to genital contact or genital to mouth contact), no matter how slight the penetration or contact.

**Respondent** - Refers to the person against whom the allegation or complaint of discrimination or harassment is made. Under this policy, respondents include employees and students of Emory University, vendors, contractors, guests, patrons, and other third parties participating in any Emory-sponsored event or program, whether on or off campus, and to such persons in other situations in which a person is acting as a member of the Emory community.

**Sexual Exploitation** - Occurs when a person takes non-consensual or abusive sexual advantage of another for
his/her own advantage or benefit, or to benefit or advantage anyone other than the one being exploited. Examples of sexual exploitation include, but are not limited to the following:

- invasion of sexual privacy;
- prostituting another person;
- non-consensual video or audio-taping of sexual activity;
- going beyond the boundaries of consent;
- observing unsuspecting individuals who are partly undressed, naked, or engaged in sexual acts;
- knowingly transmitting a sexually transmitted infection or HIV to another person;
- exposing one’s breasts, buttocks, groin, or genitals, in non-consensual circumstances; inducing another to expose
their breasts, buttocks, groin, or genitals; 
• sexually-based stalking and/or bullying may constitute a form of sexual exploitation, as well as a form of sexual harassment, as discussed above.

**Sexual Harassment** - Unwelcome conduct, based on sex or on gender stereotypes, which is so severe or pervasive that it unreasonably interferes with a person’s university employment, academic performance or participation in university programs or activities or creates a working, learning, program or activity environment that a reasonable person would find intimidating, hostile or offensive. Sexual harassment may include, for example, an attempt to coerce an unwilling person into a sexual relationship; to repeatedly subject a person to egregious, unwelcome sexual attention or advances; to punish a refusal to comply with a sexual based request; to condition a benefit on submitting to sexual advances; sexual violence or sexual assault; intimate partner violence; stalking, or gender-based bullying.

**Sexual Misconduct** - Sexual misconduct encompasses sexual harassment, non-consensual sexual contact (or attempts to commit same), non-consensual sexual intercourse (or attempts to commit same), and sexual exploitation. Sexual misconduct can occur between strangers or acquaintances, including people involved in an intimate or sexual relationship. Sexual misconduct can be committed by persons of any gender or sex, and it can occur between people of the same or different sex.

**Stalking** - Behavior where a person follows, places under surveillance, or contacts another person without the consent of the other person for the purpose of harassing and intimidating the other person. The term “contact” means to make or attempt to make any communication, including, but not limited to: communication in person, by telephone, by mail, by broadcast, by computer or computer network, or by any other electronic device. “Harassing and intimidating” refers to communication directed at a person that causes emotional distress because of a reasonable fear for the person’s safety or safety of others, and which serves no legitimate purpose. It does not require that an overt threat of death or bodily injury be made.

1.3.6 ADDITIONAL UNIVERSITY RESOURCES

All Emergencies (any campus/location) 9-1-1
Emory Police Department 404.727.6111 or 404.727.8005 Emory Police Department TIPS line
404.727.8477/TIPS

The Respect Program, Office of Student Health (Sexual Assault/Relationship Violence Response) 404-727-1514

**Faculty Staff Assistance Program**
1762 Clifton Road NE, Suite 1100, Atlanta, GA 30322, 404.727.4328

Emory University Human Resources Employee Relations
Department 1599 Clifton Road, NE
Atlanta, GA 30322
404.727.7625

Campus Life Offices
404.727.4364 Student Health
404.727.7551

Emory Trust Line 1.888.550.8850 (for non-emergencies) DeKalb Rape Crisis Center
404.377.1428
Related Links

- Current Version of This Policy: http://policies.emory.edu/1.3
- Sexual Misconduct Policy (http://policies.emory.edu/8.2)
- Respect for Open Expression Policy (http://policies.emory.edu/8.14)

Contact Information

<table>
<thead>
<tr>
<th>Subject</th>
<th>Contact</th>
<th>Phone</th>
<th>Email</th>
</tr>
</thead>
<tbody>
<tr>
<td>Clarification of Policy</td>
<td>Office of Equity and Inclusion</td>
<td>404-727-9867</td>
<td><a href="mailto:maurice.middleton2@emory.edu">maurice.middleton2@emory.edu</a></td>
</tr>
<tr>
<td>File A Complaint</td>
<td>Office of Equity and Inclusion</td>
<td>404-727-9867</td>
<td><a href="mailto:maurice.middleton2@emory.edu">maurice.middleton2@emory.edu</a></td>
</tr>
</tbody>
</table>
Revision History

- Version Published on: Aug 28, 2014 (Updated contact)
- Version Published on: Aug 28, 2014 (Update with office name change)
- Version Published on: Jan 16, 2014 (Rewrite of policy)
- Version Published on: Jan 18, 2012 (Contact information update)
- Version Published on: Jan 09, 2012
- Version Published on: Apr 13, 2007 (revised to include gender identity and expression)
- Version Published on: Apr 02, 2007 (OriginalPublication)

*Emory University policies are subject to change at any time. If you are reading this policy in paper or PDF format, you are strongly encouraged to visit policies.emory.edu to ensure that you are relying on the current version.*
Policy 8.2
Sexual Misconduct

Responsible Official: SVP and Dean for Campus Life
Administration
Division/Department: Campus Life
Effective Date: May 24, 2007
Last Revision: September 26, 2016

Policy Sections:

I. Overview
II. Applicability
III. Policy Details
IV. Definitions
V. Related Links
VI. Contact Information
VII. Revision History

Overview

Emory University is committed to maintaining an environment that is free of unlawful harassment and discrimination. Thus, in accordance with federal law and its commitment to a fair and open campus environment, Emory cannot and will not tolerate discrimination against or harassment of any individual or group based upon race, sex, color, religion, ethnic or national origin, gender, genetic information, age, disability, sexual orientation, gender identity, gender expression, veteran’s status, or any factor that is a prohibited consideration under applicable law.

Title IX of the Educational Amendments of 1972 protects people from sex discrimination in educational programs and activities at institutions that receive federal financial assistance. Emory fosters a safe learning and working environment that supports academic and professional growth of students, staff, and faculty and does not tolerate sexual misconduct in its community and will take prompt action when misconduct occurs.

This Policy covers sexual misconduct committed by Emory University students. Sexual misconduct is a form of sexual harassment that is prohibited under federal law and the Emory University Equal Opportunity and Discriminatory Harassment Policy (Policy 1.3). Sexual misconduct can occur in many forms, including, but not limited to, sexual harassment, domestic violence, dating violence, intimate partner violence, sexual assault, and stalking.

The university will take seriously every allegation or report of sexual misconduct received. Emory University’s response is intended to ensure that all parties involved receive appropriate support and fair treatment, and that allegations of sexual misconduct are handled in a prompt, thorough, and equitable manner.
Concerns, complaints, or questions relating to this Policy may be directed to the staff members listed below:

Lynell A. Cadray  
Associate Vice Provost  
Office of Institutional Equity and Inclusion
Applicability

The following policies and procedures apply to situations in which a student is alleged to have engaged in sexual misconduct. Allegations of sexual misconduct not involving a student, or involving a student acting in an employment capacity, are primarily addressed through the university’s Equal Opportunity and Discriminatory Harassment Policy (Policy 1.3). However, a student acting in an employment capacity may be subject to this Policy as well as any applicable employment policies.

The University Title IX Coordinator monitors and oversees Emory University's compliance with federal regulations concerning sexual harassment and discrimination. Upon receipt of a report of alleged sexual misconduct, the University Title IX Coordinator will monitor responsive action to ensure that the educational environment at Emory University is free of discrimination and discriminatory harassment. Additionally, the University Title IX Coordinator monitors the steps taken, as appropriate, to remedy the effects of the sexual misconduct on the complainant. This may include commencement of disciplinary proceedings against a respondent.

This policy applies to sexual misconduct that occurs in connection with all academic, educational, extracurricular, athletic, and other programs of Emory, whether those programs
take place in university facilities, at a program sponsored by the university at another location, or elsewhere.

**Policy Details**

8.2.1. **Reporting Sexual Misconduct**

**Reporting to the police.** Because sexual misconduct may constitute both a violation of University policy and criminal activity, persons having knowledge of a possible violation are
strongly encouraged to report alleged sexual misconduct promptly to the Emory Police Department, or to local law enforcement authorities for incidents that occur off campus. The university strongly encourages survivors who have been sexually assaulted to report the assault, to seek assistance, and to pursue judicial action for their own protection and that of the entire campus community.

Confidential reporting (providing information without your name attached to it) is an available option with the Emory Police Department through the TIPS line ((404)727-8477); however, investigative or criminal enforcement activity can be significantly limited in the case of anonymous reports. Regardless of whether a complainant pursues a criminal complaint, the university will investigate the incident in question and take appropriate responsive action to ensure that the educational environment at Emory is free of harassment and to prevent the recurrence of a hostile environment, and, as appropriate, to remedy the effects of the harassment.

When the survivor elects not to, or is unable to, report an assault, Emory encourages other persons with knowledge of the assault to make a prompt and accurate report to the Emory Police Department. The wishes of the survivor about confidentiality, if known, should be respected in making such a report.

Pursuant to University Policy 4.119, Emory University's Mandated Child Abuse Reporting Policy, unless there is an exception under Georgia law, Emory University requires all Emory University personnel, including faculty, staff, students, and third-parties, to report suspected Child Abuse of which they are made aware in their capacity of employment or duties. Child abuse includes sexual abuse or exploitation of a person who is under eighteen (18) years old. Any uncertainty about whether reporting is required should always be resolved in favor of making a report to the Emory Police Department.

Reporting Sexual Misconduct for University Action. Every university employee who is informed about an allegation of sexual misconduct involving any student is required to notify a Title IX Coordinator either directly or through their relevant reporting structure. However, university employees who serve in a professional role in which communications are afforded confidential status under the law (e.g., medical providers, therapists, and professional and pastoral counselors) are not bound by this requirement but may, consistent with their ethical and legal obligations, be required to report limited information about incidents without revealing the identities of the individuals involved, to a Title IX Coordinator or Deputy Coordinator. All members of the Emory University Community are encouraged to promptly report incidents of sexual harassment and discrimination.

Complaints under this sexual misconduct policy may be filed: (1) with the University Title IX Coordinator, (2) with the Title IX Coordinator for Students, or (3) with a Deputy Title IX Coordinator. The complaint may be made in a written or verbal format. A reporting form is available at http://sexualmisconductresources.emory.edu.

Retaliation prohibited. Federal regulations and university policy protect against retaliation directed at any individual who files a complaint or is involved in the adjudicatory process under this policy in good faith or participates in an investigation of a complaint. A complaint of retaliation may be initiated with the Title IX Coordinator for Students for any retaliatory actions resulting from the filing of a complaint under this policy. Retaliation is adjudicated under the guidelines of this sexual misconduct policy.
8.2.2. Investigation and Adjudication

The Title IX Coordinator for Students is primarily responsible for coordinating responses to complaints of possible violations of this policy, directly overseeing the investigation and adjudication of complaints, and coordinating possible remedial actions or other responses designed to reasonably minimize the recurrence of the alleged conduct as well as mitigate the effects of the harassment. The Title IX Coordinator for Students will ensure prompt, fair, and impartial investigations and resolutions of complaints alleging violations of this policy. In most cases, an investigation will be completed within 60 days; however, a longer period may be needed in some
more complex cases.

The procedures for institutional disciplinary action will be conducted by officials who receive annual training on the issues related to domestic violence, dating violence, sexual assault, and stalking. The officials, who are members of the Emory University community, will handle matters under this policy promptly and equitably.

When conducting the investigation, the university's primary focus will be on addressing the sexual assault and not on other Emory University alcohol or other drug policy violations that may be discovered or disclosed. Emory encourages reporting and seeks to remove any barriers to reporting. Emory recognizes that an individual who has been drinking or using drugs at the time of the incident may be hesitant to make a report because of potential Conduct Code consequences for the individual who reports. An individual who reports sexual misconduct, either as a Complainant or a third party witness, will not be subject to disciplinary action by the university for personal consumption of alcohol or drugs at or near the time of the incident, provided that any such violations did not and do not place the health or safety of any other person at risk. At the conclusion of the investigation, the Title IX Coordinator for Students may initiate an educational discussion or recommend other educational or therapeutic remedies regarding alcohol or other drugs for the reporting individual(s).

The complainant and respondent may each be assisted by an advisor of choice during any investigative meeting or pre-hearing conference that a university official schedules with a complainant or respondent. The principal role of an advisor is to serve as a support to a complainant or respondent, and not as a representative or advocate in interactions with university officials.

The filing of a sexual misconduct complaint under this policy is independent of any criminal investigation or proceeding, and except in cases where it is determined that a conduct proceeding might impede a criminal investigation or otherwise not be in the best interests of the law enforcement agency, a complainant, or the university, a university investigation will not wait for the conclusion of any criminal proceedings to commence its own investigation and take needed interim measures.

**Investigation of a Complaint and Notice of Charges of Alleged Policy Violation.**

Title IX Coordinator for Students will appoint a team of investigators to examine each complaint received. The investigators will conduct a prompt, thorough, and impartial investigation of the complaint.

The investigation may involve interviews of a complainant, respondent, or witnesses, collection of documents or other physical/electronic information, and other appropriate steps in conducting an investigation. Individuals who are interviewed during the investigation will be advised that the matter is confidential and that retaliation is prohibited by this Policy. A complainant and respondent may both provide information and suggestions to the investigators during the investigation, but the investigators have independent authority to conduct an investigation as best determined by the investigators. Neither a complainant nor respondent, or anyone on behalf of a complainant or respondent, is permitted to engage in any independent investigative activity that involves contacting individuals associated with the investigation and adjudication.
At the conclusion of the review, the investigators will submit a written Report of Findings to the Title IX Coordinator for Students detailing the information that was collected. The Title IX Coordinator for Students may ask further clarifying questions of the complainant, respondent, or witnesses to supplement the Report of Findings.

The Title IX Coordinator for Students shall review the Report of Findings and determine whether there is sufficient information to support charging a student with a violation of this Policy. If a determination is made that the available information will not support a violation, then the student will not be charged. If the Title IX Coordinator for Students determines that there is
sufficient information that a student may have committed a violation of this Policy, then within 7 days after the report of findings is completed or supplemented, a written “Notice of Charges of Policy Violation” (“Notice of Charges”) will be provided to the respondent and the complainant with summary information that supports the charge(s).

**Input from the Complainant Regarding the Method of Resolution.** Early on in the investigation, the Title IX Coordinator for Students will seek to determine how the complainant wishes to proceed – whether the complainant wishes to pursue a formal resolution, seeks to resolve the allegation informally, or does not wish to pursue resolution of any kind.

A. If the complainant wishes to proceed with a formal resolution and the Title IX Coordinator for Students determines there is sufficient information to proceed with a disciplinary process, then a hearing will be conducted as outlined in section 8.2.3 (Hearing Procedures) of this policy.

B. If the complainant wishes to proceed with an informal resolution, the Title IX Coordinator for Students may elect to initiate an informal resolution process. However, a complainant (a) should never be required to work out a problem or resolve an issue directly with the respondent without school involvement; (b) must be advised of the right to end the informal process at any time and to begin to pursue a formal complaint process; and (c) should be notified that mediation is not appropriate, even on a voluntary basis, for sexual assault allegations. Additionally, a complainant and respondent must mutually consent to use of the informal resolution. The Title IX Coordinator for Students may elect not to pursue an informal resolution process if it is deemed not in the best interest of the involved parties or in the best interest of the university.

C. Even if the complainant does not wish to pursue resolution, requests that no action be taken, or requests that the complaint remain confidential or elects not to participate in the process, Emory has an obligation to respond to reports of sexual misconduct. The university’s ability to respond may be limited if a complainant wishes to remain anonymous. Also, no guarantees can be made to a complainant regarding confidentiality, but the Title IX officials will consider every request for confidentiality and significant weight will be given to honoring that request in determining a response to the report of sexual misconduct. In all cases, information will be treated with discretion and privacy but cannot always be handled confidentially. A student will not be required to make a formal report if the student is not ready to.

A request for confidentiality will be considered in the dual contexts of the university’s legal obligation to ensure a living and learning environment free from sexual misconduct and the due process rights of the respondent to be informed of the allegations and their source. Some level of disclosure may be necessary to ensure a complete and fair investigation, although the university will comply with requests for confidentiality to the extent possible. The complainant’s request may be weighed against the following factors in considering how to respond: the seriousness of the alleged sexual misconduct, the complainant’s age, whether there have been other complaints of sexual misconduct against the same respondent, and the respondent’s right to receive information about the allegations if the information is maintained by the university as an “education record” under Family Educational Rights and Privacy Act (FERPA).

**Authority to Impose Interim Restrictions and Provide Accommodations.** During the
investigation and until resolution of allegations, the Title IX Coordinator for Students, University Title IX Coordinator, or designee, may issue interim restrictions, including, but not limited to the following: no-contact or stay away orders between the complainant and the respondent, interim suspension, temporary exclusion from areas of campus, removal from or relocation to another residence hall, changes in academic/course schedules, or limiting participation in certain events, gatherings, or activities, among other measures. Interim measures should not be construed to suggest that any decision has been made about the merits of the cases. Appeals must be submitted in writing to the University Title IX Coordinator within 7 days from the day the parties are notified about the interim restriction. The University Title IX Coordinator will review the materials within 5 days of receipt of the appeal and may affirm the original restriction, modify the restriction, which may be of greater or lesser severity, or dismiss the original restriction. The
University Title IX Coordinator’s determinations on any interim restrictions are final and not appealable. Both parties shall receive simultaneous written notice of the outcome of the appeal.

Accommodations may be provided to individuals involved, regardless of whether formal conduct proceedings are instituted, including academic/course schedule changes; housing reassignments; safety escorts; safety/crime prevention briefings, and other protective or safety measures. Interim restrictions and accommodations are considered on a case-by-case basis by the Title IX Coordinator for Students. Interim restrictions may be appealed to the University Title IX Coordinator.

Acceptance of Responsibility. Within 5 days after receipt of the “Notice of Charges,” the respondent has an opportunity to accept or not accept responsibility for the charge(s). If a respondent is charged and accepts responsibility for having violated this policy, the Title IX Coordinator for Students will determine the appropriate sanction within 5 days and send written notification of the sanction imposed and the appeal process to the complainant and respondent. The sanction determination is appealable to the University Title IX Coordinator within 7 days of the notice of sanction. The University Title IX Coordinator’s determination shall be final and not appealable.

8.2.3. Hearing Procedures

If an investigation supports moving forward with a hearing and the respondent does not accept responsibility for the alleged conduct, the Title IX Coordinator for Students will appoint a hearing panel of three individuals, drawn from a pool of faculty, staff, and students with appropriate knowledge and training, to determine if the respondent is responsible for violations in the Notice of Charges. The appointment of the hearing panel will occur within 5 days. The Title IX Coordinator for Students will appoint one member of the panel as its chairperson. The Title IX Coordinator for Students will select the date, time, and location of the hearing, and will provide notice to all parties. All parties shall be given at least 10 days’ notice in advance of the hearing date, absent agreement by the parties to shorten the time period or extraordinary circumstances as determined by the hearing chairperson.

In hearings conducted under this Policy:

1. Both parties shall be given similar and timely access to information that will be used at the hearing and be given the substantially equivalent opportunities to present relevant evidence and witnesses.

2. The proceedings shall be non-adversarial in nature. The chairperson of the Council is empowered to take such steps as may be necessary to preserve the non-adversarial character of the hearing.

3. Both parties have the right to be present for the entire hearing, except for deliberations or recesses for the panel to discuss procedural issues.

4. The university may require any student to attend and to give testimony relevant to the case under consideration. Signed, written statements of complainants from a respondent or from witnesses who cannot attend the hearing may be accepted at the discretion of the chairperson. The university may request the attendance of a faculty or staff member, or alternatively request that a faculty or staff member furnish a written statement.
5. The complainant and respondent are both permitted to have an advisor of choice present at the board hearing. If an advisor attends a board hearing, the advisor is permitted to communicate with the student but not be directly involved in the proceeding. An advisor may attend the hearing to provide advice and support to a student, but is not permitted to make statements to the hearing panel or question hearing participants. While in a hearing, the advisor’s advice and support must be provided in a manner that does not
disrupt the hearing. The chairperson for the board has discretion to place limitations or conditions on the advisor’s presence or participation, and in extreme cases, where an advisor fails to adhere to this policy and disrupts a board hearing, the advisor can be dismissed from a hearing. Any cost associated with the participation of an advisor is the sole responsibility of the individual seeking the advisor’s assistance.

6. A complainant shall not be required to be physically present in the same room as the respondent, and at the discretion of the chairperson of the hearing panel, electronic participation by a complainant may constitute presence for purposes of any proceeding.

7. Panel members shall be required to disclose any conflicts of interest relating to the allegations or the proceeding.

8. Neither party shall be permitted to directly question each other or any witness at the hearing, but they may submit questions to the panel chairperson’s consideration.

9. The panel chairperson will determine whether the panel can properly weigh or take into consideration any evidence offered by a party or witness, and will make determinations as to whether specific, requested questions can be asked by members of the panel the parties. These determinations shall be based on relevance. Rules of evidence applicable to criminal or civil court proceedings will not apply.

10. There shall be a single verbatim record, such as a tape recording, of all hearings (not including deliberations). The recording shall be the property of the university. Documentation of conduct proceedings, including written findings of facts, transcripts, and any audio recordings, are maintained in accordance with the applicable university document retention records.

11. For all cases, the standard that shall be used to determine whether a violation was committed is **preponderance of the evidence**, i.e., it is more likely than not that sexual misconduct occurred.

12. After all admissible evidence has been reviewed the panel shall deliberate to decide the case. The respondent shall be found responsible or not responsible for each charge by a majority vote of the panel.

The panel chairperson will submit a written report to the Title IX Coordinator for Students containing the panel’s determination and rationale within 5 days of the conclusion of the hearing. If the panel concludes that, under a preponderance of the evidence standard, the respondent violated this policy, the panel will provide a sanction recommendation to the Title IX Coordinator for Students. The Title IX Coordinator for Students shall be empowered to affirm this sanction and/or determine an alternate sanction and remedy. Both parties shall receive simultaneous written notice of the outcome of the hearing, sanctions and remedies imposed, and the process and deadline for submitting an appeal by either party.

Emory may impose a range of sanctions and protective measures following a final determination of a violation of the sexual misconduct code, including rape, acquaintance rape, domestic violence, dating violence, sexual assault, or stalking, among other conduct that violates this Policy. The sanctioning decision will be informed by the degree to which the behavior was intentional, irresponsible, or without knowledge.
Factors pertinent to the determination of what sanction applies include, but are not limited to, the nature of the conduct at issue, prior disciplinary history of the respondent (shared with a panel only upon a finding of responsibility to the allegation), respondent’s willingness to accept
responsibility for the respondent’s actions, previous university response to similar conduct, and university interests.

The broad range of sanctions includes:

- Expulsion (Students found responsible for engaging in actual or attempted sexual penetration without consent, or who are found responsible for repeated sexual misconduct, should be prepared to be permanently separated from the university).
- Suspension for an identified time frame or until satisfaction of certain conditions, or both;
- Temporary or permanent separation of the parties (e.g. only: change in classes, reassignment of residence, no contact orders, limiting geography where parties may go on campus) with additional sanctions for violating orders;
- Successful completion of sexual or relationship sensitivity training/awareness education program/bystander intervention training;
- Successful completion of alcohol and other drug awareness and abuse prevention program;
- Counseling or mentoring;
- Educational programs that focus on rehabilitation of the mindset;
- Volunteering/Community Service requirements;
- Loss of university privileges;
- Delays in obtaining administrative services and benefits from the university (e.g only: holding transcripts, delaying registration, graduation, diplomas);
- Additional academic requirements relating to scholarly work or research on sexual assaults or sexual assaults on university campuses;
- Financial restitution (payments) to any individual(s) who were injured or impacted by the Respondent’s conduct; and
- Any other discretionary sanctions that are directly related to the violation or conduct and that are aimed at eliminating sexual misconduct, preventing its recurrence, and addressing its effects.

8.2.3.1. Appeals

Both parties shall have the right to appeal the outcome on any of the following grounds:

1. To consider new information, sufficient to alter the decision, or other relevant facts not brought out in the original hearing, because such information was not known or knowable to the person appealing during the time of the hearing.
2. To allege a procedural error within the hearing process that may have substantially impacted the fairness of the hearing.
3. To allege that finding was inconsistent with the weight of the information.

Appeals must be submitted in writing to the University Title IX Coordinator within 7 days from the day the parties are notified about the outcome of the case. Upon receipt of an appeal the University Title IX Coordinator will appoint an appellate review panel of 3 members from a pool of trained faculty, staff, and students. The panel will review the materials within 10 days of receipt of the appeal. The panel will examine all documentation of the hearing to determine if there is a reasonable basis for changing the outcome, and in its discretion, can hold an appellate
hearing. The panel will issue a written determination of the appeal, or may request that the University Title IX Coordinator take appropriate steps in the appeal, which may include: affirm the original finding and sanction; affirm the original finding but issue a new sanction, which may be of greater or lesser severity; remand the case back to the hearing body to correct a procedural or factual defect; or, dismiss the case if there was a procedural or factual defect that cannot be remedied by remand. The panel’s determinations are final and not appealable. However, the outcome of a remanded case may again be appealed under this provision. Both parties shall receive simultaneous written notice of the outcome of the appeal. Both parties shall receive
simultaneous written notice of any change to the results that occurs prior to the time that such results become final; and when such results become final.

8.2.4. Support Services and Options for Students going Through the Sexual Misconduct Process

A variety of support resources are available on campus and in the community to assist students in dealing with sexual or dating violence, whether it happened recently or in the past. A full listing of support, including healthcare, counseling, advocacy or peer support, and other support services may be found at http://sexualmisconductresources.emory.edu. The Respect Program, in the Office of Health Promotion, Campus Life, http://studenthealth.emory.edu/hp/programs/respect_program/, provides education, advocacy, and support for students who have been affected by sexual and relationship violence as well as their friends and families. Amanda Yu, Director of the Center for Healthful Living, serves as the primary point of contact for students at Oxford College. http://www.oxford.emory.edu/life/support_services/health-education/wellness-resources/sexual-assault.do.

8.2.5. Contact Information

All Emergencies (any campus/location) 9-1-1

Emory Police Department 404.727.6111 or
404.727.8005 Emory Police Department TIPS line
404.727.8477/TIPS Emory Trust Line 1-888-550-8850
Counseling and Psychological Services (CAPS)—Atlanta Campus
404.727.7450 Student Health and Counseling Services—Oxford Campus
770-784-8394 Student Health Services—Atlanta Campus 404.727.7551

Deputy Title IX Coordinators:

Emory Campus
Life Dona
Yarbrough, Ph.D.
Senior Director/Senior Associate Dean for Learning and Innovation
409G Dobbs University Center
Drawer PP; 605 Asbury
Circle Atlanta, GA 30322
Phone: (404) 727-2003
dona.yarbrough@emory.edu

Candler School of Theology Anne
Burkholder
Associate Dean,
Professor 1531 Dickey
Dr.
301 Candler School of Theology
Atlanta, GA 30322
Phone: (404) 727-1351
anne.burkholder@emory.edu

Emory College of Arts and
Sciences Priscilla Echols
Associate Dean
212 White Hall  
Atlanta, GA 30322  
Phone: (404) 727-1499  
pechols@emory.edu

Emory University Law  
School Katherine Brokaw  
Assistant Dean, Student Affairs  
1301 Clifton Rd.; G111 Gambrell  
Hall Atlanta, GA 30322  
Phone: (404) 727-6809  
kbrokaw@emory.edu

Nell Hodgson Woodruff School of Nursing  
Arnita Howard  
Director of Enrollment, Office of Admissions  
1520 Clifton Rd.  
Atlanta, GA 30322  
Phone: (404) 712-6826  
ahoward@emory.edu

Laney Graduate School  
Donna Cunningham-  
Lynch HR Manager  
202 Administration Building  
Atlanta, GA 30322  
Phone: (404) 727-2669  
dlynchc@emory.edu

Rollins School of Public Health  
Brittney Romanson  
Assistant Director of Student Life  
1518 Clifton Road; Grace Crum Rollins Building  
Phone: (404) 712-0672  
brtitnney.romanson@emory.edu

Goizueta Business School  
Harriet Ruskin  
Director, International Programs  
1330 Clifton Rd.  
212 Goizueta Business School  
Atlanta, GA 30322  
Phone: (404) 727-6644  
harriet.ruskin@emory.edu

Oxford College  
Rhiannon Hubert  
Asst. Dean for Campus Life/Director for Student Involvement & Leadership  
100 Hamill Street; Candler 101  
Oxford, GA 30054  
Phone: (770) 784-8445
rhiannon.hubert@emory.edu

School of Medicine
J. William “Bill” Eley
Executive Associate Dean, Medical Education and Student Affairs
100 Woodruff Circle; Room 453, School of Medicine Administration
Building Atlanta, GA 30322
Definitions

**Allegation.** A statement by a complainant that an act of sexual misconduct has occurred.

**Coercion.** Coercion is inappropriate pressure for sexual activity. Coercive behavior differs from seductive behavior based on the type of pressure someone uses to get consent from another. When a person makes clear that they do not want sex, wants to stop, or that going past a certain point of sexual interaction is unwanted, continued pressure beyond that point can be coercive.

**Complainant.** The person making an allegation or complaint of sexual misconduct.

**Complaint.** A formal notification, either orally or in writing, of the belief that sexual misconduct has occurred.

**Consent.** Consent is clear, unambiguous, and voluntary agreement between participants to engage in specific sexual activity. Consent is active, not passive, and is given by clear actions or words. Consent may not be inferred from silence, passivity, or lack of active resistance alone. A current or previous dating or sexual relationship is not sufficient to constitute consent, and consent to one form of sexual activity does not imply consent to other forms of sexual activity. Being intoxicated does not diminish one’s responsibility to obtain consent. In some situations, an individual may be deemed incapable of consenting to sexual activity because of circumstances or the behavior of another, or due to their age.[1] Examples of such situations include, but are not limited to, incompetence, impairment from alcohol and/or other drugs, fear, unconsciousness, intimidation, coercion, confinement, isolation, or mental or physical impairment.

**Dating violence.** Violence committed by a person: who is or has been in a social relationship of a romantic or intimate nature with the victim; and where the existence of such a relationship shall be determined based on a consideration of the following factors: the length of the relationship; the type of relationship; and the frequency of interaction between the persons involved in the relationship.

**Domestic violence.** A felony or misdemeanor crime of violence committed by: a current or former spouse or intimate partner of the victim, a person with whom the victim shares a child in common, a person who is cohabiting with or has cohabitated with the victim as a spouse or intimate partner, a person similarly situated to a spouse of the victim under the domestic or family violence laws of the state of Georgia, or any other person against an adult or youth victim who is protected from that person’s acts under the domestic or family violence laws of
the state of Georgia.

**Force.** The use of physical violence and/or imposing on someone physically to gain sexual access. Force also includes threats, intimidation (implied threats), and coercion that overcomes resistance or produces consent. There is no requirement that a person has to resist the sexual advance or request, but resistance is a clear demonstration of non-consent. The presence of force is not demonstrated by the absence of resistance. Sexual activity that is forced is by definition non-consensual, but non-consensual sexual activity is not by definition forced.
Incapacitation. Incapacity can result from mental disability, sleep, involuntary physical restraint, or from intentional or unintentional taking of alcohol and/or other drugs. An incapacitated person does not have the ability to give knowing consent. Sexual activity with a person who one should know to be — or based on the circumstances should reasonably have known to be — mentally or physically incapacitated, constitutes a violation of this policy. The perspective of a reasonable person will be the basis for determining whether one should have known about the impact of the use of alcohol and/or drugs on another’s ability to give consent.

Intimate Partner Violence (IPV). Physical, sexual, or psychological harm by a current or former partner or spouse. This type of violence can occur among heterosexual or same-sex couples, whether cohabitating or not, and does not require sexual intimacy. IPV can vary in frequency and severity, can occur on a continuum, and can include acts of physical violence, sexual violence, threats of physical or sexual violence, or psychological or emotional violence. Psychological or emotional violence is a broad term that results in trauma to a victim caused by acts, threats of acts, or coercive tactics, and can include acts of humiliation, intimidation, isolation, stalking, and harassment.

Non-Consensual Sexual Contact. Any intentional sexual touching by a person upon a person, that is without consent and/or by force. Sexual Contact includes, but is not limited to, intentional contact with the breasts, buttocks, groin, or genitals, or touching another with any of these body parts, or making another touch you or themselves with or on any of these body parts; any intentional bodily contact in a sexual manner, though not involving contact with/of/by breasts, buttocks, groin, genitals, mouth or other orifice, with any object.

Non-Consensual Sexual Intercourse. Any sexual intercourse by a person upon a person, that is without consent and/or by force. Intercourse includes, but is not limited to, vaginal penetration by a penis, object, tongue or finger; anal penetration by a penis, object, tongue, or finger; and oral copulation (mouth to genital contact or genital to mouth contact), no matter how slight the penetration or contact.

Respondent refers to the person against whom the allegation or complaint of sexual misconduct is made.

Sexual Exploitation occurs when a student takes non-consensual or abusive sexual advantage of another for his/her own advantage or benefit, or to benefit or advantage anyone other than the one being exploited, and that behavior does not otherwise constitute one of other sexual misconduct offenses. Examples of sexual exploitation include, but are not limited to the following:

invasion of sexual privacy; prostituting another student;
non-consensual video or audio-recording of sexual activity or circulation of such video and video or audio recording;
go beyond the boundaries of consent;
observing unsuspecting individuals who are partly undressed, naked, or engaged in sexual acts;
knowingly transmitting an STI or HIV to another student;

exposing one’s breasts, buttocks, groin, or genitals, in non-consensual circumstances; inducing another to expose their breasts, buttocks, groin, or genitals;

sexually-based stalking and/or bullying may constitute a form of sexual exploitation, as well as a form of sexual harassment, as discussed above.

**Sexual Harassment.** Unwelcome conduct, based on sex or on gender stereotypes, which is so severe or pervasive that it unreasonably interferes with a person’s university employment,
academic performance or participation in university programs or activities or creates a working, learning, program or activity environment that a reasonable person would find intimidatng, hostile or offensive. Sexual harassment may include, for example, an attempt to coerce an unwilling person into a sexual relationship; to repeatedly subject a person to egregious, unwelcome sexual attention or advances; to punish a refusal to comply with a sexual based request; to condition a benefit on submitting to sexual advances; sexual violence or sexual assault; intimate partner violence; stalking; inappropriate comments; and gender-based bullying.

**Sexual Misconduct.** Sexual misconduct encompasses sexual harassment, non-consensual sexual contact (or attempts to commit same); non-consensual sexual intercourse (or attempts to commit same), and sexual exploitation. Sexual misconduct can occur between strangers or acquaintances, including people involved in an intimate or sexual relationship. Sexual misconduct can be committed by persons of any gender or sex, and it can occur between people of the same or different sex.

**Stalking.** Behavior where a person follows, places under surveillance, or contacts another person without the consent of that person for the purpose of harassing and intimidating him or her. The term “contact” means to make or attempt to make any communication, including, but not limited to, communication in person, by telephone, by mail, by broadcast, by computer or computer network, or by any other electronic device. “Harassing and intimidating” refers to a course of conduct or communications directed at a person that causes the person to suffer emotional distress that would cause a reasonable person to fear for personal safety or the safety of others, and which serves no legitimate purpose. It does not require that an overt threat of death or bodily injury be made.

**Student.** The term student means any person pursuing academic studies at the university. The term also includes: (1) a person not currently enrolled who was enrolled in the fall, spring, or summer term preceding the alleged violation, or (2) a person who, while not currently enrolled, was previously enrolled in Emory University and who is reasonably anticipated to seek enrollment at a future date, (3) a person who has applied to or been accepted for admission to Emory university and has accepted an offer of admission or may reasonably be expected to enroll, or (4) a person enrolled in an Emory program on a credit or non-credit basis.

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[1] In Georgia, minors under the age of 16 years are generally unable to provide consent, with narrow exceptions. See Georgia Code Ann. § 16-6-3, StatutoryRape.

**Related Links**

- Current Version of This Policy: [http://policies.emory.edu/8.2](http://policies.emory.edu/8.2)
- **Policy 1.3: Equal Opportunity and Discriminatory Harassment Policy** ([http://policies.emory.edu/1.3](http://policies.emory.edu/1.3))
- **Policy 4.119: Mandated Child Abuse Reporting** ([http://policies.emory.edu/4.119](http://policies.emory.edu/4.119))

**Contact Information**

<table>
<thead>
<tr>
<th>Subject</th>
<th>Contact</th>
<th>Phone</th>
<th>Email</th>
</tr>
</thead>
<tbody>
<tr>
<td>Policy Posting</td>
<td>Campus Life Central</td>
<td>404-727-4364</td>
<td><a href="mailto:kmoss@emory.edu">kmoss@emory.edu</a></td>
</tr>
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</table>
Revision History

- Version Published on: Jul 14, 2016 (location of Judith Pannell, replace 2 deputies)
- Version Published on: Jul 14, 2016 (school of medicine deputy info changed)
- Version Published on: Jul 13, 2016 (new Deputies for Laney and Oxford)
- Version Published on: Sep 15, 2015
- Version Published on: Nov 25, 2014 (based on community feedback)
- Version Published on: Nov 03, 2014
- Version Published on: Oct 08, 2014 (annual review of policy)
Emory University policies are subject to change at any time. If you are reading this policy in paper or PDF format, you are strongly encouraged to visit policies.emory.edu to ensure that you are relying on the current version.
Policy 8.8
Alcohol and Drug Abuse Policy

Responsible Official: SVP and Dean for Campus Life
Administrating Division/Department: Campus Life
Effective Date: March 31, 2007
Last Revision: June 07, 2016

Policy Sections:
I. Overview
II. Applicability
III. Policy Details
IV. Definitions
V. Related Links
VI. Contact Information
VII. Revision History

Overview

Emory University is committed to the health and well-being of its faculty, staff, and student body. Alcohol and drug misuse and abuse can be detrimental to one’s overall physical and emotional health; academic and/or professional performance; and adversely impact family, friends and co-workers.

As a recipient of federal grants and contracts, Emory University adheres to the provisions of the Drug-Free Workplace Act of 1988 and the Drug-Free Schools and Communities Act Amendments of 1989. As administrator of certain state-funded financial aid programs for students, Emory University also adheres to Georgia’s Drug-Free Postsecondary Education Act of 1990.

This policy is also designed to convey the university’s care and concern for its members and their well-being, given that alcohol and other drug misuse on college campuses is a major public health concern. In order to foster academic achievement, personal success and wellness, and to promote the safety of the community, the university has adopted the following tenets to guide the prevention of alcohol and other drug misuse:

- Emory University complies with and upholds all applicable federal, state, and local laws related to alcohol, illicit drugs and controlled substances. Violations of such laws that come to the attention of university officials may be addressed within the university or through prosecution in the courts, or both.

- The university strives to create an environment that supports individuals who choose not to use alcohol and individuals who choose to use alcohol legally and in moderation. The illegal sale, distribution or use of alcohol is not permitted.

- The university encourages individuals with prescription medications to safely and legally use such medications in compliance with their prescriptions. The misuse of prescription medication or other controlled substances is not tolerated.

- The sale, distribution or use of illegal drugs is not permitted.

- The university seeks to create an environment of personal development and supportive community. It supports individuals seeking services for alcohol, tobacco and/or other drug misuse and makes confidential services available to them.
In instances where individuals are found to be in violation of the university’s Alcohol and Drug Abuse Policy, the university’s response will stress individual accountability, personal development, and connection to appropriate health services, as well as the effect on impacted parties and the community.

Emory is a Tobacco-Free Campus. The use or sale of tobacco products in or on Emory owned or Emory leased property is prohibited. See Policy 4.113 Tobacco-Free Environment for more information (http://policies.emory.edu/4.113), including resources for tobacco cessation.
Applicability

All Emory University full-time, part-time and temporary faculty, staff, and students are hereby notified that this policy will apply to all activities conducted on university-owned property and to all other university-sponsored events. This policy is distributed annually to all Emory University faculty, staff, and students.

Emory University permits the purchase and use of alcoholic beverages with university funds under certain conditions but expects individuals and organizations to take measures to prevent alcohol and drug misuse. The university expects that individuals and organizations will take responsibility for complying with the policy as outlined. This policy provides minimum expectations regarding alcohol and other drug prevention and services; individuals and organizations are encouraged to utilize best practices and to develop additional steps to support community safety.

Specific offices have been designated to provide clarification about the procedures and guidelines for event planning, as well as services and resources available to faculty, staff and students for reducing at-risk behaviors related to alcohol and drug use. The contact information for, and responsibility of, each of these offices is listed at the conclusion of this policy under “Contact Information.”

Prospective students that fail to comply with Georgia law and university policy can experience parental/guardian notification, the removal from campus, and may additionally compromise their consideration for admission to the university, in addition to possible law enforcement processes.

Policy Details

8.8.1. Standards of Conduct

1.1. All Emory University faculty, staff and students are prohibited by the University from unlawfully using, possessing, manufacturing, dispensing or distributing alcohol, controlled substances or illegal drugs on University-owned property or at University-sponsored activities.

1.2. Emory University expects all of its faculty, staff and students to comply with any applicable federal, state or local laws pertaining to the use, possession, manufacture, dispensation or distribution of alcohol, controlled substances, or illegal drugs.

8.8.2. General Georgia and DeKalb County Restrictions

As of the effective date of the policy, THE FOLLOWING IS A SUMMARY OF THE GEORGIA AND DEKALB COUNTY LAWS, ORDINANCES AND REGULATIONS:

8.8.2.1. Possession of Alcohol

Possession or use of alcoholic beverages by persons under 21 years of age, or distribution of alcoholic beverages to persons under 21 years of age, is prohibited.

Furnishing alcoholic beverages to persons who are underage or intoxicated is prohibited.

The sale of alcoholic beverages without a license is prohibited. The sale of alcoholic beverages within 100 yards of a college campus in the State of Georgia is also prohibited, unless such license was in existence prior to July 1, 1981. “Sale” includes charging admission to any activity where alcoholic beverages are served, even if the beverage is “free” to those who have gained admission.

Public intoxication and possession of an open container of an alcoholic beverage in public are prohibited in the State of Georgia.

8.8.2.2. Other Drugs

It is illegal and prohibited by the university for an individual to manufacture, possess, use, dispense, sell or distribute controlled substances or illegal drugs (as defined by state and federal law).
8.8.2.3. False Identification

It is illegal and prohibited by the university for an individual to provide false name, address or date of birth for the purpose of acquiring alcohol or other drugs. Members of the Emory community who allow their identification to be used by others to obtain alcohol or other drugs are also subject to disciplinary consequences.

8.8.3. Sanctions and Penalties
3.1. Any member of the Emory University faculty, staff or student body who violates any of the Standards of Conduct shall be subject to corrective disciplinary actions and penalties up to and including expulsion from university academic programs, termination of employment and referral to the appropriate federal, state or local authorities for prosecution in the courts.

Depending on the nature of the infraction, alleged violations of this policy by an individual student shall also be referred to the Office of Student Conduct, Student Health Services, other appropriate programs or the appropriate school's conduct body. The Office of Student Conduct shall have the authority to make appropriate referrals and to impose on undergraduate students and student organizations such sanctions for violations of the policy as it may deem appropriate, including but not limited to participating in educational programs, parental notification and/or loss of privileges.

3.2. Depending upon the nature of the crime, persons convicted of violating federal and state laws prohibiting the unlawful use, possession, dispensation, and distribution of alcohol, controlled substances, or illegal drugs may face stiff sanctions such as heavy fines; incarceration for various periods of time, including life; forfeiture of assets; or suspension or loss of driver’s, business or professional licenses. Federal, state and local officials are responsible for enforcing these laws and any sanctions for such crimes will be determined by courts. The university does not manage the criminal process but will cooperate with legal authorities in a manner consistent with its legal obligations.

3.3. Section 484(r) of the Higher Education Act states that a federal or state drug conviction can disqualify a student for Federal Student Aid funds. As of the effective date of the policy, the period of ineligibility depends on whether the conviction was for sale or possession during a period of enrollment in which a student received federal student aid and whether the student had previous offenses, ranging from one year to an indefinite period of time. A student regains eligibility the day after the period of ineligibility ends, when he or she successfully completes a qualified drug rehabilitation program, when he or she successfully passes two unannounced drug tests conducted by a qualified drug rehabilitation program; or if a conviction is reversed, set aside or removed from the student’s record so that fewer than two convictions for sale or three convictions for possession remain on the record.

Please see the Related Links section below for the Federal Drug Trafficking Penalties and Georgia Controlled Substance and Dangerous Drug Law charts for additional information.

8.8.4. Notification of Drug-Related Convictions

As of the effective date of the policy, the following is a summary of the notification requirements upon a drug-related conviction:

8.8.4.1. Employee Notification of Drug-Related Convictions

(a) In accordance with the mandates of the Drug-Free Workplace Act of 1988, and as a condition of employment at Emory, all employees (including student employees) will:

(1) abide by the terms of this policy; and

(2) notify, as appropriate, their supervisor, vice president, administrator, dean or department head if they have been convicted of any criminal drug statute violation occurring in the workplace no later than five days after such a conviction. If a federal grant is involved, the Emory University Office of Sponsored Programs must be notified immediately. Failure to notify the appropriate person within the five day period may result in disciplinary action.

(b) Within thirty (30) calendar days of receiving notice of a conviction, the person notified pursuant to Paragraph 8.8.4.1(a)(2) above shall consult with the human resources department of Emory University (human resources department may contact the Office of Equal Employment Opportunity, as appropriate), and said person shall then:

(1) take appropriate personnel action against the employee, up to and including termination, consistent with the requirement of the Rehabilitation Act of 1973, as amended, or the Americans with Disabilities Act; and/or

(2) require the employee to participate successfully, and provide evidence of such participation, in a drug-abuse assistance or rehabilitation program approved for such purposes by a federal, state or local health, law
enforcement, or other appropriate agency.

8.8.4.2. Student Notification of Drug-Related Convictions

In accordance with the State of Georgia’s Drug-Free Postsecondary Education Act of 1990, any student convicted under the laws of Georgia, the United States or any other state of any felony offense involving the manufacture, distribution, sale, possession or use of marijuana, a controlled substance, or a dangerous drug must, within ten (10) days of said conviction, report it in writing to the Emory University or Oxford College of Emory University Office of Financial Aid, as appropriate. Any student who suffers such a conviction shall, as of the date of the conviction, be denied state of Georgia funds for certain types of loans, grants or scholarships, including Georgia Higher Education Loan Program loans, student incentive grants or tuition equalization grants.

As of the effective date of the policy, the denial of state funds shall become effective on the first day of the term for
which the student was enrolled immediately following either the date of conviction or the date on which the court
accepts a plea of nolo contendere or formally allows a student to receive first offender treatment. The denial of
funds shall continue through the end of said term.

8.8.5. Advertisements and Promotions

8.8.5.1. Advertisements and Promotion of Events

Publications of any type and in any media, including The Wheel and other newspapers, pamphlets, flyers, websites,
etc., that receive some or all of their funding from university sources (including the Student Activity Fee) must not
accept or contain commercial advertising or other materials that promotes, depicts or encourages excessive or
underage consumption or use, or underage purchase, of alcoholic beverages or controlled substances.

Depictions of the following may not be used in advertisements or in the promotion of events:

- Excessive or underage consumption or use, or underage purchase, of alcoholic beverages or controlled substances
- All-you-can-drink activities
- Drinking games
- Price specials on alcohol
- Promotions or prizes featuring alcohol

This list is not exhaustive; it is meant to provide examples of the types of activities that are considered
by the University as promoting excessive alcohol consumption. It is also not intended to cover alcohol
consumption related to content of curriculum, research objectives or alumni events.

8.8.5.2. Use of Name, Logo, Seal, Insignia or Mascot

Neither the University’s name, the names of its organizations, nor its logos, mascots, marks or other identifying
indicia may be used in conjunction with any materials, references or imagery, including commercial sponsorship,
related to excessive or underage consumption or use, or underage purchase of alcoholic beverages or controlled
substances.

8.8.6. Purchasing Alcohol with University and Student Activity Fee Funds

Alcoholic beverages may not be purchased with any state or federal appropriated funds. For more information,
contact the Office of Grants and Contracts Accounting.

Schools, colleges, departments, or units determine the permissibility of charging alcoholic beverages to university
accounts. In addition Purchasing Cards (“P-cards”) are not to be used to purchase alcoholic beverages unless there
is a special exception. For more information, contact the head of the specific unit or department.

Student organizations that are recognized by the Student Government Association (“Student Organization”) and
fraternities and sororities recognized by the Office of Sorority and Fraternity Life (“Fraternities”) must obtain
approval from the Office of Student Leadership and Service or the Office of Sorority and Fraternity Life, as
applicable, for the purchase of any alcoholic beverage.

The use of alcoholic beverages purchased with university and student activity funds as a prize in any type of contest is
prohibited.

8.8.7. Storage of Alcohol

Any alcohol that is stored on campus must be kept in a place where it is not accessible to those under twenty-one
years of age.

8.8.8. Use of Alcohol in Residence Halls

Activities that take place within university Residence Halls are governed by applicable laws and regulations, the
terms of the Residence Life Policy for Undergraduate Students, the Undergraduate Housing Agreement, and the
Undergraduate Code of Conduct. A Campus Life online registration form is applicable whenever the service of
alcoholic beverages takes place within any university community space.

Residents under the age of 21:

- Are not permitted to be in possession of, consume or store alcohol in any residence halls, consistent with state law.

Residents age 21 and over:
· Are permitted to be in possession of, consume or store alcohol in any residence halls, consistent with state law, with the exception of those at Oxford College. Possessing, consuming and/or storing alcohol is prohibited in all residence halls at Oxford College.

In Residence Halls:

· Alcohol is not allowed in community spaces (such as lobbies, lounges, study rooms, or hallways) without prior approval from Residence Life and Housing, with the exception of organizations that fall under the Office of Sorority and Fraternity Life. Fraternities and sororities are required to follow regulations from the Office of Sorority and Fraternity Life (OSFL) and from their respective national organizations. Other individuals or groups who wish to serve alcohol in community spaces of residence halls should complete the Campus Life online registration form.

· Common containers (such as kegs and punch bowls) are not permitted in residence halls or food service areas of residence halls.

· Activities (e.g. drinking games) and paraphernalia (i.e. funnels, beer pong tables, and ice slides) that promote the rapid and unsafe consumption of alcohol are also prohibited within residence halls and contiguous areas.

· Brewing or production of alcohol beverages is prohibited.

Residents of university residence halls are required to inform all guests of the aforementioned regulations and to make sure their guests abide by all provisions of this policy. In cases where the guest of a resident violates this policy, the hosting resident will be subject to disciplinary consequences.

8.8.9. Use of Alcohol at Athletic Events

Alcoholic beverages may not be possessed, consumed or served at university intramural and club sports contests or intercollegiate athletic contests, but may be allowed at adjacent events. Interpretation of “adjacent events” will be under the authority of the Director of Athletics or his/her staff, as appropriate.

The possession, consumption and purchase of alcoholic beverages, tobacco and/or illegal drugs by any student-athlete or manager is prohibited while participating in an intercollegiate, club, intramural or recreational athletics activity. In the case of road trips, no alcoholic beverages, tobacco or illegal drugs are to be purchased by or possessed by any team member from the time the team leaves campus until the time the team returns to campus.

Student-athletes should refer to Emory’s Student-Athlete handbook for information regarding NCAA banned substances. They can also contact their team physician or certified athletic trainer with any questions.

Emory Athletics Overnight Program

Emory host students that fail to comply with Georgia law and university policy prohibiting individuals under the age of 21 to consume or possess alcohol and/or Georgia law and university policy prohibiting any person from furnishing alcohol to a person under the age of 21 or to someone who is intoxicated can be subject to Campus Life disciplinary consequences and/or law enforcement processes.

8.8.10. Procedures for Events with Alcohol

The following procedures apply to all university-sponsored events where alcohol will be served. University-sponsored events are defined as an event hosted by a student organization or by an official department or division of the university. University-sponsored events include, but are not limited to, any internal or external sponsored events held on campus; fraternity and sorority events; campus organization events; and divisional and departmental or unit events. The following procedures are provided to assist with the planning of events; however, the service of alcoholic beverages is permitted only in accordance with this policy and applicable local laws.

8.8.10.1. On-Campus Events with Alcohol

Student Organization Events

All Student Organizations must complete the online registration form for student.
organizations. The following management strategies must be in place in order for alcohol service to be permitted:

- The president or risk manager of the Student Organization must attend a Campus Life sponsored training session that includes content about hosting events with alcohol;
- Alcohol acquired with university funds, including kegs of beer, is allowed only if a licensed caterer or trained non-student server serves the alcohol;
- EmoryCard readers or another verification plan approved by Campus Life must be used to verify each individual’s age.
Student organizations are also responsible for complying with any applicable regulations from their national organizations; and

Under no circumstances is the alcohol to be left unattended.

Sorority and Fraternity Events

Sororities and fraternities are expected to follow all of the above policies for student organization events with alcohol. Sorority and fraternity events where alcohol is served (including guest list parties, date parties and mixers) are required to follow additional regulations from the Office of Sorority and Fraternity Life (OSFL) and from their respective national organizations.

The organizer for each social event must complete the online registration form for fraternity and sorority social events; and

Presidents, risk managers, and social chairs must attend an OSFL-sponsored training that includes content about hosting events with alcohol service. (This training fulfills the requirement of the Campus-Life sponsored training outlined above.)

Other University Events

For University events in which attendance is expected by undergraduate students, alcohol acquired with university funds, including kegs of beer, is allowed only if a licensed caterer or trained non-student server serves the alcohol, and under no circumstances is the alcohol left unattended.

EmoryCard readers or another verification plan approved by Campus Life must be used to verify each individual's age.

The following individuals or groups wishing to serve alcoholic beverages at any event that takes place on campus (excluding events at the Emory Conference Center, the Houston Mill House, or the Miller Ward Alumni House) must complete the online registration form for university departments:

a. Any individual acting in a capacity other than on behalf of an academic or administrative department (this applies to both members and non-members of the university community);

b. Anyone planning an open (public) event, (including those individuals acting on behalf of an academic or administrative department);

c. Anyone planning an event for which individuals under twenty-one (21) years of age are expected to attend (including those individuals acting on behalf of an academic or administrative department).

The completed online registration form will be forwarded to Meeting Services Office. The Meeting Services staff will send it to the building manager of the venue at which the event is being held.

8.8.10.2. Additional Food and Beverages

All events where alcohol is served must have sufficient quantities of non-alcoholic beverages and substantial food offerings available at all times during the event.

8.8.10.3. Off-Campus Events

An individual planning an off-campus event with alcohol on behalf of a department or unit, e.g. departmental party, must notify the head of the department or unit. In addition, student-government and other chartered groups must notify their faculty/staff advisor.

Hiring an insured and licensed caterer to control the service of alcohol is recommended, unless such service is provided by the venue, and requiring the caterer or venue, as applicable, to provide liquor liability insurance is also recommended. The owner of the event space assumes all liability for the event. Additional procedures or guidelines may be required by individual university departments or units. Organizations or event sponsors should check with the particular department or sponsor to make sure all requirements are understood.

8.8.11. Additional Information
8.8.11.1 Resources for Education, Consultation and Counseling

The university sponsors several programs that provide information and professional services for its faculty, staff and students on matters related to the misuse and abuse of alcohol and drugs. These programs provide education, consultation, assessment, counseling and referral in a professional environment that respects individual confidentiality and integrity. The university maintains the Faculty Staff Assistance Program (FSAP) (404.727.4328) for faculty and staff; and the Counseling and Psychological Services (CAPS) (404.727.7450) and the Office of Health Promotion (404.727.7551) for students. Augmenting these formal programs, a variety of other campus programs and services educate and assist individuals who take the initiative to help themselves. Please see Related Links for additional
information on these services.

Common to all of these programs is the ethic that personal responsibility and professional guidance are keys to success. Therefore, the university expects its faculty, staff, and students to take measures to prevent alcohol and drug misuse and abuse in the community. The university also encourages its members to seek assistance from the above programs if they think that they may have a problem with alcohol or drug use.

8.8.11.2. Distribution

This policy and any revisions thereto, shall be distributed to all faculty, staff, and students annually. Other applicable policies that have reference to this policy are found in the Campus Life Handbook, the Faculty Handbook, the Staff Handbook, the Human Resources Handbook and Policies and Procedures Manual, the Undergraduate Code of Conduct, and the Doctor of Medical Student Handbook.

8.8.11.3. Additional Policies Regarding Alcohol

All student organizations chartered by the Student Government Association are under the jurisdiction of the Student Government Association and its policies and procedures and the policies and procedures of the Office of Student Leadership and Service.

Fraternities and sororities must comply with their respective national organizations’ alcohol policies, the Interfraternity Council (IFC) and Intersorority Council (ISC) policies, and the policies of the Office of Sorority and Fraternity Life (OSFL).

Residence Hall events must comply with Residence Life and Housing policies.

Students at Oxford College must comply with the Oxford College Alcohol Policy.

Miller Ward Alumni House events must comply with the Miller Ward Alumni House Alcohol Policy. Additional policies are linked to below.

8.8.11.4. Review

A biennial review of this policy shall be conducted by a committee appointed by the president that shall include representatives from the following offices, programs, divisions and departments: Office of the President, Office of the Senior Vice President and General Counsel, Office of Research Compliance, Faculty Staff Assistance Program, Human Resources Division, Division of Campus Life, Office of Financial Aid, Emory Police Department, Office of the Provost, and Office of the Vice President for Health Affairs, as well as one or more student representatives. In addition, in accordance with the Higher Education Opportunity Act, the review shall include the number of drug and alcohol-related violations and fatalities that occur on campus or as part of the university’s activities and are reported to campus officials, as well as the number and type of sanctions imposed as a result of such drug and alcohol-related violations and fatalities, that occur on campus or as part of the university’s activities.

Deans and directors of all schools, departments, and divisions will review and interpret policies and procedures.

Definitions

*University Residence Halls*—includes university-owned residential facilities such as halls, fraternity and sorority housing, theme houses, and apartments.

*University-Sponsored Event*—is an event hosted by a student organization or by an official department or division of the university. University-sponsored events include, but are not limited to, any internal or external sponsored events held on campus; fraternity and sorority events; campus organization, divisional, departmental or unit events.

*University-Sponsored Organization*—A student organization that (1) is registered with the university; (2) is affiliated with a university department or unit that acknowledges the organization as part of its activities; or (3) sponsors activities that relate to the education, research and community service missions of the university or to the goals or objectives of the department or unit of affiliation.
Related Links

- Current Version of This Policy: http://policies.emory.edu/8.8
- Current Version of This Policy (http://policies.emory.edu/8.8)
- CAPS Counseling and Psychological Services (http://studenthealth.emory.edu/cs/)
- Athletics Department (http://www.emoryathletics.com/landing/index)
- Faculty Staff Assistance Program (http://www.fsap.emory.edu/)
- EmoryCard Office: Request for EmoryCard Service (http://studentfinancials.emory.edu/pdf/Request_for_EmoryCard_Services-Revised_Ver_8_02_2012.pdf)
- Medical Amnesty Protocol (http://studenthealth.emory.edu/hp/alcohol_and_other_drugs/medical Amnesty.html)
- Doctor of Medicine Student Handbook 2013-2014 (https://med.emory.edu/handbook/)
- Miller-Ward Alumni House Policy (http://millerward.emory.edu/)
- Office of Graduate Medical Education Drug-Free Workplace Policy (http://www.med.emory.edu/gme/housestaff/housestaff_policies/section24.html)
- Office of Health Promotion (http://studenthealth.emory.edu/hp/)
- Residence Life and Housing (http://www.emory.edu/housing/selection/policy.html)
- Office of Sorority and Fraternity Life (http://osfl.emory.edu/)
- Office of Sorority and Fraternity Life social even registration form (http://www.emory.edu/campus_life/alcohol_registration/index.html)
- Office of Student Conduct (http://conduct.emory.edu/)
- Oxford College Office of Student Conduct (http://www.oxford.emory.edu/life-at-oxford/student-conduct/)
- Purchasing Card Policy and Procedures (http://policies.emory.edu/2.23)
- Office of Student Leadership and Service and SGA Organization Policies (Eagle Source) (http://www.osls.emory.edu/student_orgs/eagle_source/)
- Student Government Association (http://students.emory.edu/SGA/)
- Student Health Services (http://studenthealth.emory.edu/hs/)
- Center for International Programs Abroad (http://www.cipa.emory.edu/index.html)
- Substance Abuse/Drug-Free Workplace (http://policies.emory.edu/4.66)
- Georgia Controlled Substance and Dangerous Drug Laws Chart (http://tinyurl.com/26pfhy)
- Drugs of Abuse: Uses and Effects (http://tinyurl.com/2gcprg)
- Registration forms for on campus events with alcohol, for student organizations, for fraternity and sorority social events, for university departments (http://www.emory.edu/campus_life/alcohol_registration/index.html)
- Tobacco Free Environment Policy 4.113 (https://policies.emory.edu/4.113)

**Contact Information**

<table>
<thead>
<tr>
<th>Subject</th>
<th>Contact</th>
<th>Phone</th>
<th>Email</th>
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</thead>
<tbody>
<tr>
<td>Information about policies affecting the SPC, SGA, and other student organizations.</td>
<td>Office of Student Leadership &amp; Service</td>
<td>404-727-6169</td>
<td>340E Dobbs University Center <a href="http://www.osls.emory.edu/">www.osls.emory.edu/</a></td>
</tr>
<tr>
<td>Information about wellness services available to faculty and staff.</td>
<td>Faculty Staff Assistance Program</td>
<td>404-727-4328</td>
<td>1762 Clifton Road NE Suite 1100 <a href="http://www.fsap.emory.edu">www.fsap.emory.edu</a></td>
</tr>
<tr>
<td>Information about health and free counseling services for students.</td>
<td>Emory University Student Health Services Office of Health Promotion</td>
<td>404-727-7551</td>
<td>1st Floor 1525 Clifton Road <a href="http://www.studenthealth.emory.edu/">www.studenthealth.emory.edu/</a> hp</td>
</tr>
<tr>
<td>Information about policies regarding study abroad</td>
<td>Center for International Programs Abroad</td>
<td>404-727-2240</td>
<td>Candler Library, Suite 200 550 Asbury Circle <a href="http://www.cipa.emory.edu/index.html">www.cipa.emory.edu/index.html</a></td>
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<tr>
<td>Information about assessments and therapy provided by psychiatry residents and psychology interns</td>
<td>Department of Psychiatry and Behavioral Sciences</td>
<td>404-727-0399</td>
<td>2004 Ridgewood Drive <a href="http://www.psychiatry.emory.edu/">www.psychiatry.emory.edu/</a></td>
</tr>
<tr>
<td>Information about assessments and medication for psychiatric problems provided by medical residents</td>
<td>Department of Psychiatry and Behavioral Sciences</td>
<td>404-727-3903</td>
<td>1256 Briarcliff, Bldg. A, Room 311 South <a href="http://www.psychiatry.emory.edu/">www.psychiatry.emory.edu/</a></td>
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<tr>
<td>Clarification of Policy</td>
<td>Division of Campus Life</td>
<td>404-727-4364</td>
<td>401 Dobbs University Center <a href="http://www.emory.edu/CAMPUS_LIFE/">www.emory.edu/CAMPUS_LIFE/</a></td>
</tr>
<tr>
<td>Emory Police Department</td>
<td>404-727-6111</td>
<td>Suite G01, 1784. N. Decatur Road <a href="http://www.campserv.emory.edu/epd/">www.campserv.emory.edu/epd/</a></td>
<td></td>
</tr>
<tr>
<td>Notification of employee drug-related convictions</td>
<td>Human Resources - Employee Relations</td>
<td>404-727-7625</td>
<td>1599 Clifton Road NE Atlanta, GA 30322 <a href="http://www.emory.edu/HR">www.emory.edu/HR</a></td>
</tr>
<tr>
<td>Information about events at the Miller-Ward Alumni House</td>
<td>Miller-Ward Alumni House</td>
<td>404-727-6924</td>
<td>815 Houston Mill Road <a href="http://millerward.emory.edu/">http://millerward.emory.edu/</a></td>
</tr>
<tr>
<td>Information about state and federal laws and the interpretation of the policy</td>
<td>Office of General Counsel</td>
<td>404-727-6011</td>
<td>101 Administration Building 201 Dowman Drive Atlanta, GA 30322 <a href="http://www.emory.edu/OGC">www.emory.edu/OGC</a></td>
</tr>
<tr>
<td>Issues concerning medical residents and the GME Drug-Free Workplace Policy</td>
<td>Office of Graduate Medical Education</td>
<td>404-727-5658</td>
<td>Suite 327 School of Medicine Building, 1648 Pierce Drive Atlanta, GA 30322 <a href="http://www.med.emory.edu/GME/">www.med.emory.edu/GME/</a></td>
</tr>
<tr>
<td>Information about use of federal or state appropriated funds for the purchase of alcohol</td>
<td>Office of Grants and Contracts Accounting</td>
<td>404-727-4269</td>
<td>Suite 530, 1784 N. Decatur Road <a href="http://www.ogca.emory.edu/">www.ogca.emory.edu/</a></td>
</tr>
<tr>
<td>Information about housing policies</td>
<td>Office of Residence Life and Housing</td>
<td>404-727-4144</td>
<td>1st Floor Alabama Hall <a href="http://www.emory.edu/HOUSING/CONTACT/contactus.html">www.emory.edu/HOUSING/CONTACT/contactus.html</a></td>
</tr>
<tr>
<td>Information about policies affecting sororities and fraternities</td>
<td>Office of Sorority and Fraternity Life</td>
<td>404-727-4142</td>
<td>234E Dobbs University Center <a href="http://osfl.emory.edu/">http://osfl.emory.edu/</a></td>
</tr>
<tr>
<td>Information about undergraduate student conduct proceedings</td>
<td>Office of Student Conduct</td>
<td>404-727-7190</td>
<td>5th Floor Dobbs University Center <a href="http://conduct.emory.edu/">http://conduct.emory.edu/</a></td>
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Information about assessments and treatment provided by graduate students in psychology

The Psychological Center, Dept. of Psychology
404-727-7451
1462 Clifton Road, Suite 235
http://psychology.emory.edu/clinical/center.html

Information about free counseling for students
Counseling and Psychological Services (CAPS)
Student Counseling Center
404-727-7450
1462 Clifton Road Suite 235 www.studenthealth.emory.edu/cs

Information about free counseling for students at Oxford College
Oxford College Counseling and Career Services
770-784-8394
600 Haygood Street, Oxford GA 30054
www.oxford.emory.edu/counseling

Revision History

- Version Published on: Sep 18, 2014 (updated MWAH web address)
- Version Published on: Sep 18, 2014 (added Oxford contact information)
- Version Published on: Feb 06, 2014
- Version Published on: Feb 05, 2013 (resource contact information updated/revised 8.8.11.1)
- Version Published on: Jan 31, 2013 (reordered 8.8.1 and 8.8.2. Wording changed in 8.8.2)
- Version Published on: Dec 20, 2012 (revised Campus Services Available for Drug Abuse document)
- Version Published on: Dec 14, 2012 (revised 8.8.3.3 and Drug Trafficking Penalty Link)
- Version Published on: Jul 02, 2012
- Version Published on: Jun 29, 2012 (June 2012-updated 8.8.10. Clarify definition for student organizations)
- Version Published on: Dec 02, 2009 (12/2/2009-changed name to Office of Student Leadership & Service)
- Version Published on: Jun 04, 2007 (Original Publication)

Emory University policies are subject to change at any time. If you are reading this policy in paper or PDF format, you are strongly encouraged to visit policies.emory.edu to ensure that you are relying on the current version.
Policy 5.1
Information Technology Conditions of Use

Responsible Official: Enterprise CIO and Sr. Vice Provost for Library Services and Digital Scholarship
Administering Division/Department: LITS: Library & IT Services
Effective Date: March 31, 2007
Last Revision: July 07, 2017

Policy Sections:

I. Overview
II. Applicability
III. Policy Details
IV. Related Links
V. Contact Information
VI. Revision History

Overview

Computers, networks, and software applications are powerful tools that can facilitate Emory’s core missions in teaching, learning, research, and service. Access and utilization of these tools is a privilege to which all University faculty, staff, students, and authorized guests are entitled. This policy documents the responsibilities that accompany this privilege.

Campuses, schools, colleges, departments, and other administrative units have considerable latitude in developing complementary information technology conditions of use policies, as long as they are consistent with this enterprise policy and any other applicable policies of the University. Such policies may be more restrictive than the enterprise policy, but must not be more permissive.

Applicability

This policy applies to Emory faculty, staff, students, and retirees who have been issued computer accounts such as an Emory NetID and to visitors and guests who have been issued sponsored computer accounts. This policy applies to all Emory information technology resources, whether they are accessed from campus or from a remote location. This policy also applies to anyone who has been granted access to or connects any device to the Emory network or Emory IT resources.

Policy Details

General Principles:

- Emory’s information technology (IT) resources are provided for uses consistent with the University’s missions
of teaching, learning, research, and service or for related administrative support.

- The use of Emory’s IT resources must be consistent with other University policies, government regulations and laws.
- IT resources are not to be used for private financial gain or for supporting non-Emory related businesses.
- Users of Emory IT resources are expected to read and abide by all relevant IT policies and standards and to complete any prescribed IT security training.
Information Security Requirements:

- Users of Emory’s IT resources may not:
  - Share their passwords or other access credentials;
  - Attempt to hack, bypass, or violate security controls or conduct unauthorized testing of IT resources for security vulnerabilities;
  - Access, modify, or share sensitive data or information obtained from any of Emory’s systems without appropriate authorization;
  - Use access credentials issued to other individuals or attempt to impersonate another individual in order to access IT resources.

- Users of Emory IT resources must:
  - Implement reasonable and appropriate safeguards to protect sensitive or critical information that they create or maintain;
  - Dispose of sensitive information in a secure manner (e.g. shredding, physical destruction, disk wiping);
  - Report any IT security incidents or security policy violations;
  - Cooperate with authorized IT security investigations;
  - Cooperate with authorized requests to discontinue activities that threaten the confidentiality, integrity, or availability of IT resources.
  - Return all institutional data and IT resources to Emory upon termination of employment and securely delete all institutional data from personally owned devices/media.

Conduct:

- Users of Emory’s IT resources may not use those resources for any unethical or illegal purpose, including but not limited to the following:
  - Violating copyrights or license agreements for any type of intellectual property (e.g. software, music, audio/video recordings, photographs, illustrations, documents, media files, e-journals, e-books, databases) (see http://web.library.emory.edu/research-learning/scholcomm-datamgmt/index.html for more information on University guidelines for copyright and fair use);
  - Harassing other members of the Emory community;
  - Destroying or stealing equipment, software, or data belonging to others;
  - Intentionally damaging or destroying the confidentiality or integrity of IT resources or disrupting their availability;
  - Viewing or distributing content, to the extent that doing so violates any applicable Emory policy and/or state and/or federal law, regulation, or policy;
  - Monitoring or disrupting the communications of others.

Personal Usage:

- Limited and reasonable personal use of Emory’s IT resources is acceptable and allowed, as long as it does not:
  - Interfere with the fulfillment of an employee’s responsibilities;
  - Adversely impact or conflict with any activities that support Emory’s mission or operations;
  - Result in any measurable cost to Emory;
  - Violate any other applicable University policies.

Network Protection and Monitoring:

- Authorized Emory staff may without notice:
  - Monitor, inspect, or copy network communications, IT resources, and the data they contain. Use of the Emory network and/or IT resources constitutes consent to such monitoring;
  - Assess IT resources connected to the Emory network for security vulnerabilities;
  - Take emergency protective actions such as restricting user access rights or access to IT resources or the network;
  - Block potentially malicious network communications;
  - Block the viewing, downloading, or distribution of any content to the extent that doing so is required by federal or state law, regulation, or policy, or is required to carry out Emory’s mission or operations.

Sanctions:

- Failure to comply with this policy may have legal consequences and may result in:
  - Suspension or termination of access;
  - Disciplinary actions (up to and including termination of employment) in accordance with applicable university policy.
Related Links

- Current Version of This Policy: [http://policies.emory.edu/5.1](http://policies.emory.edu/5.1)
- [Connecting to the Emory Data Network](http://policies.emory.edu/5.4)
- [Emory Network IDs (NetIDs) and Passwords](http://policies.emory.edu/5.5)
- [Peer-to-Peer File Sharing](http://policies.emory.edu/5.7)
- [Disk Encryption Policy](http://policies.emory.edu/5.12)
- [Automatic Forwarding of Email from the EmoryExchange Environment](http://policies.emory.edu/5.13)
- [Copyright, Publishing and Fair Use](http://web.library.emory.edu/research-learning/scholcomm-datamgmt/index.html)

Contact Information

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<td>Clarification of policy</td>
<td>Brad Sanford</td>
<td>404-727-2630</td>
<td><a href="mailto:brad.sanford@emory.edu">brad.sanford@emory.edu</a></td>
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Revision History

- Version Published on: Mar 13, 2016 *(Incorporation of changes requested by OGC)*
- Version Published on: Mar 13, 2016 *(Updated web links)*
- Version Published on: Mar 15, 2011 *(Major Revision / Re-write)*
- Version Published on: Mar 29, 2007 *(Original Publication)*

*Emory University policies are subject to change at any time. If you are reading this policy in paper or PDF format, you are strongly encouraged to visit policies.emory.edu to ensure that you are relying on the current version.*
Policy 7.30
Policy on Authorship Guidelines and Dispute Resolution

Responsible Official: VP for Research Administration
Administering Division/Department: Office of Research Administration
Effective Date: October 02, 2015
Last Revision: August 01, 2016

Policy Sections:
I. Overview
II. Applicability
III. Policy Details
IV. Related Links
V. Contact Information
VI. Revision History

Overview

This policy (the Policy) sets forth the policies and procedures that should be followed with regard to determining authorship for purposes of scholarly contribution and attribution on research and scholarly publications. The Policy describes the responsibilities of authors and defines the procedure for authorship dispute resolution.

Applicability

This Policy applies to all areas of research and intellectual inquiry. This Policy applies to all persons performing research or scholarly work at or on behalf of Emory University, including but not limited to employees, agents, and affiliates through contract or agreement with the University, officials, tenured and untenured faculty, teaching and support staff, researchers, research coordinators, clinical technicians, postdoctoral and other fellows, students, volunteers, agents, and contractors, subcontractors, and sub-awardees, and their employees.

Policy Details

7.30.1 Authorship Guidelines

A. Proactive Communication of Responsibilities and Expectations

Given that there is often some level of expectation with regard to authorship or acknowledgment for
those contributing to research or scholarly work, it is appropriate to address questions of authorship and acknowledgment at the earliest practical stage. All contributors to a work should have an understanding of what kind of contribution merits authorship and/or acknowledgment, the expected order of authorship, and the responsibilities and expectations for each contributor. Additionally, it is important for contributors to discuss such matters on an on-going basis, as the roles of contributors often change during the course of a project.
B. Principles of Authorship

Standards for authorship vary between disciplines and journals. It is expected that all contributors to research and/or scholarly work at Emory University shall conform to the specific, written authorship standards stated for the relevant journal. In absence of a relevant journal standard, all contributors to a research and/or scholarly work may mutually agree to conform to a written standard that is widely regarded as acceptable in the relevant field. In the absence of any of the aforementioned specific, written standards, the following principles, based upon the International Committee of Medical Journal Editors (ICMJE) “Recommendations for the Conduct, Reporting, Editing, and Publication of Scholarly Work in Medical Journals” (2014), are expected to be followed:

To qualify for authorship, a contributor must meet all of the following criteria:

Substantial contributions to the conception or design of the work, or the acquisition, analysis, or interpretation of data for the work; AND

Drafting the work or revising it critically for important intellectual content; AND

Final approval of the version to be published; AND

Agreement to be fully accountable for his or her contribution to the content;

All contributors identified as an author must qualify for authorship, and all contributors who qualify for authorship must be identified as an author;

All authors should be able to identify which co-authors are responsible for specific other parts of the work, and should have confidence in the integrity of the contributions of their co-authors;

Contributors who do not meet the criteria for authorship should be acknowledged in the work if they agree to be acknowledged;

For multi-authored works, one author should be designated as the “corresponding author”, who takes responsibility for the integrity of the work as a whole.

The following contributions, without otherwise meeting the above qualifying criteria for authorship, do not qualify a contributor for authorship:

Acquisition of funding;

Collection of data;

Provision of research material;

General supervision of a research group;

Editing/assembly of text or illustrations;

Regardless of the standard applied, the following practices are not acceptable (herein “Unacceptable Practices”):

Honorary, prestige and courtesy authorships (provision of authorship to persons not otherwise meeting appropriate authorship criteria, including but not limited to granting authorship as a favor, gift, or result of a person’s position)

Ghost authorships (not naming as authors those persons that otherwise meet appropriate authorship criteria)

Coercive authorships (exertion of seniority or supervisory power by a person in order to be conferred authorship when appropriate authorship criteria are not otherwise met)

Intentional or knowing denial of deserved authorships

Self-plagiarism (the re-publication of one’s own work or substantial and substantive portions thereof without citation to the original work). The threshold of whether re-use of one’s own work rises to the level of self-plagiarism shall be determined by the relevant journal standard, or if none exists, the relevant standard in the industry/field (written or otherwise).
7.30.2 Authorship Dispute Resolution

A. Initial Resolution
It is recognized that even when the aforementioned principles of authorship are followed, conflicts of opinion with regard to authorship may arise. In the event of an authorship dispute, the disputing parties should first attempt to resolve the matter at the local level by taking the following steps:

. The parties in conjunction with the other authors of the work at issue should first attempt to resolve the dispute amongst themselves through open discussion;

. If the dispute remains unresolved, the parties should seek mediation by the chair or head of the relevant department or program. In instances in which multiple departments or programs are involved, the corresponding chairs or heads of the departments or programs may decide to jointly mediate as appropriate. Such mediation may include equivalent representatives from other institutions or universities when parties from such institutions or universities are involved in the dispute;

. For disputes between faculty members, if the authorship dispute remains unresolved after taking the above steps, the parties in conjunction with the other authors of the work may wish to contact the Chair of the Standing Committee on Faculty Peer Mediation of the University Faculty Council through its confidential phone line to request voluntary peer-mediation through this mechanism.

B. Authorship Dispute Committee

An Authorship Dispute Committee shall be convened to resolve a dispute under this Policy when one of the following circumstances arises:

. Any disputing party requests resolution by an Authorship Dispute Committee after all attempts under 7.30.2.A fail to resolve the dispute, provided that the party makes such request in writing to its dean’s office or unit director within ten (10) calendar days after the conclusion of the attempted resolution under 7.30.2.A; OR

. A chair or head of department or program involved in the attempted local resolution believes that the dispute involves any of the Unacceptable Practices; OR

. Allegations that any of the Unacceptable Practices were committed are brought to the attention of a school or other University unit in a context other than a dispute between authors and/or potential authors (e.g., allegation received from a non-author who reviewed the article; allegations from a journal; allegation received through the University’s Trustline).

In such situation, initial resolution as described in section 7.30.2A is not required. Additionally, the author(s) against whom the allegations are made shall be the sole “disputing party”, and whether the Unacceptable Practice occurred and if so, what actions should be taken shall be considered the “dispute” for purposes of the process under this section 7.30.2.B. If the person/entity who brings the allegations forward has identified himself/herself/itself, then the person/entity may provide evidence to the Authorship Dispute Committee, but shall not participate in the process under this Policy as a disputing party.

Except as otherwise allowed for in this Policy, the Authorship Dispute Committee shall consist of the following:

. Three faculty members from the school of the disputing parties as chosen by the school’s dean’s office or unit director’s office

In the event that the disputing parties are from two different schools or units, the relevant schools’ dean’s offices or unit directors may each appoint one faculty member from their respective school/unit, and the third member shall be mutually agreed upon by the schools or units, or chosen by the Provost (or Provost’s representative) if no agreement can be reached. In the event that three or more schools or units are involved, the Authorship Dispute Committee shall be comprised of one appointed faculty member from each school or unit. In the event that the disputing parties include persons at institutions other than Emory, the relevant Emory school(s) or unit(s) of the Emory disputing parties will work with the other institution(s) as deemed appropriate and/or as agreed upon by the multiple institutions.
The Authorship Dispute Committee shall be formed, and written notice of its formation shall be provided by dean’s unit director’s office to the disputing parties within thirty (30) calendar days after a qualifying request to convene has been made. No member of the Authorship Dispute Committee may be an author or content contributor to the work that is the subject of the authorship dispute, or otherwise have a Conflict of Interest (real or apparent interference of a person’s or entity’s interests with the interests of another person or entity, where potential bias may occur due to prior existing personal or professional relationships). The disputing parties shall have ten (10) days from the receipt of this notice in which to provide any written “good faith” objection (i.e., the party has a
The Authorship Dispute Committee shall interview the disputing parties, and may interview additional persons at its sole discretion. The Authorship Dispute Committee, at its sole discretion, may also consider any evidence provided during the course of their review by the disputing parties or as requested by the Authorship Dispute Committee, and may also request written statements from the parties. In accordance with Section 7.30.1 B of this Policy, the Authorship Dispute Committee must also determine and identify in their recommendation the written standards of authorship the Committee will apply to the dispute at hand. In this regard, if the scholarly work at issue has been submitted to a journal, the Authorship Dispute Committee will apply that journal’s authorship principles. If, however, the journal to which a work has been submitted has no such principles, or if the work has not been submitted to a journal, then the Authorship Dispute Committee may apply one of the other default standards set forth in Section 7.30.1 B, or, alternatively, select and apply a different written standard that is widely regarded as acceptable in the relevant field. If the Committee selects and applies a standard other than one listed in Section 7.30.1 B, the Committee must cite to the written standard selected and explain the basis for the standard’s selection. After consideration of the opinions and evidence and application of the selected authorship standards, the Authorship Dispute Committee shall provide a written recommendation for the resolution of the dispute to the relevant dean’s office or unit director, along with the rationale for their recommendations. Upon receipt of the written recommendation, the relevant dean’s office or unit director shall make an administrative determination as to whether to accept recommendations. In making this administrative determination, the dean’s office or unit director shall give considerable weight to the recommendations of the Authorship Dispute Committee. In the event that the dean’s office or unit director rejects the Authorship Dispute Committee’s recommendations, it/he/she shall set forth in the written administrative determination the reasons therefore. The dean’s office or unit director shall provide a copy of the administrative determination (which shall include a summary of the Authorship Dispute Committee’s recommendations and rationale therefore) to the parties, and shall enforce the administrative determination, including correspondence from the dean’s office or unit director to relevant academic journals as appropriate.

The administrative determination shall be provided within sixty (60) calendar days of the Authorship Dispute Committee’s formation; provided, however, that extensions of time may be granted by the relevant dean’s office or unit director at its/his/her sole discretion.

Any disputing party shall have the right to appeal the administrative determination to the dean or unit director (or their appointed designee for such matters) within ten (10) days of receipt by the party of the final administrative determination. The only grounds for appeal are procedural error or substantive new evidence in favor of the party. The Authorship Dispute Committee’s determination of which written standards of authorship apply to the dispute is considered a substantive determination and not a basis of appeal. The appeal must be in writing and must specifically enumerate the grounds for appeal and provide documentation or affidavits of any substantive new evidence for consideration. If no appeal is received by the end of the ten (10) day period, the parties shall be deemed to have waived any appeal rights. If an appeal enumerating qualifying grounds (as determined by the Dean or Unit Director) is received in a timely fashion, the dean or unit director will appoint an Appeals Committee consisting of three individuals who have sufficient expertise to review the appeal and who do not have any conflict of interest with regard to the Respondent or the matter for review. Members of the Authorship Dispute Committee and prior mediators involved in the dispute during local resolution attempts shall not be eligible to serve on the Appeals Committee. The Appeals Committee shall have thirty (30) days within which to review the record of proceedings, and the substantive new evidence (if any), and issue an Appeals Report to the Dean or Unit Director that provides as follows:

a. If the Appeals Committee determines that there were no procedural errors and there is no substantive new evidence that could justify reversing the administrative determination, then the appeal shall be denied.

b. If the Appeals Committee determines that there were procedural errors or that there is substantive new evidence that could justify reversing the administrative determination, then the Appeals Committee may grant the appeal and recommend re-initiating dispute resolution by a new Authorship Dispute Committee.
C. Relationship to Other Policies and Procedures

To the extent that the subject matter of dispute falls within the scope of another University policy or falls under the jurisdiction of another University unit, such matters shall be handled in accordance with the relevant University policy and referred to the relevant University unit as appropriate. Non-limiting examples include referrals to the following units.
Institutional Review Board (IRB) for matters falling within the scope of the Emory University Institutional Review Board Policies and Procedures;
Institutional Animal Care and Use Committee (IACUC) for matters falling within the scope of IACUC policies, procedures, and guidelines;
Conflict of Interest (COI) for matters falling within the scope of Policy 7.7: Policy for Investigators Holding a Financial Interest in Research;
Office of Compliance (OC) for matters falling within the scope of Policy 7.8: Policy on Research Misconduct.
Matters falling within the scope of Policy 7.9: Guidelines for Responsible Conduct of Scholarship and Research shall be handled within the local department or unit in accordance with that policy.
Retaliation against disputing parties, persons bringing allegations, witnesses, Authorship Dispute Committee members, and other participants under this Policy is prohibited in accordance with Emory Policy 4.121: Non-retaliation.

Related Links

- Current Version of This Policy: http://policies.emory.edu/7.30
- Current Version of This Policy: http://policies.emory.edu/7.30

Contact Information

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<td>Clarification of Policy</td>
<td>Office of Compliance</td>
<td>404-727-2237</td>
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Revision History

- Version Published on: Apr 18, 2016
- Version Published on: Apr 18, 2016
- Version Published on: Nov 11, 2015 (Original Publication)

Emory University policies are subject to change at any time. If you are reading this policy in paper or PDF format, you are strongly encouraged to visit policies.emory.edu to ensure that you are relying on the current version.
Policy 7.9  
Guidelines for Responsible Conduct of Scholarship and Research

Responsible Official: VP for Research Administration  
Administering Division/Department: Research Compliance  
Effective Date: April 30, 2007  
Last Revision: November 10, 2015

Policy Sections:

I. Overview  
II. Applicability  
III. Policy Details  
IV. Related Links  
V. Contact Information  
VI. Revision History

Overview

These guidelines describe a standard of practice for the conduct of scholarship and research at Emory University (the “University”). The University complies with all applicable laws and regulations. They are based on three important principles:

I. 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;  
II. The University is accountable to outside funding sources that support the research and scholarship of its faculty; and  
III. Every scholar has ultimate responsibility for the accuracy and validity of his/her own work and that of junior co-investigators, fellows, and students. Each scholar shares this responsibility with colleagues with whom she/he establishes collaborative relationships.

Applicability

This document applies to research in all areas of intellectual inquiry. A separate section addresses issues specific to scientific research. These guidelines are intended to heighten awareness of potential ethical problems and to instruct individuals regarding appropriate procedures for resolving and documenting ethics-related matters. The focus is on the individual scholar; the purpose is to emphasize that his/her responsibility includes a duty to maintain high scholarly and ethical standards, and a commitment to instill those standards in co-investigators, students and trainees.

Scientific inquiry, scholarly contributions, creativity, and academic accomplishment can take many forms and may vary among disciplines. The subjects addressed by these guidelines are essential to all scholarly activity within the University community. Scholarly responsibility, quality of scholarly activity, security of scholarly contributions and their sources, responsible authorship, and provision for training in ethics of each discipline are issues inherent to all areas. The implications of these guidelines apply as fully to the scholar who co-authors a history textbook as to the laboratory scientist who reports a biological discovery, or the clinician who publishes a case report.
The guidelines address the following concerns:
- the scholar’s authority and responsibility for research activities;
- the establishment of the quality of research;
- the supervision of students and other trainees;
- the education of trainees in research ethics and integrity;
- access to and retention of scientific research protocols and data; and
• the social responsibility of the scholar.

In the event of a conflict between the provisions of this policy and any other applicable policies and/or laws/regulations, the most stringent of the applicable policy and/or law/regulation shall govern.

Policy Details

7.9.1 The Conduct of Research and Scholarship

A. Authority and Responsibility for Research Activities

The head of each division, department or program is responsible for assuring that each fellow or student has a specific faculty research director or dissertation advisor. Usually a dissertation advisor or research director will be a full-time faculty member of a University department. This responsibility should not be construed as carrying rights of authorship, consultation, or approval of manuscripts prior to publication.

B. Establishing the Quality of Research

1. Primary assurance of the quality of research stems from the scholarly qualifications of individual faculty members. All faculty members are ultimately responsible for the scholarly character, accuracy, and reliability of their own research and for that conducted under their supervision. Each scholar is also responsible for the integrity and originality of his/her own research. The most effective single process for ensuring research of high quality is peer review, both formal and informal. Informal review occurs through departmental and interest-group seminars and research discussion groups. Each division, department, or program should encourage such informal review procedures. Formal review will be accomplished by existing review committees (e.g., tenure and promotion committees) that are charged with the task of evaluation of the merit and relevance of research. (An example of an external committee is an NIH study section.)

2. Faculty should establish an intellectual atmosphere that promotes high academic and moral standards and in which issues of social responsibility and professional ethics are addressed.

3. Emory University's formal policy governing investigations of research misconduct ("Policy 7.8: Policy on Research Misconduct" Emory University) should be followed when allegations of research improprieties have been made. That document, which is incorporated by reference, should be on file in the office of each laboratory head and faculty member and should be distributed to all members of the research team.

C. Supervision of Student Scholarship

1. The academic institution's responsibility to educate and prepare students to enter society and to practice their disciplines with high ethical standards does not cease with formal course work. The University and its faculty have an obligation to the academic community, the public, and the student to ensure that all students and trainees engage in scholarship and research responsibly, using the highest professional standards.

2. Dissertation advisors, research directors and administrative heads share responsibility for guaranteeing an open and equitable research environment that protects the interests of students, assistants and other trainees. They should ensure that students are given due recognition for original work, that demands made upon students are reasonable, and that they are treated in interpersonal relationships with the same professional courtesy granted peer colleagues. For students who feel their supervision or training is inadequate, avenues must be available to bring this to the attention of the advisor, director or, if necessary, to the head of the appropriate administrative unit.

3. Dissertation advisors and research directors should meet regularly with students, fellows, and other collaborators to review their work and progress.

4. Dissertation advisors and research directors should serve as role models and maintain the highest
standards in performance of research. They should encourage students to be open and to share ideas and information with other members of the scholarly community. They should ensure that the experience of their students serves to prepare them to become independent scholar and researchers.

D. Education of Graduate Students in Research Ethics and Integrity

1. Ethical issues and questions in the conduct of scholarship should be made an integral part of the education of all graduate students. Research directors are responsible for establishing a training environment in which value-related issues are discussed freely. The director should expect and foster at least a minimal level of familiarity with ethics.
related to scholarship. The goals should be to teach students and other trainees how to identify ethical issues and how to address the common ethics-related questions that arise in the course of investigation and publication.

2. Heads of departments, divisions, and programs are responsible for fostering the teaching of ethics within their units. An ethics component of the curriculum should provide students and faculty with the intellectual tools and interactional skills to apply ethical thinking to everyday problems encountered in their research. Ethical issues, concepts and theoretical grounding should be introduced as part of the orientation of all graduate students and trainees.

E. The Social Responsibility of the Scholar

Scholars have a social obligation to conduct research and scholarship work responsibly and with integrity, and work to ensure that their contributions are not misused. Scholars are also responsible for being familiar with all University policies related to research including copyright and patent policies, the Policy on Research Misconduct, and these guidelines.

7.9.2 The Conduct of Scientific Research

The following paragraphs refer specifically to scientific research and serve as an addendum to the broader guidelines described above.

A. Responsibility for Scientific Research Activities

The head of each division, department, or program is responsible for assuring that (1) every laboratory or research unit has a designated preceptor (i.e., supervisor, mentor, or director), and (2) that each trainee (e.g., post-doctoral fellow, junior investigator, graduate or undergraduate student) has a specific faculty research preceptor. Usually a research preceptor will be a full-time faculty member of a University department or a laboratory head in an Emory-affiliated research facility or hospital.

B. Establishing the Quality of Scientific Research

1. The research director is responsible for assuring close personal supervision of the research of students including the design of research protocols, approval by appropriate committees, data gathering and recording, statistical analysis, interpretation of results, preparation of manuscripts, submission and revision of manuscripts for publication, and presentations at scholarly meetings.

2. The laboratory head is responsible for informing each new staff person and investigator (faculty, student, or fellow) of applicable federal, state and institutional regulations for conduct of studies involving humans, animals, radioactive and other hazardous materials, and recombinant DNA. Laboratory heads are responsible for informing personnel in their laboratories about existing Emory University policies and these guidelines. The laboratory head is also responsible for explaining and discussing the relevant requirements for the responsible conduct of research with trainees, fellows, and visiting scientists in the laboratory, and to ensure that such requirements are met.

3. The distinction between intellectually-driven inquiry and commercially-targeted research is sometimes vague. Many respected faculty are committed to developing and to studying tools, techniques and processes whose primary purpose is to promote the health or welfare of society in areas having potential commercial value. The preceptor is responsible for assuring that such investigations meet the same standards of quality and reproducibility as investigations of a more basic nature. Furthermore, any faculty member that has financial interests in a company sponsoring his/her research should disclose such financial interests to the chair and dean/director to avoid potential or real conflicts of interest, as well as following any other laws, regulations, or University policies regarding conflicts of interest.

4. In keeping with the principle of fostering reproducibility in science, and in the absence of patent, copyright, contractual or regulatory considerations, novel compounds and reagents used for experiments should be made available or appropriately described means for obtaining these should be given to other competent members of the research community upon request and after execution of a material substance transfer agreement. The senior investigator should have the latitude to make a fair and balanced response to requests for all research substances, including novel compounds and reagents. Additionally, investigators are expected to comply with any applicable data or material sharing requirements set forth by research sponsors or applicable laws and regulations.
5. Clinical research requires special attention to issues of informed consent and confidentiality. Physician-investigators should disclose significant alternatives and risks to participants so that they can make an informed judgment about participation. Signed copies of informed consent concerning research that involved medical treatment must be placed in the participant’s clinical records as well as with research records, unless otherwise required by an Institutional Review Board or rules/regulations governing medical records. Clinical research records remain the property of the University and/or Emory Healthcare if such records are contained in a participant’s medical records. With respect to University records, the administrative heads of the department/division of the faculty conducting clinical research are responsible for maintenance of such records. Subject to the limitations of any research sponsors and/or authorizations or consents signed by clinical research participants, faculty members may make copies of the records upon departure from the University.
C. Access to and Retention of Scientific Research Protocols and Data

1. Both the research director and the University have responsibilities and 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 consistent with applicable laws, regulations, policies and contractual obligations.

2. Each faculty member/preceptor is ultimately responsible for the maintenance and proper retention of research records. These records should include sufficient detail to permit examination for the purposes of replicating the research, responding to questions that may result from unintentional error or misinterpretation, establishing their authenticity, and confirming the validity of the conclusions.

3. Each preceptor should maintain a laboratory manual that describes all major procedures. Correspondence with institutional review committees and records of the use of controlled substances and radioactive materials should be maintained as part of the research record in accordance with governmental, regulatory, and University policies.

4. A standardized system of data organization should be adopted and should be communicated to all members of a research group and to the appropriate administrative person. The appropriate administrative person should be determined by the sub-unit.

5. Where feasible, the faculty member, or his/her designee, shall retain all original primary data. Accepted practices for retaining data vary among disciplines and depend on the perishability, nature and logistics associated with each type of data. Each investigator should treat data properly to ensure authenticity, reproducibility and validity and to meet the requirements of relevant grants and other agreements concerning the retention of data. Primary data should be preserved for the period and under conditions specified by the most stringent of applicable federal regulations, University policy and record retention schedules, and/or grant/contractual requirements. In circumstances in which there are no federal, University, or other record retention requirements, sub-units of the University should establish uniform standards and procedures for retention and destruction of data. Data should not be destroyed without proper notification of and approval by an appropriate administrative person. In unusual cases (e.g., data used for a patent application filed by the University), it may be necessary for original data to be kept only at offices specified by the University. Potentially patentable data should be signed and dated by the preceptor at the time they are entered into notebooks or maintained by other methods of retention in the event the results are questioned.

6. Unless otherwise agreed to in writing by an authorized representative of the University, the University retains ownership of all research data, samples, and materials generated or collected in the course of University research. In the event of disputes between scholars with regard to control, access, and use of such data, samples, and materials, the University, through the procedures described under 7.9.3 of this Policy, shall ultimately determine disposition. If a scholar leaves the University, he/she shall cooperate with his/her department chair/director to negotiate appropriate agreements governing the transfer of any research data, samples, or materials to the entity to which the scholar is moving, consistent with any legal, policy, grant or contractual requirements. The transfer of any data, samples, or materials shall be contingent upon the execution of such agreements between the University and new entity (e.g., material transfer agreements, data transfer agreements) When practicable and permitted, agreements shall preserve the scholar’s right to access and copy (where practical) such data. Any potential transfer, disclosure, right of access, or use of data, samples, or materials collected from human subjects is subject to the provisions of the informed consents and authorizations executed by those human subjects.

7.9.3 Resolution of Policy Violations

Resolution of alleged violations of this Policy 7.9 shall be resolved at the local level by the head of the relevant department, division, or program, in consultation with the dean of the relevant school, as appropriate. To the extent that the subject matter of alleged violations falls within the scope of another University policy or falls under the jurisdiction of another University unit, such matters shall be handled in accordance with the relevant University policy and referred to the relevant University unit as appropriate. Non-limiting examples include referrals to the following units:

- Institutional Review Board (IRB) for matters falling within the scope of the Emory University Institutional Review Board Policies and Procedures;
- Institutional Animal Care and Use Committee (IACUC) for matters falling within the scope of IACUC policies,
procedures, and guidelines;
- Conflict of Interest (COI) for matters falling within the scope of Policy 7.7: Policy for Investigators Holding a Financial Interest in Research;
- Office of Compliance (OC) for matters falling within the scope of Policy 7.8: Policy on Research Misconduct;
- Handling of authorship disputes by the appropriate unit(s) in accordance with Policy 7.30: Policy on Authorship Guidelines and Dispute Resolution.

7.9.4 References

"Policy 7.8: Policy on Research Misconduct", Emory University.
Related Links

- Current Version of This Policy: http://policies.emory.edu/7.9

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Revision History

- Version Published on: Oct 21, 2015
- Version Published on: Oct 21, 2015
- Version Published on: Apr 30, 2007 (Original Publication)

Emory University policies are subject to change at any time. If you are reading this policy in paper or PDF format, you are strongly encouraged to visit policies.emory.edu to ensure that you are relying on the current version.
Policy 8.3
Confidentiality and Release of Information About Students

Responsible Official: SVP and Dean for Campus Life
Administering Division/Department: Campus Life
Effective Date: April 04, 2006
Last Revision: January 10, 2017

Policy Sections:
I. Overview
II. Applicability
III. Policy Details
IV. Definitions
V. Related Links
VI. Contact Information
VII. Revision History

Overview

Emory University, like other institutions of higher education, accumulates and maintains records concerning the characteristics, activities and accomplishments of its students. Because the University recognizes the student’s right of privacy, a policy regarding the confidentiality of the information which becomes a part of the student’s permanent records and governing the conditions of its disclosure has been formulated and adopted. This policy reflects a reasonable balance between the obligation of the University for the protection of the rights and privacy of the student and its responsibility to society.

Applicability

Emory University is committed to protecting students from improper disclosure of private information. In order to do so, the University must make every endeavor to keep the student’s record confidential. All members of the faculty, administration and clerical staff must respect confidential information about students which they acquire in the course of their work. At the same time the University must be flexible enough in its policies not to hinder the student, the institution or the community in their legitimate pursuits.

Each of the record-keeping administrative units within the University may develop its own additional specific procedures in accordance with the general policy stated here.

Policy Details

8.3.1 General Guidelines

The following guidelines relative to student records represent Emory University policy.

I. All procedures and policies dealing with records shall be formulated with due regard for the student’s rights for
privacy, freedom of association and expression and intellectual liberty and freedom to learn.
2. Only those records shall be kept which are necessary in order to meet the University's or student's goals.
3. Duplication of record keeping shall be minimized.
4. All persons who handle student records shall be instructed concerning the confidential nature of such information and their professional and legal responsibilities regarding these records.
5. Information from University files, which is not of public record, shall not be available to unauthorized persons
without the written consent of the student involved.

6. The University will comply with and abide by all federal and state laws which apply directly to the University and the Confidentiality and Release of Information About Students—in particular, the federal Family Educational Rights and Privacy Act of 1974 (FERPA).

7. The University Registrar and the Oxford College Registrar are the official custodians of academic records at Emory University and Oxford College respectively and therefore are the only officials who may issue an official transcript of academic record.

8. Records shall be released to comply with a subpoena or court order only with the consent and advice of the University's legal counsel.

9. A record shall be maintained, kept with the record of each student, of the release of any information contained in a student's files to individuals or agencies outside the University; including the name of the requesting individual or agency, date, and purpose of the request. This record of access shall be available to the student.

10. All University policies governing the maintenance and release of student records are public and are available to students, faculty, and administration.

8.3.2 Campus Directory Suppression

Each student has the option of choosing 1) to be included in the student directory or 2) to be excluded from the student directory. The student directory includes both the printed Emory University Campus Directory and the on-line directory. The University default is that directory information may be included in these media. A link is provided below to print a Campus Directory Suppression Form on which you can indicate your preference. Return this completed form to the Office of the Registrar, 100 Boisfeuillet Jones Center, Emory University, Atlanta, GA 30322.

8.3.3 Complaints

Students have the right to file written complaints with the Office of the Secretary of the U. S. Department of Education concerning the University's alleged failure to comply with FERPA or the regulations promulgated thereunder.

8.3.4 Disclosure of Records

8.3.4.1 Disclosure to the Student

The student has the right, on request to the proper official, to know of the existence and content of all materials that are in his/her official records as kept by the University and/or School of the University. The exception to this policy is that letters of recommendation or other personally signed confidential documents placed in the student's file before 1 January 1975 will not be made available to the student. If a student wishes to obtain confidential recommendations to be used for admissions and academic advising purposes only (for transfer, graduate, or professional school application), the student may exercise a waiver of right of access to these specific recommendations.

A student is entitled to an official transcript of his/her academic record. A transcript issued to a student will be stamped "Issued to Student".

A student has the right to inspect and review his/her permanent academic record card (from which transcripts are made) and all official records, files and data directly related to him/her including all material that is incorporated into each student's cumulative record folder and intended for school use or to be available to parties outside the school or University. The student is entitled to an explanation of any information recorded in these files. When the original is shown, examination should be permitted only under conditions which will prevent its alteration or mutilation. The request for the specific record to be examined or reviewed by the student shall be in writing and the University shall comply with this request within a reasonable period of time, but in no case more than 45 days after the request has been made. The right to inspect and review educational records includes the right to obtain copies of the records when failure to provide copies would effectively prevent a student from exercising the right to inspect and review the educational records. When copies are provided a fee to cover cost is charged. A schedule of such fees is available from the office charged with keeping the record in question.

8.3.4.2 Disclosure to Faculty and Administrative Officers of the University

Faculty and administrative officers of the University who have a legitimate interest in the material and demonstrate a need to know for purposes reasonable related to the performance of their official duties will be permitted to look over the records of any student.
The contents of the official folder of a student should not be sent outside the Office of the Registrar or other records office except in circumstances specifically authorized by the Registrar or the custodian of the other records. A permanent record card should never leave the Office of the Registrar since copies can readily be prepared.

8.3.4.3 Disclosure to Parents, Educational Institutions and Agencies

Transcripts, grade reports and other educational records will not be released to parents or guardians of students without prior written approval from the student. The exception to this policy is that the University may choose to release information about a student to the parents of that student if the student is a dependent student of such parents, as defined in Section 152 of the Internal Revenue Code of 1954.
Requests from research organizations of educational institutions making statistical studies may be honored without prior approval of the student provided no information revealing the student’s identity is used. Requests from a philanthropic organization supporting a student will be honored only with written approval from the student.

No personally identifiable records or files will be released to officials of other Colleges or Universities in which the student intends to enroll, unless the student receives notification and, if desired, a copy of the records released.

8.3.4.4 Disclosure to Other Individuals and Organizations

Information furnished to other individuals and organizations should be limited to the items listed as "directory information" unless the request is accompanied by an information or transcript release signed by the student, specifying records to be released, the reasons for such release and to whom the records are to be released. Each student has the right to refuse to permit the disclosure of directory information pertaining to him/her by completing the appropriate form obtained from the Registrar’s Office during registration periods.

8.3.4.5 Disclosure in Response to Telephone Inquiries

Only those items determined by the University to be "directory information" may be released in response to telephone inquiries. Such items include:

* name;
* whether or not the student is currently enrolled;
* the school or division in which the student is or was enrolled and his/her class year;
* dates of enrollment including full-time or part-time status;
* degree or degrees earned (if any), date of degree, major area of concentration and academic honors received;
* awards of merit and participation in officially recognized activities and sports;
* addresses and telephone numbers; and
* electronic mail addresses

Urgent requests for student information based on an apparent emergency will be handled by the Registrar or other appropriate University officer. It should be noted that these offices, however, will not knowingly serve as the source of information for landlords, collection agencies, sales personnel, etc.

8.3.4.6 Disclosure by Other Offices of the Institution

The foregoing guidelines are applicable to handling any requests for academic information about students or former students received by any member of the faculty, administration, or clerical staff. The guidelines are intended to protect the individual’s rights to privacy and the confidentiality of his/her academic records throughout the University.

All University personnel should be alert to refer promptly to the Office of the Registrar or other appropriate office request for transcripts, certifications or other information which that office typically provides.

Material in a student’s placement file will be released for the purpose of prospective employment only on written request of the student. Whenever there is a need for the University to issue a transcript of the student’s educational record in connection with employment, it must be specifically requested of the Office of the Registrar by the student.

8.3.5 Hearing

The student shall have the right to request that the University amend their records and, if that request is denied, the student shall have the right to a hearing to challenge the content of the student’s official University records, to insure that the records are not inaccurate, misleading or otherwise in violation of the privacy or other rights of students and to provide an opportunity for the correction or deletion of any inaccurate, misleading or otherwise inappropriate data contained herein. If the University declines to amend the record following the hearing, the student shall have the right to place a statement in their record commenting on the information in the record and the University’s decision not to amend it.

8.3.6 Maintenance and Retention of Student Records

Procedures should be established within all offices responsible for maintaining student records for the regular and periodic review of all information for the purposes of insuring its accuracy and continued usefulness and
elimination of unnecessary and unverified data. If a student record is to be maintained two conditions must be met:

* its accuracy should be verified by appropriate means and
* its continuing usefulness should be clearly demonstrated.

Only records, which survive these two criteria, should be maintained by the institution and then only for a specified period of time. Due consideration should be given to the needs of the archivists as well as to the rights of the individual student in determining the long-term retention of student information.

All persons, agencies or organizations, outside the University, judged as having a legitimate need to know that are given access to the records of a specific student must sign a form which will be kept permanently with the file of the
student, but only for inspection by the student, indicating specifically the legitimate educational or other interest that such person has in seeking this information.

**8.3.6.1 Retention Recommendations**

Each office of the University responsible for keeping student records should develop a recommended schedule of retention for all records. The retention schedules should be coordinated and must be consistent.

The required schedules of retention, as well as any necessary additional specific policies -- developed in accordance with the above general University policy -- adopted by schools or departments of the University, will become a part of this document and shall also be a matter of public record.

**8.3.7 Special Types of Records**

Separate and specific safeguards against unauthorized access have been developed for medical, disciplinary, financial, therapeutic and counseling records based on their unique characteristics and high level of sensitivity. Each of the record-keeping administrative units involved in the maintenance of these records has developed its own procedures in accord with the general policy stated here.

**8.3.7.1 Counseling and Testing Records**

Records of the counseling or testing services are released only on written request of the student or except where such disclosure is required by law. Requests for information regarding the counseling or testing records of a student should be referred to the director of that service.

**8.3.7.2 Disciplinary Records**

Records of disciplinary action taken by the University are kept in the Office of the Deans. The reason for disciplinary suspension is never a part of the academic transcript of any student. Disciplinary records are not released for use outside the University unless authorized in writing by the student or required by law. The student has the right to inspect and review his or her disciplinary records.

**8.3.7.3 Financial Records**

Loans, scholarships, and grant applications, financial awards and student employment records are kept separate from other academic and student personnel records. Information concerning loans, grants, scholarships and employment may be released to faculty and administrative staff if such information is judged to be needed in the performance of their respective responsibilities. Financial information will not be released to any other source outside the University except to federal and state assistance programs unless the student requests specifically, and in writing, that their financial record (or any part of it) may be released. The financial records of the parent of the student or any information contained therein are not available to the student.

**8.3.7.4 Medical Records**

Medical records are kept only in the Student Health Services Centers of Emory University and Oxford College. The Student Health Services Centers release health records only with a signed authorization from the student. Requests for information regarding the health of a student should be referred to the Director of the Student Health Services Center.

**8.3.8 Withholding Information**

There may be conditions such as financial obligations, violations of non-academic regulations, etc., under which the University will withhold transcripts, certifications, or other information about a student. In such instances, the student and the Office of the Registrar must be notified in writing before the hold is initiated. This notification must state the reason for such hold and the conditions to be met before release can be made.

**Definitions**

1. "Student" referred to in both the Family Educational Rights and Privacy Act of 1974 (FERPA) and the University's Policy Statement on the Confidentiality and Release of Information About Students includes "any person with respect to whom an educational agency or institution maintains educational records or personally
identifiable information, but does not include a person who has not been in attendance at such agency or institution.” This therefore excludes applicants who have been admitted and did not enroll and applicants who were denied admission.

2. “Educational Records” refer to Emory University policy statement on the Confidentiality and Release of Information About Students and FERPA as amended considers as falling outside the definition of Educational Record, and thus does not open to inspection by students, the following materials:

a. records about students made by instructors and/or administrators for their own use and not shown to others;
b. employment records for students who are University employees unless the student was employed as a result of
their status as a student;
c. records about University students "created or maintained by a physician, psychiatrist, psychologist or other recognized professional or paraprofessional" acting or assisting in such capacity for treatment purposes and which are available only to persons providing such treatment.

3. As applies to the University's policy statement section IV -- Hearing:

A student may challenge a grade only on the grounds that it was inaccurately recorded, not that it was lower than the instructor ought to have awarded. Thus, the "Right to Challenge Hearings" excludes challenging grades on the basis of the grade being other than expected.

4. FERPA, and hence the University, lists the following as those who may have access to a student's record without the student's consent:

a. state and local officials to whom state law in effect on 19 November 1974 required information to be prepared;
b. organizations like ETS and CEEB in connection with "developing, validating, or administering predictive test, administering student aid programs, and improving instruction";
c. "accrediting organizations in order to carry out their accrediting function";
d. parents of a student who is a dependent for income tax purposes (dependent student is defined in Section 152 of the Internal Revenue Code of 1954);
e. "appropriate persons" in the case of health and safety emergencies. Regarding the release of information for health or safety emergencies, the regulations of the Department of Education state that educational institutions may release information from educational records if the knowledge of such information is necessary to protect the health or safety of a student or other persons. Factors which should be taken into account in determining whether records may be released under this section include the following:

"the seriousness of the threat to the health or safety of the student"; "the need for such records to meet the emergency";
"whether the person to whom such records are released is in a position to deal with the emergency"; and "the extent to which time is of the essence in dealing with the emergency."

Furthermore, "in determining whether a bona fide emergency exists, institutional officials should be aware that the exception is to be construed narrowly." Other than in the exceptions stated in this policy, the University may not release "personally identifiable information in educational records" or allow anyone access to those records, unless the student has given his/her written consent "specifying records to be released, the reasons for such release, and to whom" with a copy of the released record to be furnished to the student if so requested.

5. If the University is responding to a court order or subpoena, it is under no requirement to give the student a copy of the materials furnished, but it must make a reasonable effort to notify the student of all such orders or subpoenas in advance of compliance therewith.

6. The University's own employees, "if within the category determined by the University itself to have legitimate educational interest in the file, need not execute any explanatory statement, nor must a record of their access be kept when indeed they are accessing a student's record." In effect, only "outsiders" who request or obtain file access must explain their reasons.

Related Links

- Current Version of This Policy: http://policies.emory.edu/8.3
- Campus Directory Suppression Form (http://www.registrar.emory.edu/ferpa/campusdirectory.htm)

Contact Information

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Revision History

- Version Published on: Mar 28, 2007 (*added* "name" to 8.3.4.5)
- Version Published on: Mar 28, 2007 (*Original*Publication)
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Other Policies

Research Compliance: Human Subjects, Animals, Dangerous Substances and More

One component of the conduct of research is the care to respect the rights and welfare of any humans or animals who are the subjects of research, as well as to exercise all due diligence and care when using materials or procedures that may expose the researcher or others to environmental hazards. At Emory, the umbrella organization for these concerns is the Office of Research Compliance. Students should consult its website for statements of principles as well as for procedures for securing the proper review and permissions to conduct research that involves any compliance issues.

For additional information and resources, students should consult the U.S. Department of Health and Human Service’s Office of Research Integrity and the Council of Graduate Schools’ Project for Scholarly Integrity.

Policy on Consensual Teacher-Student Relationships

From the Faculty Handbook: Chapter 12 - Policies Regarding Conduct in the Workplace

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

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