

PRINCIPLES AND RECOMMENDATIONS

Four principles were developed to guide the commission in developing specific recommendations:

- Ideas, their corresponding modes of inquiry, and their intellectual communities, rather than the availability of funds, must be the primary drivers of Emory’s research activity.
- The evolution and dissemination of knowledge and the articulation of intellectual priorities are the primary responsibility of scholars. Emory’s faculty and administrative leaders must collaborate creatively and effectively to define and advance Emory’s intellectual priorities.
- Emory must advance its research mission by actively seeking the necessary resources to strengthen scholarship.
- Emory’s research infrastructure must enable research rather than inhibit it.

THE COMMISSION ORGANIZED THE RECOMMENDATIONS INTO FIVE CLUSTERS: (1) faculty growth in scale and quality, (2) faculty responsibilities, (3) graduate education and programs, (4) support structures, and (5) fiscal resources. Associated with these recommendations are specific measures of progress. (See Appendix A for a summary of the measures of progress and the associated time line.) It should be noted that recommendations are listed in the thematic cluster that seems most appropriate, although some recommendations may fit under more than one cluster.

1. FACULTY GROWTH

The strength of a research university lies in its faculty. Investment in Emory’s intellectual capital by its administrative leaders and faculty must be a priority in order to achieve pre-eminence in research. Accordingly, Emory must act on a deep commitment to supporting and advancing the research activities of its faculty.

RECOMMENDATIONS

- ▶ 1. Academic leaders and faculty should develop an action plan with clear priorities for research faculty growth—at least 25 percent over the next five years. This growth must be linked to strategic planning for research excellence, including faculty involvement at all levels.

- ▶2. The university, through the Office of the Provost and in collaboration with deans and chairs/division heads, should allocate sufficient resources to retain outstanding faculty, including competitive salaries and benefits, office and research space, access to undergraduate and graduate students as well as postdoctoral fellows, and internal research funds. Salary compensation should reflect the twelve-month research commitment of most faculty members.
- ▶3. The offices of the president and provost should use patent income revenue stream and other internal funding streams for research to establish a new research initiative fund that provides seed and bridging money for the advancement of outstanding research and the establishment of centers of research excellence that support collaborative scholarship and intellectual exchange. This fund should be distinct from the existing University Research Committee grants. Grants from the fund should be available for a limited time period of up to three years, assuming that newly established centers will be self-supporting. Funding decisions beyond three years should require an extensive review of the center's viability that should be conducted by faculty working with the Office of the Provost.

MEASURES OF PROGRESS

Within Three Years

- ▶1. Clearly state Emory's academic growth priorities and its progress toward specific goals so that the larger university community can identify with them.
- ▶2. Provide financial support to enhance places for intellectual exchange. Examples include an academic bookstore, faculty club, informal gathering sites, and a printed magazine that features university-wide research accomplishments.
- ▶3. Establish an account for competitive bridge funding that reflects Emory's investment in its researchers. Granting of funds should be decided by using a faculty-driven peer-review process.

Within Five Years

- ▶4. Initiate the research initiation fund at approximately \$3 million per year and increase it to at least \$10 million per year.
- ▶5. Invest adequate resources to sustain a program of faculty development. This program should include activities that support junior faculty and those faculty whose service contributions to

Emory have constricted their ability to be promoted from associate to full professor.

- ▶6. Establish structures for retired faculty who wish to make a significant contribution to Emory's research mission. These structures should allow them to participate in existing research programs.
- ▶7. Develop procedures to make hard money available for a portion of the salary of research-oriented faculty in clinical departments.

II. FACULTY RESPONSIBILITIES

Research excellence requires balancing faculty commitments to research, teaching, and service. All three are essential to the overall mission of the university and contribute to excellence in research. Explicit allocation of time among these responsibilities is crucial to the effective faculty pursuit of research.

RECOMMENDATIONS

- ▶1. At the departmental/division level, define faculty responsibilities, including those of clinical faculty, consistent with research expectations and each unit's strategic research plan.
 - ▶1.1 Develop a requirement that individual faculty, in collaboration with their chair or division chief, establish a research plan that is reviewed annually.
 - ▶1.2 Create ways for each faculty member to have time for scholarship—including faculty who are on clinical or teaching tracks.
- ▶2. At the departmental/division level, consider new ways of structuring teaching responsibilities that allow faculty more time and flexibility for research.
 - ▶2.1 Schedule classes to ensure the most efficient use of faculty's time. For instance, allow for classes to be taught on one or two days per week as opposed to the current schedule that requires some classes to meet three or more days per week.
 - ▶2.2 Provide teaching credit for research-related teaching and mentoring, which includes team-taught courses, independent studies, clinical mentorship, directed readings, membership on thesis and dissertation committees, mentoring of graduate students and postdoctoral fellows in laboratories, and other forms of unscheduled teaching.
- ▶3. At the school/unit-level, consider more flexible approaches to paid research time that take into account a greater range of faculty needs at different career stages.

- ▶3.1 Establish procedures that allow faculty to have paid research time consistent with their individual research plans and accomplishments.
- ▶3.2 Allow for short-term leaves when long-term leaves are not feasible. These may range from several hours per week to several weeks, during which time the faculty member devotes time solely to scholarship.
- ▶3.3 Allow flexible timing of leaves for junior faculty so that specific disciplinary expectations for tenure are considered along with the junior faculty member's accomplishments.
- ▶3.4 Create a structure that encourages and enables faculty to take advantage of research opportunities paid for by external sources. For instance, develop procedures that allow for externally funded leaves during the teaching year (e.g., buying off teaching time) and use these funds to sponsor visiting faculty, including postdoctoral fellows and lecturers.
- ▶3.5 Return external funding acquired by a faculty member in support of salary to the faculty member's department/division/program to allow for an equivalent replacement.
- ▶3.6 Use flexible methods for faculty to take more frequent leaves.
- ▶3.7 Establish funded time for faculty to engage in teaching that advances the scholarship in their discipline.
- ▶4. At each level at which the service activity occurs, allocate service commitments among faculty to make these activities more meaningful and equitable.
 - ▶4.1 Eliminate redundancies in the current committee structures at the department, school/unit, and central administration levels.
 - ▶4.2 Allocate committee work according to career stage and current workload of faculty, with fewer requirements for junior faculty.
 - ▶4.3 Develop procedures to quantify faculty contributions to committee membership and establish rewards based on the time devoted to committee work.
 - ▶4.4 Allow for release time based on banking of extra scheduled teaching time or extraordinary committee contributions.

MEASURES OF PROGRESS

Within Two Years

- ▶1. Revise class schedules.
- ▶2. Establish procedures for giving credit for unscheduled teaching.
- ▶3. Establish plans for paid research time.

Within Three Years

- ▶4. Each faculty member, in consultation with a chair or division chief, should establish a faculty research plan that addresses scholarship accomplishments and aspirations. These plans should be reviewed annually.
- ▶5. Establish set-aside time for scholarship for all faculty.
- ▶6. Develop an explicit formula for the allocation of time to research, teaching, and service at the school, division, or unit level. In addition, establish a system to reward significant contributions to committees.
- ▶7. Develop a mechanism to review the justification for the existence of committees and report the findings to the appropriate administrators (e.g., unit-based committees report to their respective dean).
- ▶8. Decrease the total number of committee meetings held at Emory by 20 percent.
- ▶9. Develop a system of rewards for active contributions to committee work.

III. GRADUATE EDUCATION AND PROGRAMS

Graduate students enhance faculty research and reflect the quality of research at Emory. Emory must have a unified graduate school whose high-quality programs advance research, provide students with an outstanding education, and ensure the value of an Emory doctoral degree. The research enterprise cannot advance without increased support for graduate education.

RECOMMENDATIONS

- ▶1. The Office of the Provost should strengthen the structure of existing graduate programs to facilitate better their needs, taking into account the needs of different research cultures and ensuring uniform quality of graduate programs across the university.
 - ▶1.1 Establish priorities for the development of specific graduate programs consistent with plans for faculty growth and coordinated by the graduate dean with intensive faculty engagement.
 - ▶1.2 Manage the resources allocated to graduate education at the program level in order to maximize the effect.
 - ▶1.3 Establish the position of associate vice provost of graduate studies, with the responsibilities to ensure quality control across doctoral programs and to coordinate doctoral-level education, including graduate teaching in all its forms.

- ▶1.4 Establish a budget for graduate programs that includes at least 25 percent of the current salaries support to all faculty involved in graduate education.

MEASURES OF PROGRESS

Within One Year

- ▶1. Appoint a vice provost of graduate studies and allocate sufficient resources.
- ▶2. Establish a budget for graduate education, equivalent to at least 25 percent of the current salary support to all faculty involved in graduate education.

Within Two Years

- ▶3. Identify faculty associated with the Graduate School and make provisions for noncompensated appointments to the graduate faculty.

Within Three Years

- ▶4. Develop a strategic plan to set priorities for graduate programs, including an initial review of current graduate programs for the purpose of assessing the effectiveness of the programs for resource allocation purposes.
- ▶5. Develop an evaluation of Emory graduate programs, including a comparison with three to five peer programs at other research universities.
- ▶6. Develop procedures to reward successful graduate programs.
- ▶7. Establish policies in which external funding will benefit primarily grantees as well as all graduate programs. The tax placed on this funding should not exceed 25 percent.
- ▶8. Conduct subsequent regular graduate program reviews using a five-year interval in order to:
 - 8.1 Set priorities for strengthening or eliminating disciplinary and interdisciplinary doctoral-level graduate programs;
 - 8.2 Establish master-level graduate programs, where appropriate, without the expectation of also establishing doctoral-level training.

IV. SUPPORT STRUCTURES

Flexible and responsive support structures are essential for a vibrant research enterprise. Emory's support structures—for example, sponsored programs, grants and contracts, libraries, information technology, compliance, and space allocation—must serve rather than impede research activities.

RECOMMENDATIONS

- ▶ 1. The Office of Research Administration should develop procedures to facilitate seamless support for research.
 - ▶ 1.1 Provide adequate infrastructure to identify potential funding sources and to process applications and awards in the most efficient way.
 - ▶ 1.2 Facilitate interaction within and between research administration staff located in the various units.
- ▶ 2. The Office of the President, in collaboration with the Office of the Provost, should establish the position of an ombudsperson to deal with ethical issues in research.
- ▶ 3. The Office of the Provost should enhance resources for information technology and ensure that Emory stays at the forefront of technological advances.
 - ▶ 3.1 Develop a funding stream for information technology that is driven by an increase in research activity.
 - ▶ 3.2 Develop a unified information technology system for Emory and, if multiple systems are required, make these compatible.
 - ▶ 3.3 Facilitate access to electronic databases and communication from off-campus locations.
- ▶ 4. The Office of Research Administration should develop a website describing Emory's internal funding for research.
- ▶ 5. The Office of Research Administration should streamline human subject and animal protection procedures and, when applicable, related areas such as biosafety and HIPAA.
- ▶ 6. The dean of each school or the director of each unit should ensure adequate research space for offices, laboratories, and libraries (statistical and computing), and develop procedures for space allocation, including regular reviews.
- ▶ 7. The Office of the Provost should ensure that state-of-the-art statistical centers are available, including informatics and social statistics.
- ▶ 8. The Office of Research Administration should furnish resources in cases where external funds do not cover the costs of all

activities to ensure quality research. For example, Emory should provide means for faculty to function under current NIH regulations on supplies, equipment, and administrative support.

- ▶9. The Human Resources Division should modify the current human resources job classification system and the associated salary structure to reduce barriers to research staff recruitment and retention. A closer link between human resources and the research administration should be established to address implications for research of human resources decisions.
- ▶10. The appropriate dean, in collaboration with the departments, should establish procedures for small departments to share administrative responsibilities with each other while ensuring the disciplinary integrity of departments.
- ▶11. The Office of Executive Vice President for Finance and Administration should lead an effort to deliver adequate shuttle services, linking the main campus and all off-campus sites, including the Oxford College campus and the Veterans Administration Medical Center.
- ▶12. The Office of Provost should work with the deans of the undergraduate units to establish an office that focuses on undergraduate research opportunities.

MEASURES OF PROGRESS

Because of the specific nature of the above recommendations, we do not include measures of progress here.

V. FISCAL RESOURCES

Emory must use its fiscal resources efficiently to achieve its research potential. The anticipated capital campaign provides a unique opportunity to realize Emory's research ambitions.

RECOMMENDATIONS

- ▶1. Endowment
 - ▶1.1 The Board of Trustees should initiate a capital campaign to realize the recommendations of this report, including, but not limited to: faculty growth, targeted hiring, funds to retain outstanding faculty, increase support for graduate students, and an undergraduate research program.
 - ▶1.2 The Board of Trustees should consider a one-time appropriation from the endowment to take advantage of a window of

opportunity to attract excellent research faculty and to move ahead of peer institutions.

- ▶ 1.3 Emory should establish a permanent endowment to support faculty research.
- ▶ 2. Annual Fund
 - ▶ 2.1 The Office of Institutional Advancement should enhance the annual fund to ensure that it supports Emory at a level that is competitive with the annual fund support of peer universities.

MEASURES OF PROGRESS

Because of the specific nature of the above recommendations, we do not include measures of progress here.