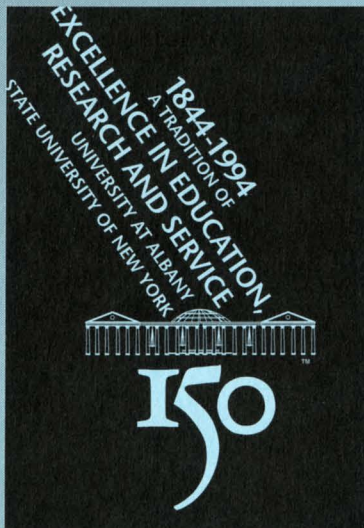




UNIVERSITY AT ALBANY

STATE UNIVERSITY OF NEW YORK

FACULTY HANDBOOK 1994





UNIVERSITY AT ALBANY
STATE UNIVERSITY OF NEW YORK

TO: Members of the Voting Faculty

FROM: Madelyn R. Cicero *Madelyn R. Cicero*
Recorder, University Senate

DATE: November 1994

In reviewing the *1994 Faculty Handbook*, it has come to my attention that pages 44 and 45 are missing. These pages are attached. I apologize for any inconvenience.



UNIVERSITY AT ALBANY
STATE UNIVERSITY OF NEW YORK

October, 1994

Dear Colleague:

I am pleased to share with you this copy of the University at Albany *Faculty Handbook, 1994-1996*.

Please take a few moments to review this important document. It contains up-to-date information and policies of special interest to faculty regarding their employment and obligations, including promotion and continuing appointment policies, as well as other general information about the University at Albany and the *By-Laws of the Faculty*, our statement of governance. Please note in particular the addition of the *Principles of Teaching Responsibility* approved by the University Senate.

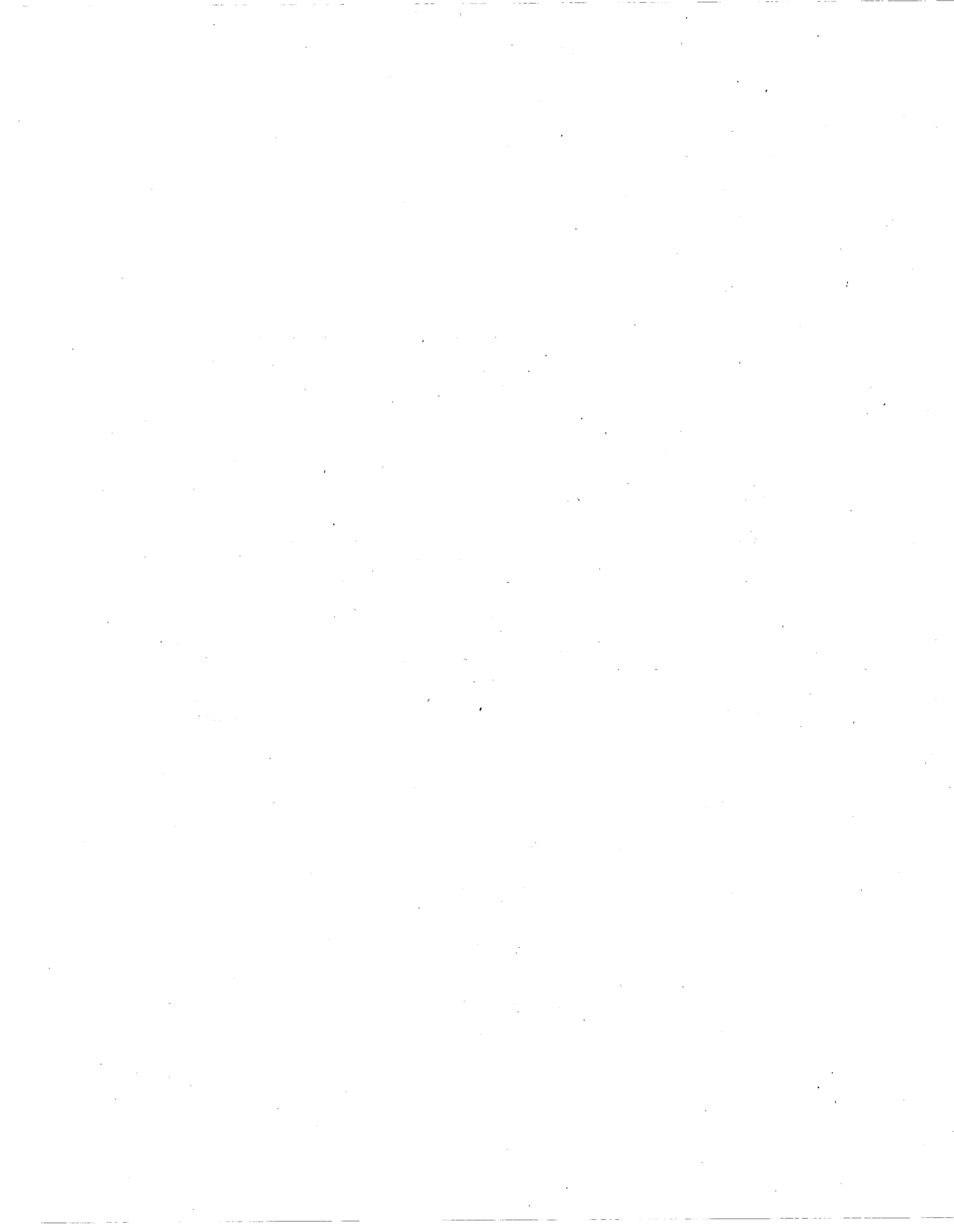
I hope too that you will enjoy the brief history of the University prepared by Professor Emeritus of History Kendall A. Birr, himself one of the principal architects of the *By-Laws of the Faculty*.

Best wishes for a satisfying academic year.

Sincerely,

H. Patrick Swygert
President





Mission Statement The University at Albany State University of New York

The prominence of the University at Albany as a modern and complex public research university belies its modest origins. Established in 1844 in an abandoned train depot donated by the city of Albany, the then New York State Normal School, the first state-chartered public institution of higher education in New York, hosted a beginning class of twenty-nine students who were instructed by two faculty members. Inspired by a zeal for liberal education and public service which they rightly believed would make a difference in their rapidly changing world, the Normal School's founders envisioned themselves engaged in a mission to prepare literate, informed, and compassionate citizens -- citizens capable of thinking for themselves, of advancing the condition of their fellow Americans, and of enjoying to the fullest the intellectual, spiritual, and material benefits of democracy. While the physical character of the modern University at Albany has improved dramatically from that of its predecessor, the essential character of its educational mission has endured.

Separated from its beginnings by those leaps of cultural transformation which mark the extended history of all great institutions, the University at Albany of today is a multi-faceted university which enjoys numerous advantages, responsibilities, and opportunities in discharging its mission. Some of these result from the University's remarkable history and the campus's tradition of responsiveness to the intellectual and personal aspirations of America's increasingly diverse citizenry; some from the University's national designation as a Research University and its position within the State University of New York system; and some from the University's ideal location in the Capital District of New York.

Working across the disciplines of the Arts and Sciences and those of several select Professional Schools, the University's internationally recognized faculty of scholars, researchers, and professional staff hold themselves accountable to the highest ethical and professional standards in the education of all students. Members of the faculty and staff join with their students, undergraduate and graduate, in defining the University as characterized by these discrete, yet interdependent, qualities:

First, a commitment to the pursuit and advancement of knowledge, for its own sake and for its practical benefits to society;

Second, a commitment to the teaching of students, to their growth in knowledge, and to that reinforcement of character, through co-curricular experiences, which enables them to develop emotionally, physically, and socially even as they mature intellectually;

Third, a commitment to the larger interests of society through acts of public service, and by fostering the ideals of social justice;

Fourth, a commitment to freedom of thought, inquiry, and expression, and to the rights and obligations of faculty and students to pursue knowledge, wherever it may lead;

Fifth, a commitment to profit intellectually and imaginatively from differences of opinion and of culture.

One of the four University Centers of the State University of New York, the modern University at Albany emphasizes the integration of teaching, research, creative expression, and public service in its undergraduate, graduate, and professional programs. Its educational mission sustains an intellectual climate in which the research and creative endeavors of the faculty enlarge their sense of inquiry on behalf of their students, so that at all levels students enjoy the stimulation and challenge of engaging in active, rather than passive, learning, and the satisfaction not only of assimilating the inherited wisdom of the past, but also of participating in the creation of new knowledge.

The University benefits from the campus's location in New York's State Capital in preserving a tradition of addressing significant issues of public policy, which will continue to be an integral aspect of its mission. This emphasis combines with the University's historical strength in education and pedagogy, and its more recent

(Continued on next page)

(Continued from previous page)

accomplishments in the natural and behavioral sciences and the arts, to give the campus a special character and provide substantial comparative advantages for its students and the citizens of New York State.

But more fundamentally, the mission of the University at Albany continues to be that of serving as a comprehensive research university wherein graduate programs in the Arts and Sciences and the professions reinforce each other and invigorate the undergraduate experience. Complementing its highly visible Professional Schools, the University encourages and supports Arts and Sciences curricula characterized by innovation as well as traditional breadth. Here, as at other major universities, studies in the humanities and social sciences, the creative and expressive arts, and the natural sciences and mathematics constitute the very center of the University's intellectual and imaginative life. At the University at Albany, these studies provide all students with wide-ranging opportunities for an education that balances breadth with the occasion to develop more specialized disciplinary understanding and professional expertise. What makes this University particularly distinctive as a center for the Arts and Sciences and the professions is its promotion of knowledge at the interstices not only where their disciplines historically have been separated, but also where, more importantly, they converge.

The vitality of New York's northeastern corridor provides the University at Albany with superb opportunities for enhancing the intellectual vigor and variety of the University and for advancing the political and economic well-being of New York State. Privileged to serve as a regional center of higher education and an imaginative catalyst for economic development, the University considers the expansion of partnerships with academic, business, cultural, and governmental organizations situated throughout northeastern New York essential to the success of its educational mission. At the same time, the University recognizes that the significant social issues, environmental concerns, and informational challenges confronting today's Americans and their systems of higher education are not exclusively regional in character, and that the opportunities to answer them through shared technology and pedagogy, laboratory research, the application of social and political theory to practice, and improved understanding among cultures are rarely within the domain of one geographic area. Consequently, the University at Albany extends its mission to serve the interests of New York by promoting the University's capacity as a national and international center for scholarship, education, and service, and by engaging in academic and professional programs, well beyond the University's regional borders, which promote knowledge and understanding.

The mission of the University at Albany, as envisioned and elaborated on from our earliest days, compels us to move forward in finding improved ways of providing responsive, high quality public education. It also challenges us to be bold in charting new institutional courses both for ourselves and for the benefit of those who will follow. Out of respect for the ingenuity and devotion of the many generations of scholars and students whose perseverance has provided the foundation for Albany as an exceptional and unique modern university, today's University at Albany community eagerly seeks opportunities to enhance its educational mission -- both in the creation and in the dissemination of knowledge. Consistent with our own heritage and that of the larger State University of New York, the University at Albany pledges to preserve and advance equality alongside quality, accessibility alongside excellence, and liberality of thought alongside rigor.

Submitted by The Task Force on the University Mission, Professor Ronald A. Bosco and Dean Frank J. Thompson, Co-chairs, April 27, 1992.

Accepted by President H. Patrick Swygert at the General Faculty Meeting, May 6, 1992.

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STATE UNIVERSITY OF NEW YORK AT ALBANY
FACULTY HANDBOOK
1994-96**

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From Normal School to University: A Tradition of Excellence History Of The University At Albany

**By Kendall A. Birr
Professor Emeritus of History**

New York's Normal School

The New York State Normal School opened its doors in Albany on December 18, 1844. A product of the educational ferment of the 1840s, Albany's 19th century history was firmly tied to the development of public school education in New York State. The Normal School was the first fully State-supported institution in New York, and unlike academies which received State support for teacher education, was wholly committed to training teachers for the common schools. Operating out of buildings located at Lodge and Howard Streets, the Normal School initially offered a two-year program. David R. Page, the first principal, had been recommended by Horace Mann, and Page's textbook on pedagogy was widely used for 40 years. The curriculum from the beginning emphasized instruction in subject matter and in disciplining the students' "mental faculties."

Students came from all over the State, most chosen by county superintendents of instruction; many, perhaps half, had prior teaching experience. Most students did not graduate, leaving after a term or two to begin or resume teaching careers. Men and women graduated in approximately equal numbers in the early years, but the increasing percentage of female graduates in the 1850s reflected the feminization of American common schools in the 19th century. During its first half century, the institution annually graduated between 70 and 125 students; the number dipped significantly during the Civil War and rose noticeably in the decade of 1885-1894. Most graduates taught for at least some period of time; many had distinguished careers in education; a few distinguished themselves in other vocations.

A College for Teachers

The emergence of public secondary school education late in the 19th century transformed the Albany normal school. The institution achieved collegiate status in 1890, and in 1905 it became a four-year college offering B.A., B.S. and Bachelor of Pedagogy degrees. When its Willett Street buildings were destroyed by fire in 1906, the core of the campus, now the downtown campus (Draper, Husted, and Hawley), was built and occupied in 1909. Finally, in 1914 the institution was renamed the New York State College for Teachers, a title befitting its new status and functions.

These years saw remarkable continuity of leadership as four presidents guided the fortunes of the institution between 1890 and 1969. William Milne oversaw the transition from normal school to college for teachers as President from 1889 to 1914. Abraham Brubacher, a distinguished scholar of education, served as President from 1915 to 1939. Long-time faculty member John Sayles served until 1947. Following Milton Nelson's two-year Acting Presidency, Evan R. Collins began his two-decade tenure in 1949, leading the institution during its most prestigious years as a college for teachers and during the transition to university status.

During the late 1920s and 1930s, enrollment stabilized at about 1,300 students taught by a faculty of about 100. After a dip during World War II, enrollments moved steadily upward to about 3,300 in 1960. Teacher training remained the sole function of the institution, but the college specialized exclusively in training secondary school teachers and administrators in the academic subjects (plus business and librarianship). The curriculum came more and more to resemble that of a traditional liberal arts college supplemented by a core of professional courses. Graduate programs aimed at secondary school teachers and administrators were introduced in 1914, and by the 1930s and 1940s as many as one-fifth of the degrees granted annually were master's degrees.

During these years the campus slowly took shape. Page, Milne, and Richardson halls were dedicated in 1929, and an addition to Draper was occupied in 1951. Between 1935 and 1959 the downtown dormitory quadrangle was constructed. The first buildings were funded by private donations from alumni for whom the Quadrangle is named and following a fund drive led by Anna Pierce, Dean of Women in the 1910s and 1920s and John Sayles when he was Director of Practice Teaching and Principal of the Milne School. By 1962 author David Boroff, writing in the *Saturday Review*, observed that "Albany State has a distinguished history. As liberal arts colleges go, it is a good one. As teachers' colleges go, it is superb."

The University: Years of Growth

By the late 1950s educational planners, examining demographic data, concluded that there was no way in which New York's private colleges and universities could expand to handle the "baby boomers." As a result the State, under the leadership of Governor Nelson Rockefeller, dramatically increased State funding of the State University of New York. In 1962 Albany was identified as one of four university centers within SUNY and was commissioned to educate large numbers of undergraduates and develop a full array of graduate programs. As a faculty member observed, the college was to become an "instant Harvard-on-the-Hudson."

At the new university, the 1960s was a decade of unparalleled growth. Student head-count rose from about 4,000 in 1962 to nearly 14,000 in 1971. Conventional liberal arts majors were quickly developed, and graduate programs at both the master's and doctoral levels proliferated. Professional schools in areas like criminal justice, business, public administration and social welfare joined the long-established School of Education. Ground was broken for a new campus in 1962, the modern complex designed by Edward Durrell Stone that is now the Main Campus. The Dutch Quadrangle dormitories were occupied in 1965, and the move to the new academic buildings, "The Podium," was begun in 1966 and largely completed the following year. A College of Arts and Sciences was established in 1962, and professional schools began to win their autonomy at the same time. The faculty wrote new by-laws in 1965-66, and the new Faculty Senate with its system of councils began to oversee the University's academic life in 1966.

The years of growth were not without difficulties. It was not easy to develop an effective administrative infrastructure, and departments found themselves trying to recruit qualified faculty in a highly competitive market. The very speed of the growth in these years generated problems which the University would have to deal with in the next decade. Still, students were educated, degrees were granted, and the basic structure of a public research university began to emerge.

Albany like other institutions was affected by developments in the larger society. The counter-culture of the 1960s appeared on campus, and the traditional principle that the school stood *in loco parentis* to the students evaporated under the pressures for greater student freedom. Students demanded access to the decision-making structure, and the Faculty Senate was transformed into the University Senate with the addition of students to the Senate and its councils. Undergraduate programs became less highly structured. There was a brief experiment with pass/fail grades for all freshman and sophomores, and for four years in the early 1970s the Allen Collegiate Center, led by the late Seth W. Spellman, Distinguished Service Professor, offered experimental programs to selected undergraduates. The civil rights movement and new ethnic consciousness brought ethnic studies programs. Central to the turbulence was the raging debate on campus over the Vietnam War. The death of students at Kent State in the spring of 1970 brought undergraduate classes to an effective halt in the final weeks of the semester.

Equally important, in the early 1970s State funding began to evaporate. By 1976 the University at Albany discovered it had to share the financial grief that came with the State's fiscal crisis of that year. At the same time, the new graduate programs that had proliferated in the 1960s came under attack. State authorities began to review all doctoral programs, public and private, in the State, convinced that New York State was investing too much in doctoral programs. Two Ph.D. programs were shut down by these

external authorities, and others were either suspended or eliminated by the University itself. Dealing with these issues was complicated by less continuity in the University leadership than in earlier years. Three individuals -- Allan A. Kuusisto, Louis T. Benezet, and Emmett B Fields -- occupied the Presidency in the eight-year period following President Collins' resignation in 1969.

The Maturing University

Yet the most severe difficulties passed, and in the 1980s the University slowly matured. Enrollments stabilized because of financial and space constraints. Vincent O'Leary, President from 1977-1990, provided vigorous leadership, consistent consultation with student and faculty constituencies, and an emphasis on planning. Money was always a problem (one faculty member observed in the late 1970s that the State's response to inflation was compression), but careful management made the most of available funds. While the number of faculty positions declined and student/faculty ratios rose, rigorous standards for tenure and careful recruitment in a favorable market produced an outstanding faculty.

There were also opportunities for new initiatives. The undergraduate student body had become very selective; in the 1970s and 1980s it was one of the very best to be found among public colleges and universities. It had also become much more diverse than ever before. During the first 120 years of its existence, the student body had included only an occasional minority student. Students like Harriet E. Twoguns, a Native American graduate of 1865, or John Jennings, an African-American who was student body president in 1948-49, were exceptions. But in the last 40 years, demographic realities and effective recruitment sharply increased the number of African-Americans and other ethnic and racial groups to approximately one-fourth of the undergraduate student body. (Foreign students enrolled in graduate and professional programs have added an international flavor to the campus.) Undergraduates moved beyond the counter-culture of the 1960s and followed the vocationally- and success-oriented models they found in American society of the 1980s. The undergraduate curriculum became more structured and placed greater emphasis on communication and computer skills.

At the graduate level strong graduate programs in Arts and Sciences were surrounded by a series of professional schools. All were soundly based; some achieved national distinction. By most standard criteria, the University at Albany could be listed among the top 100 graduate institutions in America. External funding for research grew by leaps and bounds as individual faculty and graduate and research programs achieved national and international reputations. The establishment of Rockefeller College in 1981 symbolized the special orientation of the university toward the social and behavioral sciences and toward public policy and toward State service. The School of Public Health, opened in 1985, was a joint venture between the University and the New York State Department of Health. The creation of the New York State Writers' Institute in 1983, headed by Pulitzer Prize winning novelist and professor William Kennedy, and novelist Toni Morrison's occupancy of an Albert Schweitzer chair, marked both a new maturity and new visibility for the humanities.

Led since 1990 by President H. Patrick Swygert, the University has reaffirmed its mission through the adoption on May 6, 1992, of a new Mission Statement, maintained momentum despite the economic constraints of the 1990s, and launched an ambitious Capital Campaign, the largest ever by a public institution in New York State.

The Normal School and the College for Teachers established an enviable tradition of excellence in educating teachers for New York public schools. Today the university in the early 1990s has clearly made the transition to university status and has developed a strong reputation for high quality graduate and undergraduate education, first-rate research, and important service to the surrounding society.

University Officers And Senior Administrators 1994-95

President

Executive Assistant to the President
Senior Assistant to the President
Senior Adviser for Affirmative Action

Vice President for Academic Affairs

Associate Vice President & Dean of Undergraduate Studies
Director of the Educational Opportunities Program
& Associate Dean for Academic Support Services
Associate Vice President for Information Systems & Technology
Associate Vice President
Assistant Vice President
University Registrar

Dean of the College of Arts and Sciences
Provost of Rockefeller College of Public Affairs & Policy
Dean of the School of Criminal Justice
Dean of the Graduate School of Public Affairs
Dean of the School of Social Welfare
Dean of the School of Information Science & Policy (Interim)
Dean of the School of Business (Interim)
Dean of the School of Education
Dean of the School of Public Health
Director of Libraries & Dean of the Library Faculty

Vice President for Research & Dean of Graduate Studies

Assistant Vice President & Director, Office for Research

Vice President for Student Affairs (Interim)

Associate Vice President for Student Life
Assistant Vice President for Health & Counseling Services
Assistant Vice President for Residential Life & Housing
Assistant Vice President for Student Affairs
Assistant Vice President for Campus Life
Assistant Vice President for Student Services

Vice President for University Advancement

Associate Vice President for Development
Associate Vice President for Planned Giving
Associate Vice President for University Relations
Assistant Vice President for Administration
Director of Alumni Affairs (Interim)
Director of Community Relations

H. Patrick Swygert

Robert D. McFarland
Sheila A. Mahan
Gloria DeSole

Karen R. Hitchcock

Sung Bok Kim

Carson Carr, Jr.
Stephen E. DeLong
Eugene K. Garber
William B. Hedberg
Richard J. Farrell

Judith A. Gillespie
Richard P. Nathan
David E. Duffee
Frank J. Thompson
Lynn Videka-Sherman
Vincent J. Aceto
Donald D. Bourque
Judy L. Genshaft
David O. Carpenter
Meredith Butler

Jeanne E. Gullahorn

Garrett R. Sanders

James P. Doellefeld

Henry G. Kirchner
Estela M. Rivero
Geneva Walker-Johnson
Rodney A. Hart
Vacant
Carl G. Martin

Christian G. Kersten

Candace J. Groudine
Sorrell E. Chesin
Joel M. Blumenthal
Paul T. Stec
Steve Lobel
Vesna Gjaja

Vice President for Finance & Business

Associate Vice President & Controller
Assistant Vice President for Management & Budget
Assistant Vice President for Physical Facilities
& Director of Physical Plant
Assistant Vice President for Human Resources Management

Carl P. Carlucci

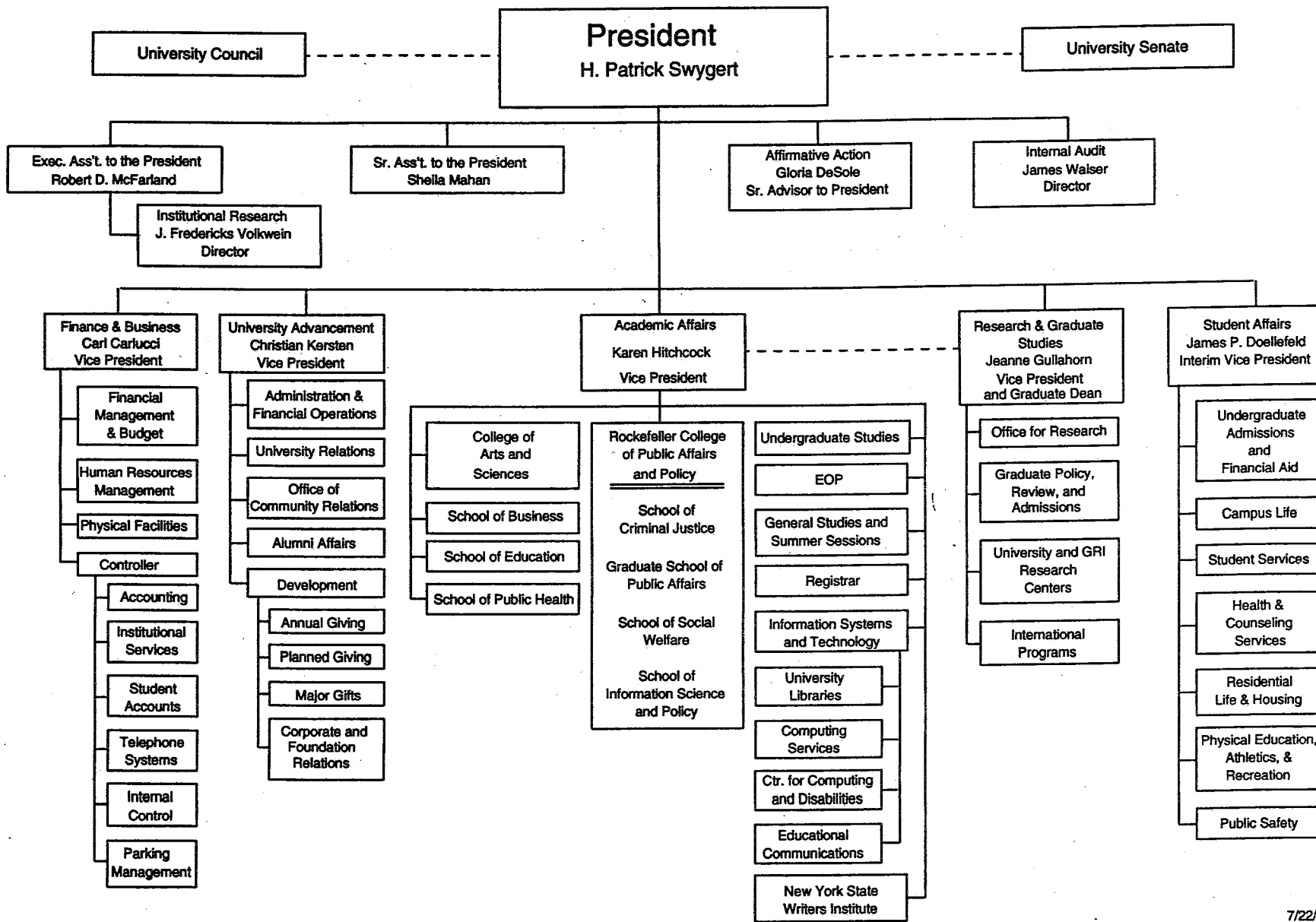
Leo F. Neveu
Kathryn K. Lowery

Dennis J. Stevens
Stephen J. Beditz

Officers of the University Senate

Chair: Joan E. Schulz, Department of English
Chair-Elect: Cyril H. Knoblauch, Departments of English
Secretary: Shirley J. Jones, School of Social Welfare

University at Albany



DIVISIONS OF THE UNIVERSITY

The Office of the President

In addition to the Office of the President, the President's area includes the offices of Institutional Research, Affirmative Action, Internal Audit (as mandated by the New York State Governmental Accountability, Audit and Internal Control Act of 1987), and the Office of University Governance and the University Senate.

Division of Academic Affairs

The Division of Academic Affairs is responsible for all academic activities, with a purview extending to many institutional activities that support the academic function. The Division is headed by the Vice President for Academic Affairs.

Academic units under the Vice President for Academic Affairs are organized in nine schools and colleges: the College of Arts and Sciences; the Rockefeller College, comprised of the Schools of Criminal Justice, Information Science and Policy, Public Affairs, and Social Welfare; and the Schools of Business, Education, and Public Health.

Direct support for the teaching and research programs of the campus is provided by administrative units reporting to the Vice President for Academic Affairs, including the Offices of the Registrar, the Dean of Undergraduate Studies, the Center for Excellence in Teaching and Learning, General Studies and Summer Sessions, the Educational Opportunities Program, and Information Systems and Technology. The Office of the Dean of Undergraduate Studies coordinates the activities of the Advisement Services Center/Undergraduate Studies (ASC/US), the Career Development Center; and the Office of Academic Support Services. The latter includes the Study Skills Center, University Tutors and the Faculty Mentors Program. The Office of Undergraduate Studies also coordinates the General Education Honors Program and the Frederick Douglass and Presidential Scholars programs.

The Office of Information Systems and Technology is a coordinating unit for several information technology intensive units that directly support academic and administrative functions. These include the Computing and Network Services Center, the University Libraries, and the Educational Communications Center.

The New York State Writers Institute is also in the Division of Academic Affairs.

Division of Research and Graduate Studies

The Division for Research and Graduate Studies provides leadership in research administration, graduate education and international programs. The Division has overall responsibility for promoting, facilitating, and maintaining excellence in graduate education and in research and sponsored programs, supporting faculty and students in the pursuit of their research goals as well as providing oversight for the development and evaluation of all graduate programs at the University. To enhance the University's participation and contribution to the international community, the Division also administers overseas academic programs and international development activities through the Office of International Programs. The Division is headed by the Vice President for Research and Dean of Graduate Studies.

As an independent operating unit within the Research Foundation of SUNY, the Division is responsible for the administration of all external research funding awarded to the campus. The

Office for Research within the Division coordinates the pursuit of research funding and the acceptance of funds for research activities, and the Office of Research Regulation and Compliance assures compliance with Federal, State, and University regulations and policies. Other research-related support offices, although functionally operating within the Division for Finance and Business, also report to the Vice President for Research and Dean of Graduate Studies who serves as the Campus Operating Manager for the Research Foundation. The Division also oversees approximately 50 officially recognized University research centers and institutes.

The Division is responsible for coordinating the programmatic development and registration process for all new fields of graduate education and for the review of existing programs. Direct services are provided by the Office of Graduate Studies for the recruitment, admission, and support of graduate students.

Division of Student Affairs

The Division of Student Affairs' mission is to support and complement learning and the teaching, research and service functions of the University by recruiting, enrolling and integrating students into University life and promoting the full development of students. The Division is made up of seven departments: Admissions and Financial Aid; Campus Life which coordinates student activities, orientation and the Campus Center; Student Services which coordinates programs for minority groups, international and disabled students, as well as academic support programs; Residential Life and Housing which is responsible for residence hall administration and services, student development and off-campus housing; and Health and Counseling which operates the University Health Center, Counseling Center and the Middle Earth peer counseling service. The Department of Physical Education, Athletics and Recreation (PEAR) and the University Police Department also report to the Student Affairs Division. The Division is headed by the Vice President for Student Affairs.

Division of Finance and Business

The Division of Finance and Business provides financial, administrative, and other support for the University's academic and co-curricular program. The Division's principal responsibilities are for financial management, accounting, student accounts, personnel administration, the physical plant, telephone systems, bus services, and mail delivery. The Division also provides institutional services such as parking, printing, purchasing and equipment management. The Division serves as administrative liaison with University Auxiliary Services, a nonprofit corporation that operates the campus dining services and Bookstore. The Division is headed by the Vice President for Finance and Business.

Division of University Advancement

The Division of University Advancement directs and coordinates those programs concerned with enhancing relationships between the University and selected external and internal publics in support of the institution's mission and priorities. In working collaboratively with the campus community, the Division seeks to achieve heightened levels of external and internal communications, public relations, community relations, development and alumni relations activities appropriate to the University at Albany as a major public research institution. Major offices within the development area include major gifts, planned giving, corporate and foundation relations, and annual giving. The Division also contains the office of University Relations, which is responsible for a range of external relations programs, the Office of Alumni Affairs, and the Office of Community Relations. The Division also is responsible for The University at Albany Foundation, Alumni Association, and the Benevolent Association. The Division is headed by the Vice President for University Advancement.

ORGANIZATION OF HIGHER EDUCATION IN NEW YORK STATE

University of the State of New York

The University of the State of New York is the legal name of the entire educational enterprise within the State in its relationship to public authority; it is also called the New York State Education Department. Thus, the official title of the State Commissioner of Education is "President of the University of the State of New York." Within this all-inclusive structure and authority, the State University of New York, under its own Board of Trustees, enjoys a high degree of autonomy.

State University of New York (SUNY)

Established in 1948, the State University of New York includes all state-supported institutions of higher education in New York State except for the units of the City University of New York. There are 64 SUNY institutions -- including four university centers, two medical centers, 13 colleges of arts and sciences, two specialized colleges, two two-year agricultural and technical colleges, 30 two-year community colleges and five "contract colleges" (state-subsidized units and programs in private institutions, such as the College of Agriculture at Cornell).

SUNY's governing body is its Board of Trustees, the members of which are appointed by the Governor. The Trustees appoint the Chancellor and various other executive and administrative officials of SUNY. They have designated the SUNY Faculty Senate as the means by which the faculty participate in the governance of SUNY. The Trustees' rules for the governance are published periodically in *The Policies of the Board of Trustees*.

The SUNY Faculty Senate is described in Article VII of *The Policies of the Board of Trustees*. It is composed of the Chancellor of the university, two university representatives appointed by the Chancellor, and representatives from each constituent institution of SUNY, the number of representatives from each institution depending upon the size of its faculty. No institution is permitted to have more than four representatives. The Faculty Senate meets twice a year, though additional meetings may be called according to procedures specified in *The Policies of the Board of Trustees*.

University At Albany, State University Of New York

The University at Albany, State University of New York, the first public institution of higher education in New York State, is one of the four university centers in the SUNY system. It was established as Normal School in 1844 and was given the power to award the Bachelor of Arts and the Bachelor of Science degrees in 1905, the only publicly supported college in New York State with this privilege at the time. Albany became part of the State University of New York when SUNY was formed in 1948, and it was designated as a University Center in 1962.

At the University at Albany, faculty and students participate in university governance through the University Senate as described in the *Faculty By-Laws*. The University's academic structure and programs are described in the latest general catalog and its supplements.

UNIVERSITY COUNCIL, UNIVERSITY AT ALBANY

The New York State Education Law requires that institutions of the State University of New York, including the University at Albany, shall, within the general framework of the Trustees' authority, be supervised by a 10-member council, nine of whom are appointed by the Governor and one elected by the students. One member is designated by the Governor as chair.

These are non salaried appointments, revocable at the Governor's pleasure. A representative of the faculty and alumni/ae attend all regular council meetings.

The Councils are entrusted with broad powers of advice and review, all subject to the Trustees' final approval. Specific items of the Council's concern, among others, are recommendations of candidates for presidency, review of all major institutional policy decisions and academic standards, regulation of property use and management, budget review, community liaison, naming of buildings and grounds, regulation of student conduct, and supervision of student safety. Direct contact with this local supervisory body is a function of the administration rather than the faculty. The Chair-Elect of the University Senate serves as faculty representative to the University Council.

Members of the University Council

Judge John E. Holt-Harris, Chair	Albany
Steven N. Fischer	Albany
A. Rita Chandellier Glavin, Esq.	Waterford
Richard A. Hanft, Esq.	Troy
Athena C. Kouray, Esq.	Schenectady
Athena V. Lord	Albany
Martha W. Miller	Delmar
John J. Poklemba, Esq.	Ballston Spa
Carolyn Gillis Wellington	Albany
Cliff Lent, representing the students	Albany
Vivian Hillier Thorne, representing the alumni/ae	Delmar
Cyril H. Knoblauch, representing the faculty	Schenectady

SECTION I: POLICIES RELATED TO FACULTY MEMBERS' EMPLOYMENT AND OBLIGATIONS

Academic Freedom

The policies governing academic and professional personnel of the State University of New York (all units) are set forth in *The Policies of the Board of Trustees* and the most recent *Agreement Between the State of New York and the United University Professions, Inc.* Each SUNY campus must conform to these policies, establish policies of its own in all those areas left to its discretion, and devise proper means of implementing both categories of policy. "Procedure" in this section of the handbook refers to such local implementation.

References below are to the 1989 edition of *The Policies of the Board of Trustees* unless otherwise indicated.

"It is the policy of the University to maintain and encourage full freedom, within the law, of inquiry, teaching and research. In the exercise of this freedom the faculty member may, without limitation, discuss his own subject in the classroom; he may not, however, claim as his right the privilege of discussing in his classroom controversial matter which has no relation to his subject. The principle of academic freedom shall be accompanied by a corresponding principle of responsibility. In his role as a citizen, an employee has the same freedoms as other citizens. However, in his extramural utterances an employee has an obligation to indicate that he is not an institutional spokesman." (*Policies of the Board of Trustees*, Article XI, Title I)

POLICIES RELATED TO EMPLOYMENT

Appointment Of Employees

All policies and procedures for the appointment of employees are governed by Article XI of *The Policies of the Board of Trustees*, 1993. Listed below are references to the relevant sections of Article XI.

Oath of Office

Pursuant to Section 3002 of the New York State Education Law, faculty who are United States citizens must sign the following oath:

"I do hereby pledge and declare that I will support the constitution of the United States and the constitution of the State of New York and that I will faithfully discharge the duties of the position of _____ according to the best of my ability."

Appointment Year (Article XI: Title H)

Continuing Appointments ("Tenure") (Article XI: Title B)

For procedures at the University at Albany for continuing appointment ("tenure") refer to *Guidelines Concerning Promotion and Continuing Appointment* under "Evaluation and Promotion" which begins on page 12 of this *Handbook*.

Distinguished and University Professors (Article XI: Title G)

Permanent Appointment of Professional Employees (Article XI: Title C)

Probationary Appointment (Article XI: Title E)

Procedure for Appointment (Article XI: Title A)

Temporary Appointment (Article XI: Title F)

Term Appointment (Article XI: Title D)

The following procedure was adopted by the University at Albany:

The chair of the department (or dean of a school lacking a departmental structure), in making a decision to recommend renewal or non-renewal of the term appointment of a teaching faculty member, shall consult the department or school. (University Senate Bill No. 7172-14)

Evaluation And Promotion Of Academic And Professional Employees

All policies and procedures for the evaluation and promotion of academic and professional employees are governed by Article XII of *The Policies of the Board of Trustees*. Listed below are references to the relevant sections of Article XII.

Evaluation of Academic Employees (Article XII: Title A)

Evaluation and Promotion of Professional Employees (Article XII: Title C)

PROMOTION AND CONTINUING APPOINTMENT (TENURE)

University at Albany Guidelines Concerning Promotion and Continuing Appointment

Promotion of Academic Employees (Article XII: B)

The University at Albany has also adopted the following procedures for promotion:

Preamble

The collegial process for promotion and continuing appointment at the State University of New York at Albany shall follow the basic operational guidelines established below.

Section I. Criteria

- A. Recommendations for teaching faculty shall be based primarily upon a careful deliberation concerning the effectiveness of the candidate within each of the three following categories as are appropriate to the position of the candidate within the University.
1. Teaching as documented by such things as student and peer evaluations, development of teaching materials or new courses, thesis supervision, and evidence of lasting contribution to students' intellectual growth.
 2. Scholarship as documented by evaluations of such things as success in developing and carrying out significant research work in the field, contributions to the arts, and publications. Also included is mastery of subject matter as demonstrated by advanced degrees, licenses, honors, grants, awards, reputation in the field, and continuing growth.
 3. Service as demonstrated by such things as participation in departmental, college, and university duties and governance, student advisement, professional society activities, and such public and community service as is related to the candidate's scholarly qualifications.
- B. Recommendations for library academic faculty shall be based primarily upon a careful deliberation concerning the effectiveness of the candidate within each of the three following categories as are appropriate to the position of the candidate within the University.

1. Effectiveness in librarianship as documented by such things as peer and professional colleague evaluations of quality of performance, knowledge, skill, and innovation; faculty and student evaluation; evidence of significant contributions to library collections or services for the benefit of library clientele.
 2. Scholarship as documented by evaluations of such things as success in developing and carrying out significant research work in the field and by the mastery of subject matter as demonstrated by advanced degrees, certificates, or other continuing education.
 3. Service as demonstrated by such things as participation in the profession of librarianship, in departmental, library, and university duties and governance, professional society activities, and such public and community service as is related to the candidate's area of expertise.
- C. If an academic review body at any level is concerned about the effect of an action on programmatic needs or priorities, or tenure ratios within the department, or affirmative action goals of the department, program, or college, those concerns should be discussed apart from the criteria in Section A, with the discussion to be recorded and included as information in the candidate's file.
- D. No other evaluative category shall be deemed appropriate.

Section II. Promotion in Academic Rank

Promotion is available to the faculty in accordance with the provisions of *The Policies of the Board of Trustees*, Article XII, Title B. No minimum length of service in any academic rank shall be required for promotion. Promotion carries with it no commitment of continuing appointment.

Section III. Continuing Appointment

Continuing appointment is available to faculty in accordance with the provisions of *The Policies of the Board of Trustees*, Article XI (Appointment of Employees), Title B (Continuing Appointment). A continuing appointment carries with it no commitment about future promotions or salary increases.

Section IV. Administrative Procedures and Responsibilities

A. Definition of Levels of Academic Review

1. Throughout this section the term "department" shall mean the academic unit which constitutes the "initial academic review committee" as defined in the current union agreement. In the case of the Library, the initial academic review is constituted by all members of the library academic faculty acting as a committee of the whole.
- 2a. In those schools or colleges having more than two academic departments, the "subsequent academic review committee" shall be the school or college promotion and continuing appointment review body. For all cases of promotion and continuing appointment, when a member of the candidate's department of primary appointment is also a member of the school or college's personnel committee, such individual will be excluded from school or college personnel committee meetings at which the candidate's case is being considered.
- 2b. In those schools or colleges having fewer than three academic departments, and in the case of the Library, the Council on Promotions and Continuing Appointments shall be the "subsequent academic review committee."

B. Department

1. The chair (in the case of the Library, the Dean of Library Faculty is understood to be the chair) shall inform a faculty member that he/she is being considered for a promotion and/or continuing appointment when the process of assembling evidence is initiated. The chair (Dean of Library Faculty) shall make sure that all evidence in the case is presented to the members of the department as well as to the dean.
2. Any faculty member may request a department to initiate action for promotion and/or continuing appointment of a faculty member, including himself/herself, provided that this request has the written approval of the prospective candidate.
3. An important datum in the case of the teaching faculty for the decision on promotion and/or continuing appointment is information about how students view the teaching of a faculty member. However, for this information to be of value, it must be collected in a systematic way. The department shall provide such information consistent with the following requirements:
 - a. All students shall be given an opportunity to make an evaluation in every class each term.
 - b. The evaluation form shall not be signed by the student.
 - c. Summaries of student evaluations shall be available for review by all levels involved in recommendations concerning promotion and continuing appointment. An explanation sheet describing the process and procedures for these evaluations shall be included.
4. In support of the department's preparation of a request for promotion and/or continuing appointment, the candidate shall be responsible for the preparation of a current vita in accordance with the annual memorandum (administrative guidelines) circulated by the Vice President for Academic Affairs. The vita shall be dated and signed by the candidate.
5. In preparing a candidate's file, the department shall include material and information such as: letters from outside expert referees, review of work, reprint citations, letters from publishers (especially in the case of as yet unpublished work), qualified evaluation of unpublished work, instructional materials, copies or detailed descriptions of work completed or in progress, professional and service citations.
6. Every effort shall be made to consult all members of the department in all cases of promotion and/or continuing appointment. In a case of continuing appointment, separate votes of the departmental members holding continuing appointment and of the non-tenured faculty members are to be taken. All of these votes are to be conducted by secret ballot. Voting shall occur during departmental meetings only by those present. The departmental recommendation shall include the results of these votes and a summary of the discussion. The summary shall be approved by the members of the department.
7. The chair shall write a recommendation which must include reference to all categories in Section I.
8. Copies of the department's recommendation and the chair's recommendation shall be made available to the candidate who shall have the opportunity to reply in writing to the dean, such reply becoming a part of the record.

C. School or College

1. The dean of each school or college shall examine each recommendation transmitted to him/her by the department to verify that the rules of Sections I and IV-B have been observed.
2. A subsequent academic review committee as defined in Section IV-A-2 above, shall review the materials provided by the department and chair and shall forward its own recommendation to the dean, the chair and the candidate.
3. The dean of the school or college shall review the case and transmit all materials to the Vice President for Academic Affairs, along with his/her own recommendation.
4. A copy of the dean's recommendation shall be provided to the chair and the candidate. The candidate shall have the opportunity to reply in writing to the Vice President for Academic Affairs, such reply becoming a part of the record.

D. Council on Promotions and Continuing Appointments

1. The Council shall examine each recommendation transmitted to it to verify that the rules of Sections I and IV-B and C have been observed and shall make its own recommendation.
2. The Council shall transmit its recommendations to the Vice President for Academic Affairs with copies furnished to the dean, the chair and the candidate.
3. The Vice President for Academic Affairs shall review the case and transmit all materials to the President along with his/her own recommendation. Copies of this recommendation shall be furnished to the dean, the chair and the candidate.

E. Personal Presentations by a Candidate

A candidate for promotion and/or continuing appointment may appear at his/her option, before his/her department, before his/her school committee, or before the Council on Promotions and Continuing Appointments.

Such personal presentations must occur before votes are taken or other recommendations made. Timely request for appearances are the responsibility of the candidate.

F. Notification of Faculty Member

The action of the President in each case shall be communicated to the faculty member involved on or about May 1.

G. Withdrawal of Candidacy

A candidate for promotion and/or continuing appointment may elect to withdraw his/her candidacy at any time by submitting a written request to his/her chair. A letter of resignation by a candidate shall be interpreted as a withdrawal of his/her candidacy.

Section V. Initial Appointment

If continuing appointment is recommended initially at any rank, all of the procedures outlined above for continuing appointment shall be followed.

Section VI. Reconsideration After the Mandatory Year

When a member of the faculty has been considered for continuing appointment in the mandatory year and a negative decision has been rendered, this action should be considered final. Exceptional circumstances may cause a candidate to feel that substantial new evidence justifies reconsideration of his/her case. In such exceptional circumstances the following procedures shall apply:

1. The candidate must notify his/her department chair of his/her request for reconsideration no later than October 3.
2. The candidate shall provide the department with the new evidence no later than October 15.
3. The members of the department will meet to evaluate the new evidence. Only if the department concludes that the new evidence establishes a substantial change from the situation during the previous consideration will the case be reconsidered and votes taken as in an original consideration. If the reconsideration results in a negative vote by the faculty and a negative recommendation by the chair, the action is final, the request will not be forwarded for further consideration, and the President will be notified. If the reconsideration results in a positive recommendation by either the department or the chair, the recommendation for continuing appointment will be transmitted to the school or college.
4. When a positive recommendation is forwarded by a department, each subsequent level of review shall determine to its own satisfaction whether or not there is substantial new evidence warranting reconsideration. This determination will involve a comparison between the total record on which the University decision in the mandatory year was based and the new evidence, available since that decision date, presented by the candidate.
5. A decision at the school or college level not to reconsider shall be transmitted to the Council on Promotions and Continuing Appointments. The Council shall inform the President if it in turn declines to reconsider that case.
6. If the school or college, or the Council, concludes that there is substantial new evidence, it will then send forward in the usual manner its vote for or against continuing appointment.
7. Final actions including a department's negative decision, will be communicated to the candidate by the President on or before November 17 of the reconsideration year.

Section VII. Timeliness

All recommendations shall be completed and transmitted in sufficient time for proper reviews, timely notifications to the candidate, and with regard to deadlines for non-renewal.

(University Senate Bill No. 7980-32; amended by University Senate Bills Nos. 8283-09, 8687-17, 8990-28)

Faculty Grievances

Under the Agreement negotiated between the State of New York and the United University Professions, Inc., almost all faculty grievances are handled under the contractual grievance procedures. For information on this procedure and its jurisdiction, see the *Agreement between New York State and UUP*. It is important to realize that the procedure also covers grievances based on *The Policies of the Board of Trustees*. When an individual thinks he/she may have a grievance, he/she should contact a member of the local grievance committee. Grievances must be filed within 45 days of the date on which the grievance occurred.

For information on grievances or complaints that do not come under the jurisdiction of the union contract, it is suggested that faculty consult with the appropriate body in their school or college or with the Council on Academic Freedom and Ethics.

Leaves of Absence

All policies and procedures for Leave of Absence are governed by Article XIII of *The Policies of the Board of Trustees*. Listed below are references to the relevant sections of Article XIII.

Disability (Article XIII: Title G)

Sabbatical (Article XIII: Title E)

Sick (Article XIII: Title C)

Vacation - Academic Year Employees (Article XIII: Title B)

Vacation - Calendar Year Employees (Article XIII: Title A)

University at Albany Procedures for Leaves of Absence

Application forms for all types of leave are obtained from the Office of Human Resources Management. One standard form covers all types of leave. Requests for leave are submitted through administrative channels as far in advance as possible. In general, requests for leave for the academic year, or portions thereof, are submitted by January of the previous academic year, or at least six months prior to the beginning of the leave so that appropriate operational arrangements can be completed.

Faculty will, of course, recognize that no matter what the salary arrangements may be, and no matter how long foreseen or how much of an emergency any type of leave may be, coverage of their workload must be arranged through the departmental chair. It follows that the earliest possible word of impending crises or long-range projects should be conveyed to the chair in addition to the filing of the official form.

A person on leave without pay, sabbatical leave, or on leave at reduced pay from a regular University academic position does not accrue service credit toward tenure. Vacation and/or sick leave credits are not accrued during a sabbatical leave or any other leave at less than full-time salary.

Effect of Leaves of Absence on Fringe Benefits

Most fringe benefits are based on the salary paid to the individual. Thus, a person on leave without pay will not receive payments to his/her retirement account nor will he/she receive the benefit of the University paying a portion of his/her health insurance premiums. If, however, the individual receives a partial salary of at least \$9,734 (\$9,851 effective January 1, 1995), then the University will pick up its usual portion of the health insurance premium. If he/she is on leave at full or reduced pay, retirement contributions are made on the basis of the actual amount paid to the individual. If an individual who is covered by the disability insurance program goes on leave, whether it be leave without pay or leave at reduced pay, his/her disability insurance coverage may be continued for a period not to exceed two years from the date the leave begins.

Negotiating Organization for Faculty -- United University Professions, Inc.

Membership in UUP automatically includes membership in the following:

American Federation of Teachers (AFT)

New York State United Teachers (NYSUT)

AFL/CIO

Personnel Files (Professional Staff Policies And Procedures)

Article 31 (Personnel Files) of the *Agreement Between The State of New York and United University Professions, Inc.*, provides for the maintenance of official personnel files for each employee. It further provides that the file shall contain copies of personnel transactions, official correspondence with employees, and appropriate formal written evaluative reports, and states that all file materials shall be available to the employee for review and response. Prohibitions against the file containing unsolicited and unsigned statements are also included in the *Agreement*.

The Office of Human Resources Management has issued a memorandum to all deans, directors, and departmental chairs (PER-84.5, dated May 15, 1984, Subject: Official Personnel Files - Professional Staff Policies and Procedures) describing in detail University procedures for compliance with this negotiated article. These procedures are on file in the offices of all deans, directors, and departmental chairs. The memorandum is also available in the Office of Human Resources Management.

Retirement

All policies and procedures governing retirement are described in Article XV of *The Policies of the Board of Trustees*. Listed below are the relevant sections of Article XV.

Emeritus Status (Article XV: Title D)

Physical or Mental Incapacity (Article XV: Title C)

Retirement System Membership (Article XV: Title A)

Voluntary Retirement (Article XV: Title B)

For additional information regarding retirement, please contact the Office of Human Resources Management.

Termination Of Service

All policies and procedures governing termination of service are described in Article XIV of *The Policies of the Board of Trustees*. Listed below are the relevant sections of Article XIV.

Automatic Termination (Article XIV: Title B)

Termination at Will (Article XIV: Title A)

Termination for Age or for Physical or Mental Incapacity (Article XIV: Title C)

AFFIRMATIVE ACTION AND EQUAL OPPORTUNITY

University at Albany Affirmative Action Policy

The University at Albany does not discriminate on the basis of age, color, creed, disability, marital status, national origin, race, sex, or sexual orientation. Inquiries concerning this policy should be referred to the Affirmative Action Office.

The Affirmative Action Office functions in accordance with federal and state laws and regulations governing affirmative action, equal opportunity, and higher education. This University's commitment to affirmative action and equal opportunity is fully articulated in the University at Albany, State University of New York, Affirmative Action Plan of December 1991.

The Affirmative Action Office works closely with the Office of Human Resources Management in reviewing personnel policies and procedures, integrating affirmative action into the personnel process, and monitoring appointments. In accordance with federal guidelines and requirements, the Affirmative Action Office and the University administration have established goals and timetables for hiring minority persons and women in those departments where members of these protected classes are underrepresented.

Faculty and staff with specific questions or problems should communicate directly with the Affirmative Action Office, AD 301 (442-5415).

University at Albany Equal Access Policy

Beyond the legal requirements of Affirmative Action, the University at Albany provides equal access to all those qualified and prohibits denial of access on the basis of any personal characteristic that is not related to a person's ability to perform in a position, to be successful academically, or to observe the standards and regulations governing the use of services and programs. University regulations also prohibit harassment and physical abuse. The University contains a variety of structures and procedures for resolving complaints about denial of access or opportunity in academic matters, in co-curricular activities, or in employment. Students seeking assistance under this policy, or policies prohibiting harassment, should direct their inquiries to the Office of the Vice President for Student Affairs, and employees should seek the advice of the Director of Human Resources Management.

POLICIES RELATED TO FACULTY OBLIGATION

Extramural Employment, Consultant Fees, Honoraria

As a research and graduate university, the University at Albany encompasses in its mission the discovery and creation as well as the preservation and transmission of knowledge. As a state-supported university, the University at Albany is also committed to advancing and disseminating knowledge for the enhancement of the economy and the improvement and enrichment of the people of the State of New York.

A number of University programs, services, and policies encourage faculty research and service and facilitate external sponsorship of such activity. The University seeks and accepts external support of research and scholarship, education, and service activities that are consonant with its mission. Important reciprocal benefits can accrue to the University and sponsor for the enhancement and transfer of faculty knowledge and skill.

In all respects, but especially in meeting its missions of teaching, research, and public service, the University at Albany must, at the same time, be fully accountable as a public agency of the State of New York. Employees of the University are similarly accountable and must carefully balance their responsibilities. University employees, including those hired by the State of New York and the Research Foundation of the State University of New York, must exercise the utmost care in ensuring that all conflicts of interest or other breaches of ethical and legal responsibility are avoided. It is the responsibility of staff, faculty, supervisors, department chairs, deans, vice presidents and the president to assure conformity with the applicable guidelines concerning conflicts of commitment and interest.

General Standards of Ethical Conduct

The standards of ethical conduct applicable to employees of State University are contained in the *New York State Public Officers Law, Policies of the SUNY Board of Trustees and Rules of the New York State Ethics Commission*. Other guidance is found in the State Finance Law and Rules and Regulations of the State Comptroller relating to the handling of state funds and income. Similar standards applicable to employees of the SUNY Research Foundation are found in the Research Foundation Statement on Conflict of Interest. Copies of these regulations and policies are available to all employees and they are expected to be familiar with them.

These standards govern such subjects as:

- a. use of official position to secure personal benefit;
- b. interest in an activity in conflict with official duties;
- c. accepting outside employment which impairs independence;
- d. acceptance of gifts;
- e. sale of goods and services to the State;
- f. use of State resources and facilities for personal purposes;
- g. signing of contracts or agreements; and
- h. handling of University or Research Foundation-related income funds.

In addition, the Ethics in Government Act requires policy makers and/or employees earning over stipulated amounts, unless otherwise exempted, to file a financial disclosure statement with the Ethics commission each year. All employees are also restricted in honoraria or travel reimbursements they may accept from outside agencies.

What follows is a summary of pertinent regulations and policies under which University and Research Foundation employees must operate. The University, through the offices of the Vice President for Research and Graduate Studies, Vice President for Finance and Business, and the SUNY Research Foundation, stands ready to assist employees in addressing issues of compliance. Those with questions of interpretation and application of the rules to specific fact situations should, of course, refer to the actual texts of the policies and laws referenced here. Copies are available in the Office of Human Resources Management. It is recommended that any question be directed to the Office of Human Resources Management or the appropriate Vice President in advance of engaging in such activity.

Sponsored Research and Service

All persons engaging in research and scholarly endeavors have the responsibility to conduct research and public service activities in accord with the highest standards of integrity and in conformity with applicable professional, University, and legal codes and policies, as well as federal and state laws and regulations.

Funding for research is accepted and administered through the Research Foundation of State University of New York, and investigators are bound by the fiduciary and other regulations of that body as well as by the regulations of the granting agencies.

Consulting, Other Extramural Employment, and Private Ventures

Through consulting relationships with government, industry, public and other organizations, University employees can be an invaluable resource, assisting in the transfer of technical knowledge and skill. In addition to serving the public interest, consulting involvement of University professionals can benefit the University as a whole. Faculty development, teaching effectiveness, and research productivity can be enhanced by the broadened perspectives emanating from a faculty member's consulting activities, from experiences with others who possess competencies not represented among faculty colleagues, and from access to databases, equipment, or other facilities not available on campus.

The University thus encourages the lending of expert assistance where it does not interfere with an employee's performance of University duties and where no conflict of interest exists.

However, the conditions under which employees engage in work for other than the University at Albany are subject to a number of restrictions. In particular, both actual and apparent conflicts of commitment and conflicts of interest are to be avoided, and employees are expected to act in conformity with legal and ethical codes established by the State University, the Research Foundation, and the State of New York.

Conflicts of Commitment

Conflicts of commitment are situations in which a University employee's external activities, however valuable in themselves, nevertheless interfere with his or her obligations to the University. As provided in *The Policies of the Board of Trustees* of the State University of New York (Article XI, Title H, #4), "No employee may engage in other employment which interferes with the performance of the employee's professional obligation."

Outside activities, therefore, must not interfere with the employee's full responsibilities to the University, and faculty members and other employees must conduct them at times other than those required to meet their professional obligation to the University. Employees whose obligation includes presence during regular work hours must obtain prior approval for such activity from the appropriate Dean or Director and must charge the time to leave accruals if there is remuneration.

If a University employee undertakes outside work for an agency of the State of New York, policies relating to Extra Service Employment apply. As indicated in the rules that are explained in full in the University at Albany *Faculty Handbook*, prior approval is required for any state employee to be on two state payrolls of the State of New York. Further information about the Extra Service Policy is available from the Office of Human Resources Management.

Conflicts of Interest

The *New York State Public Officers Law* prohibits any employee of the State of New York from using his or her "official position to secure unwarranted privileges;" and the *Research Foundation Conflict of Interest Statement* prohibits use of one's position "to secure privileges or exemptions for himself or herself or others." To safeguard against such conflicts of interest, University employees must abide by applicable laws of the federal government, the standards and Code of Ethics embodied in the *New York State Public Officers Law*, and the *Research Foundation Conflict of Interest Statement*.

In particular, faculty, staff, and administrators should avoid transactions in their official capacity with any person or organization from which they are likely to benefit financially or appear to benefit personally. If a transaction with such organizations or individuals will serve the purposes of the University, the employee should disclose his or her interest and ask that an administrative superior in the University review and handle the matter.

Use of University Resources

When a University employee participates in a consulting arrangement, extramural employment, or venture which has a substantial programmatic relationship to the University, use of University personnel,

resources, or facilities is allowed only with prior approval by the appropriate Dean or Director of the University and the Vice President for Research, and through proper arrangements consistent with the University's fiduciary responsibilities to the State of New York and the Research Foundation of SUNY. This requirement applies particularly to the use of University facilities by the private sector. The conditions of such use are incorporated in the University's Guidelines for Faculty Involvement in Private Ventures Involving Proprietary Work Carried Out on Campus (University Senate Bill No. 8283-26), SUNY's Policy on Use of University Facilities, and SUNY's Policy and Guidelines for the Use of State University Facilities by Emerging Technology Enterprises.

With respect to use of University equipment by external concerns, such use is permitted under the conditions outlined in the Campus Guidelines for University-Private Sector Cooperative Use of University Research Equipment (University Senate Bill No. 8384-12) and the State University Board of Trustees Resolutions 82-159 and 56-88, as amended by Resolution 79-158.

When a University employee participates in a consulting arrangement, extramural employment, or venture which has no officially approved relationship to the University, the use of University resources of any kind is not permitted. This ban includes space, equipment, computer resources, supplies, personnel services, and University stationery to ensure the absence of any implication of University sponsorship or approval of the activity.

Management of Extramural Funds

Any payment for use of University personnel, equipment, or facilities, as well as any income generated from any activity or program that is sponsored by or identified with the University must be managed in a way that ensures full accountability by the University both for fiscal integrity and program quality. Therefore, all revenue received through these or similar arrangements must be administered through the University's formal accounting systems and procedures -- that is, through University-controlled accounts.

Faculty Statement Of Ethics

(Adapted from the AAUP 1966 Statement on Professional Ethics and the 1970 Statement of the Association's Council on Freedom and Responsibility. Adopted by the Senate of the University at Albany on May 5, 1986, University Senate Bill No. 8586-17.)

Faculty members, as teachers, scholars, administrators, colleagues, and community members, have special responsibilities by virtue of the diverse roles they assume in their professional and personal lives. The following statement sets forth general principles intended to serve as a guide for faculty as they fulfill their professional responsibilities.

Article I.

Faculty, guided by a deep conviction of the worth and dignity of the advancement of knowledge, recognize the special responsibilities placed upon them. Their primary responsibility to their subject is to seek and to state the truth as they see it. To this end they devote their energies to developing and improving their scholarly competencies. They accept the obligation to exercise critical self-discipline and judgment in using, extending, and transmitting knowledge. They practice intellectual honesty. Although they may follow subsidiary interests, these interests must never seriously hamper or compromise their freedom of inquiry.

Article II.

As teachers, faculty encourage the free pursuit of learning in their students. They hold before them the best scholarly standards of their disciplines. They demonstrate respect for the student as an individual, and adhere to their proper roles as intellectual guides and counselors. They make every reasonable effort to foster honest academic conduct. They respect the confidential nature of the relationship between professor and student. They avoid any exploitation of students for private advantage and acknowledge significant assistance from them. They protect students' academic freedom. Evaluation of students and the award of credit must be based on academic performance professionally judged and not on matters irrelevant to that performance.

Article III.

As colleagues, faculty have obligations that derive from common membership in the community of scholars. They respect and defend the free inquiry of their associates. In the exchange of criticism and ideas they show due respect for the opinions of others. They acknowledge their academic debts and strive to be objective in their professional judgment of colleagues. They accept their share of faculty responsibilities for the governance of their institutions.

Article IV.

As members of their community, faculty have the rights and obligations of any citizens. They measure the urgency of these obligations in the light of their responsibilities to their subjects, to their students, to their professions, and to their institutions. When they speak or act as private persons, they avoid creating the impression that they speak or act for their colleges or universities. As citizens engaged in a profession that depends upon freedom for its health and integrity, faculty have a particular obligation to promote conditions of free inquiry and to further public understanding of academic freedom.

Policy On Sexual Harassment

(Adopted by the Senate of the University at Albany on May 5, 1986, University Senate Bill No. 8586-17.)

The very nature of the relationship between faculty and students includes an element of power held by faculty. Faculty are expected to acknowledge that fact and to respond professionally. Given the diverse nature of today's University community, faculty also should be sensitive to a variety of issues, including but not limited to: sexism, racism, disability, amorous preference, ageism, life-style, and political or religious beliefs. At the same time, faculty are not expected to be all things to all people. Members of the faculty should have a general knowledge of campus resources available to them, their colleagues and their students, and then should willingly take advantage of those resources when they are needed.

1. University policy, as enunciated in President Swygert's letter of August 5, 1993, to the University community, prohibits sexual harassment in all aspects of campus life. This policy is incorporated by reference into this document.
2. Relationships of an amorous nature that might be appropriate in other circumstances may be problematic and may be unethical when they occur between a faculty member and a student for whom a professional responsibility exists. Such relationships may undermine the trust on which the educational process depends. Relationships of an amorous nature between faculty and students, even when they occur outside the instructional context, also may be problematic and may be unethical when there is the possibility that the faculty member unexpectedly may be placed in a position of professional responsibility for the student.
3. Further, family relationships and relationships of a sexual nature between a faculty member and a student for whom an instructional responsibility exists can present a conflict of interests in violation of the *New York Public Officers Law*. The parties to such relationships are urged to avoid direct teacher-student interaction. In every such case the

faculty member must arrange to be disengaged from the responsibility of grading, evaluating, or approving the work of the student. Family relationships and relationships of an amorous nature between members of the University community can present a conflict of interests in violation of the *New York Public Officers Law* whenever one party has any position of power over, or professional responsibility for, the other. One party may not officially approve or recommend (or vote on such approval or recommendation) the appointment, reappointment, promotion, or salary adjustment of the other; nor may the one party evaluate the performance of the other.

Appendix To Policy On Sexual Harassment

(Excerpted from a letter from President Swygert to the University Community August 5, 1993.)

"Once again I bring to your attention this University's firm resolve to stop sexual harassment on this campus. We have a moral as well as a legal obligation to provide an atmosphere free from sexual harassment and free from the fear of sexual harassment. Violations of this policy will result in disciplinary action up to and including termination or expulsion.

Harassment on the basis of sex is a violation of Section 703 of Title VII of the Civil Rights Act of 1964. The Guidelines specify:

"Unwelcomed sexual advances, requests for sexual favors, and other verbal or physical conduct of a sexual nature constitute sexual harassment when: (1) submission to such conduct is made either explicitly or implicitly a term or condition of an individual's employment, (2) such conduct has the purpose or effect of unreasonable interfering with an individual's work performance or creating an intimidating, hostile, or offensive working environment."

We are well aware of the forms sexual harassment takes in an educational setting and the cost it levies against the fair and decent atmosphere upon which we all depend.

We know that sexual harassment is particularly abhorrent between faculty and students. The University at Albany's "Faculty Statement of Ethics" adopted by the Senate of the University at Albany on May 5, 1986, underlines the power imbalance inherent in the relationship between faculty and students and reminds us of the corrosive effects of sexual harassment when it occurs at the very heart of the educational process. In addition, that statement cautions faculty against sexual relationships with students even if those relationships might be called voluntary. "Relationships of an amorous nature that might be appropriate in other circumstances may be problematic and may be unethical when they occur between a faculty member and a student for whom a professional responsibility exists."

The University's "Community Rights and Responsibilities, 1992-95" also expressly forbids sexual harassment between students (commonly known as "peer harassment"). "Students at the University have a right to an environment free from sexual harassment, not only by persons in positions of power, but by any member of the University community. Sexual harassment constitutes a serious threat to the free interaction and exchange necessary for educational and personal development."

The Office of Affirmative Action implements this policy. Educational programs to assist members of the University community to recognize and discourage sexual harassment continue. Sexual harassment advisors as well as the Director and Associate Director of the Office of Affirmative Action are prepared to respond to questions or concerns across the University; and our grievance procedure is in place should persons need to come forward with a report or complaint.

I repeat, this University will not tolerate any form of sexual harassment. Rather, we affirm our commitment to a fair and decent environment that allows students and employees to study and work without illegal impediments as we affirm our commitment to a Just Community.

Faculty Teaching, Service And Research Responsibilities

Faculty in American universities and colleges have traditionally divided their professional responsibilities into three parts: teaching, service, and research. While the first two are common to all types of higher educational institutions, it is the last that distinguishes a university center. The development of new knowledge is an explicit part of its mission; indeed, some of its most active researchers are among its best teachers. Service, too, takes on a particular case in a university center. Without departmental, school, and campus participation in governance and other activities, a faculty member is not fully a citizen. At a university center, there is an added expectation that faculty members are also active in their disciplines and in the wider community. Faculty members are accountable for the three areas of responsibility and their performance in each is evaluated for continuing appointment, promotions, and discretionary increases in salary.

The following framework describes how teaching, research, and service are generally understood to be balanced in the University. Obviously, the framework must be made applicable to individual departments and modified as appropriate to take into account a variety of elements such as laboratory sections. While diverse learning technologies must be accommodated, the framework does provide a general basis for equitable assessment.

For the purposes of this discussion, and with the understanding that equivalencies need to be specified, courses are assumed to consist of lectures or seminars for three hours a week and are semester-long in duration. Further, it is assumed that faculty may balance out responsibilities for teaching, research, and service over several semesters. Thus, for two years a faculty member might give extensive service to a department, and in the third and fourth years, efforts in this area may be proportionately modest. It is also assumed that faculty may be called upon to teach at both the undergraduate and graduate levels. Finally, it is assumed that departments will take into account the level of student demand in making decisions about the degree of responsibilities for teaching, research, and service for each faculty member.

The Framework

While all faculty are expected to attend faculty meetings, maintain office hours, advise a reasonable number of students, and provide independent study courses, there may be distinct variations in the amount of teaching, research, and service rendered by individual faculty. Essentially there are three general patterns describing the distribution of professional responsibilities expected of faculty:

1. Faculty meet the responsibilities described above; teach three courses per semester; engage in scholarly activities appropriate to their discipline; and engage in university service and/or approved relevant extramural activities.
2. Faculty meet the responsibilities outlined in 1 above, except they teach five courses a year. In this case, they are also expected to be engaged in substantial research that results in significant scholarly products in their field or significantly involved in doctoral education.¹
3. Faculty meet the responsibilities outlined in 1 above, but instead teach two courses per semester. In this case, they are also expected to be significantly involved in doctoral education¹ and engaged in substantial research that results in significant scholarly products recognized in their field of study.

In addition to the above, a course reduction may be granted by a Department Chair, with the approval of the Dean, when faculty members secure sufficient externally generated funds to allow them to offset a proportionate amount of course time or provide sufficient other benefits to the university to warrant such reduction, recognizing that except for the most unusual circumstances, all faculty are expected to teach at least one course a semester.

A course reduction may be granted for unusual administrative or service requirements (e.g., serving as Associate Dean, or as the Undergraduate Advisor in a large department). This reduction is in addition to the service responsibilities described in the three patterns described above and requires the approval of the Dean and the Vice President for Academic Affairs.

Administration

The successful administration of this distribution policy requires the assumption of primary responsibility by individual departments and their Chairs. While Deans are ultimately responsible for approving which pattern is appropriate for an individual faculty member or when further variations in responsibilities may be suitable, such decisions, as well as those affecting class size and course scheduling, are expected to be made collaboratively with the relevant departmental chair. The *University-wide Faculty Activity Report*, which is completed annually by each faculty member, provides a basis for these discussions.

The Vice President for Academic Affairs shall conduct an annual review of the implementation of the policy with each of the academic Deans.

Research And Scholarship

Freedom of Research Activity

A commitment to academic freedom is essential to the accomplishment of the overall mission of the University. By pursuing truth and its free expression, scholars and researchers advance and disseminate knowledge. In exercising their right to seek and communicate knowledge freely and openly, members of the academic community also have the responsibility to act in accord with the highest standards of integrity and in conformity with applicable professional and legal codes and legislation, as well as with University codes and policies. Through its academic governance bodies and advisory committees, the University community ensures that research and scholarly projects meet applicable standards and incorporate appropriate safeguards.

In accord with the principles of academic freedom, policy of the State University of New York specifically asserts that research conducted by its personnel or conducted on State University controlled premises "shall be unrestricted as to the dissemination publicly of the conduct, progress and results of such research or research-related programs" (SUNY Policy 66-258).

Just as restricting the dissemination of research is antithetical to academic freedom, so, too, is restricting a researcher's choice of topic or choice of sponsorship for a research project.

In keeping with the spirit of academic freedom in the pursuit of research and of research support, as well as in the dissemination of findings, the University Senate has adopted the following resolution:

Members of the University community have the right to pursue topics and seek research support from sponsors of their choice, provided that the research complies with University codes and policies and provided that the freedom to publish any of the results of the research prevails.
(University Senate Bill No. 8889-03)

Policy on Misconduct in Research

I. Principles and Policy

Maintenance of high ethical standards in research is a central and critical responsibility of the University. According to the Faculty Statement of Ethics of the University at Albany, the primary responsibility of faculty to their subject is to "seek and state the truth as they see it"; "accept the obligation

to exercise critical self-discipline and judgment in using, extending, and transmitting knowledge"; and "foster honest academic conduct."

These principles of ethical conduct for faculty are applicable to all members of the University community. It is in the best interest of the public and of all those who are conducting or supporting research within the University for the University to promote integrity, to prevent misconduct in research, and to act effectively and responsibly to resolve situations of suspected or alleged misconduct. While the primary responsibility for avoiding research misconduct rests with the researchers themselves, the University is responsible both for promoting academic practices that prevent misconduct and for developing policies and procedures for dealing with allegations or other evidence of misconduct in research.

Therefore, in keeping with its commitment to integrity in the pursuit of truth and in compliance with federal regulations, the University at Albany will immediately review allegations or other evidence of misconduct in research; thoroughly investigate such instances if the initial inquiry concludes investigation is warranted; take appropriate action following the investigation, including imposition of sanctions if allegations of misconduct are substantiated; and fulfill reporting and other federal requirements in the case of sponsored research.

II. Definitions

The following definitions are embodied in regulations issued by the National Science Foundation and the Public Health Service of the Department of Health and Human Services.

"Misconduct" means (1) "fabrication, falsification, plagiarism, or other practices that seriously deviate from those that are commonly accepted within the [academic] community for proposing, conducting or reporting research. It does not include honest error or honest differences in interpretations or judgments of data."; (2) "material failure to comply with Federal requirements for protection of researchers, human subjects, or the public or for ensuring the welfare of laboratory animals; or (3) failure to meet other material legal requirements governing research."

"Inquiry" means information gathering and initial fact-finding to determine whether an allegation or apparent instance of misconduct warrants an investigation."

"Investigation" means the formal examination and evaluation of all relevant facts to determine if misconduct has occurred."

III. Guidelines for Inquiry and Investigation of Allegations of Misconduct

In accord with its principles and in compliance with federal regulations, the University will adhere to the following general guidelines with respect to alleged misconduct in research.

- A. An allegation or other evidence of possible misconduct in research, from whatever source, will receive immediate attention. All allegations should be directed to the Vice President for Research.
- B. The University will protect, to the maximum extent possible, the privacy, position, and reputation of those who in good faith report apparent misconduct in research.
- C. The University will afford the affected individual(s) confidential treatment to the maximum extent possible, a prompt inquiry into the allegations, a thorough investigation if one is deemed necessary, and will assure the rights of the accused person(s) to respond to the allegations both during the course of and at the conclusion of any inquiry and investigation.
- D. The University will take precautions against real or apparent conflicts of interest on the part of those involved in any inquiry and investigation resulting from an allegation of misconduct in research.

- E. When an allegation of misconduct is not confirmed, the University will, if requested by an affected individual, undertake diligent efforts to restore the reputation of such persons. The University may also examine the propriety of the initial allegation and take further action if appropriate.
- F. The University will comply with all state and federal regulations regarding maintenance and access to records and documentation resulting from inquiries and investigations into alleged misconduct.
- G. The University will notify appropriate external officials, including -- where applicable -- the Office of Scientific Integrity (OSI) in the Office of the Director of the National Institutes Health (NIH), if it ascertains at any stage of an inquiry or investigation that any of the following conditions exist:
 - "(1) There is an immediate health hazard involved;
 - (2) There is an immediate need to protect Federal funds or equipment;
 - (3) There is an immediate need to protect the interests of the person(s) making the allegations or of the individual(s) who is the subject of the allegations as well as his/her co-investigators and associates, if any;
 - (4) It is probable that the alleged incident is going to be reported publicly;
 - (5) There is a reasonable indication of possible criminal violation. In that instance, the institution must inform OSI [or other external officials, as appropriate] within 24 hours of obtaining that information. OSI will immediately notify the Office of the Inspector General."

IV. Inquiry Requirements

- A. The University, through the Vice President for Research, will promptly inquire into an allegation or other evidence of possible misconduct in order to determine whether an investigation is warranted. As stipulated in Federal regulations, the inquiry must be completed within 60 calendar days of its initiation unless circumstances clearly warrant a longer period. If the inquiry takes longer than 60 days to complete, the record of the inquiry shall include documentation of the reasons for exceeding the 60-day period.
- B. The Vice President for Research will supervise the inquiry. The process will involve securing appropriate expertise from within and, where necessary, outside the University to evaluate the evidence pertaining to the merits of the allegation.
- C. The Vice President for Research will prepare a written report of the inquiry. This report must indicate what evidence was reviewed; summarize statements and interviews from relevant individuals; present judgments by appropriate faculty and, possibly, external experts; and present the conclusions of the inquiry. A copy of the report of inquiry will be given to the individual(s) against whom the allegation was made, and any responses to that report by an accused person will be made part of the record.
- D. At the completion of an inquiry, the Vice President for Research will make a recommendation to the President of the University as to whether an investigation is warranted and will delineate the basis for this decision to the President and to those directly involved.
- E. The University will maintain, for at least three years, sufficiently detailed documentation to permit an assessment of the reasons for determining whether or not an investigation is warranted.

V. **Investigation Requirements**

- A. If the inquiry concludes with a determination that an investigation is warranted, the President will initiate an investigation through the Vice President for Research within 30 days of the completion of the inquiry.
- B. When an investigation involves a sponsored program through the Research Foundation, the Vice President for Research will notify and consult the Research Foundation. The University also will notify relevant federal or other external granting agencies, including, where applicable, the Office of Scientific Integrity at NIH, in accordance with applicable regulatory requirements.
- C. The University will take interim administrative actions, as appropriate, to protect any federal or state funds and ensure that the purposes of the external funding are carried out.
- D. The Vice President for Research will supervise the investigation. The process will involve securing necessary and appropriate expertise from within and, possibly, outside of the University to carry out a thorough and authoritative evaluation of the relevant evidence. In accord with federal regulations, the process will include, but not necessarily be limited to, examination of pertinent research data and written materials, interviews with all individuals involved either in making the allegation or against whom the allegation is made, and statements from or interviews with other individuals who might have information regarding the allegation.
- E. The University will prepare and maintain the documentation to substantiate the investigation's findings. This documentation will be made available to individuals authorized by state or federal regulations, including, as applicable, the Director of the Office of Scientific Integrity at NIH.
- F. An investigation should ordinarily be completed within 120 days of its initiation. This includes conducting the investigation, preparing the report of findings, making that report available for comment by the subject(s) of the investigation, and (for sponsored research) submitting the report to appropriate federal officials.

VI. **Institutional Actions**

The Vice President for Research will submit to the President the report of the investigation, including any written commentary by the individual(s) under investigation. In the case of sponsored research, the President will notify the Research Foundation and sponsoring agency of the findings and outcome of the investigation.

If an allegation of misconduct in research is substantiated, the President will institute appropriate disciplinary proceedings. Disciplinary proceedings must be consistent with established University, Board of Trustees, and Research Foundation policies, and with the applicable collective bargaining agreement. Disciplinary sanctions may include termination or alteration of the employment or academic status of the person(s) against whom allegations of misconduct in research have been substantiated. (University Senate Bill No. 8990-03)

Principles of Teaching Responsibility

The following responsibilities apply to faculty and other instructional staff of the University at Albany (referred to below as instructors). These statements are an expression of professional responsibilities on our campus.

These responsibilities are so reasonable and the University conceives them to be so important that adherence to them will be taken into consideration as part of the assessment of teaching effectiveness called for in Article XII of the SUNY *Board of Trustees' Policies*.

Some of the specific provisions below correspond to state law or regulation, or University policy developed through the Senate and its councils. Specific sentences that correspond to previously existing law, regulation, University policy or AAUP Ethics are *in italics*.

1. Instructors are responsible for ensuring that the content of the courses they teach is consistent with the course descriptions approved by the relevant curriculum committees. *Instructors are also responsible for stating clearly to students in each class the educational goals of the course at the beginning of each term (SED)*. It is expected that the class activities will be directed toward the fulfillment of those goals and that the basis upon which student performance is evaluated will be consistent with those goals.
2. *Instructors are responsible at the beginning of each term for informing students in their classes of the attendance policy (UAC/Senate) and methods to be used in determining final course grades (SED). Course grades should be based on student performance, and consistent with announced methods for determining grades (AAUP/Senate)*.
3. Instructors are responsible for meeting their classes regularly and at scheduled times according to the University calendar. Instructors should notify their department chair or program director if they are to be absent or late and appropriate arrangements have not been made, so that suitable action may be taken. Teaching assistants who will be absent or late are responsible for notifying their course supervisor. *Instructors are expected to adhere to University policy regarding scheduling and administration of final examinations (Undergraduate Academic Policy Manual)*.
4. *Instructors are responsible for keeping a reasonable number of office hours for student conferences (Academic Affairs/Faculty Handbook)*. Office hours should be scheduled at times convenient to both students and instructor, with the option of prearranged appointments for students when there are schedule conflicts. Those who are responsible for academic advising should also be in their offices at appropriate times to accommodate advising and registration needs.
5. *Instructors are responsible for providing a make-up exam or alternative or adjusting due dates for submission of work in case of religious observance (SED/Undergraduate Bulletin), participation in authorized intercollegiate events, or a personal emergency (University Senate)*.
6. Examinations and other assignments submitted for grading during the term should be returned with sufficient promptness to enhance the learning experience. Examination questions are an integral part of course materials, and the decision whether to allow their retention by students is the responsibility of the instructor. Term papers and other comparable projects are the property of students who prepare them. *They should be returned to students who ask for them and those that are not returned should be retained by the instructor for at least one term (University Senate)*.
7. Instructors of courses in which assistants are authorized to perform teaching or grading functions are responsible for acquainting these individuals with the provisions of these Principles and for monitoring compliance.
8. *At the end of each term, instructors should use some systematic procedure in each of their courses to solicit feedback from the students (University Senate)*.

Research Safety and Compliance

Since grants and contracts are made to institutions rather than individuals, it is the responsibility of the University at Albany to insure that all research conducted under its auspices is carried out in such a manner that the rights and welfare of subjects, society, the environment and researchers are protected and that research activities are in compliance with applicable State and Federal regulations.

The Research Compliance Officer, located in the Office for Research (AD 216), is responsible for maintaining familiarity with all regulations and policies which apply to research activities. In this way, he/she can act as a resource person on research compliance for the University community and coordinate all of the compliance activities on campus. Investigators are expected to consult the Research Compliance Officer at the planning stages of research to determine if any regulations or safety policies apply to their research and what steps must be taken to comply with them. The following kinds of research are covered by Federal and State Policy:

(1) **Research Involving Human Subjects:**

The University at Albany is committed to the principle that the rights and welfare of human beings participating as subjects in University research, training, and other related projects must be protected. This institution complies with federal regulations (45 CFR 46) and New York State Law regarding the use of human subjects. Before any research that has been determined to involve human subjects can be conducted by faculty, staff, or students of the University, or by any person under the auspices of the University, it must be approved by the university's Institutional Review Board (IRB). Prior approval is required for all research, regardless of the source or amount of funding.

The IRB has the responsibility for deciding if a given activity should be considered human subjects research. Many campus activities which should be included in this category are not viewed as such by the individuals involved. As a result, the IRB should be consulted prior to engaging in any activity where information is to be gathered from humans by any faculty member, student, or staff member of the University.

The University has established the position of Human Subjects Research Officer to act as liaison between the University community and the IRB, as well as staff assistant to the IRB. This person is available to advise faculty, staff, and students, and can indicate whether the proposed activity would be considered human subjects research by the IRB. Aspects of a project which the IRB might question can be discussed and alternative procedures suggested. Investigators are encouraged to consult the Human Subjects Research Officer at the early planning stages of the research. At this point, the research can often be designed in such a way to facilitate IRB approval.

Investigators who plan to conduct projects or activities involving humans as subjects shall submit to the IRB, through the Human Subjects Research Officer, a completed Human Subjects Review Form. Depending on the specific nature of the project, additional forms may be required. The necessary forms are available from the Office for Research (AD 216), and the Human Subjects Research Officer can assist investigators in completing them. Investigators should allow ample time for IRB review, and possible revisions, prior to the planned starting date for the project.

For additional information, contact the Human Subjects Research Officer, Mr. Jeffrey Cohen, Office for Research, AD 216 (442-3510).

(2) **Research Involving Animal Subjects:**

The care and use of animal subjects in research and educational activities is governed by federal and state regulations, professional standards of ethical conduct, and University policy. In light of revisions in relevant federal regulations, the University has undertaken an intensive examination and reorganization of its laboratory animal care and use program; the University Senate also passed a revised policy in May 1988.

For purposes of ensuring the humane use of animals, and in compliance with federal and state regulations, the campus has established the Animal Welfare Committee, which reviews for

approval all proposals for the use of vertebrate animals in all University research and teaching regardless of the source of funding.

A copy of the full policy regarding use of animals in research, including explanation of the project supervisor's responsibilities, is available from the Office for Research, AD 216 (442-3510).

(3) **Research Involving Hazardous Materials:**

This includes three major areas of concern: toxic chemicals, chemical carcinogens and infectious agents. All research involving such substances must comply with federal and state regulations regarding use, storage, disposal, and personnel exposure. Contact the Office of Environmental Health and Safety (442-3495) for additional information and assistance.

(4) **Research Involving Radioactive Materials:**

All research involving radioactive materials or machines and equipment that emit ionizing radiation must receive approval from the Radiation Safety Committee for the purchase, possession, use, transportation, and disposal of such material or equipment.

(5) **Research Involving Recombinant DNA:**

Having received approval from the National Institute of Health and the New York State Department of Health to conduct research involving the use of Recombinant DNA, the campus has formed the Institutional Biosafety Committee to review research proposals involving its use. All research involving the use of RDNA must be submitted to the committee and, where appropriate, reviewed and approved. Contact the Office for Research, AD 216 (442-3510), for more information.

Patent and Copyright

Regulations regarding the patent or copyright or inventions made by persons working in University facilities are detailed in Article XI, Title J of *The Policies of the Board of Trustees*.

Students' Right To Privacy - Faculty Obligation

The privacy rights of individuals enrolled at the University are to be protected as a matter of common courtesy and of law. Specifically, the privacy rights of students are defined by the Family Educational Rights and Privacy Act which is also known as the Buckley Amendment.

Requests for personally identifiable information should be directed to an administrative office, unless the information is available from the University telephone directory. Information you may have but which is not in the directory is not "public" information and cannot be released to anyone without specific prior approval by the individual. Information you collect for your own use in contacting students, for example, should be used only for the purpose(s) identified when it was collected. Use of items such as social security number for posting of grades or in other public ways is permitted only if the number cannot be related to a specific individual.

Inquiries of an unusual nature or those seeking information that you do not have should be referred to the Office of Records and Registration (442-5544). Additional information and assistance is available from your department chair and dean's office.

SECTION II: GENERAL UNIVERSITY POLICIES AND INFORMATION

Academic Policies

The University has specific undergraduate and graduate academic policies regarding the curriculum, grading, withdrawals, academic grievance procedures, General Education requirements, final examinations, dissertation and thesis preparation, language requirements, etc. The Office of Undergraduate Studies annually produces an Academic Policy Manual which is supplied to deans and chairs. Moreover, the Undergraduate and Graduate Bulletins include a description and explanation of the various undergraduate and graduate policies and regulations. Questions concerning the interpretation of these policies should be referred to the Office of Undergraduate Studies (AD 214) or the Office of Graduate Studies (AD 112), as appropriate. The University's policy and procedures for dealing with cases of academic dishonesty is reproduced here.

Academic Integrity: Policies And Procedures

The University at Albany expects all members of its community to conduct themselves in a manner befitting a tradition of honor and integrity. They are expected to assist the University by reporting suspected violations of academic integrity to appropriate faculty and/or administration offices. Behavior that is detrimental to the University's role as an educational institution is unacceptable and requires attention by all citizens of its community.

Guidelines, designed especially for students and printed in the Undergraduate and Graduate Bulletins, define a context of values within which individual and institutional decisions on academic integrity can be made. It is every student's responsibility to become familiar with the standards of academic integrity at the University. Claims of ignorance, of unintentional error, or of academic or personal pressures are not sufficient reasons for violations of academic integrity. Failure to observe standards of academic integrity can result in penalties ranging from a warning, to a failing grade in a course, to expulsion from the University, depending on the circumstances.

The following general procedures for faculty have been adopted by the University Senate.

Penalties and Procedures

Faculty Course Sanctions

When a faculty member has information that a student has violated academic integrity in a course or program for which he or she is responsible and determines that a violation has occurred, he or she will inform the student and impose an appropriate sanction. A faculty member may make any one or a combination of the following responses to the infractions cited above:

- warning without further penalty;
- requiring rewriting of a paper containing plagiarized material;
- lowering of a paper or project grade by one full grade or more;
- giving a failing grade on a paper containing plagiarized material;
- giving a failing grade on any examination in which cheating occurred;
- lowering a course grade by one full grade or more;
- giving a failing grade in a course.

If a faculty member announces a failing grade in the course as a possible result of academic dishonesty, the student receiving such a penalty will not be permitted to withdraw from the course unless the grievance or judicial system rules in favor of the student.

Any faculty member encountering matters of academic dishonesty in an academic program or class for which he or she has responsibility may, in addition to, or in lieu of, the actions cited above, refer a case to the University Judicial System. After considering the case under the procedures provided by the

University, the appropriate University judicial body will recommend the disposition of the case which can include disciplinary probation, suspension, or expulsion from the University.

Judicial Procedures

The University at Albany operates under a presumptive penalty system for cases of academic dishonesty. Generally, a student with no prior disciplinary record who is found guilty of academic dishonesty will be suspended from the University for a minimum of one semester. Those guilty of a serious offense or repeated offenses can expect to be suspended for two or more semesters or, in aggravated cases, expelled.

The University Council fixes the general rules for the University's judicial system. The following procedures for matters of academic dishonesty are consistent with those general rules.

1. Any member of the University community encountering matters of academic dishonesty may report such matters to the Office of the Dean of Undergraduate Studies or the Dean of Graduate Studies, as appropriate. Those offices are responsible for describing the options available for dealing with cases of academic dishonesty. Representatives of those offices may attend any subsequent hearing as a nonparticipating observer.
2. If a faculty, student or staff member wishes to pursue a matter formally, he or she may refer the case to the University judicial system through the Office of the Vice President for Student Affairs. The Dean of Graduate Studies or the Dean of Undergraduate Studies may also refer cases to the University judicial system through the Office of the Vice President for Student Affairs.
3. The Vice President for Student Affairs is responsible for the implementation of hearing procedures as defined in the Student Guidelines. The Vice President or an appointed designee will schedule cases referred to his or her office for hearing before a panel made up of members from the Committee on Student Conduct or a Hearing Officer.
4. The purpose of a hearing is to determine the facts of the case and to recommend sanctions. The results of the hearing are communicated to each of the three parties to the case: the student, the complainant, and the appropriate Dean. If no appeal for a rehearing is made by any of those, the recommended sanction will be forwarded to the Vice President for Academic Affairs for review and implementation.
5. If any of the three parties to the case believe that (1) due process was not followed in the case, or (2) that the recommended sanction was not commensurate with the offense, or (3) that important new evidence is available, that party has a right to appeal the case. Such appeals are made to the Vice President for Academic Affairs or an appointed designee who shall review the appeal in accordance with these criteria and determine if the appeal is to be accepted and a rehearing ordered. In such a case, a subcommittee composed of members of the Committee on Student Conduct not involved in the original hearing will be convened. The results of such a rehearing, along with all other records of the case, will be communicated to the Vice President for Academic Affairs who will make final disposition of the case and provide for its implementation.
6. In some cases, a hearing will not be necessary if a student admits to the charges filed or if a resolution is achieved between the student and faculty or staff member by mutual consent. In either case, a faculty Hearing Officer will review the case and, if satisfied with the plea or resolution, may proceed without a hearing to recommend a sanction in the case as provided above.

In those instances where faculty or staff members do not refer a violation to the University judicial system but instead deal with the matter entirely within the bounds of discretion available to them, they are expected to report in writing to the Offices of Graduate or Undergraduate Studies, as appropriate, all sanctions they impose, along with a brief description of the incident. A copy of the report is to be given to

the student. These offices will maintain a copy of such reports for the duration of a student's enrollment at the University. Upon graduation or separation of the student from the University, these confidential reports will be destroyed. Violations of academic integrity by graduate students are reported by faculty directly to the Graduate Office for appropriate action. This office replaces the Office of Undergraduate Studies in all matters involving graduate student violations of academic integrity.

Students who feel they have been erroneously penalized by a faculty or staff member for an academic integrity infraction or think that a penalty is inappropriate may grieve these issues through procedures developed for each college, school, program, or department of the University. Copies of the procedures are maintained in Deans' offices, in the Office of Undergraduate Studies or Graduate Studies, and in the Office of the Vice President for Student Affairs. A copy of the disposition of any grievance arising in matters of academic dishonesty will be attached to the faculty correspondence in the Offices of Undergraduate or Graduate Studies.

When a student violates academic integrity in more than one academic exercise, whether those infractions occurred during the same or different periods of time, or in the same or different courses, the University regards the offense as an especially serious subversion of academic integrity. The matter becomes particularly severe when the student has been confronted with the first infraction before the second is committed. Whenever the Offices of Undergraduate or Graduate Studies receive a second academic integrity report on a student, the Dean will request a hearing before the University judicial system.

The Director of Libraries or the Computing Center, upon finding of theft, damage, or misuse of facilities or resources, will forward all such cases to the University judicial system for review and disposition, which can include suspension or expulsion from the University. The Director of the Library or the Computing Center may, in individual cases, limit access to the Library or Computing Center pending action by the University judicial system. In all other cases of academic dishonesty which come to the attention of any staff, faculty, or student, it is expected that the Dean of Undergraduate Studies will be notified of such infractions. The Dean of Undergraduate Studies or the Dean of Graduate Studies, as appropriate, will process all such alleged matters of academic dishonesty and refer them to the University judicial system.

The University judicial system was established by the governing bodies of this campus and is administratively the responsibility of the Vice President for Student Affairs. Any questions about the procedures of the University judicial system may be secured by inquiry to that office.
(University Senate Bill No. 8990-23)

Development and Advancement Policies

It is well-established that public universities across the United States require substantial non-State funds, in addition to research grants and contracts, to realize more fully their responsibilities. Public higher education institutions in the State of New York, because of their recent development, have had only modest fund-raising and development efforts up to the present day. And so it is at the University at Albany. But this situation is changing rapidly in other public universities in the Northeast and at Albany. The Office of University Development has been reorganized and strengthened in order to assist the University to address the need of increasing funds. Already we have seen substantial gains as a result of those steps, and we are laying the groundwork for a multimillion dollar capital campaign effort for the campus.

As we build our development program and capital campaign, we need to assure that persons across the campus in colleges and schools and in our collateral organizations play an important role in these efforts. They cannot be done simply by a central group; it requires a coordinated effort of the whole University. However, it is also important to recognize that raising funds brings with it responsibilities in terms of how they are raised, how they are expended, and how they are accounted for. A variety of federal

and state laws impinge on these matters, as well as University policies. Moreover, an orderly system must be in place to assure that University priorities are more likely achieved and high-quality solicitation programs are mounted and carried through. To these ends, the following set of policies has been developed to guide our efforts over the next years.

General Policies

The President or his designee is responsible for the interpretation of all campus and system-wide gift policies and procedures and the coordination of fund-raising programs on behalf of the University and its campus-related organizations including, but not limited to, The University at Albany Foundation and the Alumni Association.

This includes the planning and implementation of all annual, capital, and project-oriented fund-raising efforts involving the cultivation, solicitation, and stewardship of individuals (including alumni, friends, and parents), corporations, and foundations by means of contributions and memberships fees.

The University and The University at Albany Foundation have the responsibility to: oversee the appropriate management of prospects, approve literature for fund raising, approve the receipt of gifts, specify financial management procedures, and audit financial records, to insure that the purposes of Foundation and University policy are met.

The President of the University has designated to the Vice President for University Advancement the responsibility for approving, directing, and coordinating fund-raising activities of all alumni, parent, corporate, foundation and community relations programs at the University. The Vice President is expected to work collaboratively with the various units in these efforts. The Vice President for University Advancement has responsibility for all organized fund-raising activity in the name of the University, or any unit within it, other than those coordinated by the Office of the Vice President for Research, and provides leadership and cohesion to all development initiatives and programs. This includes the approval and management of all plans, strategies, prospect allocations, and staffing related to these functions.

It includes as well responsibility for directing and coordinating the activities of The University at Albany Foundation, a 501(c)(3) organization recognized as the institution's official campus-related foundation.

The University at Albany Foundation is a New York not-for-profit charitable corporation organized for the purpose of encouraging voluntary private gifts, trusts, and bequests for the benefit of the University at Albany, State University of New York. Responsibility for governance of the Foundation, including investment of endowments, is vested in a Board of Directors, comprising alumni, community, and University representatives. Unrestricted income and gifts are used to support programs of the Albany campus and The University at Albany Foundation.

All fund-raising programs and projects must be planned and conducted in keeping with the mission and objectives of the University at Albany, State University of New York. All funds solicited in the name of the University or parts of it must be collected and expended in conformity with the requirements of law and University policies.

No commitments for naming of buildings, facilities, funds, or programs may be made without the approval of the President or his designee. In some instances, further approval is required by the University Council and/or the SUNY Trustees.

Services to be Provided

To encourage and foster the growth of fund-raising activities by schools, colleges, centers, and units, the Division of University Advancement will share its resources to the fullest extent possible. These resources include reports generated from the alumni/development data base; targeted research on

individuals, corporations, and foundations; solicitation coordination of major and planned gift prospects, corporate and foundation prospects; consultation on proposals for funding; authorization to use the University's name*; stewardship and donor recognition activities; and opportunities for affiliate alumni group development, among others. Such resources will be made available according to priority and capacity.

The Office of University Development encourages the sharing of resources and growth of fund-raising activities by associated development personnel representing schools, colleges, centers, and units of the University at Albany. Each major unit is encouraged to designate an individual, to be jointly appointed and supervised by the unit head and the Vice President for University Advancement, as the Development Officer for that unit. Such appointments will also have the concurrence of the Vice President to which that unit relates organizationally. All fund-raising efforts in the unit will be similarly approved and conducted.

Prospect Coordination

A central concern in fund raising in colleges and universities is to ensure that various units or individuals are not soliciting the same persons or organizations in an uncoordinated way for a wide variety of purposes. There has to be a system of ensuring that appropriate prospects are assigned to appropriate solicitors and the goals of all of the units in the University achieved in an optimal fashion. Thus, before any solicitation is undertaken by individuals or units in the University, in areas other than those covered by the Office of Research, it is important that solicitation be cleared with the Office of University Development. It is expected that in most cases this will be a fairly routine process, since a particular prospect is probably unique to a given solicitor. However, it may also be the case that a prospect, such as a company or well-known individual, will be sought for solicitation by a number of persons at a given point in time. It is the responsibility of the Office of University Development to ensure that there is a match between the best solicitors and prospects.

Gift Processing

All gifts, i.e., cash, annuities, gifts in kind, equipment, etc., to the University at Albany must be reported to the Foundation Business Office (LC B30; phone ext. 2-3350).

Failure to report gifts will jeopardize the tax deduction for the donor. Additionally, the University will not accept stewardship responsibility for gifts which have not been reported.

Some gifts may not be appropriate for acceptance through the campus foundation and must therefore be accepted by SUNY. These gifts are subject to policies set forth in Item 260 entitled "Gift Acceptance Procedures" (8/12/82, SUNY), which specifies the procedures necessary for the review and acceptance of gifts or bequests to State University or to one of the State-operated campuses.

Donors should be reminded to make checks out to **The University at Albany Foundation** to ensure that the contribution will go directly to the University at Albany. Checks and instruments which carry the State University of New York name will be processed through SUNY's Central Office. Similar provisions in language apply to bequests and planned gifts.

Recipients of cash gifts will forward the check or other forms of cash gifts to the Administration and Financial Operations Office, together with supporting correspondence and account information.

*"State University of New York at Albany," "University at Albany," and all abbreviations thereof, e.g., SUNYA, is the institution's official name and the use of this name on stationery, in public literature, in logos or other graphic presentations in connection with financial and legal commitments, must be used only for official University business through delegated authority by the President.

Annual Giving

Each fiscal year, which begins on July 1 and ends on the following June 30, the University solicits its alumni, parent, and faculty/staff constituencies, as well as selected corporations, foundations, and the community for support to its Annual Fund. With respect to the alumni, schools and colleges are permitted to contact their graduate alumni directly, while all undergraduate alumni will be contacted by the University. Dual degree holders may be contacted by the school or the University by mutual agreement and have the option to support the undergraduate or graduate program, or both. All corporate, foundation, and individual solicitations will be coordinated by the Office of University Development.

Alumni Records

The Division of University Advancement has been designated the official and sole repository of the alumni, development and related financial data bases. This centralized data base will provide accurate, cost-effective, and timely service to duly recognized campus entities for approved programs and projects. The cooperation of campus schools, colleges, and units in advising the Division of additions, deletions, and adjustments to the data base will significantly enhance the quality of service provided.

Freedom Of Expression

The University reaffirms its commitment to the principle that the widest possible scope for freedom of expression is the foundation of an institution dedicated to vigorous inquiry, robust debate, and the continuous search for a proper balance between freedom and order. The University seeks to foster an environment in which persons who are on its campus legitimately may express their views as widely and as passionately as possible; at the same time, the University pledges to provide the greatest protection available for controversial, unpopular, dissident, or minority opinions. The University believes that censorship is always suspect, that intimidation is always repugnant, and that attempts to discourage constitutionally protected expression may be antithetical to the University's essential missions: to discover new knowledge and to educate.

All persons on University-controlled premises are bound by the Rules and Regulations for Maintenance of Public Order, which deal in part with freedom of expression (adopted by the Board of Trustees of the State University of New York June 18, 1969; amended 1969, 1980). Members of the University community should familiarize themselves with those rules and regulations. In addition, University faculty are protected by and bound by Article XI, Title I, Section 1 of *The Policies of the Board of Trustees* (adopted January 1987), entitled "Academic Freedom." It reads as follows:

"It is the policy of the university to maintain and encourage full freedom, within the law, of inquiry, teaching, and research. In the exercise of this freedom the faculty member may, without limitation, discuss his own subject in the classroom; he may not, however, claim as his right the privilege of discussing in his classroom controversial matter which has no relation to his subject. The principle of academic freedom shall be accompanied by a corresponding principle of responsibility. In his role as a citizen, an employee has the same freedom as other citizens. However, in his extramural utterances an employee has an obligation to indicate that he is not an institutional spokesman."

University officials or other members of the University community in a position to review publications, speakers, performances, or any other form of expression may establish legitimate time, place, and manner regulations for the maintenance of an orderly educational environment; however, they may not prohibit expression for any reason related to the content of the expression, except as permitted in those narrow areas of expression devoid of federal or state constitutional protection.

Initial regulation of posters intended to be displayed on Podium bulletin boards will be administered by the Office of Campus Life. In addition to matters covered below, the Office of Campus Life may, to maintain an orderly educational environment, establish time, place, and manner regulations for posters.

The Office of Campus Life will have available information and materials concerning any restrictions that apply to posters and will present it readily to anyone needing assistance in designing or mounting posters.

If the Office of Campus Life determines that a poster submitted for approval appears to contain expression that is devoid of Constitutional protection or appears to contain material likely to give major offense to groups defined by race, sex, age, religion, ethnicity, physical condition, or sexual preference, the person requesting approval for such poster will be urged by University officials to adopt some alternate design for the poster which will avoid the inappropriate attributes.

If the efforts described above fail to dissuade those wishing to display a poster considered to be devoid of Constitutional protection, the proposed poster will be referred to CAFE for review. CAFE will have two University business days to conduct its review.

When notified that an objectionable poster has been referred to CAFE, the Chair of CAFE shall so notify all Council members and assemble as many of them as possible within two University business days to review the proposed poster.

After reviewing the poster, CAFE will rule as to whether the poster contains material devoid of Constitutional protection. The Council will report its finding and make a written recommendation about display to the President (or designee) to take final action on the matter.

Within one University business day, the President (or designee) shall notify the Chair of CAFE in writing of his/her findings, and shall notify the Office of Campus Life whether to register the poster for display.

Speakers invited to campus by University groups or individuals, and other speakers who may be legitimately present on campus, will be given the utmost protection to communicate their messages without disruptive harassment or interference. Opponents to those speakers enjoy the same protections for expressing their dissent.

All members of the University community share the duty to support, protect, and extend the commitment to the principle of freedom of expression, and to discuss this commitment with groups or individuals who seek to take part in University life. While all persons may seek to peacefully discourage speech that may be unnecessarily offensive to particular individuals or groups, speech that may be antithetical to the University's value, those persons must support the legal right of free speech.

Under Section 1.5 of its charge, the Council on Academic Freedom and Ethics will serve as a hearing body available to those members of the University community who feel their freedom of expression has been unfairly suppressed. The Council will report its findings to the President for further review and action. (University Senate Bill No. 8687-10; amended as University Senate Bill No. 8889-04)

Freedom Of Information

New York State's Freedom of Information Law may be found in Article 6 of the *Public Officer's Law* dated January 5, 1977. Article 87 of the Law gives the public access to agency records and the right to inspect and copy all records except those exempted by state and federal law. The Assistant Vice President for Human Resources Management has been designated the Campus Records Access Officer. Questions regarding the Freedom of Information Law as well as requests for access to public records should be directed to the Campus Records Access Officer.

Nepotism

(Issued by the President on May 1, 1979.)

Federal laws under which federal funds are made available to the University contain specific requirements for the administration of these funds in order to preclude "conflict of interest" practices, that is, practices where there seems to be evidence that responsible officials have afforded their relatives preferential treatment in hiring and promotion. Federal and State EEO and Affirmative Action laws also prohibit discriminating practices. This policy is established to strike a balance between preventing preferential treatment and yet not discriminating against applicants or employees based solely upon marital or blood relationships.

1. University policy does not preclude the employment of two or more members of the same family. However, an employee of the University may not officially approve nor recommend the appointment, reappointment, promotion, or salary adjustment of a relative.
2. Where a search process results in the nomination of a candidate who is a relative of a person in the administrative chain, the proposed appointment, with full documentation supporting the proposal, must be passed for action to the next administrative level above the official who is a relative. The responsible official at this next level will forward the proposal, with recommendations, through channels to one of the following:
 - (a) to the Vice President for Research for all externally funded research positions;
 - (b) to the Vice President for Academic Affairs for all instructional positions;
 - (c) to the Classification Committee for all other non-research, non-teaching positions (State-funded, UAS, etc.);
 - (d) to the Council on Promotions and Continuing Appointments for any faculty case requesting tenure.
3. If employees find themselves responsible for the direct supervision of a member of their own family, they must arrange with their supervisor for an appropriate means of removing themselves from any process which evaluates or otherwise considers the relative for reappointment, continuing appointment, promotion, or salary adjustment. Further, supervisors will provide for independent verification of the time and effort expended for the position.

Smoking Policy

It is University policy that smoking is prohibited in all University buildings except in specifically designated areas. Areas where smoking is permitted will be marked with signs indicating that smoking is permitted in that area only.

Smoking is prohibited in all areas open to the public, including lobbies, stairwells, and hallways. Smoking is prohibited in all enclosed walkways, including the tunnel and the walkway between Husted and Richardson. Smoking is prohibited in employee lounges and restrooms, and in all food service areas.

Smoking is prohibited in offices unless all employees and the program manager agree that smoking shall be permitted. However, no office will permit smoking in areas in which the public is served. If approved by the program manager, smoking is permitted in private offices when the occupant is alone.

The following areas have been designated as smoking areas:

- a) portion of the basement area between Administration and Business Administration has been enclosed and designated for smoking. Similar areas have been developed in the basement between Humanities and Education, Chemistry and Physics, and Earth Science and Fine Arts.
- b) The center entrance area of the Biology and Social Sciences buildings.
- c) A room next to the Kumquat cafeteria is the designated smoking area on the downtown campus.

Information **Accreditation, Principles Of**

In January 1987 the University Senate passed and the President approved a policy which endorsed the Statement of Principles of Accreditation adopted by the National Association of State Universities and Land Grant Colleges (NASULGC) and which specified that the University at Albany seek accreditation only from organizations that accept those principles. ~~The University at Albany also will seek accreditation only from organizations affiliated with the Commission on Recognition of Postsecondary Accreditation (CORPA) or which plan to seek accreditation from CORPA, except that the President may make exceptions to the policy on recommendation of the faculty of a program if in their judgment accreditation by a nonaffiliated organization is essential for the future employment prospects of its students. The full statement of principles is available from the University Senate (AD 259).~~

The University enjoys unusual accreditation privileges. It is chartered by the Board of Regents of New York State. All of its degrees and programs are registered and its professional programs fully approved by the Board of Regents through the New York State Education Department. It is a member of the Council of Graduate Schools in the United States. It is fully accredited by: The Middle States Association of Colleges and Secondary Schools; American Psychological Association Council on Rehabilitation Education; The Council on Social Work Education; The American Chemical Society; The American Library Association; The American Assembly of Collegiate Schools of Business; The American Board on Counseling Services, Inc.; and its graduates are recognized by the American Association of University Women.

Complaint Process (Pursuant to Regulations of the Commissioner of Education)

Section 494C(j) of the Higher Education Act of 1965, as amended, provides that a student, faculty member, or any other person who believes he or she has been aggrieved by an institution of higher education has the right to file a written complaint.

In New York State, a complaint may be filed by any person with reason to believe that an institution has acted contrary to its published standards or that conditions at the institution appear to jeopardize the quality of the institution's instructional programs or the general welfare of its students. Any person who believes he or she has been aggrieved by an institution on or after May 4, 1994, may file a written complaint with the Department within three years of the alleged incident.

How to File a Complaint

1. The person should first try to resolve the complaint directly with the institution by following the internal complaint procedures provided by the institution. An institution of higher education is required to publish its internal complaint procedure in a primary information document such as the catalog or student handbook. (The Department suggests that the complainant keep copies of all correspondence with the institution.)

2. If a person is unable to resolve the complaint with the institution or believes that the institution has not properly addressed the concerns, he or she may send a letter or telephone the Postsecondary Complaint Registry to request a complaint form. Please telephone (212) 951-6493 or write to:

New York State Education Department
Postsecondary Complaint Registry
One Park Avenue, 6th Floor
New York, New York 10016

3. The Postsecondary Complaint Registry Form should be completed, signed, and sent to the above address. The completed form should indicate the resolution being sought and any efforts that have been made to resolve the complaint through the institution's internal complaint process. Copies of all relevant documents should be included.
4. After receiving the completed form, the Department will notify the complainant of its receipt and make any necessary request for further information. When appropriate, the Department will also advise the institution that a complaint has been made and, when appropriate, the nature of the complaint. The complainant will also be notified of the name of the evaluator assigned to address the specific complaint. The evaluator may contact the complainant for additional information.
5. The Department will make every effort to address and resolve complaints within 90 days from receipt of the complaint form.

Complaint Resolution

Some complaints may fall within the jurisdiction of an agency or organization other than the State Education Department. These complaints will be referred to the entity with appropriate jurisdiction. When a complaint concerns a matter that falls solely within the jurisdiction of the institution of higher education, the complainant will be notified and the Department will refer the complaint to the institution in question and request that the matter receive a review and response.

Upon conclusion of the Department's complaint review or upon a disposition of the complaint by referral to another agency or organization, or to the institution of higher education, the Department will issue a written notice to the complainant describing the resolution of the complaint. The complainant may contact the Department evaluator directly for follow-up information or for additional assistance.

Computing and Network Services

Computing and Network Services (CNS) offers a wide variety of services to the University community including access to large central computers, microcomputers, laser printing, management of workstations and local area networks, and access to campus, regional and world-wide computer networks. At present, central facilities comprise a DEC VAX 6610 running VMS, an IBM 3084-QX running VM/CMS, and a cluster of UNIX machines and servers. All these systems are accessible via the campus network or through dial-in modem ports. CNS also operates UAINFO, the University's campus-wide electronic information system, and UACCESS, which provides online registration and student record information.

CNS supports Macintosh and IBM-compatible microcomputers and a wide variety of software products for these machines. Several user rooms contain microcomputers and UNIX workstations for public use as well as terminals that can be used to access central systems.

CNS provides consulting services via electronic mail to QUEST or via telephone (442-3730), including advice and answers to questions about how to use any of the facilities or services. For more general questions, call 442-3706 or come to CS 23.

Network connection requests are initiated by completing a form available at CS 7 or by calling 442-3715.

Educational Opportunities Program (EOP)

The Educational Opportunities Program seeks to provide academic-support services to students whose educational and economic circumstances have limited their post-secondary educational opportunities, but who have the capability and motivation for college study. All students must have earned a high school diploma or its equivalent prior to admission. EOP students carry a full load of regular and/or non-credit developmental courses (writing and reading skills; mathematics; science). They meet the same graduation requirements as other students over a somewhat longer matriculation period. The program has over 2,700 graduates, 15 percent of whom graduated with honors. Twenty-five percent of these graduates have matriculated in post-baccalaureate and professional curricula.

Identification Cards

Identification cards are issued to all faculty and staff members. Faculty may obtain a new or replacement I.D. card from the Registrar's Office (AD B5). Identification cards identify faculty for campus activities such as use of the libraries, parking privileges, and check cashing. They also entitle faculty to admission to some campus events and to special rates or priorities for tickets to some others. Off-campus they facilitate any claim to professional discount where such is allowed, and may, of course, be of value to new faculty in such transactions as opening charge accounts.

Just Community (Principles For A Just Community)

The University at Albany, State University of New York, is an academic community dedicated to the ideals of justice. A university is above all a place where intellectual life is central and where faculty, staff, and students strive together for excellence in the pursuit of knowledge. It is a particular kind of community with special purposes. Moreover, this academic community, if it is to support our broader ideals, must also be just.

There is no definitive theory of justice. The differences in these theories are to be respected. However, among all democratic theories of justice, the principles of equality and liberty are basic. These principles are no less central to a free university.

Equality is a necessary part of any university that claims to be a democratic institution. Distinctions based on irrelevant differences are ruled out. Ascriptive characteristics such as race, religion, gender, class, disability, ethnic background, or sexual preference, determine neither the value of individuals nor the legitimacy of their views. Only the merit of the individual as a participant in the life of the academic community is worthy of consideration. Bigotry in any form is antithetical to the University's ideals on intellectual, political, and moral grounds and must be challenged and rejected.

Liberty is an equally precious academic principle because the free expression of ideas is the central part of university life. To sustain the advancement and dissemination of knowledge and understanding, the University must allow the free expression of ideas, no matter how outrageous. Protecting speech in all its forms, however, does not mean condoning all ideas or actions. The University sets high standards for itself and denounces the violation of these standards in unequivocal terms. Harassment and other behavior that intrudes upon the rights of others is unacceptable and subject to action under the guidelines of the institution.

There is no guarantee that the principles of justice, once stated, are realized. The University must constantly remind itself that its mission and ethos must evolve within the context of justice. A just community is always on guard against injustice, always struggling to move closer to the ideal of justice, always asserting its dedication to justice. The assertion of justice takes place in every part of the community: in the classroom, the lecture hall, the Library, the residence and dining hall, wherever members of the University come together. It is the responsibility of all faculty, staff and students to keep the ideals of justice uppermost in the minds of the members of the University so that they may be achieved. (University Senate Bill No. 8990-30)

Libraries

The University Libraries, a member of the Association of Research Libraries, Research Libraries Group, and the Center for Research Libraries, contains over 1.7 million catalogued volumes and more than 2.7 million microforms and subscribes to approximately 5,000 periodicals. The Libraries provide access to online information resources via the Internet and to electronic bibliographic databases via the campus network. In-library access to CD-ROM data files (ERIC, Psychlit and CIRRR) is also available. A library faculty member serves as Official Representative for the campus membership in the Inter-University Consortium for Political and Social Research and provides access to its machine-readable data collections. In addition to the University Library on the podium, the Thomas E. Dewey Graduate Library for Public Affairs and Policy serves the Rockefeller College and other University constituents on the downtown campus.

A variety of publications assisting patrons in use of collections and library services is available at reference desks in the two libraries. Subject bibliographers serve as liaisons between the library and academic units. Bibliographic instruction sessions may be arranged for specific classes.

Regulations governing the use of the University Libraries have been formulated to protect the collections, to ensure fair access to resources and services, and to provide facilities conducive to study and research.

Office Supplies

A number of campus specific items such as return address envelopes, requisitions, etc., are available through the Rapid Copy Center. General supplies are obtained through the Purchasing Office where special procedures have been established to provide quick placement of orders and delivery to University departments. For additional information of office supply catalogs, please call the Purchasing Office (442-3255).

Other items (i.e., special instructional supplies, equipment, etc.) should be cleared with the department chair and ordered directly through the Purchasing Office. Quantity ordering of instructional materials, such as printed tests, should also be cleared through the chair. Details on procedures for purchasing all equipment, supplies and services are contained in the Institutional Services Manual which is available from the Purchasing Office, Indian Quad B7 (442-3255).

Organization Of Research Activity

Research Foundation

The Research Foundation of SUNY is a non-profit, educational corporation, which is chartered by the Board of Trustees of SUNY to serve as trustee and fiscal administrator for all gift, grant, and contract funds supporting sponsored research, training, and related programs carried out or supervised by State University faculty members.

The Research Foundation and the Central Office of SUNY administer several special grant and fellowship programs that provide support to faculty members for scholarly and creative activities.

Information about these opportunities, including when and how to apply, can be obtained from the Office for Research.

University at Albany Office for Research

Research and other scholarly activity are an integral part of the professional life of each faculty member, especially at a university graduate center. The University at Albany supports and encourages these activities in varied ways.

The Vice President for Research and Dean of Graduate Studies is responsible for establishing policies for developing and managing a broad program of high-quality research throughout the University. The Vice President serves as the Campus Operations Manager for the Research Foundation and is responsible for the fiscal administration of grants and contracts.

The staff of the Office for Research, located in Administration 216 (442-3510), works under the direction of the Vice President and assists faculty members in developing and submitting proposals for external support. The office disseminates information about funding opportunities and assists in the preparation of proposals to insure that budgets and work statements are consistent with University policies and sponsor guidelines. The Development staff provide several services, including a computerized information retrieval system called the Sponsored Programs Information Network (SPIN), which is intended to assist faculty members in locating potential sources of support for projects. This office, in its capacity as an agent of the Research Foundation, also processes and submits all proposals from faculty members for submission to sponsors, accepts Research awards, and executes contracts on behalf of the Research Foundation.

Parking

The purpose of a structured and regulated parking system is to facilitate the activities of the University, primarily instruction. The system of controlled and designated lots is designed to provide parking that will give faculty and staff access to classrooms and offices, students the ability to commute, and visitors the ability to participate in University activities. To this end, the University at Albany has developed parking regulations which are designed to meet these requirements as well as the special needs of individual community members. These rules are set by the President of the University and in consultation with the University Council when appropriate. Compliance with these regulations is encouraged by fair and consistent enforcement.

All University members parking a vehicle on campus must purchase a parking decal either by mail or in person at the Office of Parking Management. In addition to the \$10.80 per vehicle charge, a parking fee must also be paid. Current exemptions to the parking fee include University at Albany employees who are represented by CSEA, UUP, PEF, or Council 82. However, vehicle registrations and priority parking charges still apply.

Compliance with parking regulations is encouraged by fair and consistent enforcement. Illegally parked vehicles are subject to ticketing and towing. Parking rules and regulations brochures, current fee schedules, and campus maps are available from the Office of Parking Management and from the University Police Desk Officer.

Questions regarding University parking should be directed to the Office of Parking Management (442-3121).

Public Order (Rules Of Public Order)

The Board of Trustees of the State University of New York adopted rules and regulations pertaining to the maintenance of public order on State University campuses on June 18, 1969. Copies of these rules and regulations are available in the Office of the Vice President for Student Affairs (442-5500).

Textbooks and the University Bookstore

All classroom texts, references, and suggested readings are ordered through the University Bookstore. Textbook requisition forms are available from the department offices or the bookstore. The logistics involved in processing textbook orders mandates strict observance of textbook regulations, schedules and deadlines. Book orders must be received by the bookstore for the fall semester by April 1; for the spring semester by November 1; and for the summer session by March 15.

The University Bookstore offers a state-of-the-art **Custom Publishing Service**. Now it is easier than ever to provide your students with up-to-the-minute information through Custom Published Texts compiled from articles and books. This new service is available for use in any course.

Textbook publishers are anxious to provide faculty with personal copies of each textbook that is used in their classrooms. Please send requests for desk copies directly to the publisher--desk copy request letters are available in the bookstore.

University Police - Emergency Number 442-3131 (on campus 911 after August 15, 1994)

The University Police Department provides 24-hour emergency and routine police, traffic, safety, and security services to members of the University community. University police officers and investigators perform basic police and criminal investigation duties. Security officers enforce parking regulations and check building lock-up.

Crime prevention through education is the primary thrust of Department efforts. Personal safety programs are available through the Crime Prevention Unit. Specialists also conduct physical security surveys.

Faculty and staff are reminded that primary responsibility for property and personal safety rests with the individual. University Police recommend that you be security conscious. Lock your door and pay attention to your valuables. Telephone: 442-3131 (from off campus); 2-3131 (from campus phone); and 911 (after August 15, 1994, from campus phone).

SECTION III: CHANCELLOR'S STATEMENT ON GOVERNANCE AND FACULTY BY-LAWS OF THE UNIVERSITY AT ALBANY STATE UNIVERSITY OF NEW YORK

Chancellor's Statement On Governance

Following considerable discussion about the matter of enforcement of by-laws on local campuses, and following conferences among the Committee on Governance, the Executive Committee, the President's Council, and with the Board of Trustees, the Chancellor has developed the following Statement on Governance:

In the light of recent challenges to the basic structural elements of the University, I join with the Faculty Senate in reaffirming the validity of governance as the appropriate and organic process for the involvement of constituent groups in campus decision making. By this statement, University faculty, staff, and administration are reminded of the charge contained in the 1972 Master Plan that "the governance arrangements within the university will be increasingly clarified and improved methods of consultation will be developed to reflect the need for effective governance based upon widespread participation..."

Since these challenges go to the very heart of the University, it is appropriate to underscore the traditional legal framework which establishes and protects University governance.

The Education Law established the Board of Trustees and charges it with the responsibility for and conduct of the University. The Trustees, in turn, have promulgated *The Policies of the Board of Trustees, et al* that represent a constitution which provides basic principles of policy and organization. *The Policies of the Board of Trustees, et al* vest authority in the Chancellor of the University and in campus presidents and legally established governance as the appropriate vehicle for the involvement of all constituents: faculty, staff, administration, and students. In this regard, *The Policies of the Board of Trustees, et al* accord official recognition to the close interrelation between the exercise of the legal authority of the president and his or her obligation to accept constituent participation through governance.

Article X of *The Policies of the Board of Trustees, et al*, among other provisions, empowers and directs the faculty to develop by-laws for the conduct of its affairs. Substantive actions taken in the course of that conduct are advisory upon the president and are a recognition of his or her legal authority. Furthermore, those provisions of by-laws concerning consultation--how, when, and where the president consults with his faculty--are subject to his or her approval. It is understood, of course, that by-laws often contain procedures for consultation among faculty in addition to provisions for presidential consultation with faculty. The latter only is spoken to in Article X.

When the president accepts provisions of local by-laws concerning consultation, the Trustees, through Article X, and the Chancellor respect this endorsement and these provisions become, thereby, part of local policy and must provide a reliable framework for campus governance. In this regard, a president is expected to adhere to policies which he or she has accepted for his or her administration.

Since governance must remain responsive to changing conditions on each campus, the validity of by-laws rests firmly upon the continuing confidence in which they are held. By-Laws, once approved, should not be used to require adherence to outmoded or bad practice by either the faculty or the president. The campus community must remain ready to recognize legitimate objections to practices or procedures which no longer adequately meet the needs for which they were designed. In order for governance to operate effectively, provisions must exist in each set of by-laws to permit the president and any constituent included in the governance vehicle to initiate review and modification when by-laws fail to command the confidence of those who are expected to observe them.

By-Laws are the manifestation of the university's commitment to governance. They have their legal basis in authorization by the Board of Trustees and their effectiveness results, in the most practical sense, from the confidence they enjoy in the campus community. If governance is to survive, it must draw strength from its success in meeting the needs for which it was designed. It must not rely upon external forces. Its validity is adequately supported in the legal recognition of governance by the Trustees as essential to the proper conduct of a university.

From the Faculty Senate Bulletin, Volume 8, Number 3, June-July 1973

Faculty By-Laws

Article I: The Faculty: Definition, Responsibilities, And Organization

Section 1 - The Faculty

The Faculty shall consist of the Chancellor of the State University of New York; the executive officer having jurisdiction over the University Centers; the President of the State University of New York at Albany; all members of the professional staff as defined in Section 1.1; emeriti.

- 1.1 **Definitions.** Unless otherwise specified, the terms listed below shall be used in these *By-Laws* with the following meanings:
 - 1.11 Board of Trustees. The Board of Trustees of the State University of New York.
 - 1.12 Chancellor. The Chancellor of the State University of New York.
 - 1.13 University. State University of New York at Albany.
 - 1.14 University Council. The Council of the University as provided for by Section 356 of the New York Education Law.
 - 1.15 President. The chief administrative officer of the University.
 - 1.16 Academic Staff. Members of the Faculty having academic rank or qualified academic rank, as specified in *The Policies of the Board of Trustees*.
 - 1.17 Professional Staff. Members of the Faculty who do not have academic rank or qualified academic rank.
 - 1.18 Academic Rank. Rank held by those members of the Academic Staff having the titles of Professor, Associate Professor, Assistant Professor, and Instructor and those having the title of Librarian, Associate Librarian, Senior Assistant Librarian, and Assistant Librarian.
 - 1.19 Qualified Academic Rank. Rank held by those members of the Academic Staff having the title of Lecturer, or titles of academic rank preceded by the designation "visiting" or other similar designation, in accord with *The Policies of the Board of Trustees*.
 - 1.20 Voting Faculty. All faculty eligible to vote as defined in Section 2 of these *By-Laws*.

Section 2 - Voting Faculty

Voting members of the University Faculty shall be entitled to one vote in general faculty meetings, in faculty referenda, and in elections to the University Senate. The membership of the voting faculty shall consist of the following:

- 2.1 The Chancellor;
- 2.2 The executive officer having jurisdiction over the University Centers;
- 2.3 The President;
- 2.4 All full-time members of the academic staff having academic rank or qualified academic rank, except emeriti, instructors enrolled in degree programs of the State University of New York at Albany, and individuals holding appointments for less than one academic year;

- 2.5 All full-time members of the professional staff except individuals holding appointments for less than one academic year.

Section 3 - Responsibilities of the Faculty

- 3.1 The Faculty shall be responsible for the development of the educational program of the university and for the conduct of the university's instructional, research, and service programs, subject to the provisions of the New York State Education Law and *The Policies of the Board of Trustees*.
- 3.2 To discharge these responsibilities, the Faculty shall create a Senate and shall delegate its power to that Senate, reserving to itself the powers specified in Article I, Sections 5 and 6, Article IV and Article V of these *By-Laws*, and retaining the responsibility of dealing with academic standards as provided in Article II, Section 2.9.

Section 4 - The Presiding Officer

The Chancellor of the State University of New York, or in his or her absence, the executive officer having jurisdiction over the University Centers, or in his or her absence, the President of the State University of New York at Albany, or his or her designee, shall be the Presiding Officer of the Faculty.

Section 5 - Faculty Meetings

5.1 Regular Meetings

- 5.11 The Faculty shall meet regularly at least once each semester during the academic year.
- 5.12 A time for these regular meetings shall be set by the President, who will inform the members of the Faculty of the time and place of the meeting, and as far as possible, of the agenda.

5.2 Special Meetings

- 5.21 The President shall be empowered to call special meetings at his or her discretion.
- 5.22 The President shall also call special meetings if requested to do so by the Senate or if petitioned to do so by at least 10 percent of the Voting Faculty, or as specified in Articles IV and V of these *By-Laws*.
- 5.23 The President shall notify the Faculty in advance of the time and place of such meetings and, as far as possible, of the agenda.

5.3 Conduct of Meetings

- 5.31 Twenty percent of the Voting Faculty shall constitute the quorum for both regular and special meetings, except as specified in Articles IV and V of these *By-Laws*.
- 5.32 Unless otherwise specified, all meetings shall be conducted according to *Robert's Rules of Order*.

Section 6 - Standing Committee of the Faculty

6.1 Faculty shall establish a standing committee on nominations and elections which shall:

- 6.11 nominate a slate for the election of senators-at-large and conduct the election for these senators. The slate shall include at least two candidates for each vacancy. The name of any eligible faculty member who has been nominated by petition of at least 10 members of the Voting Faculty must be included. The election shall be decided by plurality vote.
- 6.12 apportion each year the senators among the schools and colleges.

- 6.13 oversee the election of senators.
 - 6.14 nominate a slate for the election of the representative(s) to the Senate of the State University of New York and conduct the election for the representative(s). The slate shall include at least two candidates for each vacancy. The name of any eligible faculty member who has been nominated by petition of at least 25 members of the Voting Faculty must be included. The election shall be conducted by secret ballot and shall be decided by majority vote.
 - 6.15 determine the specific applications of the definition of the Faculty and Voting Faculty.
 - 6.16 receive and transmit to the Voting Faculty proposals for amendments to these *By-Laws* and for referendum.
 - 6.17 conduct all faculty balloting.
- 6.2 This committee shall:
- 6.21 consist of eight members serving two-year staggered terms. The election for this committee shall take place annually at the first regular Faculty meeting of the calendar year for the committee which will serve the following academic year.
 - 6.22 nominate each year two people for each vacancy on the committee. Nominations may also be made from the floor at the first regular Faculty meeting.
 - 6.23 elect its own chair from among its members.

Article II: The Senate Of The University At Albany, State University Of New York

Section 1 - Powers and Responsibilities of the Senate

- 1.1 The Senate shall have the powers vested in the Faculty by *The Policies of the Board of Trustees* of the State University, except the powers reserved to the Faculty in Article I, Sections 5 and 6, Article IV and Article V of these *By-Laws*. The Senate shall be the principal policy-forming body of the University.
- 1.2 The Senate shall have the power to place items of business on the agenda of a meeting of the Faculty.
- 1.3 The Senate shall create such councils and committees as it considers necessary or useful in fulfilling its functions. It may delegate to such councils and committees, or to the Schools and Colleges, such powers as it considers appropriate.
- 1.4 The Senate shall administer the financial affairs of the Faculty.
- 1.5 The Senate may call for a faculty referendum on any issue.
- 1.6 The Senate shall issue an annual report to the Faculty. A copy shall be submitted to the University Council.
- 1.7 The Senate shall be consulted on major university administrative reorganizations and appointments.

Section 2 - Composition of the Senate

- 2.1 The ex-officio voting members of the Senate shall be the President or her/his designee, the Vice President for Academic Affairs, the Vice President for Research and Graduate Education, the Vice President for Student Affairs, immediate past chair, the University Senators to the Faculty Senate of the State University of New York, the dean elected by the deans of the schools and colleges, and the president of the Student Association.
- 2.2 There shall be eight senators elected at large from the eligible Voting Faculty of the Senate.
- 2.3 There shall be 26 senators elected by the schools and colleges from the eligible Voting Faculty. For purposes of Senate representation, the librarians of the University Library shall constitute a school. These shall be allocated to the schools and colleges in proportion to the numbers of voting faculty members in each school or college; however, each school or college shall have at least one senator and the School of Public Health shall have two senators. A school or college will not be deprived of a senator because of shifting faculty ratios until the term of the senator normally expires. Thus, the number of school or college senators may be above 26 in some years.
- 2.4 There shall be 10 senators appointed jointly by the President and the incoming Chair-Elect of the Senate from the eligible Voting Faculty. These senators shall serve on annual appointments which may be renewed. The deans of the colleges and schools collectively shall elect one from among them to a one-year term on the Senate.
- 2.5 The elected faculty members shall serve three-year terms, with one-third of each category being elected each year. The Faculty Committee on Nominations and Elections shall arrange for elections to fill vacancies. No elected senator may serve for more than two consecutive terms.
- 2.6 Fourteen undergraduate student senators shall be nominated and elected annually through the election mechanism of the Student Association. The one graduate student senator shall be elected annually by the separate schools or colleges on a rotating basis in alphabetical order. No person elected to the Senate from the student body will be permitted to occupy the position of senator while on academic probation.
- 2.7 Section 2.6 may be amended by a simple resolution at any meeting of the Faculty provided in Article I, Section 5 under the rules fixed for such meetings, except that the number of student senators may not exceed 15, and except that any changes shall not take effect until the beginning of the Senate year following the Faculty action.
- 2.8 Replacement of senators during their term in office:
- 2.81 Faculty Senators on Leave:
During the period when a faculty senator is on leave and is absent from the university, his or her seat shall be filled by an alternate. This alternate shall be selected in the following order of priority:
1. If available, the person with the next highest number of votes in the past previous election for the constituency involved.
 2. If no such person is available, election or appointment by an appropriate body in the constituency involved.
- 2.82 Absentee Senators:
The seat of a senator shall be declared vacant in any of the following cases:
1. The senator declines to accept his or her election.
 2. The senator misses four consecutive Senate meetings.

3. The senator misses over 50 percent of the Senate meetings in one academic year.

The Executive Committee of the Senate shall declare when a seat is vacant. In extenuating circumstances the Executive Committee may declare an exception to the rule. In both cases the Executive Committee must report its action to the Senate for its approval.

When a vacancy is declared, the seat shall be filled in the following order of priority:

1. Elected Senators
 - a. Designation of the available person with the next highest number of votes in the last previous election from the constituency involved.
 - b. If no such person is available, election or appointment by an appropriate body in the constituency involved.
2. Appointed Senators
Selection of a new senator by the President.
- 2.9 Faculty Responsibility for Academic Standards and College Athletics

2.91 After the Senate has voted on a bill pertaining to academic standards or college athletics, if two faculty senators so request, a separate vote shall be taken of faculty senators only. If the chair is asked to rule on whether or not the bill pertains to either academic standards or college athletics, and this ruling is appealed, only faculty senators may vote on the appeal.

If the separate vote takes place and if majorities (among those present and voting) of the full Senate and of the faculty lie on opposite sides, the bill shall be placed on the agenda of the next regularly scheduled meeting of the entire faculty or on the agenda of a special faculty meeting called under provisions of Article I, Section 5. Regardless of the outcome of the original Senate vote, the Senate bill shall be void until and unless it is enacted by majority vote at a meeting of the full faculty. The faculty may also amend the Senate bill before enacting it.

2.92 Academic standards include but are not limited to graduation and degree requirements, grading policies and standards, rules on academic standing, and honors criteria.

2.93 College athletics issues include but are not limited to policies on admissions and academic progress for those in athletics, changes in the proportion of university funds devoted to intercollegiate athletics, and guidelines and rules for distribution of grants-in-aid for athletes.

Section 3 - Officers of the Senate

- 3.1 The officers of the Senate shall be the Chair, Chair-Elect, and the Secretary. The Senate may designate additional officers. The term of the elected officers shall be one year.
- 3.2 The Chair-Elect and the Secretary shall be elected by the previous Senate. Senate officers must be members of the eligible Voting Faculty of the Senate. Vacancies in the elective offices shall be filled by special election.
- 3.3 The Chair-Elect shall succeed automatically to the office of Chair in the year following service as Chair-Elect. The term of a senator elected Chair-Elect shall be extended automatically to complete his or her term as Chair.

Section 4 - Calendar and Meetings of the Senate

- 4.1 The Senate year shall be from July 1 to June 30.

- 4.2 Election of senators shall be completed no later than four full class weeks before the end of classes during the spring semester.
- 4.3 Regular meetings of the Senate shall be held once each month during the regular academic year. Special meetings may be called by the Chair of the Senate, the Executive Committee of the Senate, or by petition of any five senators.
- 4.4 Meetings of the Senate may be held in the summer. Actions taken in summer meetings of the Senate must be reported to the Senate at its first fall meeting.
- 4.5 The Chair of the Senate shall preside at the meetings of the Senate. In his or her absence, the presiding officer shall be the Chair-Elect or an alternate designated by the Chair.
- 4.6 Faculty members may attend all meetings of the Senate. The Senate, its Executive Committee, or the presiding officer may invite any member of the University community to participate in the discussion at a meeting.
- 4.7 The quorum of the Senate shall be 50 percent of its membership plus one. In all other matters of procedure, *Robert's Rules of Order* shall be followed, except where the Senate has established a rule of its own.
- 4.8 The agenda shall be prepared by the Executive Committee of the Senate, provided that:
 - 4.81 any senator shall have the right to place items on the agenda by submitting such items to the Chair of the Executive Committee at least ten days before the scheduled meeting;
 - 4.82 the agenda for each meeting shall permit the introduction of new business at the meeting itself when approved by a two-thirds vote of the Senators present and voting.

Section 5 - Executive Committee of the Senate

- 5.1 Composition:
 - The President of the University, ex officio;
 - The representatives to the SUNY Senate, ex officio;
 - The immediate past chair, ex officio;
 - The Chair of the Senate (who shall serve as chair of the Executive Committee);
 - The Chair-Elect of the Senate;
 - The Secretary of the Senate;
 - The Chairs of the Senate Councils;
 - The President of the Student Association, ex officio.
- 5.2 The Executive Committee shall be responsible for the general operation of the Senate:
 - 5.21 By preparing and distributing the agenda before Senate meetings.
 - 5.211 The Committee may place any report or item on the agenda.
 - 5.212 The agenda must contain all items submitted in writing by any senator at least 10 days before the meeting.
 - 5.213 The Committee may attach its own recommendations to any item listed on the agenda.
 - 5.22 By recommending to the Senate that replacements be found for senators who

5.221 are no longer members of the University community or of the constituency from which they were elected.

5.222 are on leave from the University.

5.223 are, by their too frequent absence from the meetings of the Senate and/or its committees, not performing their senatorial duties.

5.23 By making recommendations for improving the operation and maintaining the orderly process of the Senate.

5.3 Members of the Senate councils shall be nominated for Senate approval by the members of the Executive Committee. The Executive Committee shall submit nominations to the Senate for all council positions. When a newly elected Senate is organizing itself, the Executive Committee shall consist of the members named in Section 5.1 above other than the chairs of the Senate councils.

5.31 Such nominations shall be subject to the specifications of Section 6.3 of Article II and such other requirements as the Senate may establish.

5.32 The nominations of undergraduate student members shall be made from the elected undergraduate senators and upon consultation with the Student Association.

5.33 The nominations of the graduate student members shall be made from the elected graduate senator and upon consultation with the graduate student associations of the schools and colleges.

5.4 The Executive Committee shall act for the Senate on urgent matters at such times as it is clearly impractical or impossible to convene the Senate. Any actions taken by the Executive Committee under these "urgency powers" must be reported to the next Senate meeting for review and, where appropriate, action.

5.5 The Executive Committee may serve on a regular basis in an advisory capacity to the President.

Section 6 - Senate Councils and Committees

6.1 In order to enable the Senate to carry out its functions, the Senate shall establish councils dealing with the following areas: academic policy (including budget), curriculum and instruction, research, library, student affairs, personnel policies, and grievances. The Senate also may establish other councils or special committees to deal with such other areas of its responsibilities as it deems appropriate.

6.2 The Senate may delegate to its councils and committees such powers as it considers appropriate. The councils shall be responsible to the Senate and report regularly.

6.3 Each council shall include at least two members of the Senate, one or more students, and two or more faculty, not senators. Council Chairs must be faculty senators.

Article III: The Schools And Colleges

Section 1

Subject to the regulations of the Senate, the faculty of each school or college shall determine its internal policies.

Section 2

The faculties of the schools and colleges shall organize themselves so as to exercise their appropriate powers and assure faculty participation in making decisions at the school and college level.

Section 3

The faculties of the schools and colleges, or of their appropriate sub-divisions, shall be consulted when administrative appointments are made at the school, college, division, and department levels.

Article IV: Amendments

Section 1

Amendments to the *By-Laws* shall be made by the Voting Faculty.

Section 2

Amendments may be proposed by the President, or by the Senate, or by a petition signed by at least 10 percent of the Voting Faculty.

Section 3

Proposed amendments shall be submitted in writing through the Committee on Nominations and Elections to the members of the Voting Faculty. After a lapse of two weeks, but within six weeks after the proposal has been circulated, the President or his or her designee shall convene a meeting of the Voting Faculty to vote on the proposed amendment.

3.1 For this meeting a quorum shall be defined as 40 percent of the Voting Faculty.

3.2 Passage of an amendment will require a majority of the Voting Faculty present.

3.3 If there is no quorum for action at such meeting, the Committee on Nominations and Elections shall conduct a mail ballot. Passage of the amendment requires at least 40 percent of the Faculty vote in the mail ballot and that the amendment receive a two-thirds majority of the votes cast.

Article V: Referendums

Section 1

Measures may be submitted to the Voting Faculty by the Senate for referendum. Measures brought to the Faculty for referendum shall be submitted in writing through the Committee on Nominations and Elections to the members of the Voting Faculty. After a lapse of two weeks but within six weeks after the measure has been circulated, the President or his or her designee shall convene a meeting of the Voting Faculty to vote on the measure.

Section 2

2.1 For this meeting a quorum shall be defined as 40 percent of the Voting Faculty.

2.2 Passage of a measure brought to the Voting Faculty for referendum will require a majority of the Voting Faculty present.

Article VI: Establishment Of The Senate

Section 1

To establish the first Senate, the Faculty shall authorize that the following sections of these *By-Laws* be modified as indicated below:

- 1.1 Article I, Section 6: The Faculty Council shall act as the Faculty Committee on Nominations and Elections.
- 1.2 Article II, Section 2.5: The Committee on Nominations and Elections shall determine by lot the initial term of each Senator.
- 1.3 Article III, Section 3.3: The Senate shall also elect a Vice Chair.
- 1.4 Article II, Section 4: The Senate year shall begin as soon as possible after the Faculty adopts these *By-Laws*.

Section 2

Councils and committees performing those functions specified in Article II, Section 6.1, and existing at the time of the adoption of these *By-Laws*, shall continue to function until terminated by the Senate.

SECTION IV: IMPLEMENTATION OF THE BY-LAWS: THE UNIVERSITY SENATE

I. Interpretation

In accordance with Article II, Sections 1.3 and 6.2, of the University at Albany *Faculty By-Laws*, the Senate in the Spring of 1966 adopted provisions creating and empowering councils to administer various Senate concerns. This listing of councils was prefaced by the following statement, officially accepted by the Senate:

The Executive Committee interprets Article II, Sections 1.3 and 6.2 of the by-laws to mean that the Senate will require reports from its Executive Committee and its councils, and through them from council committees. The statement that councils shall be responsible to the Senate means that the Senate may accept such council reports, may return reports or specific actions to the council for reconsideration, or may modify or rescind policies established by the councils. The Senate also mandates that all councils and committees will be expected to keep minutes of their meetings and actions which shall be available to the Senate upon request.

Each council shall elect a chair from among those of its number who are faculty senators (Article II, Section 6.3). The organizational meeting of each council shall be convened by the person named first on its membership roster.

II. Definitions

The following definitions were adopted by the Senate in the Spring of 1972 (University Senate Bill No. 7172-24), revised by the Senate in fall of 1984 (University Senate Bill No. 8485-02):

Teaching Faculty: The term "Teaching Faculty" will hereafter refer exclusively to those members of the Voting Faculty¹ who hold academic or qualified academic rank in one of the colleges, schools, centers, or programs at the University at Albany. For these purposes, librarians shall also constitute a school and be considered members of the teaching faculty.

Professional Employees: The term "Professional Employees" will refer to all members of the Voting Faculty¹ who do not hold academic or qualified academic rank.

Service Staff: This constituency is to include all full-time classified and other workers serving the University in clerical, maintenance, sales, food, or other positions not listed as teaching or professional.

Students: Undergraduate students are defined as those with class years beginning with two digits of a year of graduation or classified as 15 or 30. Graduate students are defined as those students classified as 18 or 20.

III. Senate Councils

Since 1966 the Senate has adopted resolutions creating and empowering councils to administer various Senate concerns. Following are the current councils, their compositions and their charges:

1. See *Policies of The Board of Trustees*, Article X, Sections 1 and 3 and Article I.

Council on Educational Policy

- 1.1 Composition: The President of the University, *ex officio*
The Vice President for Academic Affairs, *ex officio*
The Vice President for Research and Graduate Studies, *ex officio*
The Vice President for Student Affairs, *ex officio*
A member of the Conference of Academic Deans
Eight Teaching Faculty (four must be senators)
Three Professional Employees (one must be a senator)
Four students: one graduate student, three undergraduate students (two of these four must be senators)
- 1.2 The council shall have the responsibility for the oversight of campus planning and for the establishment of educational priorities.
 - 1.21 The President shall have the initial responsibility for preparing the elements of the campus academic plan.
 - 1.22 The council shall review the elements of the academic plan and changes thereto and make recommendations to the Senate for action.
 - 1.23 The council shall review proposals for new programs and for the discontinuance of existing programs with respect to budgetary implications and consistency with the academic plan.
 - 1.231 In the course of its review, the Council shall consult with other Senate councils and/or with academic, governance, and administrative units, as appropriate, in carrying out this responsibility.
 - 1.232 The council shall recommend dates for implementing new programs or discontinuing existing programs.
 - 1.24 The council may request reports from other councils and committees of the Senate.
 - 1.25 The council shall be consulted on the size and general composition of the student body.
 - 1.26 The council shall, in consultation with the University Community Council, make recommendations for changes in the academic calendar policy.
 - 1.27 The council shall be consulted on planning for the construction of new campus facilities.
- 1.3 The council shall participate in the formulation and execution of the campus budget.
 - 1.31 The President shall have the responsibility for preparing the budget.
 - 1.32 The council shall review and give its advice on the budget prior to its submission to the state-wide university administration.
 - 1.33 The council shall review and give its advice on the proposed monetary allocations after the campus budget has been authorized and appropriated.
- 1.4 The council shall evaluate the educational performance of the University as a whole and of its various components.
 - 1.41 The council shall have the responsibility for undertaking such studies as it deems necessary.

1.42 The council may review existing academic programs and issue reports.

1.43 The council shall have the responsibility for ensuring the review of the quality of teaching and developing standards for its evaluation.

Undergraduate Academic Council

1.1 Composition: The Dean of Undergraduate Studies or his/her designee, *ex officio*
Six Teaching Faculty (three must be senators)
Two Professional Employees (one must be a senator)
One graduate student
Three undergraduate students (one must be a senator)

1.2 The council shall establish committees such as curriculum, admissions, academic standing, honors, interdisciplinary studies, and program review.

1.3 The council shall have the responsibility for implementing the academic plan as established by the Council on Educational Policy in respect to undergraduate studies.

1.31 It shall approve all revisions in existing undergraduate degree programs. The council's actions must be reported to the Senate at its next meeting.

1.32 Normally new undergraduate courses will receive final approval from the schools and colleges, but the council shall have the power to review the academic merit of courses and require reconsideration.

1.33 The council shall establish such undergraduate academic regulations as it deems necessary.

1.4 The council shall establish criteria for determining academic standing, academic honors, and admissions policy.

1.41 It shall establish standards for academic honors and for academic probation and dismissal.

1.42 It shall have final review of actions dealing with academic standing such as are brought before it by petition.

1.43 It shall establish the criteria for admissions policies and review such actions of the Admissions Office as are brought before it by any interested party.

1.5 The council shall review all undergraduate academic programs from time to time and shall recommend new programs it deems desirable.

1.51 All proposals for new undergraduate academic programs shall be submitted to the Undergraduate Academic Council which shall consult with the Council on Educational Policy as part of its deliberations.

1.52 All new programs recommended by the council shall be submitted to the Senate for approval.

1.53 It shall develop criteria for undergraduate program reviews.

- 1.54 The council may, after due consideration, recommend suspension or discontinuance of a program to the Executive Vice President for Academic Affairs and to the President. All such recommendations shall at the same time be reported to the Senate.
- 1.6 The council shall formulate policies for honors programs and independent study programs and shall regularly review such established policies and programs.
- 1.7 The council shall insure and review procedures for individual student academic grievances at school and college levels.

Graduate Academic Council

- 1.1 Composition: The Dean of Graduate Studies or his/her designee, *ex officio*
Six Teaching Faculty (two must be senators and one must be a member of the library staff)
One Professional Employee
Three graduate students (one must be a senator)
One undergraduate student
- 1.2 The council shall have the responsibility for implementing the academic plan as established by the Council on Educational Policy in respect to graduate studies.
- 1.21 It shall approve all revisions in existing graduate degree programs. The council's actions must be reported to the Senate at its next meeting.
- 1.22 Normally new graduate courses will receive final approval from the schools and colleges, but the council shall have the power to review the academic merit of courses and require reconsideration.
- 1.23 The council shall establish such graduate academic regulations as it deems necessary.
- 1.3 The council shall establish criteria for determining academic standing and admissions policy.
- 1.31 It shall review standards and procedures for admission to graduate study recommended by the schools, colleges, and departments.
- 1.32 It shall review standards and procedures for admission to candidacy for graduate degrees recommended by schools, colleges, and departments.
- 1.33 It shall review such actions of the Dean of Graduate Studies or of school deans and department chairs dealing with academic standing as are brought before it by any interested party.
- 1.4 The council shall review all graduate academic programs from time to time and shall recommend new programs it deems desirable.
- 1.41 It shall consult with the Council on Educational Policy concerning its recommendations for new graduate programs or the discontinuance of existing programs.
- 1.42 It shall develop criteria for graduate program reviews.
- 1.43 It shall assist departments and programs in their preparation for external review.
- 1.44 It shall provide recommendations to the University Senate on policies concerning the administration and the conduct of graduate programs.

1.45 It shall submit all new programs that it recommends to the University Senate for approval.

1.46 The council may, after due consideration, recommend suspension or discontinuance of a program to the Executive Vice President for Academic Affairs and to the President. All such recommendations shall at the same time be reported to the Senate.

1.5 The council shall insure and review procedures for individual student academic grievances at school and college levels.

Student Affairs Council

1.1 Composition: The Vice President for Student Affairs or his/her designee, *ex officio*
Three Teaching Faculty (one must be a senator)
Three Professional Employees (one must be a senator)
One graduate student
Three undergraduate students (one must be a senator)

1.2 The council shall, consistent with *The Policies of the Board of Trustees* and the local University Council, initiate and develop the policies necessary to establish and maintain a strong out-of-class program to complement the formal curriculum for all students. Further, the council shall review and make recommendations concerning University policies which affect student activities and programs of a noncurricular nature.

1.3 The council shall consider all matters of student life outside the formal instruction program and independent of the business and maintenance functions of the University, including, among others, counseling, health services, intercollegiate and intramural athletics, financial aid, international student affairs, placement, residence living, student behavior and conduct, and student government and activities.

Council on Research

1.1 Composition: The Vice President for Research or his/her designee, *ex officio*
Seven Teaching Faculty (two must be senators)
One Professional Employee
Two graduate students
One undergraduate student

1.2 The council shall regularly review research activities and the allocation of research funds within the University.

1.3 The council shall consider ways by which the University can increase the effectiveness of its research activities.

1.4 The council shall be consulted, along with the Council on Educational Policy, when the University proposes major new research commitments.

1.5 The council shall review procedures of research being conducted at the University with regard to the well-being of human subjects, safety standards, etc.

1.6 The council shall also consider such matters as are referred to it for counsel and judgment by the Vice President for Research.

University Community Council

- 1.1 Composition: The Vice President for University Advancement or his/her designee, *ex officio*
Three Teaching Faculty (one must be a senator)
One Professional Employee
One Staff Member
One graduate student
Two undergraduate students (one must be a senator)
- 1.2 The council shall have the overview of University-wide matters, nonacademic in nature and pertaining to any and all constituencies.
- 1.3 The council shall review and make recommendations concerning arrangements for University communication among internal constituencies and with outside publics. The council will refer members of the University with questions concerning University structure, policies, and procedures to the appropriate source of information.
- 1.4 The council shall take under consideration and make recommendations concerning the operations of the University Auxiliary Service.
- 1.5 The council shall take under consideration and make recommendations to appropriate bodies those policies and conditions which affect such things as safety, transportation, lounge facilities, and parking.
- 1.6 The council shall recommend policies for the solicitation of funds from faculty and staff for organized charitable purposes.
- 1.7 The council may make recommendation to enhance the quality of life on campus.
- 1.8 The council shall consider matters relating to alumni affairs.
- 1.9 The council shall appoint members to the Transportation Advisory Committee. (For charge to and composition of this committee, refer to Report to the Senate filed by the University Community Council on March 2, 1981.)

Council on Academic Freedom and Ethics

- 1.1 Composition: Four Teaching Faculty (two must be senators)
One Professional Employee
One graduate student
One undergraduate student
- 1.2 The council shall consider problems and recommend policies concerning matters of academic freedom and responsibility.
- 1.3 The council shall consider problems and recommend policies and standards of professional ethics particularly as they relate to the interaction between academic privilege and academic responsibility both within and without the University community.
- 1.4 The council shall insure that procedures are available for student grievances concerning professional behavior deemed to be in derogation of professional responsibility and privilege.
- 1.5 The council shall hear, investigate, and make recommendations concerning complaints brought by any member of the University community against any other member of the University community provided such complaints:

1. concern professional behavior deemed to be in derogation of professional responsibility and privilege;
2. are not grievable under existing contracts; and
3. no other means of resolving the complaint are available within the University governance structure at the time the complaint is filed.

Council on Promotions and Continuing Appointments

- 1.1 Composition: The Vice President for Academic Affairs, *ex officio*
 Eight Teaching Faculty (four must be senators)
 One Professional Employee
 Two graduate students
 Two undergraduate students (one must be a senator)
- 1.2 The council shall recommend to the President individuals for promotion in rank and/or continuing appointment, in accordance with the *Guidelines Concerning Promotion and Continuing Appointment* (page 12 of this *Handbook*).
- 1.3 The council shall examine all files containing documents pertaining to individual applications for promotion and/or continuing appointment prior to their being transmitted to the President, to determine that they conform to the *Guidelines Concerning Promotion and Continuing Appointment*. If a file is found to deviate from the *Guidelines*, the council shall direct that remedies be made if feasible, and shall otherwise note the deficiencies and their possible effect on the recommendation, and so advise the President, the provost (where applicable), the dean, the chair and the candidate.
- 1.4 The council shall consider and make recommendations to the Senate concerning all matters of policy and procedure pertaining to the applications of faculty members for promotion and/or continuing appointment, except when a matter of policy or procedure is mandated in a negotiated contract between the State and the University's professional staff.

Council on Libraries, Information Systems and Computing

- 1.1 Composition: Associate Vice President for Information Systems and Technology, *ex officio*
 Director of Libraries, *ex officio*
 Director of Computing and Network Services, *ex officio*
 Nine Teaching Faculty: two each from the College of Humanities and Fine Arts, the College of Social and Behavioral Sciences, the College of Science and Mathematics, and one from the Professional Schools taken together (three must be senators)
 One Professional Employee
 One graduate student
 One undergraduate student
- 1.2 The Council shall review plans and recommend policies for the development and operation of informational systems and technology on campus. The Council shall review plans and recommend policies for the development and operation of library facilities.

IV. Senate Operating Procedures

Powers of the University Senate

(Approved as University Senate Bill No. 7071-01)

- A. Because the powers and responsibilities of the Faculty of State University of New York at Albany, all of which, with the exception of specific reservations, the Faculty has delegated to the University at Albany Senate, are vaguely stated as "...the conduct of the University's instruction, research and service programs," (Article VI, Section 3), the Senate assumes upon itself the obligation to interpret the extent of those powers and responsibilities. Unless otherwise specifically directed by the Faculty, the Senate will construe its charge (Article X, Section 4) in the broadest possible sense.
- B. The Senate assumes that any policy, practice, or condition within the University which in its judgment significantly affects the quality of the institution's legitimate functioning is a proper concern of the Faculty, and hence, of the Senate.
- C. The Senate, recognizing that the power of the Faculty, and hence, its own, are limited by State Law, by *The Policies of the Board of Trustees*, by the policies of the University at Albany Council, and by the prerogatives vested in the President of the University at Albany, assumes that the Faculty properly expects to be consulted regarding any proposed change in these policies and regulations, and hence, the Senate expects to be so consulted.
- D. Although the Faculty, and hence, the Senate has no authority, beyond that of individual citizenship, for the governance of local, county, state, and national political jurisdictions, some policies and actions of external governmental bodies significantly affect the quality of the University's legitimate functioning, and on such matters the Faculty might properly be expected to register its approval or disapproval, as appropriate. When, therefore, and only when, a situation external to the University is demonstrated to the Senate's satisfaction to affect significantly the quality of the University's functioning, the Senate may appropriately express its approval or disapproval and if circumstances seem so to warrant, will seek endorsement of its action from the Faculty and the student body, through referendum. It shall be the responsibility of the sponsors of any resolution not calling for changes in the policies or procedures of the University itself to demonstrate, in the text of the proposed resolution, the bearing of the subject matter upon the functioning of the University.
- E. The Executive Committee of the Senate shall not rule on the appropriateness of a proposal brought before it, unless it is acting for the Senate when that body is unable to act. Except in that contingency, the Executive Committee will either refer a proposal to an appropriate Council or place it on the Senate's agenda. A Council may recommend for or against a proposal referred to it, or may propose amendments.

Pohlsander Resolution (Approved by the Faculty September 8, 1970)

In this troubled world there is a need for places in which the disciplines are taught, their frontiers extended, and their usefulness for solving the problems of man explored. We assume that the University is such a place. That purpose implies the following:

1. That this University be an open and inclusive society devoted to free and untrammelled teaching, learning, and research, and that members of this society be assured the right of dissent, freedom from coercion and intimidation, and freedom of political association and activity.
2. That this University be dedicated to the search for truth and that in its corporate capacity it does not officially endorse any particular version of the truth be it a matter of political or social philosophy or of scientific theory.

3. That this University and this faculty be committed to due process and to persuasion through reason as the only acceptable means for governing and improving this University.

Rules of Order (Approved as University Senate Bill No. 7374-01)

1. If a Senate meeting is still in session at 5 p.m., the parliamentarian shall so inform the Chair. The Chair will call for an appropriate motion, which might be one of the following:
 - 1.1 To adjourn (implies no topic on the floor)
 - 1.2 To table the current topic until the next regular meeting; to be followed by a motion to adjourn;
 - 1.3 To recess until ____ (for example, the following Monday at 3 p.m.);
 - 1.4 To continue discussion until (specific time);
 - 1.5 To move the previous question; to be followed by a motion to adjourn, recess, or continue business until (specific time).
2. That insofar as possible, speakers on a topic be alternated as to their pro or con positions, with the exception that no Senator shall be denied the right to speak at least once during the debate.
3. That Council reports be handled in the following fashion:
 - 3.1 All Council reports shall be submitted in writing and shall clearly distinguish between information and recommendations for action.
 - 3.2 Recommendations for action shall be in the form of a bill and shall be discussed and acted upon under "new business."
 - 3.3 The informational section of a Council report may be questioned while the report is on the floor. If a Senator wishes to challenge any action taken by the Council, he shall do so by making an appropriate motion under "new business."

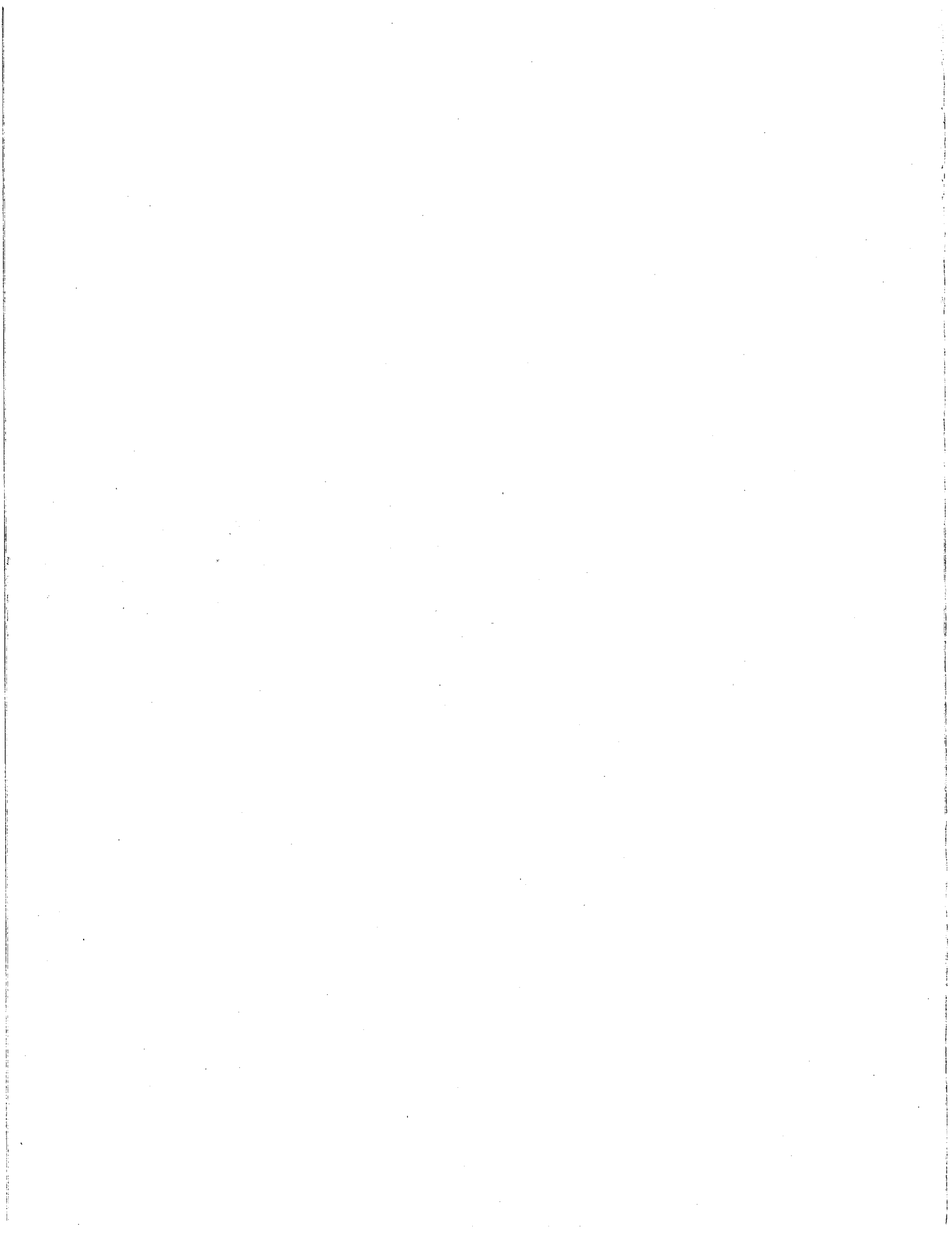
Matters of Communication (Approved as University Senate Bill No. 8788-11)

The Senate shall regularly disseminate information about its activities, both prospective and retrospective, to the Faculty.

1. The formal annual report of Senate activity required by the *By-Laws* shall be distributed to the entire faculty every September and made available to students at selected locations.
2. Informal written reports in newsletter style shall be distributed to the entire faculty at least once a semester. These reports must include information about what is happening in the councils.
3. Every October a complete list of all senators, all members of councils, and all chairs of councils and committees shall be distributed to the entire faculty and student senators.
4. Complete copies of the agenda packages for all Senate meetings shall be distributed to Deans, Directors, and Chairs at the same time that they are distributed to senators.

Matters of Procedure (Approved as University Senate Bill No. 8788-11)

1. The Senate shall vote formally on the approval of reports (sometimes referred to as "information reports") from its councils.
2. Except in unusual circumstances a council report should be written and should be circulated to the Senate at least one week before the meeting at which its approval is sought.



3. The correspondence, legislation, reports and minutes of the Senate, a council, or a committee of a council are important documents for which an officer of the body must be responsible. The documents must be carefully crafted in literate unambiguous English. A staff member assigned to provide administrative support may furnish assistance, but should not take responsibility for documents. Documents must not be circulated, even to members of the body, until reviewed and approved by the responsible officer.

