





UNIVERSITY SENATE

STATE UNIVERSITY OF NEW YORK AT ALBANY  
1400 Washington Avenue  
Albany, New York 12222

UNIVERSITY SENATE MEETING  
Monday May 9, 1983  
3:30 p.m. - Campus Center Assembly Hall

A G E N D A

1. Approval of Minutes
2. President's Report
3. SUNY Senator's Report
4. Chair's Report
5. Old Business:
  - 5.1 Bill No. 8283-18\* (Revised) - Smoking Policy - (UCC)
6. New Business:
  - 6.1 Bill No. 8283-25 - Proposed Certificate Program in Advanced Public Management - (GAC)
  - 6.2 Bill No. 8283-26 - Guidelines for Faculty Involvement in Private Ventures Involving Proprietary Work Carried Out on Campus - (Research)



UNIVERSITY SENATE

STATE UNIVERSITY OF NEW YORK AT ALBANY  
1400 Washington Avenue  
Albany, New York 12222

UNIVERSITY SENATE

MINUTES

May 9, 1983

ABSENT: A. Baaklini, H. Bakhru, A. Baldwin, J. Berman, E. Block, B. Brinser, J. Buckley, W. Cadbury, B. Carlson, W. Closson, F. Dembowski, R. Farley, M. Finder, H. Frisch, G. Goldstein, M. Hagerty, R. Hardt, J. Hartigan, S. Kastell, W. Kidd, R. Klages, M. LaCroix, J. Levato, J. Logan, S. McGee-Russell, R. Pakula G. Purrington, D. Reeb, P. Rogers, A. Rosenblatt, G. Santoni, E. Sauter, M. Schwartz, N. Siegal, D. Snow, T. Volk, L. Welch, J. Woelfel, W. Wilson, J. Richtman, J. Tierney

The meeting was called to order at 3:40 p.m. in the Campus Center Assembly Hall by the Chair, H. Peter Krosby.

1. Approval of Minutes

The minutes of April 4, 1983 were approved as submitted.

2. SUNY Senator's Report

Senator Cannon reported on the SUNY Senate meeting in Oswego. He spoke about the review of campus presidents and noted that at one time a five-year review of presidents existed. He reported that an on-going review that was more or less structured presently exists. Copies of this review are available in the Senate Office.

3. Council Reports

3.1 EPC - W. Hammond reported on behalf of the EPC on a number of items that the council had discussed at its last meeting.

- The council approved a Letter of Intent for the Degree of Master of Science in Epidemiology.
- The Council reviewed and made comments on the annual Goal and Priorities statement.
- The review had not yet been completed for the budget plan.
- The Long Range Planning Committee will be issuing a report on Enrollment trends.

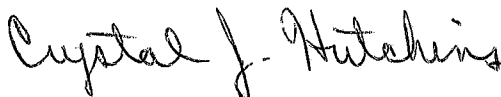
- The Committee on Evaluation Policy has been doing a significant amount of work on evaluation of teaching. He referred to the Tompkin's Committee Report. The chair of CEP had briefed EPC on the upcoming report. CEP's report on the evaluation of teaching is to be completed by May 20.

4. Old Business

- 4.1 Bill No. 8283-18 - Smoking Policy (Revised) - Senator Tastor moved approval of Bill No. 8283-18. It was seconded. He stated which areas are prohibited by the current smoking policy and that UCC was concerned about persons with certain disabilities that suffer coming and going in certain areas where people smoke. He explained how this bill would alleviate such problems. There was some discussion regarding smoking in restrooms. R. Tastor reported that State Law does not prohibit smoking in restrooms. After further discussion the bill was voted on and approved.
  - 4.2 Bill No. 8283-25 - Proposed Certificate Program in Advanced Public Management - S.B. Kim moved approval of the bill and it was seconded. The bill was voted on and approved almost unanimously.
  - 4.3 Bill No. 8283-26 - Guidelines for Faculty Involvement in Private Ventures Involving Proprietary Work Carried Out on Campus - It was moved and seconded that the bill be approved. T. Dandridge gave some background information on this bill. There was some discussion on what the Guidelines actually deal with and the fact that possibly the context was not specific enough. Senators Steen and Gibson felt that the definition of "proprietary" should be defined more clearly. After further discussion Senator Alba stated that the context of the second section was meant to define the rights of the students. The bill was then voted on and approved.
5. In closing, Chairman Krosby thanked everyone who was involved with the Senate during the past year for the good work they had done.

The meeting was adjourned at 4:15 p.m.

Respectfully submitted,



Crystal J. Hutchins  
Recorder

REPORTS TO THE SENATE  
May 9, 1983

FROM: William Hammond, Chair  
Council on Educational Policy

FOR INFORMATION:

The Committee on Evaluation Policy has been working very hard on the development of a policy on student rating of instructors for promotion and salary purposes. It is hoped that the committee will have definitive recommendations by the end of this academic year.

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FROM: Jerome Hanley, Chair  
Undergraduate Academic Council

FOR INFORMATION:

1. The Undergraduate Academic Council accepted reports from the Program Review Committee on review of both the Physics and History departments.
2. The Undergraduate Academic Council approved the following revision of the major in Rhetoric and Communication with a corresponding change in program title to "communications":

Proposed New Requirements:

General Program B.A.: A minimum of 35 credits including Math 108 or 362 or Msi 220 or Soc 221; SBS 300; Communication 265 (a prerequisite for all Communication courses at the 300 level or above); Communication 270 (a prerequisite for all Communication courses at the 300 level or above); and one of the following: Communication 201, 203, 204, 212, or 245; 15 additional credits of Communication as advised; 6 credits of supporting courses (outside the department) as advised. Of the required 24 credits in Communication, a minimum of 12 credits must be at the 300 level or above.

3. UAC approved the following requirements regarding waivers of General Education requirements:
  - A. No permanent waiver of General Education Program requirements be allowed for programs awarding either the B.A. or B.S. degrees.

- B. Recognizing the current problems facing students in the Medical Technology program in completing required and recommended courses in the major during the three years spent on this campus, the committee recommends that students graduating through December 1987 be granted a waiver of 6 credits of the General Education Program requirements with the understanding that at least 3 credits be satisfactorily completed in two of the categories and at least 6 credits satisfactorily completed in the remaining four categories.
- C. The current waiver of the General Education Program requirements for the Accounting major should be reviewed by the UAC in 1983-84.

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FROM: Sung Bok Kim, Chair  
Graduate Academic Council

FOR INFORMATION:

1. At its meeting of March 3, 1983, the Council approved a recommendation from the Committee on Educational Policies and Procedures that it is not appropriate at this time to introduce university-wide computer competency requirement for matriculation at the graduate level.
2. The Council assigned Michael Kavanagh to the Committee on Educational Policies during the absence of Sally Knapp from the Committee.
3. The Council had an extensive discussion of the difficulties the Master of Arts in Liberal Studies program has been experiencing. The Council referred the subject back to the Committee on Liberal and Innovative Study for further consideration.
4. The Council discussed Richard Teevan's two proposals one dealing with the desirability of establishing a yearly fund that would be used to buy the necessary equipment for teaching and the other concerning a teaching practicum for all Ph.D. students as a graduation requirement. The Council resolved to take up the proposals at our next meeting.
5. The Council also handled several student petitions.
6. At its meeting of March 17, the Council advanced five students to doctoral candidacy, and heard and resolved a couple of student petitions.

FOR ACTION:

See attachment on Certificate Program in Advanced Public Management

Reports to the Senate  
May 9, 1983  
Page 3

FROM: Pat Rogers, Chair  
Student Affairs Council

FOR INFORMATION:

The Council's Thursday, April 21 agenda item will be review and consideration of student guidelines.

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FROM: Rick Tastor, Chair  
University Community Council

FOR ACTION:

Our University Community Council devoted one more full meeting to the issue of smoking. Attached is an action item, a revised bill which tends to limit somewhat smoking in certain areas.

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UNIVERSITY SENATE  
COUNCIL ON ACADEMIC FREEDOM AND ETHICS

Annual Report: 1982-1983

The Council met regularly throughout the year.

- I Since the work of adjudicating grievances is a matter of strong confidentiality, the Council only can report that it completed the review of a particularly complex grievance which had been on its agenda since late in the 1980/81 academic year. The final report was submitted to and accepted by President O'Leary.
- II The Council spent most of the Fall semester struggling with the issue of jurisdiction. The specific issue comes from Section I,B of the "CAFE Complaint Procedures," as approved by the University Senate:

CAFE shall consider a complaint only after it has determined that:

1. The complaint is not subject to a grievance procedure under existing contracts; AND
2. no other means of resolving the complaint are available within the University governance structure at the time the complaint is filed; AND
3. all other possible means of resolving the complaint have been exhausted;
4. evidence is presented which, prima facie, raises substantial doubt as to whether all previous procedures and hearings in relation to the complaint resulted in a proper or equitable determination of the same.

Simply put, the issue that surfaced is: "Can CAFE investigate the complaint of a faculty member or administrator whose formal grievance has been completed via the grievance procedure set down in the contract between the University and United University Professionals"?

Two opinions were solicited on the matter. One, representing the SUNY/Albany administration, can be paraphrased that, once a case has gone through the proper contractual grievance procedure and a decision has been made from that procedure, no further action can be taken via any other grievance process. Indeed, such a process is probably contradictory to the contract which exists between the University and UUP.

An opinion from the representative of UUP stated that "...there may be a role for the Council on Academic Freedom and Ethics in recommending changes in standards, practices, local rules, or by-laws which impede procedural due process. This should only be undertaken however with the fullest consultation with UUP to see that procedural justice is enhanced, and it should be understood that such recommendations have a moral, not a legal, force".



Item II,B,4 (above) certainly suggests that CAFE is charged to review other grievances. At the same time, the "CAFE Complaint Procedures" were written prior to the UUP contract and may well be in need of revision.

The issue is not resolved. The question still stands as to whether or not a body such as CAFE can investigate an action which has been demonstrated to meet the specifics of the contract, but is still alleged to be in violation of the ethical code expected of members of the University. Proceedings on a case by case basis is unsatisfactory. A settling of the jurisdictional issue as well as a possible new charge to CAFE from the Senate are needed.

III The Council surveyed the teaching faculty concerning their opinions on the issue of student ethics and cheating as a take-off of last year's public hearing on the issue. As a result of the opinions voiced in the public hearing and the survey, and in consultation with the Executive Committee of the Senate, CAFE requests that the new chair of the Senate appoint a task force, consisting of selected members of CAFE, the Student Affairs Council, the Vice President for Academic Affairs or her designee, and the Dean of Student Affairs or his designee, to investigate over the Summer of 1983 the need for a new committee comprised primarily of faculty members, to adjudicate charges of academic dishonesty filed against students. The specific recommendations are to be sent to the University Senate in the Fall of 1983.

RJF/mp

UNIVERSITY SENATE  
STATE UNIVERSITY OF NEW YORK AT ALBANY

SMOKING POLICY

INTRODUCED BY: University Community Council

IT IS HEREBY PROPOSED THAT THE FOLLOWING BE ADOPTED:

- I. That as a general policy, smoking in classrooms, lecture halls, laboratories, elevators, and public corridors of buildings at this University be prohibited except that the University Administration shall designate places in each building as smoking area(s).
- II. That the University Administration, after consultation with relevant governance bodies, shall establish as soon as possible reasonable limitations on smoking in other appropriate areas of the campus not covered by this policy or state or local law.\*\*
- III. That this resolution be referred to the President for his approval.

\*An earlier version of this bill was originally adopted in Bill No. 197778-04 and promulgated by the President on April 17, 1978. (See attached for copy of President's letter of implementation). Underlined portions indicate additions.

\*\*State Law (Public Health, Article 13-F) currently provides that smoking is prohibited in libraries, museums, theaters, and other indoor facilities open to the public, except for places within these facilities designated as separate smoking areas. This same State law does not prohibit smoking in rest rooms or in "separated" lobby areas.

## Rationale for Bill No. 198283-18

## Smoking Policy

1. Smoking poses certain hazards to those who smoke, and to those who breathe in someone else's smoke. This bill, while not denying anyone the right to smoke, adds a modest amount of protection in behalf of the non-smoker. There are many individuals who have dramatic and intense disabilities which may be seriously aggravated by breathing in smoke. This bill attempts to safeguard their health and rights.
2. The bill does not affect smoking in offices, lounges, lobbies, bathrooms, or in the areas which will be established in each building as smoking areas. The bill tries to limit smoking in certain corridors and passageways which must be travelled as a regular part of doing business at this University by students, faculty, or the public. The University Community Council would like people with disabilities, with a dislike or aversion towards smoke, to be able to get to a classroom or office without having to travel through smoke-filled corridors.
3. There is considerable support for this extension of policy. But, the real need for action is expressed by faculty and students who have identifiable and serious disabilities either caused or aggravated by smoke. Action for these persons is mandatory.
4. In 1979, and in every subsequent year since that time, the New York State Assembly has passed a bill which would prohibit smoking in all public places everywhere in the State of New York. During the initial debate, Assemblyman Richard Gottfried said "Your right to blow smoke around ends where your neighbor's nose begins." (Knickerbocker News, May 8, 1979.) Indications are that the State of New York Clean Indoor Air Act may be adopted this year. Our action now is not only fair, it is timely.
5. The bill asks the Administration to consider each building individually and to designate appropriate, convenient, and reasonable areas for smoking. Managers and users will have input.
6. The bill, in conclusion, is a logical, absolutely necessary, and modest extension of a policy which has been in effect for four years.

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ALBANY, N.Y. 12222

OFFICE OF THE PRESIDENT

MEMORANDUM FINANCIAL

To: Members of the University Community  
From: Vincent O'Leary  
Subject: Action Against Smoking

April 17, 1978

As you know, the Senate has enacted, I have approved, and the University Council has endorsed a policy extending the prohibition against smoking to classrooms, lecture halls, and laboratories on campus. State law already bans smoking in all public facilities on campus----libraries, theaters, gymnasium, and gallery.

These actions are designed to reduce the health, safety, and environmental hazards presented by unlimited smoking privileges on campus. Not only are the results of smoking a heavy financial burden in the cleaning and maintenance of campus facilities, but they are offensive to growing numbers of campus citizens and dangerous to many persons suffering respiratory disabilities. We have no other responsible choice as individuals and as a community than to enforce this regulation with vigor.

During the Spring and Summer, I am asking faculty members and students to meet this responsibility in the following ways. As soon as "No Smoking" signs are posted in classrooms, lecture halls, and laboratories, faculty members should inform their classes that smoking is prohibited. I ask that faculty and students alike assume a personal responsibility for enforcing this policy.

Faculty, staff, and students wishing to report violations of the no smoking rule should submit a Smoking Complaint Form to the Office of the Dean for Student Affairs. Forms are available at the Campus Center Information Desk, the Library Circulation Desk, and the Office of Student Affairs. Based on such complaints, efforts will be made to contact each offender to elicit his/her compliance with the smoking regulation.

It is my hope that we will secure the full cooperation of all members of the University Community through this method of persuasion. In the event that we do not fully succeed through the power of moral force, I am prepared to resort to a more formal system of complaint, hearing, and possible sanctions against those few inconsiderate individuals who may not be able to meet this new community expectation.

I congratulate those who have worked so diligently to increase our awareness of the damaging effects of smoking on our common environment and on our personal well-being. I urge all to respect this new community standard by example and by individual initiative.

*Vincent O'Leary*

tc:tcp

§ 1399-m. Separability

If any clause, sentence, paragraph, subdivision, section or part of this article shall be adjudged by any court of competent jurisdiction to be invalid, the judgment shall not affect, impair or invalidate the remainder thereof, but shall be confined in its operation to the clause, sentence, paragraph, subdivision, section or part thereof directly involved in the controversy in which the judgment shall have been rendered. Formerly § 1399-d, added L.1973, c. 758, § 1; renumbered 1399-m, L.1974, c. 1023, § 1.

Effective Date. Section 2 of L. 1973, c. 758, provided that this section is effective June 19, 1973.

ARTICLE 13-F—REGULATION OF SMOKING TOBACCO IN CERTAIN PUBLIC AREAS [NEW]

Sec.

1399-o. Smoking tobacco in certain public areas.

1399-p. Violation.

1399-q. Excepted areas.

1978 Amendment. L.1978, c. 783, 1980, renumbered former article 13-E § 2, eff. Jan. 1, 1979, until Dec. 31, as 13-F.

§ 1399-o. Smoking tobacco in certain public areas

It shall be unlawful for any person to smoke tobacco in any form in any public means of mass transportation or in any indoor facility which is open to the public as a library or museum, or as a theater which is primarily used for, or designed for the primary purpose of, exhibiting any motion picture, stage drama, musical recital, dance, lecture or other similar performance, during such performance; provided, however, that smoking by performers as part of the theatrical production shall not be prohibited.

Added L.1975, c. 80, § 1.

Effective Date. Section effective July 1, 1975, pursuant to L.1975, c. 80, § 2.

Library References  
Nuisance § 59.  
C.J.S. Nuisances § 2 et seq.

§ 1399-p. Violation

A person who violates the provisions of section thirteen hundred ninety-nine-o is guilty of a violation punishable by a fine of not less than ten dollars nor more than one hundred dollars.

Added L.1975, c. 80, § 1.

Effective Date. Section effective July 1, 1975, pursuant to L.1975, c. 80, § 2.

§ 1399-q. Excepted areas

The provisions of this article shall not preclude smoking in rest rooms, or smoking in an area commonly referred to as a lobby if physically separated from the spectator area or in any other area designated as a smoking area.

Added L.1975, c. 80, § 1.

Effective Date. Section effective July 1, 1975, pursuant to L.1975, c. 80, § 2.

ARTICLE 14—REGULATION OF CHILDREN

Sec.

1400. Definitions.

1401. Disclosure statement.

1402. Delivery of disclosure statement.

1403. Designation of secretary.

1404. Penalties; failure to file.

1405. False and misleading statements to persons.

1406. Fees.

1407. Powers of the commissioner.

§ 1400. Definitions

As used in this article:

1. "Children's camp" or "camp" means any children's overnight camp, ninety-one of this chapter, child day camp, section thirteen hundred ninety-one of this chapter which is located in a public place, for the purpose of public solicitations, for deposits, rollments, or accepts or makes a deposit, or resides in the state.

2. "Disclosure statement" means a statement, in any form, and/or amended annually by regulation may require the commissioner by regulation may require the commissioner. In developing such a statement, the commissioner shall require any person, firm, or corporation to disclose information in the following: (1) name and mailing address; (2) business organization and principal address and state of incorporation; (3) financial stability of the camp; (4) financial stability of the camp in which such camp is located; (5) physical description of the camp and such photographs; (6) physical description of the camp and such photographs; (7) provisions for sanitary and health facilities; (8) staffing ratios; (9) living arrangements; (10) recreational facilities; (11) recreational facilities; (12) insurance coverage including liability, fire, theft, and emergency health services; (13) inspections by local or state health department; (14) term of operation, not less than eighteen months; and (16) any other information the commissioner deems necessary.

3. "Short form disclosure statement" means a brief version of the disclosure statement as required by section 1400 from the disclosure statement.

4. "Parent" means the natural parent of a child, or any person otherwise authorized to care for the child. Added L.1977, c. 898, § 1.

Former Section 1400. Section 1400, which related to milk sanitation; its provisions, functions and duties of the commissioner, was added L.1953, c. 100, amended L.1960, c. 1073, § 1; L.1960, c. 86, § 1; repealed by L.1976, c. 898, § 9. The subject matter is now covered by Agriculture and Markets

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UNIVERSITY SENATE  
STATE UNIVERSITY OF NEW YORK AT ALBANY

PROPOSED CERTIFICATE PROGRAM IN  
ADVANCED PUBLIC MANAGEMENT

Submitted by: Graduate Academic Council  
May 9, 1983

IT IS HEREBY PROPOSED THAT:

- I. A Certificate Program in Advanced Public Management with the attached requirements be approved and become effective immediately upon registration by the State Education Department.
- II. That this bill be referred to the President for his approval.

Attachment

State University of New York at Albany  
Nelson A. Rockefeller College of Public Affairs and Policy  
Proposed Certificate Program in  
Advanced Public Management

1. Award and Title.

Certificate in Advanced Public Management

2. Rationale.

The Certificate program in Advanced Public Management is an intensive graduate level program of study offered to public managers in policy level positions of state and local government. Public management is in a state of rapid transition. Increasingly, public managers who work at the policy level are turning to professional schools and intensive programs for exposure to state-of-the-art methods of analysis and management.

In response to this need, Rockefeller College has designed the Certificate Program in Advanced Public Management to keep managers abreast of the new developments that shape organizations and to sharpen their analytic and performance skills without interrupting their careers. The Program is made up of integrated courses that cumulatively enhance the participant's knowledge and competence. It is designed to train decision makers as intelligent users of rigorous analytic methods and producers of change and innovation.

3. Relationship of program to other SUNY/Albany programs and campus mission.

This certificate program complements the many other existing professional programs in public policy areas offered by SUNY/Albany: public administration, public affairs, criminal justice, and social welfare. Courses in the certificate in Advanced Public Management program are drawn from the University's Graduate School of Public Affairs, School of Criminal Justice, and School of Social Welfare. The program will contribute directly to the University's stated public policy mission by providing a vigorous instructional program to improve the quality of professional public service and decision-making at state and local levels. The Program will also provide additional opportunities for increased interaction and cooperation between the Albany campus and numerous state and local governmental agencies.

4. Description of program and requirements.

Everything presented in the program focuses on the work environment. The lectures, case studies, group projects, briefings, and opportunities to interact with major figures in fields pertinent to public management are practical and apply to work assignments and problems on the job.

Eight graduate courses are offered in this certificate program. Students must complete successfully at least five of the eight program courses to qualify for the Certificate.

PAD 501 Budgeting and Accounting

An introduction to budgeting and accounting as tools to implement the goals of administrative planning and control. Budgeting will be treated from both a theoretical and in a "hands-on," how-to approach. Accounting systems in current usage and their relationship to budgetary systems will be described. Emphasis will be placed on political, administrative and institutional pressures which form the context in which budgets are formed.

PAD 502 Human Resources Management

A survey of individual/group behavior, organizational structure, controls, work design, and motivation is presented as a background. This leads to discussion of the major institutions, methods, and procedures that constitute public personnel systems (the merit system, career staffing, selection, training, position classification, compensation, and workforce planning).

PAD 511 Strategic Planning

An examination of the evolving methods of strategic planning as applied in public settings. The course includes the most current tools of technological forecasting as well as the uses of bargaining, reality and value judgments, policy development through standard setting, situational analysis, planning in a climate of uncertainty, and the managerial responses to changes in the organization's environment.

PAD 611 Decision Making in Government and Administration

Participants gain a working understanding of current analytic methods that are being used to guide public policy issues and managerial decisions that must be made in haste and in the face of uncertainty. The course has two goals: to challenge participants to learn how to use certain decision methods, at least in their rudimentary forms, and to make them aware of more powerful and complex analytic methods that will enable them to think more clearly and systematically about policy issues. The course draws heavily on the use of case examples and situations from the participants' work environment. Topics include concepts of utility and maximization, cost/benefit analysis, multi-attribute utility theory, decision trees, queuing systems, competing values approaches to decision making and policy setting, and the role of rationalization and justification in policy decisions.

PAD 639 Executive Skill Development

The course focuses on performance rather than analytic skills. Participants are intensively involved in activities designed to help them assess and enhance their competencies as managers, particularly in the core areas of directing, coordinating, human relations, and boundary spanning. Participants engage in simulation exercises, in addition to normal study and presentations, and have the opportunity to be videotaped and evaluate their performance in various communication modes.



SSW 730 Topics Seminar: Policy Development and Program Implementation

Participants will gain an appreciation of the key elements in the development of public policy, including the respective roles of the legislature, the courts, government agencies and the public. The course will also focus on a variety of program implementation techniques that are designed to aid in the operationalization of public policy. Consideration will be given to goal formulation, development of alternative strategies for goal attainment, choosing among alternatives, and program implementation and control strategies. Participants will have opportunities to apply these techniques to real-life, on-the-job situations.

SSW 730 Topics Seminar: The Managerial Uses of Research Methods and Information Systems

This is an intensive, application-oriented survey of research methods and analytical tools essential for the contemporary public manager. The purpose of the course is to develop a working acquaintance with analytic methods and to sharpen quantitative skills that have been dulled by disuse. The course draws upon the experience and expertise of specialists in information systems. These guest lecturers discuss the management issues that arise out of the use of computer-based management information systems. Participants spend considerable time "on-line," becoming more knowledgeable about computers. Though the work is intense, the emphasis is to train participants as consumers, not producers, of quantitative research.

SSW 732 Evaluation of Public Sector Programs

The practice of program evaluation and analysis in the public sector is examined. Special attention is given to formal evaluation designs and how these are modified in practice, the problems of formulating evaluation questions and selecting variables, the relationship of evaluation to program planning and development, and use of evaluation results.

5. Resources required for the program.

The Certificate in Advanced Public Management is self-sustaining as all program expenses are met by course charges assigned to an IFR account. No campus resources are required to present this program.

6. Evidence of campus support

The Certificate in Advanced Public Management has been reviewed and approved by the Vice President for Research and Educational Development, the Vice President for Academic Affairs, the President, Rockefeller College of Public Affairs and Policy, and the Graduate Academic Council.

7. Impact of program on region and state.

The focus of the program is on management. The curriculum is designed to enhance the skills of managers already in the professional stream,

rather than to prepare students to embark on public service careers. The program will involve men and women with diverse professional experience, both those whose expertise is technical or field-specific and those who see themselves as professional managers with broad abilities in administration and policy making.

The program will have an immediate and beneficial impact on the quality of state and local government in New York, but especially on the Albany area with its concentration of state agencies and committees and numerous county and city offices within a fifty mile radius.

UNIVERSITY SENATE  
STATE UNIVERSITY OF NEW YORK AT ALBANY

GUIDELINES FOR FACULTY INVOLVEMENT IN PRIVATE VENTURES  
INVOLVING PROPRIETARY WORK CARRIED OUT ON CAMPUS

INTRODUCED BY: Council on Research  
May 9, 1983

IT IS HEREBY PROPOSED THAT THE FOLLOWING BE ADOPTED:

- I. That the attached guidelines for faculty involved in proprietary work carried out on campus be approved.
- II. That this resolution be referred to the President for his approval.

Attachment

## Guidelines for Faculty Involvement in Private Ventures Involving Proprietary Work Carried Out On Campus

### Rationale

A recent trend on university campuses nation-wide is the increasing involvement of faculty in research conducted for private firms which have a proprietary interest in the outcomes of the research, i.e., where the results of the research become the private property of the firm. The firms involved may be external companies contracting with faculty to do research or companies established, perhaps by faculty members themselves, to exploit University-based research commercially. These private venture research programs differ from the traditional types of academic research. Free inquiry and the free exchange of ideas are basic principles governing traditional forms of academic research. The results of this type of research, even if funded by private sponsors, are made publicly available. In contrast, commercial enterprises are governed by the profit motive. The marketable application of the outcomes of research may result in new knowledge being treated in a proprietary manner and, to protect it from competitors, kept secret. The principles underlying free inquiry and the free market may come in conflict when private venture research programs are conducted on a university campus. In addition to conducting research, the mission of academic institutions is to educate students. Students are particularly vulnerable to exploitation by their involvement in private venture programs.

Significant potential danger exists in the establishment of private venture programs on the campus, but to preclude such programs because of this possibility would be a mistake in view of the potential benefits which include: attraction, stimulation and retention of outstanding faculty; development of increased educational, research and career opportunities for students; augmentation of the facilities, expertise and reputation for research; and stimulation of local economy and climate for research and technology. Maximizing the benefit and minimizing the risk places a special and important responsibility on the individuals, administrators and review bodies involved, especially at the college, department and research center level.

In light of the impossibility of anticipating all contingencies and because of the rapid development of thinking about University-Industrial relationships, detailed rules for faculty and student involvement in private venture companies are not appropriate at this time. Each case should be carefully considered in the context of general guidelines designed to protect the broad mission and purpose of the University. These guidelines should maintain the traditional commitment of the University to free inquiry and communication, protect the interests of students, and recognize the fiduciary responsibilities of the University to the State of New York. At the same time, the guidelines should not impede the efforts of researchers freely and vigorously to explore fruitful relationships with private firms.

Recommended guidelines for the initial and subsequent reviews are indicated below. These guidelines are based on the belief that primary responsibility for supervision, guidance and accountability of research and student education must reside in the appropriate college, department or research center. The reviews at the University level are principally to ensure that appropriate standards and mechanisms for organization and oversight of private venture endeavors involving faculty, students and facilities are established and implemented by the college, department or center. These guidelines are intended only to apply to on-campus research activities, not to most faculty consulting arrangements or to student internships. Although similar concerns may arise in those relationships, they are best dealt with through other mechanisms.

### Guidelines

1. The primary functions of the University faculty on the University campus, and of the facilities on the campus, are training of students, free inquiry, and effective communication. These must be kept uppermost in any contractual arrangement. Interference with this function, direct or indirect, as concluded from careful review by appropriate faculty or administrative bodies will be grounds for non-approval or non-renewal of any contract.
2. Student participation shall be in the context of thesis research and preparation. Insurance that this requirement is met is a special responsibility of the particular department. The thesis program and progress of each student involved in such programs must be reviewed and approved through established departmental procedures involving at least one faculty member not associated with the venture program. It is recommended that a research committee of at least three members be appointed, one of whom should be the thesis supervisor and only one of whom should be associated with the venture program (this may be the thesis supervisor). For small departments such a structure may be impractical, in which case the review may be carried out by the department chairman or his or her designee.

The student shall be free to discuss his or her thesis work with other students and faculty, and to make reports to the department on the status and progress of the work. Publication of the student's thesis work will not be hindered by the sponsor. It is expected that the department would not approve thesis projects primarily proprietary in nature. This is not meant to imply that the student could not be peripherally involved or knowledgeable about proprietary work which he or she would not be allowed to discuss freely; it should not, however, comprise the thesis research project.

Student support from venture research programs will not be exceptional, i.e., will be within the established range for other student teaching and research stipends.

Exceptions to student thesis, free communication and fundamental research requirements may be made for short periods such as summer employment or introductory involvement. This should be approved by the department chairman or appropriate departmental committee.

3. Faculty involved in private venture programs shall not permit such involvement to interfere with instructional, dissertation direction or committee responsibilities. Any exception to this will be through a release-time support arrangement that has the prior approval of the department chairman and college dean.
4. Use of University facilities will be allowed only through proper arrangements consistent with the University's fiduciary responsibilities to the State of New York and the University Research Foundation.
5. Distribution of royalty and licensing fees will be consistent with existing University policies.
6. Contractual arrangements for private venture programs utilizing University facilities will be for a specified period not to exceed five years with renewal or extension subject to review by the department, college, Council on Research or University administration. As with the initial approval, such renewal or extension will be at the discretion of the University president subject to State University of New York and State Education Department regulations. In any case, it is felt that very long term on-campus arrangements are not appropriate but that successful ventures will move to off-campus facilities after an initial period. Movement off-campus, of course, will not remove responsibility for adequate and appropriate approval and oversight of student and faculty involvement.

#### Procedures

1. The approval of private venture research programs involving proprietary work is a joint decision by the department or research center, the college, and the University.
2. Initial review and approval will take place in the appropriate department or research center according to established procedures. Approved programs will then be submitted to the dean of the relevant college for confirmation. After approval by the college, the program will be submitted to the Vice President for Research and Educational Development, who will review it on behalf of the University. The Vice President will be advised by the Council on Research through its Committee on Industrial Linkages.
3. The departments, colleges, and the Vice President will develop appropriate procedures for annual review of private venture programs. The procedures will be designed to insure a fair and objective evaluation of the program under the above guidelines.
4. If disagreement occurs at any level in the review process, the Vice President for Research and Educational Development will initiate an appropriate procedure for resolving the dispute. If a program is disapproved at any level, the researcher may appeal that decision at a higher level.



UNIVERSITY SENATE

STATE UNIVERSITY OF NEW YORK AT ALBANY  
1400 Washington Avenue  
Albany, New York 12222

UNIVERSITY SENATE MEETING  
Monday May 9, 1983  
3:30 p.m. - Campus Center Assembly Hall

A G E N D A

1. Approval of Minutes
2. President's Report
3. SUNY Senator's Report
4. Chair's Report
5. Old Business:
  - 5.1 Bill No. 8283-18\* (Revised) - Smoking Policy - (UCC)
6. New Business:
  - 6.1 Bill No. 8283-25 - Proposed Certificate Program in Advanced Public Management - (GAC)
  - 6.2 Bill No. 8283-26 - Guidelines for Faculty Involvement in Private Ventures Involving Proprietary Work Carried Out on Campus - (Research)

REPORTS TO THE SENATE

May 9, 1983

FROM: William Hammond, Chair  
Council on Educational Policy

FOR INFORMATION:

The Committee on Evaluation Policy has been working very hard on the development of a policy on student rating of instructors for promotion and salary purposes. It is hoped that the committee will have definitive recommendations by the end of this academic year.

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FROM: Jerome Hanley, Chair  
Undergraduate Academic Council

FOR INFORMATION:

1. The Undergraduate Academic Council accepted reports from the Program Review Committee on review of both the Physics and History departments.
2. The Undergraduate Academic Council approved the following revision of the major in Rhetoric and Communication with a corresponding change in program title to "communications":

Proposed New Requirements:

General Program B.A.: A minimum of 35 credits including Math 108 or 362 or Msi 220 or Soc 221; SBS 300; Communication 265 (a prerequisite for all Communication courses at the 300 level or above); Communication 270 (a prerequisite for all Communication courses at the 300 level or above); and one of the following: Communication 201, 203, 204, 212, or 245; 15 additional credits of Communication as advised; 6 credits of supporting courses (outside the department) as advised. Of the required 24 credits in Communication, a minimum of 12 credits must be at the 300 level or above.

3. UAC approved the following requirements regarding waivers of General Education requirements:
  - A. No permanent waiver of General Education Program requirements be allowed for programs awarding either the B.A. or B.S. degrees.



- B. Recognizing the current problems facing students in the Medical Technology program in completing required and recommended courses in the major during the three years spent on this campus, the committee recommends that students graduating through December 1987 be granted a waiver of 6 credits of the General Education Program requirements with the understanding that at least 3 credits be satisfactorily completed in two of the categories and at least 6 credits satisfactorily completed in the remaining four categories.
- C. The current waiver of the General Education Program requirements for the Accounting major should be reviewed by the UAC in 1983-84.

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FROM: Sung Bok Kim, Chair  
Graduate Academic Council

FOR INFORMATION:

1. At its meeting of March 3, 1983, the Council approved a recommendation from the Committee on Educational Policies and Procedures that it is not appropriate at this time to introduce university-wide computer competency requirement for matriculation at the graduate level.
2. The Council assigned Michael Kavanagh to the Committee on Educational Policies during the absence of Sally Knapp from the Committee.
3. The Council had an extensive discussion of the difficulties the Master of Arts in Liberal Studies program has been experiencing. The Council referred the subject back to the Committee on Liberal and Innovative Study for further consideration.
4. The Council discussed Richard Teevan's two proposals one dealing with the desirability of establishing a yearly fund that would be used to buy the necessary equipment for teaching and the other concerning a teaching practicum for all Ph.D. students as a graduation requirement. The Council resolved to take up the proposals at our next meeting.
5. The Council also handled several student petitions.
6. At its meeting of March 17, the Council advanced five students to doctoral candidacy, and heard and resolved a couple of student petitions.

FOR ACTION:

See attachment on Certificate Program in Advanced Public Management

Reports to the Senate  
May 9, 1983  
Page 3

FROM: Pat Rogers, Chair  
Student Affairs Council

FOR INFORMATION:

The Council's Thursday, April 21 agenda item will be review and consideration of student guidelines.

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FROM: Rick Tastor, Chair  
University Community Council

FOR ACTION:

Our University Community Council devoted one more full meeting to the issue of smoking. Attached is an action item, a revised bill which tends to limit somewhat smoking in certain areas.

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UNIVERSITY SENATE  
COUNCIL ON ACADEMIC FREEDOM AND ETHICS

Annual Report: 1982-1983

The Council met regularly throughout the year.

- I Since the work of adjudicating grievances is a matter of strong confidentiality, the Council only can report that it completed the review of a particularly complex grievance which had been on its agenda since late in the 1980/81 academic year. The final report was submitted to and accepted by President O'Leary.
- II The Council spent most of the Fall semester struggling with the issue of jurisdiction. The specific issue comes from Section I,B of the "CAFE Complaint Procedures," as approved by the University Senate:

CAFE shall consider a complaint only after it has determined that:

1. The complaint is not subject to a grievance procedure under existing contracts; AND
2. no other means of resolving the complaint are available within the University governance structure at the time the complaint is filed; AND
3. all other possible means of resolving the complaint have been exhausted;
4. evidence is presented which, prima facie, raises substantial doubt as to whether all previous procedures and hearings in relation to the complaint resulted in a proper or equitable determination of the same.

Simply put, the issue that surfaced is: "Can CAFE investigate the complaint of a faculty member or administrator whose formal grievance has been completed via the grievance procedure set down in the contract between the University and United University Professionals"?

Two opinions were solicited on the matter. One, representing the SUNY/Albany administration, can be paraphrased that, once a case has gone through the proper contractual grievance procedure and a decision has been made from that procedure, no further action can be taken via any other grievance process. Indeed, such a process is probably contradictory to the contract which exists between the University and UUP.

An opinion from the representative of UUP stated that "...there may be a role for the Council on Academic Freedom and Ethics in recommending changes in standards, practices, local rules, or by-laws which impede procedural due process. This should only be undertaken however with the fullest consultation with UUP to see that procedural justice is enhanced, and it should be understood that such recommendations have a moral, not a legal, force".

Item II,B,4 (above) certainly suggests that CAFE is charged to review other grievances. At the same time, the "CAFE Complaint Procedures" were written prior to the UUP contract and may well be in need of revision.

The issue is not resolved. The question still stands as to whether or not a body such as CAFE can investigate an action which has been demonstrated to meet the specifics of the contract, but is still alleged to be in violation of the ethical code expected of members of the University. Proceedings on a case by case basis is unsatisfactory. A settling of the jurisdictional issue as well as a possible new charge to CAFE from the Senate are needed.

III The Council surveyed the teaching faculty concerning their opinions on the issue of student ethics and cheating as a take-off of last year's public hearing on the issue. As a result of the opinions voiced in the public hearing and the survey, and in consultation with the Executive Committee of the Senate, CAFE requests that the new chair of the Senate appoint a task force, consisting of selected members of CAFE, the Student Affairs Council, the Vice President for Academic Affairs or her designee, and the Dean of Student Affairs or his designee, to investigate over the Summer of 1983 the need for a new committee comprised primarily of faculty members, to adjudicate charges of academic dishonesty filed against students. The specific recommendations are to be sent to the University Senate in the Fall of 1983.

RJF/mp

UNIVERSITY SENATE  
STATE UNIVERSITY OF NEW YORK AT ALBANY

SMOKING POLICY

INTRODUCED BY: University Community Council

*approved*

IT IS HEREBY PROPOSED THAT THE FOLLOWING BE ADOPTED:

- I. That as a general policy, smoking in classrooms, lecture halls, laboratories, elevators, and public corridors of buildings at this University be prohibited except that the University Administration shall designate places in each building as smoking area(s).
- II. That the University Administration, after consultation with relevant governance bodies, shall establish as soon as possible reasonable limitations on smoking in other appropriate areas of the campus not covered by this policy or state or local law.\*\*
- III. That this resolution be referred to the President for his approval.

\*An earlier version of this bill was originally adopted in Bill No. 197778-04 and promulgated by the President on April 17, 1978. (See attached for copy of President's letter of implementation). Underlined portions indicate additions.

\*\*State Law (Public Health, Article 13-F) currently provides that smoking is prohibited in libraries, museums, theaters, and other indoor facilities open to the public, except for places within these facilities designated as separate smoking areas. This same State law does not prohibit smoking in rest rooms or in "separated" lobby areas.

UNIVERSITY COMMUNITY COUNCIL

Rationale for Bill No. 198283-18

Smoking Policy

1. Smoking poses certain hazards to those who smoke, and to those who breathe in someone else's smoke. This bill, while not denying anyone the right to smoke, adds a modest amount of protection in behalf of the non-smoker. There are many individuals who have dramatic and intense disabilities which may be seriously aggravated by breathing in smoke. This bill attempts to safeguard their health and rights.
2. The bill does not affect smoking in offices, lounges, lobbies, bathrooms, or in the areas which will be established in each building as smoking areas. The bill tries to limit smoking in certain corridors and passageways which must be travelled as a regular part of doing business at this University by students, faculty, or the public. The University Community Council would like people with disabilities, with a dislike or aversion towards smoke, to be able to get to a classroom or office without having to travel through smoke-filled corridors.
3. There is considerable support for this extension of policy. But, the real need for action is expressed by faculty and students who have identifiable and serious disabilities either caused or aggravated by smoke. Action for these persons is mandatory.
4. In 1979, and in every subsequent year since that time, the New York State Assembly has passed a bill which would prohibit smoking in all public places everywhere in the State of New York. During the initial debate, Assemblyman Richard Gottfried said "Your right to blow smoke around ends where your neighbor's nose begins." (Knickerbocker News, May 8, 1979.) Indications are that the State of New York Clean Indoor Air Act may be adopted this year. Our action now is not only fair, it is timely.
5. The bill asks the Administration to consider each building individually and to designate appropriate, convenient, and reasonable areas for smoking. Managers and users will have input.
6. The bill, in conclusion, is a logical, absolutely necessary, and modest extension of a policy which has been in effect for four years.

NOV 8 1982

OFFICE OF THE PRESIDENT

MEMORANDUM FINANCIAL

ALBANY, N. Y. 12222

To: Members of the University Community

April 17, 1978

From: Vincent O'Leary

Subject: Action Against Smoking

As you know, the Senate has enacted, I have approved, and the University Council has endorsed a policy extending the prohibition against smoking to classrooms, lecture halls, and laboratories on campus. State law already bans smoking in all public facilities on campus---libraries, theaters, gymnasium, and gallery.

These actions are designed to reduce the health, safety, and environmental hazards presented by unlimited smoking privileges on campus. Not only are the results of smoking a heavy financial burden in the cleaning and maintenance of campus facilities, but they are offensive to growing numbers of campus citizens and dangerous to many persons suffering respiratory disabilities. We have no other responsible choice as individuals and as a community than to enforce this regulation with vigor.

During the Spring and Summer, I am asking faculty members and students to meet this responsibility in the following ways. As soon as "No Smoking" signs are posted in classrooms, lecture halls, and laboratories, faculty members should inform their classes that smoking is prohibited. I ask that faculty and students alike assume a personal responsibility for enforcing this policy.

Faculty, staff, and students wishing to report violations of the no smoking rule should submit a Smoking Complaint Form to the Office of the Dean for Student Affairs. Forms are available at the Campus Center Information Desk, the Library Circulation Desk, and the Office of Student Affairs. Based on such complaints, efforts will be made to contact each offender to elicit his/her compliance with the smoking regulation.

It is my hope that we will secure the full cooperation of all members of the University Community through this method of persuasion. In the event that we do not fully succeed through the power of moral force, I am prepared to resort to a more formal system of complaint, hearing, and possible sanctions against those few inconsiderate individuals who may not be able to meet this new community expectation.

I congratulate those who have worked so diligently to increase our awareness of the damaging effects of smoking on our common environment and on our personal well-being. I urge all to respect this new community standard by example and by individual initiative.

VO:tcp

*Vincent O'Leary*

§ 1399-m. Separability

If any clause, sentence, paragraph, subdivision, section or part of this article shall be adjudged by any court of competent jurisdiction to be invalid, the judgment shall not affect, impair or invalidate the remainder thereof, but shall be confined in its operation to the clause, sentence, paragraph, subdivision, section or part thereof directly involved in the controversy in which the judgment shall have been rendered. Formerly § 1399-d, added L.1973, c. 758, § 1; renumbered 1399-m, L.1974, c. 1023, § 1.

Effective Date. Section 2 of L. 1973, c. 758, provided that this section is effective June 19, 1973.

ARTICLE 13-F--REGULATION OF SMOKING TOBACCO IN CERTAIN PUBLIC AREAS [NEW]

Sec.

1399-o. Smoking tobacco in certain public areas.

1399-p. Violation.

1399-q. Excepted areas.

1978 Amendment. L.1978, c. 783, 1980, renumbered former article 13-E § 2, eff. Jan. 1, 1979, until Dec. 31, as 13-F.

§ 1399-o. Smoking tobacco in certain public areas

It shall be unlawful for any person to smoke tobacco in any form in any public means of mass transportation or in any indoor facility which is open to the public as a library or museum, or as a theater which is primarily used for, or designed for the primary purpose of, exhibiting any motion picture, stage drama, musical recital, dance, lecture or other similar performance, during such performance; provided, however, that smoking by performers as part of the theatrical production shall not be prohibited.

Added L.1975, c. 80, § 1.

Effective Date. Section effective July 1, 1975, pursuant to L.1975, c. 80, § 2.

Library References Nuisance § 59. C.J.S. Nuisances § 2 et seq.

§ 1399-p. Violation

A person who violates the provisions of section thirteen hundred ninety-nine-o is guilty of a violation punishable by a fine of not less than ten dollars nor more than one hundred dollars.

Added L.1975, c. 80, § 1.

Effective Date. Section effective July 1, 1975, pursuant to L.1975, c. 80, § 2.

§ 1399-q. Excepted areas

The provisions of this article shall not preclude smoking in rest rooms, or smoking in an area commonly referred to as a lobby if physically separated from the spectator area or in any other area designated as a smoking area.

Added L.1975, c. 80, § 1.

Effective Date. Section effective July 1, 1975, pursuant to L.1975, c. 80, § 2.

ARTICLE 14--REGU  
CHILD

Sec.

1400. Definitions.

1401. Disclosure statement.

1402. Delivery of disclosure stat

1403. Designation of secretary

1404. Penalties; failure to file

1405. False and misleading sta  
persons.

1406. Fees.

1407. Powers of the commissione

§ 1400. Definitions

As used in this article:

1. "Children's camp" or "camp" means any children's overnight camp, or any other camp, as defined in section ninety-one of this chapter, child day care center, or child day care section thirteen hundred ninety-nine-o of this chapter which is located in a public building, for deposits, rollments, or accepts or makes as residing in the state.

2. "Disclosure statement" means any and/or amended annually completed by the commissioner by regulation may require the commissioner. In developing such a statement, the commissioner shall require any person, firm, or corporation to disclose information including: (1) name and mailing address; (2) business organization and principal address and state of incorporation; (3) name and address of the camp; (4) financial stability statement; (5) name and address of the person in which such camp is located; (6) physical description of the camp and such photographs; (7) provisions for sanitary and health conditions; (8) staffing ratios; (9) living arrangements; (10) recreational facilities; (11) insurance coverage including liability and emergency health services; (12) inspections by local or state health officials; (13) name and address of the commissioner; (14) name and address of the person who deems necessary.

3. "Short form disclosure statement" means a brief version of the disclosure statement as defined in section 1400 of this chapter from the disclosure statement as defined in section 1400 of this chapter.

4. "Parent" means the natural parent of the child or any other person otherwise authorized to act for the child.

Added L.1977, c. 898, § 1.

Former Section 1400. Section 1400, which related to milk sanitation; powers, functions and duties of commissioner, was added L.1953, c. 8, § 1; amended L.1960, c. 1073, § 1; L.1961, c. 86, § 1; repealed by L.1976, c. 5, § 9. The subject matter is now covered by Agriculture and Markets L.

10



UNIVERSITY SENATE  
STATE UNIVERSITY OF NEW YORK AT ALBANY

PROPOSED CERTIFICATE PROGRAM IN  
ADVANCED PUBLIC MANAGEMENT

Submitted by: Graduate Academic Council  
May 9, 1983

IT IS HEREBY PROPOSED THAT:

- I. A Certificate Program in Advanced Public Management with the attached requirements be approved and become effective immediately upon registration by the State Education Department.
- II. That this bill be referred to the President for his approval.

Attachment

State University of New York at Albany  
Nelson A. Rockefeller College of Public Affairs and Policy  
Proposed Certificate Program in  
Advanced Public Management

1. Award and Title.

Certificate in Advanced Public Management

2. Rationale.

The Certificate program in Advanced Public Management is an intensive graduate level program of study offered to public managers in policy level positions of state and local government. Public management is in a state of rapid transition. Increasingly, public managers who work at the policy level are turning to professional schools and intensive programs for exposure to state-of-the-art methods of analysis and management.

In response to this need, Rockefeller College has designed the Certificate Program in Advanced Public Management to keep managers abreast of the new developments that shape organizations and to sharpen their analytic and performance skills without interrupting their careers. The Program is made up of integrated courses that cumulatively enhance the participant's knowledge and competence. It is designed to train decision makers as intelligent users of rigorous analytic methods and producers of change and innovation.

3. Relationship of program to other SUNY/Albany programs and campus mission.

This certificate program complements the many other existing professional programs in public policy areas offered by SUNY/Albany: public administration, public affairs, criminal justice, and social welfare. Courses in the certificate in Advanced Public Management program are drawn from the University's Graduate School of Public Affairs, School of Criminal Justice, and School of Social Welfare. The program will contribute directly to the University's stated public policy mission by providing a vigorous instructional program to improve the quality of professional public service and decision-making at state and local levels. The Program will also provide additional opportunities for increased interaction and cooperation between the Albany campus and numerous state and local governmental agencies.

4. Description of program and requirements.

Everything presented in the program focuses on the work environment. The lectures, case studies, group projects, briefings, and opportunities to interact with major figures in fields pertinent to public management are practical and apply to work assignments and problems on the job.

Eight graduate courses are offered in this certificate program. Students must complete successfully at least five of the eight program courses to qualify for the Certificate.

PAD 501 Budgeting and Accounting

An introduction to budgeting and accounting as tools to implement the goals of administrative planning and control. Budgeting will be treated from both a theoretical and in a "hands-on," how-to approach. Accounting systems in current usage and their relationship to budgetary systems will be described. Emphasis will be placed on political, administrative and institutional pressures which form the context in which budgets are formed.

PAD 502 Human Resources Management

A survey of individual/group behavior, organizational structure, controls, work design, and motivation is presented as a background. This leads to discussion of the major institutions, methods, and procedures that constitute public personnel systems (the merit system, career staffing, selection, training, position classification, compensation, and workforce planning).

PAD 511 Strategic Planning

An examination of the evolving methods of strategic planning as applied in public settings. The course includes the most current tools of technological forecasting as well as the uses of bargaining, reality and value judgments, policy development through standard setting, situational analysis, planning in a climate of uncertainty, and the managerial responses to changes in the organization's environment.

PAD 611 Decision Making in Government and Administration

Participants gain a working understanding of current analytic methods that are being used to guide public policy issues and managerial decisions that must be made in haste and in the face of uncertainty. The course has two goals: to challenge participants to learn how to use certain decision methods, at least in their rudimentary forms, and to make them aware of more powerful and complex analytic methods that will enable them to think more clearly and systematically about policy issues. The course draws heavily on the use of case examples and situations from the participants' work environment. Topics include concepts of utility and maximization, cost/benefit analysis, multi-attribute utility theory, decision trees, queuing systems, competing values approaches to decision making and policy setting, and the role of rationalization and justification in policy decisions.

PAD 639 Executive Skill Development

The course focuses on performance rather than analytic skills. Participants are intensively involved in activities designed to help them assess and enhance their competencies as managers, particularly in the core areas of directing, coordinating, human relations, and boundary spanning. Participants engage in simulation exercises, in addition to normal study and presentations, and have the opportunity to be videotaped and evaluate their performance in various communication modes.

SSW 730 Topics Seminar: Policy Development and Program Implementation

Participants will gain an appreciation of the key elements in the development of public policy, including the respective roles of the legislature, the courts, government agencies and the public. The course will also focus on a variety of program implementation techniques that are designed to aid in the operationalization of public policy. Consideration will be given to goal formulation, development of alternative strategies for goal attainment, choosing among alternatives, and program implementation and control strategies. Participants will have opportunities to apply these techniques to real-life, on-the-job situations.

SSW 730 Topics Seminar: The Managerial Uses of Research Methods and Information Systems

This is an intensive, application-oriented survey of research methods and analytical tools essential for the contemporary public manager. The purpose of the course is to develop a working acquaintance with analytic methods and to sharpen quantitative skills that have been dulled by disuse. The course draws upon the experience and expertise of specialists in information systems. These guest lecturers discuss the management issues that arise out of the use of computer-based management information systems. Participants spend considerable time "on-line," becoming more knowledgeable about computers. Though the work is intense, the emphasis is to train participants as consumers, not producers, of quantitative research.

SSW 732 Evaluation of Public Sector Programs

The practice of program evaluation and analysis in the public sector is examined. Special attention is given to formal evaluation designs and how these are modified in practice, the problems of formulating evaluation questions and selecting variables, the relationship of evaluation to program planning and development, and use of evaluation results.

5. Resources required for the program.

The Certificate in Advanced Public Management is self-sustaining as all program expenses are met by course charges assigned to an IFR account. No campus resources are required to present this program.

6. Evidence of campus support

The Certificate in Advanced Public Management has been reviewed and approved by the Vice President for Research and Educational Development, the Vice President for Academic Affairs, the President, Rockefeller College of Public Affairs and Policy, and the Graduate Academic Council.

7. Impact of program on region and state.

The focus of the program is on management. The curriculum is designed to enhance the skills of managers already in the professional stream,

rather than to prepare students to embark on public service careers. The program will involve men and women with diverse professional experience, both those whose expertise is technical or field-specific and those who see themselves as professional managers with broad abilities in administration and policy making.

The program will have an immediate and beneficial impact on the quality of state and local government in New York, but especially on the Albany area with its concentration of state agencies and committees and numerous county and city offices within a fifty mile radius.

UNIVERSITY SENATE  
STATE UNIVERSITY OF NEW YORK AT ALBANY

GUIDELINES FOR FACULTY INVOLVEMENT IN PRIVATE VENTURES  
INVOLVING PROPRIETARY WORK CARRIED OUT ON CAMPUS

OK

INTRODUCED BY: Council on Research  
May 9, 1983

IT IS HEREBY PROPOSED THAT THE FOLLOWING BE ADOPTED:

- I. That the attached guidelines for faculty involved in proprietary work carried out on campus be approved.
- II. That this resolution be referred to the President for his approval.

Attachment

Define proprietary

Guidelines for Faculty Involvement in Private  
Ventures Involving Proprietary Work Carried Out On Campus

Rationale

A recent trend on university campuses nation-wide is the increasing involvement of faculty in research conducted for private firms which have a proprietary interest in the outcomes of the research, i.e., where the results of the research become the private property of the firm. The firms involved may be external companies contracting with faculty to do research or companies established, perhaps by faculty members themselves, to exploit University-based research commercially. These private venture research programs differ from the traditional types of academic research. Free inquiry and the free exchange of ideas are basic principles governing traditional forms of academic research. The results of this type of research, even if funded by private sponsors, are made publicly available. In contrast, commercial enterprises are governed by the profit motive. The marketable application of the outcomes of research may result in new knowledge being treated in a proprietary manner and, to protect it from competitors, kept secret. The principles underlying free inquiry and the free market may come in conflict when private venture research programs are conducted on a university campus. In addition to conducting research, the mission of academic institutions is to educate students. Students are particularly vulnerable to exploitation by their involvement in private venture programs.

Significant potential danger exists in the establishment of private venture programs on the campus, but to preclude such programs because of this possibility would be a mistake in view of the potential benefits which include: attraction, stimulation and retention of outstanding faculty; development of increased educational, research and career opportunities for students; augmentation of the facilities, expertise and reputation for research; and stimulation of local economy and climate for research and technology. Maximizing the benefit and minimizing the risk places a special and important responsibility on the individuals, administrators and review bodies involved, especially at the college, department and research center level.

In light of the impossibility of anticipating all contingencies and because of the rapid development of thinking about University-Industrial relationships, detailed rules for faculty and student involvement in private venture companies are not appropriate at this time. Each case should be carefully considered in the context of general guidelines designed to protect the broad mission and purpose of the University. These guidelines should maintain the traditional commitment of the University to free inquiry and communication, protect the interests of students, and recognize the fiduciary responsibilities of the University to the State of New York. At the same time, the guidelines should not impede the efforts of researchers freely and vigorously to explore fruitful relationships with private firms.

Recommended guidelines for the initial and subsequent reviews are indicated below. These guidelines are based on the belief that primary responsibility for supervision, guidance and accountability of research and student education must reside in the appropriate college, department or research center. The reviews at the University level are principally to ensure that appropriate standards and mechanisms for organization and oversight of private venture endeavors involving faculty, students and facilities are established and implemented by the college, department or center. These guidelines are intended only to apply to on-campus research activities, not to most faculty consulting arrangements or to student internships. Although similar concerns may arise in those relationships, they are best dealt with through other mechanisms.

### Guidelines

1. The primary functions of the University faculty on the University campus, and of the facilities on the campus, are training of students, free inquiry, and effective communication. These must be kept uppermost in any contractual arrangement. Interference with this function, direct or indirect, as concluded from careful review by appropriate faculty or administrative bodies will be grounds for non-approval or non-renewal of any contract.
2. Student participation shall be in the context of thesis research and preparation. Insurance that this requirement is met is a special responsibility of the particular department. The thesis program and progress of each student involved in such programs must be reviewed and approved through established departmental procedures involving at least one faculty member not associated with the venture program. It is recommended that a research committee of at least three members be appointed, one of whom should be the thesis supervisor and only one of whom should be associated with the venture program (this may be the thesis supervisor). For small departments such a structure may be impractical, in which case the review may be carried out by the department chairman or his or her designee.

The student shall be free to discuss his or her thesis work with other students and faculty, and to make reports to the department on the status and progress of the work. Publication of the student's thesis work will not be hindered by the sponsor. It is expected that the department would not approve thesis projects primarily proprietary in nature. This is not meant to imply that the student could not be peripherally involved or knowledgeable about proprietary work which he or she would not be allowed to discuss freely; it should not, however, comprise the thesis research project.

Student support from venture research programs will not be exceptional, i.e., will be within the established range for other student teaching and research stipends.

Exceptions to student thesis, free communication and fundamental research requirements may be made for short periods such as summer employment or introductory involvement. This should be approved by the department chairman or appropriate departmental committee.



3. Faculty involved in private venture programs shall not permit such involvement to interfere with instructional, dissertation direction or committee responsibilities. Any exception to this will be through a release-time support arrangement that has the prior approval of the department chairman and college dean.
4. Use of University facilities will be allowed only through proper arrangements consistent with the University's fiduciary responsibilities to the State of New York and the University Research Foundation.
5. Distribution of royalty and licensing fees will be consistent with existing University policies.
6. Contractual arrangements for private venture programs utilizing University facilities will be for a specified period not to exceed five years with renewal or extension subject to review by the department, college, Council on Research or University administration. As with the initial approval, such renewal or extension will be at the discretion of the University president subject to State University of New York and State Education Department regulations. In any case, it is felt that very long term on-campus arrangements are not appropriate but that successful ventures will move to off-campus facilities after an initial period. Movement off-campus, of course, will not remove responsibility for adequate and appropriate approval and oversight of student and faculty involvement.

#### Procedures

1. The approval of private venture research programs involving proprietary work is a joint decision by the department or research center, the college, and the University.
2. Initial review and approval will take place in the appropriate department or research center according to established procedures. Approved programs will then be submitted to the dean of the relevant college for confirmation. After approval by the college, the program will be submitted to the Vice President for Research and Educational Development, who will review it on behalf of the University. The Vice President will be advised by the Council on Research through its Committee on Industrial Linkages.
3. The departments, colleges, and the Vice President will develop appropriate procedures for annual review of private venture programs. The procedures will be designed to insure a fair and objective evaluation of the program under the above guidelines.
4. If disagreement occurs at any level in the review process, the Vice President for Research and Educational Development will initiate an appropriate procedure for resolving the dispute. If a program is disapproved at any level, the researcher may appeal that decision at a higher level.