**Introduction** ........................................................................................................................................... 1
About the University at Albany *Academic Faculty Handbook* .................................................................. 1
Message From Provost James Stellar ....................................................................................................... 1

**Part 1: University at Albany Organization, Leadership, and Governance** ......................................... 2
A. State University of New York (SUNY) Leadership and Governance .................................................. 2
   1. SUNY Leadership and Governance .................................................................................................... 2
   2. The Policies of the Board of Trustees ............................................................................................... 2
B. The University at Albany History, Organization, and Governance ................................................... 2
   1. History of the University at Albany .................................................................................................... 3
   2. Accreditation ...................................................................................................................................... 3
   3. University at Albany Leadership and Organization ......................................................................... 4
   4. University Council at Albany ............................................................................................................... 4
C. Faculty Governance ............................................................................................................................. 5
   1. Faculty Governance: Policies of the Board of Trustees ................................................................... 5
D. University Affiliated Organizations ..................................................................................................... 5
   1. Research Foundation for the State University of New York ............................................................ 5
   2. University Auxiliary Services ........................................................................................................... 5
   3. University at Albany Foundation ..................................................................................................... 6
   4. University at Albany Alumni Association .......................................................................................... 6

**Part 2: Laws, Regulations, and Policies Governing Academic Faculty** .................................................. 7
A. Standards of Ethical Conduct, Professional Responsibility, and Compliance Obligations .................. 7
   1. University at Albany Faculty Statement of Ethics ............................................................................ 7
   2. Academic Freedom ............................................................................................................................ 8
   3. General Standards of Ethical Conduct for New York State Employees ........................................... 8
   4. Oath of Office ................................................................................................................................... 9
   5. Conflicts of Interest ........................................................................................................................... 9
   6. Conflicts of Commitment (Outside Employment) .......................................................................... 9
   7. Use of University Resources ........................................................................................................... 10
   8. Use of Information Technology Resources ..................................................................................... 10
   9. Management of Extramural Funds ................................................................................................... 10
   10. State and Federal Lobbying Rules and Compliance ....................................................................... 11
   11. Defense and Indemnification for State Employees ......................................................................... 11
B. Academic Faculty Personnel, Policies and Procedures ........................................................................ 12
   1. Types of Academic Appointments .................................................................................................... 12
   2. Recruitment and Hiring ..................................................................................................................... 13
   3. Appointment Year ............................................................................................................................. 13
   4. *Statement of Academic Faculty Teaching, Research, and Service Responsibilities* ..................... 14
   5. Evaluation of Academic Faculty for Renewal/Nonrenewal ............................................................... 14
   6. Continuing Appointment (Tenure) and Promotion of Academic Faculty ......................................... 14
   7. Leaves of Absence ............................................................................................................................. 15
   8. Sabbatical Policy ............................................................................................................................... 15
   9. Termination of Service and Retirement ............................................................................................ 15
   10. Fringe Benefits ................................................................................................................................ 15
<table>
<thead>
<tr>
<th>Section</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>11. Appointment to Distinguished Faculty Academic Ranks</td>
<td>15</td>
</tr>
<tr>
<td>12. Appointment of O’Leary Professorship</td>
<td>16</td>
</tr>
<tr>
<td>13. Emeritus Status</td>
<td>16</td>
</tr>
<tr>
<td>14. Appointment of Part-time Faculty</td>
<td>16</td>
</tr>
<tr>
<td>15. Personnel Files</td>
<td>16</td>
</tr>
<tr>
<td>16. Faculty Grievances</td>
<td>16</td>
</tr>
<tr>
<td>17. Policy for Academic Faculty Transfer across Academic Units</td>
<td>17</td>
</tr>
<tr>
<td>18. Compensation for Summer and Winter Session Teaching</td>
<td>17</td>
</tr>
<tr>
<td>19. Annual Academic Faculty Activity Reports</td>
<td>17</td>
</tr>
<tr>
<td>20. Jury Service</td>
<td>17</td>
</tr>
<tr>
<td>21. Academic Faculty Absence from Class</td>
<td>17</td>
</tr>
<tr>
<td>22. Negotiating Organization for Faculty</td>
<td>17</td>
</tr>
<tr>
<td>23. Payroll Policies and Practices</td>
<td>17</td>
</tr>
<tr>
<td>24. Extra Service Compensation and Dual Employment Policy for Faculty</td>
<td>17</td>
</tr>
<tr>
<td>25. Guidelines for UAlbany President’s Awards for Excellence</td>
<td>17</td>
</tr>
<tr>
<td>26. University Use of Email for Official Business</td>
<td>18</td>
</tr>
<tr>
<td>C. Instructional Policies and Procedures</td>
<td>19</td>
</tr>
<tr>
<td>1. Principles of Teaching Responsibility</td>
<td>19</td>
</tr>
<tr>
<td>2. Faculty and Staff Obligation --- Students’ Right to Privacy</td>
<td>20</td>
</tr>
<tr>
<td>a. FERPA</td>
<td>20</td>
</tr>
<tr>
<td>b. Posting Grades</td>
<td>20</td>
</tr>
<tr>
<td>c. Student Photos</td>
<td>20</td>
</tr>
<tr>
<td>3. Undergraduate Program Policies and Resources</td>
<td>20</td>
</tr>
<tr>
<td>a. Syllabus Requirement</td>
<td>20</td>
</tr>
<tr>
<td>b. Student Attendance and Timely Compliance with Course Requirements</td>
<td>21</td>
</tr>
<tr>
<td>c. Undergraduate Grading</td>
<td>21</td>
</tr>
<tr>
<td>d. Grade Changes</td>
<td>21</td>
</tr>
<tr>
<td>e. Policies to Deregister Students from a Course</td>
<td>21</td>
</tr>
<tr>
<td>f. Final Examination Policies</td>
<td>21</td>
</tr>
<tr>
<td>g. Undergraduate Academic Program Requirements</td>
<td>21</td>
</tr>
<tr>
<td>4. Graduate Program Policies and Resources</td>
<td>22</td>
</tr>
<tr>
<td>a. Attendance</td>
<td>22</td>
</tr>
<tr>
<td>b. Graduate Grades and the Grading of Graduate Courses</td>
<td>22</td>
</tr>
<tr>
<td>c. Grade Changes</td>
<td>22</td>
</tr>
<tr>
<td>d. Faculty Eligibility to Teach Graduate Courses</td>
<td>22</td>
</tr>
<tr>
<td>e. Graduate Academic Standards, Degree Requirements and Program Regulations</td>
<td>23</td>
</tr>
<tr>
<td>5. Final Grading</td>
<td>23</td>
</tr>
<tr>
<td>6. Standards of Academic Integrity</td>
<td>23</td>
</tr>
<tr>
<td>7. Student Code of Conduct</td>
<td>23</td>
</tr>
<tr>
<td>8. Procedures for Resolving Academic Grievances</td>
<td>23</td>
</tr>
<tr>
<td>9. Textbook Information Law</td>
<td>24</td>
</tr>
<tr>
<td>10. Copyright and Fair Use Policy</td>
<td>24</td>
</tr>
<tr>
<td>11. Online Courses</td>
<td>24</td>
</tr>
<tr>
<td>12. Student Records Retention</td>
<td>24</td>
</tr>
<tr>
<td>13. Reasonable Accommodation of Students with Disabilities</td>
<td>25</td>
</tr>
<tr>
<td>14. Academic Calendar</td>
<td>25</td>
</tr>
</tbody>
</table>
Academic Faculty Handbook Contents

15. Schedule of Classes ................................................................. 25
16. Official Cancellations or Delays/Cancelling Classes Due to Inclement Weather ...................... 25

D. Research Policies and Procedures .............................................. 26
  1. Research Integrity .................................................................. 26
  2. Publication of Research Activities ......................................... 26
  3. Misconduct in Research ...................................................... 26
  4. Patents, Inventions, and Copyrights (Intellectual Property) ................................................................................. 26
  5. Research Involving Human Subjects ..................................... 26
  6. Use of Live Animals for Research or Teaching ..................... 27
  7. Research Involving Biohazardous Materials ............................. 27
  8. Use of Controlled Substances in Research .............................. 27
  9. Research Involving Radiation .............................................. 27
  10. Environmental Health and Safety Policies ............................. 27

E. General Campus Policies ............................................................... 28
  1. Nondiscrimination .................................................................... 28
  2. Accommodations for Faculty and Staff with Disabilities ......... 28
  3. Workplace Violence Prevention ............................................. 29
  4. Alcohol and Drug Use in the Workplace ............................... 29
  5. Smoking .................................................................................. 29
  8. Weapons on Campus ............................................................ 29
  9. Access to Personal Information Maintained by the University .... 29
  10. Policy on Nepotism ............................................................... 30
  11. Freedom of Information (FOIL) ............................................. 30
  12. Freedom of Expression .......................................................... 31
  13. Political Campaign Activity at SUNY Campuses ..................... 31
  14. Use of Facilities by Outside Groups ...................................... 31
  15. Public Forum Free Speech ...................................................... 32
  16. Rules for the Maintenance of Public Order ............................ 32
  17. Fundraising Policies ............................................................. 32
  18. Time and Attendance Certification ........................................ 32
  19. Purchasing Policies and Procedures ........................................ 32
  20. Travel Policies and Procedures ............................................. 32
  21. Internal Control Policies ...................................................... 33
  22. Child Protection Policy (Minors) ............................................ 33

Part 3: Academic Resources for Faculty .............................................. 34
A. University Libraries ................................................................. 34
  1. General Library Services ...................................................... 34
  2. Library Resources for Faculty .............................................. 34
  3. Library Code of Conduct ...................................................... 35
B. Information Technology Services ............................................... 35
  1. Faculty Technology Resources .............................................. 35
  2. Research IT ......................................................................... 35
  3. Email and Collaboration Services .......................................... 35
4. University Telephone and Voicemail Services ................................................................. 36
C. Institute for Teaching Learning and Academic Leadership (ITLAL) .................................. 36
D. Office of Public Engagement ......................................................................................... 36
E. State University of New York (SUNY)-wide Academic Faculty Resources .................. 36
   1. SUNY Center for Professional Development .............................................................. 36
   2. Open SUNY Center for Online Teaching Excellence (COTE) .................................... 36
   3. SUNY SAIL Institute (Strategic, Academic and Innovative Leadership) .................... 36

Part 4: Other University Resources .................................................................................. 37
A. University Space Management ...................................................................................... 37
B. Keys, Locks, and Access to University Buildings .......................................................... 37
C. Employee ID Cards (SUNYCard) .................................................................................. 37
D. University Mail Services .............................................................................................. 37
E. Vehicle Registration and Parking ................................................................................. 37
F. Emergency and Safety Services .................................................................................... 37
   1. Emergency Calls for police, fire, and medical services .............................................. 37
   2. University Police Department ................................................................................... 38
   3. Five-Quad Ambulance Service .................................................................................. 38
Introduction
About the University at Albany Academic Faculty Handbook

The University at Albany Academic Faculty Handbook is designed to provide a convenient reference for both new and continuing faculty members of the University to the most relevant policies and regulations that govern their work and define their responsibilities, as established by the Policies of the Board of Trustees. While there are a number of University positions with the title of faculty, this Handbook is designed particularly around the needs and obligations of academic faculty – those whose responsibilities encompass teaching, research, and University service.

Given the status of the University at Albany as public research university within the State University of New York system, there are a number of regulatory and oversight entities that are relevant. These include:

- Federal laws and regulations
- New York State laws and regulations
- Policies of the State University of New York Board of Trustees
- Regulations established by the Research Foundation for the State University of New York
- University at Albany policies

This Handbook is designed as a “roadmap” to these policies – and as a “virtual reference tool” with links to source materials to ensure that the information is up to date. While this is not a complete set of the policies that affect academic faculty, every effort has been made to include the most important and relevant items. The Office of the Provost welcomes comments on the contents of this Handbook and suggestions for additions or revisions for future editions. Please email them to Senior Vice Provost and Associate Vice President for Academic Affairs William B. Hedberg at whedberg@albany.edu.

Message From Provost James Stellar

Dear Colleagues:

As University at Albany academic faculty, we take great pride in pursuing excellence as scholars and teachers, in engaging and addressing significant societal problems and issues, and in contributing to the State’s economic prosperity. These values are reflected in our heritage as New York State’s oldest public higher education institution, and they were recently reaffirmed during the institution’s strategic planning process.

The Academic Faculty Handbook is intended to introduce and direct members of the academic faculty to the established institutional policies and procedures that regulate core functions and activities for advancing our mission as a Research-1 public research university. It is the first time in many years that our operating statements have been compiled together and updated. As a first edition, we welcome your close scrutiny and feedback to improve future iterations.

The University’s reputation and success depends on the quality of its faculty. The Academic Faculty Handbook is one of the many ways in which the institution seeks to provide a stimulating and supportive professional environment for academic faculty development and achievement. We thank you for your many contributions to the University’s academic and research program, and we look forward to celebrating your further accomplishments in the years ahead.
Part 1: University at Albany Organization, Leadership, and Governance

A. State University of New York (SUNY) Leadership and Governance
   1. SUNY Leadership and Governance
   2. The State University of New York Policies of the Board of Trustees

B. The University at Albany History, Organization, and Governance
   1. History of the University at Albany
   2. Leadership and Organization
   3. University Council at Albany

C. Faculty Governance
   1. Chancellor’s Statement on Faculty Governance
   2. Faculty Governance: Policies of the Board of Trustees
   3. The of University at Albany Faculty Bylaws and Charter of the University Senate

D. University Affiliated Organizations
   1. Research Foundation for the State University of New York
   2. University Auxiliary Services
   3. University at Albany Foundation
   4. University at Albany Alumni Association

*****************************************************************************

A. State University of New York (SUNY) Leadership and Governance

1. SUNY Leadership and Governance
   The University at Albany is designated as a “University Center” within the State University of New York (SUNY) System. The SUNY system is led by an 18-member Board of Trustees and the Chancellor. The Board’s membership includes 15 appointees of the New York State Governor with consent of the New York State Senate; the president of the Student Assembly, serving as student trustee; and the presidents of the University Faculty Senate and Faculty Council of Community Colleges, who serve as ex-officio trustees.

   The Chancellor is the chief executive officer and is responsible for developing and promulgating SUNY-wide policies adopted by the Board of Trustees, coordinating the SUNY-wide budget process, overseeing academic planning, and directing statewide programs for the educationally disadvantaged.

   Additional information about the system leadership of the State University of New York is available at www.suny.edu/about/leadership/

2. The Policies of the Board of Trustees
   All institutions within SUNY, including the University at Albany, are governed by the Policies of the Board of Trustees. References throughout this document to the Policies of the Board of Trustees are to the July 2014 version. The entire set of policies can be found at system.suny.edu/media/suny/content-assets/documents/boardoftrustees/SUNY-BOT-Policies-June2014.pdf

B. The University at Albany History, Organization, and Governance
1. **History of the University at Albany**
   The University at Albany has a rich history dating back more than 170 years. Founded in 1844 as a "normal school" to train teachers for a rapidly growing population, Albany was the state’s first public institution of higher education. The Normal School gradually changed to a four-year program, and in 1914, officially became known as the New York State College for Teachers. The College for Teachers focused exclusively on training secondary school teachers, but within the context of a liberal arts curriculum. By 1962, the College had earned national distinction, joined the emerging State University system as one of SUNY’s four University Centers, and became a broad-based public research university.

Today, the University at Albany is a major research university, enrolling more than 17,000 undergraduate and graduate students on three campuses in the Capital Region.

The University is a diverse campus community that includes faculty, staff and students from across the United States and all over the world, representing 100 nationalities and a wide array of cultures and religions. The University at Albany is committed to the values of inclusive excellence in education. We believe our diversity is a significant strength. Our University leaders, faculty and staff are committed to fostering a diverse community of outstanding faculty, staff and students, as well as ensuring equal educational opportunity, employment, and access to services, programs, and activities, without regard to an individual’s race, color, national origin, religion, creed, age, disability, sex, gender identity, gender expression, sexual orientation, familial status, pregnancy, predisposing genetic characteristics, military status, domestic violence victim status, or criminal conviction.

More information about the University at Albany can be found at [http://www.albany.edu/about/about_history.php](http://www.albany.edu/about/about_history.php).

2. **Accreditation**
   The University at Albany is chartered by the Board of Regents of New York State, which has registered all of its degrees and programs and fully approved its professional programs through the New York State Education Department (NYSED).

The University at Albany has maintained continuous accreditation by the Middle States Commission on Higher Education (MSCHE) since 1938.

UAlbany is also a member of the Council of Graduate Schools in the U.S. UAlbany also holds specialized program accreditation from the following accreditors:

- American Chemical Society
- American Library Association
- American Psychological Association, Commission on Accreditation
- Association to Advance Collegiate Schools of Business
- Council for the Accreditation of Education Preparation
- Council on Education for Public Health
- Council on Social Work Education
- National Association of School Psychologists
- Network of Schools of Public Affairs and Administration
- New York State Office of Professions
- Planning Accreditation Board
3. University at Albany Leadership and Organization

The University at Albany is headed by the President, who is joined by the Vice Presidents and other members of the Executive Committee in providing leadership and direction. The full organizational chart of the University can be found at the following link: www.albany.edu/ir/uamain.pdf

The University at Albany administration is divided into ten major administrative units:

- **President** [www.albany.edu/administration/office-of-the-president.php](http://www.albany.edu/administration/office-of-the-president.php) which includes the following units:
  - Government & Community Relations
  - University Counsel
  - Diversity and Inclusion
  - Equity, Compliance and Title IX
- **Academic Affairs** [www.albany.edu/academics/provost.shtml](http://www.albany.edu/academics/provost.shtml) which includes academic support and administrative units, the University Libraries, and nine academic Schools and Colleges (which can be accessed via [www.albany.edu/academics/colleges.shtml](http://www.albany.edu/academics/colleges.shtml)):
  - College of Arts and Sciences
  - School of Business
  - School of Criminal Justice
  - School of Education
  - College of Emergency Preparedness, Homeland Security and Cybersecurity
  - College of Engineering and Applied Sciences
  - Rockefeller College of Public Affairs & Policy
  - School of Public Health
  - School of Social Welfare
  - Affiliation with Albany Law School
- **Research** [www.albany.edu/research/](http://www.albany.edu/research/)
- **Student Affairs** [www.albany.edu/studentaffairs/homepage/](http://www.albany.edu/studentaffairs/homepage/)
- **Finance and Administration** [www.albany.edu/financeandadministration/](http://www.albany.edu/financeandadministration/)
- **Communications and Marketing** [www.albany.edu/communicationsmarketing/indexmain.php](http://www.albany.edu/communicationsmarketing/indexmain.php)
- **University Development** [www.albany.edu/giving/index.shtml](http://www.albany.edu/giving/index.shtml)
- **Information Technology Services** [www.albany.edu/its/AboutITS.php](http://www.albany.edu/its/AboutITS.php)
- **Planning, Policy and Compliance**
- **Intercollegiate Athletics** [www.ualbanysports.com/](http://www.ualbanysports.com/)

4. University Council at Albany

Each state-operated campus of the SUNY system has an oversight Council, appointed by the Governor. This body is mandated by Article 8, Section 356 of the New York State Education Law, which provides for the establishment of a local council to supervise the operations and affairs of each state-operated institution of the State University. Nine of the 10 Council members are appointed by the Governor of New York, and a student member is elected by the students. A representatives of the University Senate, the President of the Alumni Association, and a graduate student designated by the Graduate Student Association all serve as ex-officio members of the Council. Further information about the membership and duties of the University Council can be found at [www.albany.edu/council/index.shtml](http://www.albany.edu/council/index.shtml)
C. Faculty Governance

1. Faculty Governance: Policies of the Board of Trustees
The governance of all institutions of the State University of New York is outlined in the State University of New York Policies of the Board of Trustees:

- Article VI describes the composition of the voting faculty
- Article VII establishes the University Faculty Senate* of the State University of New York
- Article IX describes the officers of the institutions
- Article X describes the voting faculty of the institutions

The Policies can be found at system.suny.edu/media/suny/content-assets/documents/boardoftrustees/SUNY-BOT-Policies-June2014.pdf.

*Additional information about the University Faculty Senate may be found at system.suny.edu/facultySenate/.

2. University at Albany Faculty Bylaws and Charter of the University Senate
The institution’s Faculty is responsible for the development of the University’s educational program 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 as outlined in Article X of the Policies of the Board of Trustees. The Faculty Bylaws of the University at Albany can be found at www.albany.edu/senate/bylaws_charter.htm

The University at Albany’s University Senate is a consultative body of the faculty comprised of 81 faculty, professional, and student senators. Led by the Chair of the Senate and the Senate Executive Committee, it is responsible for advancing UAlbany’s academic mission through shared governance. Further details on the University Senate are available at www.albany.edu/senate/

D. University Affiliated Organizations

1. Research Foundation for the State University of New York
The Research Foundation for the State University of New York (SUNY RF) is the University’s research administration organization, managing research expenditures approaching $1 billion annually. SUNY RF is a private non-profit education corporation that is tax-exempt under Internal Revenue Code (IRC) Section 501(c) (3). The relationship between The State University of New York (SUNY) and SUNY RF is formalized in the “Agreement Between State University of New York and The Research Foundation of State University of New York” (1977). Further information is available at www.rfsuny.org/media/RFSUNY/Documents/Founding-Documents/1977_agreement.pdf

2. University Auxiliary Services
University Auxiliary Services (UAS) is a nonprofit organization that invests in and provides services to enhance the educational, research, learning and living experiences of the University at Albany community. UAS provides the following services to the University at Albany community:

- Dining, Vending and Nutrition Services
- University Store (Textbooks and Retail)
- Banking
- Resource Support to the University (Program Funds, etc.)
• Business and Payroll Services for Student Association, Foundation, Alumni, Albany Student Press, Graduate Student Association, and Dippikill
• SUNYCard Management
• Student Support: Laundry, Property Insurance, Rentals, etc.

Additional information about UAS may be found at www.albany.edu/uas/.

3. University at Albany Foundation
The University at Albany Foundation is a not-for-profit corporation organized for the purpose of encouraging philanthropic contributions from individuals, corporations, foundations, and other organizations in support of activities and programs of the University at Albany. Responsibility for governance of the Foundation is vested in a Board of Directors, comprised of alumni, community and University representatives. The Executive Director of the Foundation reports regularly to the Board of Directors, is responsible for the management of all funds in its accounts, and is committed to ensuring their proper stewardship. Additional information about the University at Albany Foundation may be found at www.albany.edu/uafoundation/

4. University at Albany Alumni Association
The mission of the Alumni Association of the University at Albany is to foster a mutually beneficial relationship between the University and its alumni to perpetuate a sense of pride in, and commitment to, the outstanding qualities of the University and the education it provides, and to promote, in partnership, a positive image of the University and its alumni through communication, service, and leadership. Information about the Association can be found at www.alumni.albany.edu/s/1642/02-alumni/index.aspx?sid=1642&gid=2&pgid=377
Part 2: Laws, Regulations, and Policies Governing Academic Faculty

A. Standards of Ethical Conduct, Professional Responsibility, and Compliance Obligations

1. Academic Freedom
2. General Standards of Ethical Conduct
3. Oath of Office
4. Conflicts of Commitment (Outside Employment)
5. Conflicts of Interest
6. Use of University Resources
7. Use of Information Technology Resources
8. Management of Extramural funds
10. Defense and Indemnification for State Employees

This Section provides a summary and references to key federal, New York State, State University of New York, and University at Albany policies related to ethical conduct and legal and fiscal compliance obligations of faculty in the performance of teaching or research responsibilities. Additional more general campus policies that affect academic faculty can be found in Section E of this Handbook.

1. University at Albany Faculty Statement of Ethics

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. (*University Senate Bill No. 8586-17*)

2. **Academic Freedom**

Article XI Title I of *Policies of the Board of Trustees* states:

> 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 faculty members may, without limitation, discuss their own subject in the classroom; they may not, however, claim as their right the privilege of discussing in their classroom controversial matter which has no relation to their subject. The principle of academic freedom shall be accompanied by a corresponding principle of responsibility. In their role as citizens, employees have the same freedoms as other citizens. However, in their extramural utterances employees have an obligation to indicate that they are not institutional spokespersons.

The full text can be found at [system.suny.edu/media/suny/content-assets/documents/boardoftrustees/SUNY-BOT-Policies-June2014.pdf](system.suny.edu/media/suny/content-assets/documents/boardoftrustees/SUNY-BOT-Policies-June2014.pdf)

3. **General Standards of Ethical Conduct for New York State Employees**

On August 15, 2011, Governor Andrew M. Cuomo signed into law the Public Integrity Reform Act of 2011, which comprehensively reformed the oversight and regulation of ethics and lobbying in New York State. It also established a new independent oversight agency, the Joint Commission on Public Ethics (“JCOPE”), which has oversight over both the Executive and the Legislative Branches of the State Government. SUNY is part of the Executive Branch.

The standards of ethical conduct applicable to employees of State University are contained in Section 74 of the *New York State Public Officers Law*, which can be found at [ag.ny.gov/sites/default/files/pdfs/bureaus/public_integrity/public_officers_law_sec_74.pdf](ag.ny.gov/sites/default/files/pdfs/bureaus/public_integrity/public_officers_law_sec_74.pdf)

These standards govern employees of the University in the following areas:

- Other employment which will impair independence of judgment in the exercise of official duties.
- Disclosure of confidential information gained by reason of official position or authority to further personal interests.
- Use of official position to secure unwarranted privileges or exemptions for employee or others.
- Engagement in any transaction as representative or agent of the state with any business entity in which there is a direct or indirect financial interest.
Personal investments which will create substantial conflict between duty in the public interest and private interest.

The University at Albany, through the offices of the Vice President for Research and Graduate Studies, Vice President for Finance and Business, Office of General Counsel, and the SUNY Research Foundation, can assist employees in addressing issues of compliance. It is recommended that any question be directed to the University Ethics Officer, Randy L. Stark, Associate Vice President for Human Resources, or the appropriate Vice President in advance of engaging in such activity.

Additional information about this law can be found at www.albany.edu/general-counsel/ethics_in_state_government.php. The full text of the New York State Public Officers Law is available at (www.albany.edu/hr/assets/Public-Officers-Law.pdf).

4. Oath of Office
New York State Civil Service Law Section 62 requires that professional employees take an oath of office, or make a statement in lieu of oath, for each position held. Employees must certify that they have received and read the applicable sections of the Public Officers Law and that they will conform to the norms of conduct for State employees. The Oath of Office can be found at www.albany.edu/hr/assets/OathCard.pdf.

5. Conflicts of Interest
As noted above, 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.

The full text of Public Officers Law can be found at www.albany.edu/hr/assets/Public-Officers-Law.pdf. For further information or assistance in evaluating possible conflicts of interest, contact the University Ethics Officer, Randy L. Stark, Associate Vice President for Human Resources.

6. Conflicts of Commitment (Outside Employment)
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." (system.suny.edu/media/suny/content-assets/documents/boardoftrustees/SUNY-BOT-Policies-June2014.pdf)

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. 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 at www.albany.edu/hr/extra-service.php.

7. **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 for 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 (www.suny.edu/sunypp/documents.cfm?doc_id=374), and SUNY's Policy and Guidelines for the Use of State University Facilities by Emerging Technology Enterprises (http://www.suny.edu/sunypp/documents.cfm?doc_id=375).

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.

8. **Use of Information Technology Resources**

Access to IT resources is essential to the University at Albany's mission of teaching, research, and service, and is integral in promoting the success of all students, faculty, and staff. Such an environment facilitates and encourages the exchange of ideas and information while protecting the freedom of expression of the campus community. This policy obligates users to protect and maintain the security, integrity, and confidentiality of the system and data stored on it consistent with University at Albany policies and all legal requirements. www.albany.edu/its/authorizeduse.htm. Other policies related to the use of IT resources can be found at www.albany.edu/its/its_policies.htm.

9. **Management of Extramural Funds**

Any income generated from any activity or program that is sponsored by or identified with the University, as well as payment for use of University personnel, equipment, or facilities, must be managed in a way that ensures full accountability by the University both for fiscal integrity and program quality. Therefore, all revenue received from sources other than sponsored research programs or gift solicitation activities must be administered through the University's formal accounting systems and procedures -- that is,
through University-controlled accounts. Information on how to establish accounts to accommodate the receipt of such is available at [www.albany.edu/controller/account_procedures.php](http://www.albany.edu/controller/account_procedures.php).

10. State and Federal Lobbying Rules and Compliance
To ensure the University is in compliance with state and federal lobbying rules, all departments and units must contact the Office of Government and Community Relations prior to any written or verbal communications with public officials relating to University interests. This also maximizes the positive impact of advocacy efforts at all levels by coordinating in a way that supports our institutional priorities. Further information can be found at [www.albany.edu/governmentrelations/rules-compliance.php](http://www.albany.edu/governmentrelations/rules-compliance.php).

The office also coordinates the tracking and reporting of all lobbying activities and expenditures, as is required by law. The disclosure form can be found at [http://www.albany.edu/governmentrelations/assets/Lobbying-Activity-Disclosure-Form_Final.pdf](http://www.albany.edu/governmentrelations/assets/Lobbying-Activity-Disclosure-Form_Final.pdf).

11. Defense and Indemnification for State Employees
Section 17 of the New York State Public Officers Law provides that the State, through the Office of the Attorney General, will defend State employees in any civil action or proceeding commenced in any state or federal court arising out of any alleged act or omission which occurred, or is alleged to have occurred, while the employee was acting within the scope of his or her public employment. State employees are entitled to be represented by private counsel of their choice, at State expense, if the Attorney General determines that representation by the Attorney General’s Office would be inappropriate, or when a court determines that a conflict of interest exists between the State and the employee.

Section 17 further provides that the State of New York will indemnify its employees in the amount of any judgment rendered or settlement reached with respect to any such civil action or proceeding, provided that the act or omission complained of arose within the scope of the employee’s public employment. The duty to indemnify does not arise where the injury or damage complained of resulted from intentional wrongdoing on the part of the employee. Further information is located at [www.albany.edu/general-counsel/section_17_and_19.php](http://www.albany.edu/general-counsel/section_17_and_19.php).
B. Academic Faculty Personnel, Policies and Procedures

1. Types of Academic Appointments
2. Recruitment and Hiring
3. Appointment Year
4. Statement of Faculty Teaching, Research, and Service Responsibility
5. Evaluation and Promotion of Academic Faculty
6. Continuing Appointment (Tenure) of Academic Faculty
7. Leaves of Absence
8. Sabbatical Policy
9. Termination of Service and Retirement
10. Fringe Benefits
11. Appointment to Distinguished Faculty Ranks
12. Appointment of O’Leary Professorship
13. Emeritus Status
14. Appointment of Part-time Faculty
15. Personnel Files
16. Faculty Grievances
17. Faculty Transfer Across Academic Units
18. Compensation for Summer and Winter Session Teaching
19. Annual Faculty Activity Reports
20. Jury Service
21. Faculty Absence from Campus
22. Negotiating Organization for Faculty
23. Payroll Policies and Practices
24. Extra service Compensation for Faculty and Professional Employees
25. Guidelines for UAlbany President’s Awards for Excellence
26. Use of University Email for Official Business

*************

This Section provides a summary and references to policies related to the employment – hiring, promotion, and benefits – of academic faculty members at the University at Albany.

1. Types of Academic Appointments

Appointments to the academic faculty are governed by the SUNY Policies of the Board of Trustees, which be found at system.suny.edu/media/suny/content-assets/documents/boardoftrustees/SUNY-BOT-Policies-June2014.pdf, and the UUP Agreement.

The Policies provide for three types of appointment:

- **Temporary Appointment**: A temporary appointment is an appointment that may be terminated at any time. Temporary appointments ordinarily are given when service is to be part-time, voluntary, or anticipated to be for a period of one year or less. (Article XI, Title F)

- **Term Appointment**: A term appointment is an appointment for a specified period of not more than three years, which will automatically expire at the end of that period unless terminated earlier because of resignation, retirement or termination. Typically, new tenure-track faculty are initially appointed for a three-year term and reviewed for renewal in the second year of
employment. Part-time lecturers are entitled to term appointment status after four semesters of service in temporary status. Full-time employees in term appointments are entitled to one year’s notice of non-renewal; part-time employees in term appointments are entitled to at least 45 days’ notice of non-renewal. (Article XI, Title D)

- **Continuing Appointment**: – Continuing appointment is SUNY’s designation for tenure for academic faculty. A continuing appointment is an appointment to a position of academic rank (i.e., normally associate professor or professor) that is not affected by changes in rank (e.g., due to promotion) and that continues until resignation, retirement, or termination. (Article XI, Title B).

In accordance with Trustees’ Policies, at the University at Albany, academic appointments are made as follows:

<table>
<thead>
<tr>
<th>Academic Appointment Track/Title</th>
<th>Temporary (≤1 year)</th>
<th>Term (2-3 years)</th>
<th>Tenured</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Tenure Track</strong>: full-time appointments unqualified rank (i.e., assistant professor, associate professor, professor, all Distinguished titles)</td>
<td>No</td>
<td>Yes</td>
<td>Continuing appointment</td>
</tr>
<tr>
<td><strong>Non-tenure Track</strong>: (contingent): full-time and part-time lecturers, appointments in qualified ranks (e.g., research professor, visiting assistant professor, clinical professor etc.)</td>
<td>Yes</td>
<td>Yes</td>
<td>No</td>
</tr>
</tbody>
</table>

Note: Librarian appointments follow the same sequence as tenure-track academic positions. Professional position appointments follow a separate sequence: they are made as probationary, term, or permanent. More information on professional titles within SUNY can be found at [www.suny.edu/hr/compensation/unclassified/](http://www.suny.edu/hr/compensation/unclassified/)

2. **Recruitment and Hiring**

   Academic faculty searches are authorized annually by the Provost based on recommendations from the school/college/library Deans. Searches are conducted in accordance with established University procedures which can be found at [www.albany.edu/hr/recruit-hire-promote.php](http://www.albany.edu/hr/recruit-hire-promote.php). At the conclusion of a search, with Office of Diversity and Inclusion clearance, the Dean proposes specific terms of appointment to the Provost. With the Provost’s concurrence, the terms are incorporated into an official offer letter from the Provost, who acts on behalf of the President for all full-time tenure-track appointments except those requiring visa or other immigration certifications. The offer letter, once accepted, serves as the official statement of commitments for the hire.

3. **Appointment Year**

   Full-time academic appointments normally commence on September 1. Initial appointments are typically on a term basis for up to three years and renewable in accordance with the SUNY *Policies of the Board of Trustees* Article XI Title H, which can be found at [system.suny.edu/media/suny/content-assets/documents/boardoftrustees/SUNY-BOT-Policies-June2014.pdf](http://system.suny.edu/media/suny/content-assets/documents/boardoftrustees/SUNY-BOT-Policies-June2014.pdf) and the applicable Agreement between the State of New York and United University Professions, the bargaining unit for all academic and professional employees, which can be found at [www.albany.edu/hr/assets/uupagreement.pdf](http://www.albany.edu/hr/assets/uupagreement.pdf).

   While appointments begin on September 1 for Human Resources Management purposes, the academic faculty obligation commences with the first day of fall semester classes, which may occur during the final week of August.
4. **Statement of Academic Faculty Teaching, Research, and Service Responsibilities**

The *Statement of Faculty Teaching, Research and Service Responsibilities* sets out a framework for accounting for the full-time academic faculty obligation across the traditional areas of teaching, scholarship, and service. This is sometimes referred to as the “O’Leary memo” or framework, as it was established in 1988, under then President Vincent O’Leary. A copy of the *Statement* is provided to each new tenure-track faculty member at the time of their initial appointment and is available at available at [www.albany.edu/academics/files/faculty_teaching-service-research Responsibilities.pdf](http://www.albany.edu/academics/files/faculty_teaching-service-research_Responsibilities.pdf). The *Statement* serves as a guide for assessing academic faculty activity and for making adjustments in the distribution of academic faculty time and effort across the three aspects of the obligation as may be warranted.

5. **Evaluation of Academic Faculty for Renewal/Nonrenewal**

Policies related to the evaluation and promotion of academic and professional employees can be found in Article XII Title A of the SUNY *Policies of the Board of Trustees* [system.suny.edu/media/suny/content-assets/documents/boardoftrustees/SUNY-BOT-Policies-June2014.pdf](http://system.suny.edu/media/suny/content-assets/documents/boardoftrustees/SUNY-BOT-Policies-June2014.pdf).

There are three major points in the academic career path for evaluating academic faculty for renewal and/or promotion. (1) Academic faculty are evaluated for renewal at regular intervals during their probationary period of appointment (i.e., six years for assistant professor, two years for associate or full professors). (2) Barring time in qualified rank or other extensions of the probationary period of appointment, academic faculty are reviewed for continuing appointment (tenure) in the sixth year of employment; assistant professors reviewed for continuing appointment are also promoted to associate professor. (3) Following successful review for continuing appointment faculty are eligible for evaluation for promotion in academic rank.

Academic faculty are evaluated for renewal by the departments or schools to which they are appointed. The evaluation assesses the faculty member’s achievements and trajectory in the areas of scholarship, teaching, and service. The standards for productivity and progress in each department or school are referenced to the modes of communication for the applicable discipline and the teaching and service requirements of the academic unit. For term renewals, the faculty member being reviewed typically provides a current CV; sample publications, course materials, peer observations, and student course evaluations are also often part of the review file. These materials are reviewed and discussed at a department/school faculty meeting. The department chair or dean prepares a written recommendation to the dean or Provost. Where applicable, the dean provides a recommendation to the Provost. The UUP Agreement requires that copies of the chair’s and dean’s recommendations be provided to the candidate as they are formed at each step of the process. The Provost acts on behalf of the President for term renewals. For non-renewals, the Provost provides a recommendation, with a copy to the candidate, who is also given an opportunity to review and respond to the term renewal file before the President reviews and acts on the case. Additional information can be found at [www.albany.edu/hr/renew-perm-ctng.php](http://www.albany.edu/hr/renew-perm-ctng.php). The campus has developed more extensive and detailed administrative procedures for reviewing academic faculty for continuing appointment and promotion (see #6 below).

6. **Continuing Appointment (Tenure) and Promotion of Academic Faculty**

Barring time off the tenure clock, academic staff are evaluated for continuing appointment (tenure) in the sixth year of their probationary appointment. The process is regulated by University guidelines promulgated by the Provost, which can be found at [http://www.albany.edu/academics/promotion_tenure/introduction.shtml](http://www.albany.edu/academics/promotion_tenure/introduction.shtml).
Policies and procedures related to the awarding of Continuing Appointment (tenure) to academic staff are described in Article XI Title B of the SUNY Policies of the Board of Trustees, located at system.suny.edu/media/suny/content-assets/documents/boardoftrustees/SUNY-BOT-Policies-June2014.pdf.

Each academic department sets the expectations for continuing appointment and promotion, based on the norms of the discipline and the department’s standards for teaching and service contributions. Accordingly, each academic department is expected to have a statement on these norms and expectations, which is available in the department office and is included in each dossier submitted for consideration of continuing appointment and promotion. Full details regarding departmental norms and expectations can be found at: www.albany.edu/academics/promotion_tenure/discipline-specific_criteria_standards.shtml

7. Leaves of Absence
The University offers academic faculty several types of leave, with or without pay. This includes sabbatical leave, sick leave, FMLA leave, and other study leave. Academic faculty appointed to academic year obligations do not accrue annual (vacation) leave. Additional information about leaves is available at www.albany.edu/hr/prof_leave.php

8. Sabbatical Policy
Full-time, tenure-track academic faculty are eligible for a sabbatical leave after six years of continuous full-time service. Article XIII Title E of the SUNY Policies of the Board of Trustees, located at system.suny.edu/media/suny/content-assets/documents/boardoftrustees/SUNY-BOT-Policies-June2014.pdf, permit two leave options – one semester at 100% of full-time salary, or two semesters at 50% of full-time salary. Applications are subject to review by the academic faculty member’s department chair and dean, and are ultimately approved by the Provost on behalf of the President. For more specific guidelines and application procedures for sabbatical leaves, please see www.albany.edu/academics/sabbatical_leave/policy_statement_sabbatical_leaves.shtml

9. Termination of Service and Retirement
Academic faculty appointments may be terminated as a result of non-renewal, resignation, or retirement. Academic faculty members who retire in good standing are designated emeritus/a faculty.

Policies related to terminations of service and retirement can be found in Article XIV and XV of the Policies of the Board of Trustees at system.suny.edu/media/suny/content-assets/documents/boardoftrustees/SUNY-BOT-Policies-June2014.pdf

10. Fringe Benefits
Academic faculty are eligible for benefits offered by the State of New York to all employees of the UUP bargaining unit. These benefits includes options for health insurance and retirement. Information about all benefits is available on the OHRM web-site at www.albany.edu/hr/benefits.php. Questions about benefits may be directed to benefits specialists in the Office.

11. Appointment to Distinguished Faculty Academic Ranks
The highest academic faculty rank is the distinguished professor rank, which is conferred by the Trustees’ based on a recommendation from the Chancellor. There are three distinguished titles for academic faculty: Distinguished Professor, Distinguished Teaching Professor, and Distinguished Service Professor. Academic faculty are nominated for elevation to the distinguished ranks by their campus president. More

12. **Appointment of O’Leary Professorship**

Named in honor of UAlbany’s 15th President, the Vincent O’Leary Professorship is a post-retirement, part-time opportunity for full-time academic faculty. O’Leary appointments are confirmed by the Provost on recommendation of the dean of the faculty member’s school or college. Guidelines for these appointments, which seek to honor the contribution and continuing service of full-time academic faculty, are available at www.albany.edu/academics/vincent.o.leary.professorship.shtml.

13. **Emeritus Status**

Any member of the academic or professional faculty who retires in good standing is eligible for emeritus status, in accordance with the provisions of Title B or C of Article XV of the Policies of the Board of Trustees, found at system.suny.edu/media/suny/content-assets/documents/boardoftrustees/SUNY-BOT-Policies-June2014.pdf. Formal application for emeritus status is not required.

The privileges of emeritus status may include use of library and study facilities, use of office and laboratory space (subject to availability), ability to participate in sponsored research, and representation of the University in professional groups, subject to approval by the applicable chair or dean.

Retired faculty are also encouraged to participate in the programs offered by UAlbany’s Emeritus Center described at www.albany.edu/emerituscenter/.

14. **Appointment of Part-time Faculty**

The University has established guidelines for the appointment and support of part-time faculty, which can be found at www.albany.edu/academics/part-time.faculty.appointment.guidelines.shtml.

15. **Personnel Files**

Each academic faculty member has an official personnel file maintained by the Office of Human Resources Management. Article 31 (Personnel Files) of the Agreement Between the State of New York and the United University Professions, Inc., located at www.albany.edu/hr/assets/uupagreement.pdf, 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.

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. Additional files may be maintained in the faculty member’s department or school.

16. **Faculty Grievances**

The University’s grievance process is regulated by the Agreement between the State of New York and United University Professions, which can be found at www.albany.edu/hr/assets/uupagreement.pdf. The process is described in Article 7 of the Agreement. Questions about faculty grievances can be addressed to the Office of Human Resources Management or to officers of the Albany Chapter of United University Professions.
17. **Policy for Academic Faculty Transfer across Academic Units**
   Where it serves institutional interests, academic faculty may be transferred across academic units. The procedure for transfer is managed from the Provost’s Office and is described at www.albany.edu/academics/faculty.transfer.policy.shtml.

18. **Compensation for Summer and Winter Session Teaching**
   Opportunities are available for academic faculty to teach in the University’s summer and winter sessions. Compensation for courses offered in these sessions is provided at established per course rates based on the status and academic rank of the instructor. More information is available from the Office of General Studies and Summer Sessions at www.albany.edu/generalstudiesandsummersessions/.

19. **Annual Academic Faculty Activity Reports**
   Academic faculty members are expected to complete a Faculty Activity Report annually, reflecting their academic and disciplinary accomplishments during the year. The Faculty Activity Report can be found on the Academic Services and Advising tab of myUAlbany, which can be accessed at http://www.albany.edu/myualbany/.

20. **Jury Service**
   An employee may report for jury duty or as a witness in a court or quasi-judicial matter without charge to leave credits, provided the employee is not a party to the action. Additional information can be found at www.albany.edu/hr/juryduty.php.

21. **Academic Faculty Absence from Class**
   Instructors are responsible for meeting their classes regularly and at scheduled times according to the University calendar. In the event of illness or an emergency, instructors must notify their department or school so that suitable action may be taken. Instructors who will be absent from campus during a regular work week for professional reasons (e.g., to attend a conference) while classes are in session, shall inform the Department Chair (or Dean) of these activities in advance. Classes cannot be cancelled under these circumstances; instead, the instructor must find a replacement or present an alternative instructional plan. Either option must be approved in advance by the Department Chair or Dean.

22. **Negotiating Organization for Faculty**
   The University’s full-time and part-time academic and professional faculty are represented by United University Professions, a State-wide bargaining unit affiliated with New York State United Teachers. Information about UUP is available on their website www.uupalbany.org.

23. **Payroll Policies and Practices**
   Information regarding the University’s payroll policies and practices can be found at www.albany.edu/hr/payroll.php.

24. **Extra Service Compensation and Dual Employment Policy for Faculty**
   The policies and limitations affecting the payment of Extra Service Compensation and Dual Employment can be found at www.albany.edu/hr/extra-service.php.

25. **Guidelines for UAlbany President’s Awards for Excellence**
   The University annual celebrates the excellence of faculty and staff by conferring awards on selected employees for research and creative activities, teaching, librarianship, professional service, academic service, and support service. Nominations are solicited each fall. Awards are presented at a public
ceremony in the spring. Additional information about the President’s Awards for Excellence is available at www.albany.edu/academics/guidelines_excellence_awards.shtml.

26. University Use of Email for Official Business

Each faculty and staff member is provided with an email account that is username@albany.edu. This email account is used by the University as an official means of communication with academic faculty and staff.

Academic faculty and staff members must check their University email accounts regularly to ensure that they receive all official communications from the University. Academic faculty members are also expected to use University email accounts for their official University business communications to ensure security, privacy, preservation of records, and effective organizational operations. Additional information about University email accounts is available at www.albany.edu/its/svc_ualbanymail.php.
C. Instructional Policies and Procedures

1. Principles of Teaching Responsibility
2. Faculty and Staff Obligation --- Students’ Right To Privacy
   a. FERPA
   b. Posting Grades
   c. Policy on use of student photos
3. Undergraduate Program Policies and Resources
   a. Syllabus Requirement
   b. Student Attendance and Timely Compliance with Course Requirements
   c. Undergraduate Grading
   d. Grade Changes
   e. Policies to Deregister Students from Courses
   f. Final Examination Policy
   g. Undergraduate Academic Program Requirements
4. Graduate Program Policies and Resources
   a. Attendance and Section 224-a of the Education Law
   b. Graduate Grades and Grading of Graduate Courses
   c. Grade Changes
   d. Faculty Eligibility to Teach Graduate Courses
   e. Graduate Academic Standards, Degree Requirements and Program Regulations
5. Final Grading
6. Standards of Academic Integrity, Examples of Academic Dishonesty, Penalties and Procedures for Violations of Academic Integrity
7. Student Conduct and Disciplinary Referrals
8. Procedures for Resolving Academic Grievances
9. Textbook Information Law
10. Copyright and Fair Use Policy
11. Online Courses
12. Student Records Retention
13. Reasonable Accommodation of Students with Disabilities
14. Academic Calendar
15. Schedule of Classes
16. Official Cancellations or Delays/Cancelling Classes for Inclement Weather

*************

This Section provides a summary and references to policies affecting faculty members in their roles as instructors. While similar in many areas, some policies differ between undergraduate and graduate level instruction.

1. **Principles of Teaching Responsibility**

   The Principles of Teach Responsibility apply to faculty and other instructional staff at the University at Albany (referred to below as instructors). These statements are an expression of professional responsibilities on our campus. The provisions of such a code 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 Policies of the Board of Trustees system.suny.edu/media/suny/content-assets/documents/boardoftrustees/SUNY-BOT-Policies-June2014.pdf. The Principles of Teaching Responsibility can be found at www.albany.edu/undergraduateeducation/18529.php
2. **Faculty and Staff Obligation --- Students' Right to Privacy**

   The privacy rights of individuals enrolled at the University are to be protected as a matter of law. Specifically, the privacy rights of students are defined by the Family Educational Rights and Privacy Act (FERPA). Full information can be found here:

   [www.albany.edu/undergraduate_bulletin/release_information_by_registrar.html](http://www.albany.edu/undergraduate_bulletin/release_information_by_registrar.html)

   Faculty members share a responsibility for ensuring that students’ privacy rights are protected, including the following:

   a. **FERPA**

      The Family Educational Rights and Privacy Act of 1974 forbids disclosure of information about a student’s academic work to third parties without his or her written permission. Such third parties include fellow students, but also parents and family members of the student in question. *Instructors should be alert to the existence of this strong and binding restriction, and should take care not to reveal information about students directly or indirectly to third parties.* For example, it is actually illegal to leave graded papers in a public hallway, if it permits students to examine faculty evaluation of the work of other students. Any questions about privacy law and disclosure should be referred to the University’s Privacy Compliance Officer, Karen Chico Hurst, University Registrar at [www.albany.edu/registrar/](http://www.albany.edu/registrar/).

   b. **Posting Grades**

      *It is a violation of FERPA to post exam results or grades* in a manner that allows any third party to infer a specific student’s grade. Posting grades by full or partial student identification number, social security number, or name, is prohibited (even in the University’s Learning Management System (e.g., Blackboard)).

   c. **Student Photos**

      *Posting or distributing student photos violates a student’s rights under FERPA.* The use of student photos by faculty and staff for the limited purposes of student identification on class rosters, class seating, examinations, and academic advisement will enrich the classroom and advisement discourse between faculty/staff and students, protect the integrity of the examination process, and overall, enhance the educational experience and retention of students at the University. Student photos should not be shared between and among faculty and staff, including, but not limited to academic advisement staff, as the use by an individual faculty or staff member is limited to his/her academic relationship with the student(s). The full policy statement is available at [www.albany.edu/registrar/photo-usage-policy.php](http://www.albany.edu/registrar/photo-usage-policy.php).

3. **Undergraduate Program Policies and Resources**

   The Office of the Vice Provost and Dean for Undergraduate Education is responsible for the coordination of the academic experience of undergraduates. Additional information is available at [www.albany.edu/undergraduateeducation/](http://www.albany.edu/undergraduateeducation/).

   Policies governing undergraduate classes are detailed in the **Undergraduate Bulletin** which is updated once a year. Key policies are summarized below and can be found at [www.albany.edu/undergraduate_bulletin/regulations.html](http://www.albany.edu/undergraduate_bulletin/regulations.html).

   a. **Syllabus Requirement**

      The instructor of every section of an undergraduate class at the University shall provide each student in a section a printed or web-published copy of the syllabus distributed during the first week of the
class (preferably on the first regularly scheduled day the section meets). This syllabus must contain at least the information defined in the policy as specified in the Undergraduate Bulletin.

b. **Student Attendance and Timely Compliance with Course Requirements**

Students are expected to attend all classes and all examinations and to complete all course requirements on time. Faculty have the prerogative of developing an attendance policy whereby attendance and/or participation is part of the grade. Faculty are also expected to use their best judgment when students have appropriate documentation for legitimate absences. Depending on the nature and the duration of the absence, the Office of the Vice Provost for Undergraduate Education may provide letters to instructors asking that students be granted consideration for absences. Although University officials and/or instructors will consider each student’s request on its own merits, there are three types of reasons for which excuses will generally be granted: (a) illness, tragedy, or other personal emergency; (b) foreseeable time conflicts resulting from required appointments; and (c) religious observance. See also [www.albany.edu/undergraduateeducation/attendance.php](http://www.albany.edu/undergraduateeducation/attendance.php) for details about how the policies are applied.

c. **Undergraduate Grading**

The undergraduate grading system for the University includes the following grades: A, A-, B+, B, B-, C+, C, C-, D+, D, D-, E., S/U. A–E grades are defined as follows: A—Excellent, B–Good, C–Fair, D–Poor, and E–Failure. The grade of E is a failing grade and cannot be used to fulfill graduation requirements. The grade of S is defined as equivalent to the grade of C or higher and is acceptable to fulfill graduation requirements. The grade of U (C- or lower) is unsatisfactory.

d. **Grade Changes**

An instructor may not permit students in an undergraduate course to submit additional work or to be reexamined for the purpose of improving their grades after the course has been completed. The Registrar’s Office may not enter a change of grade without the approval of the Office of the Vice Provost for Undergraduate Education, except for changes of I (Incomplete) to a final grade.

e. **Policies to Deregister Students from a Course**

Instructors may deregister students who fail to attend class, explain absence, or officially drop within the first six days of classes of a term unless prior arrangements have been made by the student with the instructor. Students may be deregistered who lack the prerequisite(s) of the course at any time within the term or quarter the course is being taught. [http://www.albany.edu/registrar/deregistration.html](http://www.albany.edu/registrar/deregistration.html).

f. **Final Examination Policies**

Final exams are not required. Final examinations in semester-long undergraduate courses are to be given only during the scheduled final examination period in accordance with the official schedule published by the Registrar’s Office. No examinations more than one-half hour are to be given during the last five regularly scheduled class days of a semester. Instructors seeking any exceptions to the above policy must submit a written request through their department chair to their college dean. Additional information is available at [http://www.albany.edu/undergraduateeducation/examinations.php](http://www.albany.edu/undergraduateeducation/examinations.php).

g. **Undergraduate Academic Program Requirements**

Faculty should also refer to relevant sections of the online Undergraduate Bulletin located at [http://www.albany.edu/undergraduate_bulletin/academic.html](http://www.albany.edu/undergraduate_bulletin/academic.html) for the complete set of academic
policies and of the requirements of all the undergraduate academic programs of the University. Questions may be directed to the Office of the Vice Provost for Undergraduate Education.

4. Graduate Program Policies and Resources
The Office of the Dean of Graduate Education is responsible for the coordination of the academic experience of graduate students. Additional information is available at www.albany.edu/graduate/indexmain.php.

Graduate academic policies are detailed at http://www.albany.edu/graduatebulletin/requirements_degree.htm. They include the following policies of interest to faculty in their role as instructors:

a. Attendance
Attendance by all graduate students must be regular. Regulations concerning attendance in a particular course are at the discretion of the instructor and are announced in the opening class session. Responsibility for class attendance rests with the student.

- In all cases the work missed through absence must be made up. However, permission to make up such work is not automatic and is given at the discretion of the instructor. The University reserves the right to exclude from a graduate program, course, or final examination students whose attendance in classes is unsatisfactory to their instructors or to the Dean of Graduate Education.

- Section 224-a of the NYS Education Law requires that any student in an institution of higher education who is unable, because of religious beliefs, to attend classes on a particular day or days shall, because of such absence on the particular day or days, be excused from any examination or any study or work requirements.

b. Graduate Grades and the Grading of Graduate Courses
The grading system for all formally organized and structured graduate courses requires the use of the following A-E scale: A; A-; B+; B; B-; C+; C; D; and E; other grades which may temporarily or permanently be substituted for the above grades are I (incomplete), W (withdrawn), and Z (failure).

The grading system for all graduate courses which by design are unstructured or are organized primarily to provide an independent learning experience are required to be graded on the S (satisfactory) or U (unsatisfactory) scale. In this graduate scale S is equivalent to a B or better, and U is equivalent to a B- or lower.

c. Grade Changes
An instructor may not permit students to submit additional work or be re-examined for the purpose of improving their grades once the course has been completed and final grades assigned. Other than for conversion of grades from I (Incomplete) to an appropriate final grade, all proposed corrective graduate grade changes, with rationale provided, must be approved by the Dean of Graduate Education before the Registrar may record them.

d. Faculty Eligibility to Teach Graduate Courses
Graduate instruction may only be given by:

- Faculty members who hold an earned doctorate or the Master of Fine Arts (MFA); or
- Faculty members who hold the rank of associate professor or higher; or
- Exceptions to allow other faculty to provide graduate instruction shall be considered within each school/college.
e. **Graduate Academic Standards, Degree Requirements and Program Regulations**
   Faculty should refer to relevant sections of the online Graduate Bulletin located at the link above for the complete set of policies and requirements of the graduate academic programs of the University. Questions may be directed to the Office of Graduate Education.

5. **Final Grading**
   Authority and responsibility for assigning and changing grades rests with the instructor of record. All students must be graded, including internships, independent readings, directed research, and dissertation load by the deadline communicated by the Office of the Registrar to faculty via their username@albany.edu e-mail address. Failure to submit grades by the deadlines can negatively impact students’ academic progress, financial aid, employment, and other opportunities. Additional information can be found here: [www.albany.edu/registrar/final-grading.php](http://www.albany.edu/registrar/final-grading.php)

6. **Standards of Academic Integrity**
   The University at Albany’s Standards for Academic Integrity, as well as the procedures for handling them can be found at [www.albany.edu/undergraduate_bulletin/regulations.html](http://www.albany.edu/undergraduate_bulletin/regulations.html) and [http://www.albany.edu/graduatebulletin/requirements_degree.htm](http://www.albany.edu/graduatebulletin/requirements_degree.htm).

   The instructor is responsible for determining when a student has violated academic integrity in a course. Students engaging in other academic activities such as qualifying or comprehensive examinations, theses, dissertations must also adhere to the standards of academic integrity. In these cases, academic advisors and department, college, or school officials responsible for a student’s program of study are charged with determining if a student has violated academic integrity.

   Faculty or staff members encountering a violation of academic integrity are required to complete and file a Violation of Academic Integrity Report with the Office of the Vice Provost of Undergraduate or the Vice Provost of Graduate Education. The report should indicate the sanction imposed and a brief description of the incident. Depending on the egregiousness of the violation, or on whether other Reports are on file for the student, that office may make a referral to Community Standard for judicial action.

7. **Student Code of Conduct**
   *Community Rights and Responsibilities* is the official code of conduct outlining behavioral expectations for University at Albany students. The University has developed this code of standards and expectations, consistent with its purpose as an educational institution and requires that each student accept responsibility for his or her own behavior and consequences. These regulations and the procedures for their enforcement apply to all student conduct and behavior. These specific regulations should not be viewed as a comprehensive code of desirable conduct; rather they describe the minimum standard.

   Disruptive behavior in a class should not be tolerated. Cases of disruptive behavior may be referred to the Office of Community Standards, which also offers advice to assist instructors. Additional information may be found at [www.albany.edu/studentconduct/faculty.php](http://www.albany.edu/studentconduct/faculty.php).

8. **Procedures for Resolving Academic Grievances**
   Students who seek to challenge an academic grade or evaluation of their work in a course or seminar, or in research or another educational activity, may request a review of the evaluation by filing an academic grievance. Each school and college must have approved, established grievance procedures. A student who seeks to dispute a grade or evaluation must initially pursue the matter directly with the faculty member involved. If not satisfactorily resolved directly with the faculty member, a written grievance may be filed
with the program/department, or directly with school/college for units that are not departmentalized. Additional information can be found at [www.albany.edu/undergraduate_bulletin/regulations.html](http://www.albany.edu/undergraduate_bulletin/regulations.html) for undergraduate students and [http://www.albany.edu/graduatebulletin/requirements_degree.htm](http://www.albany.edu/graduatebulletin/requirements_degree.htm) for graduate students.

9. **Textbook Information Law**


At the University at Albany, faculty members should notify the Bookstore of textbook information for their courses as requested in order to provide access to the information when students registering for the course. Advance Registration for the summer and fall semesters typically begins in March and for spring and winter semesters in October. Further information can be found at [www.albany.edu/academics/academics_HEOA_textbook_requirement.shtml](http://www.albany.edu/academics/academics_HEOA_textbook_requirement.shtml).

10. **Copyright and Fair Use Policy**

Fair use is covered in Section 107 of the Copyright Act. It provides that fair use of a work "for purposes such as criticism, comment, news reporting, teaching (including multiple copies for classroom use, scholarship, or research)" is not an infringement of copyright.

Copyright is the lawful right of an author or owner of a piece of work to control its use. For a work to be protected by copyright law, it must be an idea that has been expressed and fixed in some sort of medium. The expression has to be original. Works protected by copyright include: Literary works, musical works, dramatic works, choreographic works, illustrations, graphics, sculptures, sound recordings, and architectural works.

The University Libraries offers a guide to the Copyright and Fair Use policy at [libguides.library.albany.edu/c.php?g=560782&p=3858865](http://libguides.library.albany.edu/c.php?g=560782&p=3858865). SUNY Guidelines are available at [system.suny.edu/media/suny/content-assets/documents/academic-affairs/Cetus-FAIRUSE.pdf](http://system.suny.edu/media/suny/content-assets/documents/academic-affairs/Cetus-FAIRUSE.pdf).

11. **Online Courses**

Online courses offered by the University must meet University standards for excellence in online teaching. Faculty who have never taught online must consult with staff from ITLAL or ITS Faculty Technology Resources (FTR) and participate in a program in instructional design and online pedagogical approaches before offering an online course.

The decision to offer courses online during the academic year is made by the academic program sponsoring the courses. Courses to be offered online during the Summer Session and Winter session are determined jointly by the academic department and the Office of General Studies and Summer Sessions. Faculty members wishing to teach online should consult with the department chair. Additional resources are available for faculty at the Teach Online webpage at [www.albany.edu/teachonline/](http://www.albany.edu/teachonline/).

12. **Student Records Retention**

In order to comply with New York State regulations regarding retention of records, the following requirements should be noted by all faculty members involved in teaching or advising:
• **Instructor's grade records, test scores, and marking sheets:** To be maintained for two years following the completion of the course.

• **Student Advising Records:** To be maintained for one year following the student’s graduation.

• **Final Exam papers:** one semester to allow review by students. This regulation does not apply in those instances in which the instructor chooses to return the papers to the students at the end of the course.

Specific questions may be directed to the University's Records Management Officer, Karen Chico Hurst, University Registrar at registrar@albany.edu

13. **Reasonable Accommodation of Students with Disabilities**

The University at Albany is committed to providing reasonable accommodation to students with disabilities. The full policy can be found at www.albany.edu/disability/docs/RAP.pdf

*Professors are the person legally responsible for the provision of the academic accommodation.* The Disability Resources Center can assist in providing as many of the accommodation as possible, such as the space and proctors for extended time on exams in a less distracting location, the verbatim text readers and verbatim scribes for exams. Resources and information for faculty can be found at www.albany.edu/disability/faculty-staff.shtml

14. **Academic Calendar**

The University at Albany official academic calendar is available at www.albany.edu/registrar/academic_calendar.php

15. **Schedule of Classes**

The official Schedule of Classes is located at www.albany.edu/registrar/schedule-of-classes.php. The Schedule of Classes is published in time for each semester’s Advance Registration period (for the summer and fall semesters in March and for spring semester in October).

16. **Official Cancellations or Delays/Cancelling Classes Due to Inclement Weather**

Class cancellation information and updates are available at www.albany.edu/emergency/. The laws of the State of New York grant sole authority to close a campus or suspend normal operations to the Governor. Campus Presidents, however, may suspend classes, for example in consideration of the safety of students and staff. The policy and procedures for cancellation of classes appears at: www.albany.edu/academics/files/Procedure_for_Canceling_Classes_Due_to_Inclement_Weather.pdf.
D. Research Policies and Procedures

1. Research Integrity
   The State University of New York (SUNY) and the Research Foundation for SUNY (SUNY RF) adopted a Statement on Research Integrity with 16 supporting principles that encompass academic freedom, scientific rigor, research ethics, and transparency. The Statement on Research Integrity provides the philosophical framework for all research policies developed and adopted by SUNY campuses. The policy can be found at www.rfsuny.org/media/RFSUNY/Policies/research_integrity.pdf

2. Publication of Research Activities
   In harmony with the principles of academic freedom, SUNY faculty may openly publish and disseminate information about their research activities. Exceptions may be made only when the SUNY Chancellor makes a formal determination that some degree of restriction is necessary to protect state and/or national security. This policy is available in www.rfsuny.org/media/RFSUNY/Policies/ae_publications-research-activities_pol.htm

3. Misconduct in Research
   In keeping with its commitment to research integrity and in compliance with its obligations under federal regulations, the University will respond to all allegations of misconduct in research or scholarship. The Vice President for Research is the designated Research Integrity Officer (RIO) responsible for the Policies and Procedures on Misconduct in Research and Scholarship. The University policy can be found at www.albany.edu/orrc/assets/UA_Research_Misconduct_Policy_6.13.12.pdf

4. Patents, Inventions, and Copyrights (Intellectual Property)
   SUNY faculty generally retain all rights to copyright and publish their works. Exceptions include those works authored on the University’s behalf under the terms of certain agreements and those works authored in the performance of routine employment duties. The SUNY Patents, Inventions, and Copyright Policy can be found at www.suny.edu/sunypp/documents.cfm?doc_id=88.

5. Research Involving Human Subjects
   All University research involving human subjects must be reviewed and approved by the University’s Institutional Review Board (IRB) in accordance with federal and state laws and regulations and University policies. The policy and procedures can be found at www.albany.edu/orrc/irb.php

*************
This Section provides a summary and references to federal, state, SUNY and University at Albany policies affecting faculty members in their roles as researchers and scholars.

1. Research Integrity
   The State University of New York (SUNY) and the Research Foundation for SUNY (SUNY RF) adopted a Statement on Research Integrity with 16 supporting principles that encompass academic freedom, scientific rigor, research ethics, and transparency. The Statement on Research Integrity provides the philosophical framework for all research policies developed and adopted by SUNY campuses. The policy can be found at www.rfsuny.org/media/RFSUNY/Policies/research_integrity.pdf

2. Publication of Research Activities
   In harmony with the principles of academic freedom, SUNY faculty may openly publish and disseminate information about their research activities. Exceptions may be made only when the SUNY Chancellor makes a formal determination that some degree of restriction is necessary to protect state and/or national security. This policy is available in www.rfsuny.org/media/RFSUNY/Policies/ae_publications-research-activities_pol.htm

3. Misconduct in Research
   In keeping with its commitment to research integrity and in compliance with its obligations under federal regulations, the University will respond to all allegations of misconduct in research or scholarship. The Vice President for Research is the designated Research Integrity Officer (RIO) responsible for the Policies and Procedures on Misconduct in Research and Scholarship. The University policy can be found at www.albany.edu/orrc/assets/UA_Research_Misconduct_Policy_6.13.12.pdf

4. Patents, Inventions, and Copyrights (Intellectual Property)
   SUNY faculty generally retain all rights to copyright and publish their works. Exceptions include those works authored on the University’s behalf under the terms of certain agreements and those works authored in the performance of routine employment duties. The SUNY Patents, Inventions, and Copyright Policy can be found at www.suny.edu/sunypp/documents.cfm?doc_id=88.

5. Research Involving Human Subjects
   All University research involving human subjects must be reviewed and approved by the University’s Institutional Review Board (IRB) in accordance with federal and state laws and regulations and University policies. The policy and procedures can be found at www.albany.edu/orrc/irb.php
6. Use of Live Animals for Research or Teaching
All activities at the University using live animals for research or teaching must be reviewed and approved by the University’s Institutional Animal Care and Use Committee (IACUC) in accordance with federal and state laws and regulations and University policies, located at www.albany.edu/orrc/animal-care-and-use.php

7. Research Involving Biohazardous Materials
All University research involving biohazardous materials must be reviewed and approved by the University’s Institutional BioSafety Committee (IBC) in accordance with federal and state laws and regulations. Biohazardous materials include materials of biological origin that have the capacity to produce deleterious effects on humans or animals, such as Recombinant DNA, Recombinant RNA, viral and bacterial pathogens, yeast, fungi, toxins and/or plant, animal, or human tissues that may contain biohazardous materials. The policy can be found at www.albany.edu/ehs/IBC.shtml

8. Use of Controlled Substances in Research
Certain research activities conducted under the auspices of the University require the use of controlled substances. Controlled substances are identified in the schedules contained within the "Controlled Substances Inventory List" published by the U.S. Drug Enforcement Administration (DEA). In conducting research with controlled substances, University-authorized employees must comply with federal and state laws and regulations regarding their use, including DEA registration and New York State Department of Health (DOH) licensure; storage requirements; inventory maintenance; substance disposal; and reporting and record keeping. The full policy is located at www.albany.edu/ehs/pdf/TheUseofControlledSubstancesinResearch615.pdf

9. Research Involving Radiation
All University research involving radiation devices and radioactive materials must be reviewed and approved by the University’s Radiation Safety Committee in accordance with federal and state laws and regulations. The policy can be found at www.albany.edu/ehs/RSC.shtml

10. Environmental Health and Safety Policies
All University research must comply with Environmental Health and Safety (EH&S) policies related to laboratory safety, occupational safety, and general campus safety. The policy is available at www.albany.edu/ehs/policy.shtml
E. General Campus Policies

1. Nondiscrimination
   The University at Albany is committed to fostering a diverse community of outstanding faculty, staff and students, as well as ensuring equal educational opportunity, employment and access to services, programs and activities, without regard to an individual's race, color, national origin, religion, creed, age, disability, sex, gender identity, gender expression, sexual orientation, familial status, pregnancy, predisposing genetic characteristics, military status, domestic violence victim status or criminal conviction. Employees, students, applicants or other members of the University community (including but not limited to vendors, visitors and guests) may not be subjected to harassment that is prohibited by law, or treated adversely or retaliated against based upon a protected characteristic.

   The University's policy is in accordance with all federal and state laws and regulations prohibiting discrimination and harassment. Further information may be found at [www.albany.edu/equity-compliance/equity-and-compliance.php](http://www.albany.edu/equity-compliance/equity-and-compliance.php)

2. Accommodation for Faculty and Staff with Disabilities
   The University at Albany is committed to assuring equal employment opportunity and equal access to services, programs and activities for persons with disabilities. It is the policy of the University to provide
reasonable accommodation(s) to a qualified person with a disability to enable such person to perform the essential functions of the position for which he/she is employed or is applying for employment. Full details regarding this policy are available at www.albany.edu/hr/assets/ADA-Policy-and-Procedure.pdf (and also at www.albany.edu/diversityandinclusion/reasonable-accommodation.php).

3. Workplace Violence Prevention
The University at Albany is committed to providing a safe learning and work environment for the University’s community. The University will respond promptly to threats, acts of violence and acts of aggression by employees, students and/or members of the public against employees and members of the campus community. Detailed information regarding the University’s standards and guidelines for this policy can be found at www.albany.edu/hr/assets/Campus_Violence_Prevention.pdf

4. Alcohol and Drug Use in the Workplace
The University prohibits the unlawful use, possession, manufacture, dispensation or distribution of alcohol and controlled substances by employees in all campus work locations. No employee will report for work or will work impaired by any substance, drug or alcohol, lawful or unlawful. Additional details regarding the policy and procedures related to it can be found at www.albany.edu/hr/assets/Alcohol.pdf

5. Smoking
It is University policy that smoking is prohibited in all University buildings including campus residence halls. Details are available at www.albany.edu/hr/assets/Smoking.pdf

6. Sexual Harassment and Sexual Violence Response Policy
The University at Albany strives to maintain a respectful, safe, and nonthreatening environment for its students, faculty, staff, and visitors. The University does not tolerate sexual violence of any kind, which includes sexual harassment, sexual assault, intimate partner violence and stalking. This policy establishes procedures for responding to incidents of sexual violence and sets forth available resources for individuals reporting sexual violence and for individuals accused of or responding to allegations of sexual violence. The full University at Albany’s Sexual Violence Response Policy can be found at www.albany.edu/titleIX/assets/Sexual_Violence_Response_Policy_October_2015.pdf.

7. Domestic Violence and the Workplace
The University at Albany, to the fullest extent possible without violating any existing rules, regulations, statutory requirements, contractual obligations or collective bargaining agreements, will take all appropriate actions to promote safety in the workplace and respond effectively to the needs of victims of domestic violence. The full policy is available at www.albany.edu/hr/assets/Domestic_Violence_Prevention.pdf

8. Weapons on Campus
Possession of a weapon is prohibited by NYS law on the campuses of the University at Albany. The SUNY Board of Trustees policy on Firearms on State-Operated Campuses is available at www.suny.edu/sunypp/documents.cfm?doc_id=367. The President may authorize University police officers to possess ammunition and firearms while on duty.

9. Access to Personal Information Maintained by the University
The University provides Access to Personal Information in compliance with the Policies of the Board of Trustees. Information is available at www.albany.edu/general-counsel/assets/Access_to_Personal_Information.pdf
10. Policy on Nepotism

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.

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.

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:

- to the Vice President for Research for all externally funded research positions;
- to the Vice President for Academic Affairs for all instructional positions;
- to the Classification Committee for all other non-research, non-teaching positions (State-funded, UAS, etc.); or
- to the Council on Promotions and Continuing Appointments for any faculty case requesting tenure.

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

In addition, the *New York Public Officers Law*, Section 73.14(a) states that “No statewide elected official, state officer or employee, member of the legislature or legislative employee may participate in any decision to hire, promote, discipline or discharge a relative for any compensated position at, for, or within any state agency, public authority or the legislature.”

11. Freedom of Information (FOIL)

The New York State Freedom of Information Law (Public Officers Law §§ 84–90), better known as FOIL, requires that the State University of New York make certain records available to the public. The law requires each campus and the system administration of the University to designate records access officers. Requests for information from the campus or the system administration should be directed to the respective records access officer at each location, as appropriate. The University at Albany Records Access Officer/FOIL officer is Lisa Taylor, Office of Communications and Marketing. The SUNY System-wide FOIL Policy may be found at [www.suny.edu/sunypp/documents.cfm?doc_id=537](http://www.suny.edu/sunypp/documents.cfm?doc_id=537).
12. 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. (University Senate Bill No. 8687-10; amended as University Senate Bill No. 8889-04)

13. Political Campaign Activity at SUNY Campuses
The State University of New York recognizes the benefits of exposing students to political debate and information, including partisan political speech. SUNY campuses routinely offer some of our facilities to a wide range of student, faculty/staff and outside speakers and likewise must open such facilities to political speech. In reviewing requests for permission to use campus facilities, SUNY campuses must be guided by the principle of viewpoint neutrality and even-handed treatment. The following links provide details regarding this policy as well as employee political activism: system.suny.edu/media/suny/content-assets/documents/generalcounsel/2014ElectionYearMemo.pdf

14. Use of Facilities by Outside Groups
University at Albany Facilities are available for short term, occasional use by external non-profit organizations. In order to use a space for short term use, the University requires a Revocable Permit and usage fees apply. The following provides information on the requirements for obtaining such a permit: www.albany.edu/controller/revocable_permits.php. In addition, the following provides information on
15. Public Forum Free Speech
As an institution of higher education, the University respects and fully supports the rights granted to individuals under the First Amendment to the United States Constitution regarding free speech. The University has adopted free speech policies with respect to its students, faculty, and staff, but not for third parties, who are not sponsored by the University and/or a recognized student organization, but want to use the Campus for free speech purposes. The University’s policy regarding public forum free speech is available at: www.albany.edu/controller/public_forum_free_speech.php

16. Rules for the Maintenance of Public Order
This policy outlines the rules for the maintenance of public order (including prohibited conduct), applicability and communication of the rules, and statements regarding freedom of speech, assembly, picketing and demonstrations on campuses: www.suny.edu/sunypp/documents.cfm?doc_id=351

17. Fundraising Policies
The University at Albany Foundation supports and promotes the activities and programs of the University at Albany, through fund raising, gift and grant management; developing and managing real property; and providing a strong base of private-sector support through the efforts of Foundation Directors.

The policies and procedures related to the solicitation and acceptance of gifts and donations as well as the expenditure of funds can be found at www.albany.edu/uafoundation/ua_f_policies.shtml.

18. Time and Attendance Certification
Article XIII, Title I of the Policies of the Board of Trustees, (located at system.suny.edu/media/suny/content-assets/documents/boardoftrustees/SUNY-BOT-Policies-June2014.pdf) requires that employees certify their presence and record any absences on forms to be provided by the State. Employees are also required to record any charges to or accruals of vacation or sick leave credits. Such forms shall be submitted to the chief administrative officer, or designee, for review on a monthly basis. All teaching and professional staff enter any sick and vacation leave use, or no leave use, for the month utilizing the web-based system on the myUAlbany portal, located at www.albany.edu/myualbany.

19. Purchasing Policies and Procedures
The University at Albany follows policies and procedures of New York State and of the State University of New York regarding all purchases made with state funds. Information regarding these policies and the procedures for purchasing is available at http://www.albany.edu/purchasing/. Policies regarding purchases made with research funds through the Research Foundation are available at http://www.albany.edu/osp/u Albany-policies.php.

20. Travel Policies and Procedures
The University at Albany follows the policies and procedures of New York State and of the State University of New York regarding employee travel for official University purposes. Additional information about reimbursement and other policies and procedures governing travel is available at www.albany.edu/accounting/travel.php
21. **Internal Control Policies**

The University at Albany has implemented an Internal Control Program to comply with the *New York State Governmental Accountability, Audit and Internal Control Act* and to help ensure that the campus meets its mission. An Internal Control Program is the integration of the activities, plans, attitudes, policies, and efforts of the people of an organization working together to provide reasonable assurance that the organization will achieve its objectives and mission. **All employees** are responsible for:

- Fulfilling the duties and responsibilities established in their job description and meeting applicable performance standards.
- Taking all reasonable steps to safeguard University assets and resources against waste, loss, damage, unauthorized use, or misappropriation.
- Reporting breakdowns in internal control systems or suggesting improvements to their supervisor.
- Refraining from using their position to secure unwarranted privileges.
- Attending education and training programs as appropriate to increase awareness and understanding.

The **UAlbany Internal Control Hotline at 518-437-4738** provides a means for the confidential and anonymous reporting of observed or suspected wrongdoing. Additional information may be found at [www.albany.edu/internalcontrol/index.php](http://www.albany.edu/internalcontrol/index.php).

22. **Child Protection Policy (Minors)**

The State University of New York is committed to protecting the safety and well-being of children who participate in University-related programs and activities, whether on or off campus, or utilize campus facilities for activities including, but not limited to, sports camps, academic and personal enrichment programs and research studies. The SUNY System-wide Child Protection Policy was passed by Board on June 17, 2014. The policy sets protocols and mandates for campuses to follow when SUNY has children in its care, custody, and control. The SUNY Child Protection Policy, together with SUNY Guidance, resources and on-line training may be found here: [system.suny.edu/compliance/topics/childprotection/sunycpp/](http://system.suny.edu/compliance/topics/childprotection/sunycpp/)
Part 3: Academic Resources for Faculty
This Section provides a summary of resources available to faculty members to support their work as teachers and scholars.

A. University Libraries
B. Information Technology Services
C. Institute for Teaching Learning and Academic Leadership
D. Public Engagement
E. State University of New York (SUNY)-wide Academic Faculty Resources

A. University Libraries
The University Libraries library.albany.edu/ support the research, teaching, learning, and engagement missions of the University. The University Library and Science Library on the uptown campus and the Dewey Graduate Library on the downtown campus together house more than 2 million print volumes and provide access to hundreds of thousands of online resources. The Libraries provide access to e-books, streaming video, rare books and manuscripts, archives, sound recordings, DVDs, government documents, theses and dissertations, and many other resources that support research, teaching, and learning.

1. General Library Services
Access to the following Library services may be found at library.albany.edu/services/

- Circulation Services
- Information Commons
- Interactive Media Center
- Group Study Rooms
- Standish Room Reservations
- Printing and Photocopying - SUNY Card
- Library Technology Services
- Alumni Services
- People with Disabilities
- Online / Distance Learners

Reference and research services can be found at library.albany.edu/research/. They include services such as 24/7 chat, email, and telephone reference services; instruction and tutorials; and more in-depth research assistance by appointment.

2. Library Resources for Faculty
Library services to support the work of faculty can be found at libguides.library.albany.edu/faculty. These include the following services:

- Your Subject Librarian
- Library Guides
- Scholarly Metrics
- Database Access
- My Library Account
- Journals Access
- Interlibrary Loan (ILL) and UA Delivery
• **eBooks**
• **Recommendation for Library Purchase**
• **Scholars Archive** (a multidisciplinary repository of faculty research and scholarship)
• **Reserves - For Faculty & Instructors**
• **Technology**: Access to ITS Help, Interactive Media Center (IMC) software, and IMC hardware and equipment.

3. **Library Code of Conduct**
The Library Code of Conduct can be found at library.albany.edu/about/codeofconduct/?source=drop.

B. **Information Technology Services**
The Division of Information Technology Services provides a range of services, support and training to the University at Albany community. These are detailed at www.albany.edu/its/svc_list.php.

The ITS Help Desk provides technology support to the University community. For assistance, visit LC 27, call (518) 442-3700 (option 2) or submit a Help Request which can be found at www.albany.edu/its/help-request.html.

1. **Faculty Technology Resources**
The Faculty Technology Resources Group offers a variety of instructional technologies to support the face-to-face, blended and online classroom experience. Visit our Educational Technology Center in LC 27. Staff are available to work with faculty through workshops and individual consultation using a wide range of technologies. The following links provide additional information:

   • Blackboard Course Management System www.albany.edu/its/svc_blackboard.php
   • Classroom Technology www.albany.edu/its/svc_classtech.php
   • Clickers www.albany.edu/its/svc_clickers.php
   • Ensemble Video www.albany.edu/its/68552.php
   • Test Scanning Service www.albany.edu/its/svc_testscan.php
   • Video Conferencing Services www.albany.edu/its/svc_videoconf.php
   • Web Conferencing Services www.albany.edu/its/36696.php

   ITS works closely with the University Libraries to provide our Information Commons, where students can receive support with teaching and learning technologies and consulting for statistical software packages. Additional information can be found at www.albany.edu/its/svc_infocommons.php.

2. **Research IT**
   ITS maintains a high-performance computing environment in support of the University research community. Additional information can be found at www.albany.edu/its/svc_resconsult.php

3. **Email and Collaboration Services**
   All members of the University community receive a UAlbany Mail account and access to collaborative tools for sharing information. The following links provide additional information:

   • UAlbany Mail www.albany.edu/its/svc_ualbanymail.php
   • File Storage www.albany.edu/its/svc_filesvcs.php
   • Skype for Business (formerly Lync) www.albany.edu/its/svc_Lync.php
4. University Telephone and Voicemail Services
   Telephone and voicemail services are available to faculty/staff on all three campuses, including 911 and
   BlueLight Phone Emergency services. All office phones can make on-campus and local calls. A
departmental administrator will provide a phone security code to make long distance calls. All telephone
use should be for business purposes only. Voicemails can be retrieved from a private, password-
protected mailbox from any touch-tone phone, or via email. Additional information can be found at
www.albany.edu/its/svc_phone.php.

C. Institute for Teaching Learning and Academic Leadership (ITLAL)
The Institute for Teaching, Learning and Academic Leadership (ITLAL) offers programs of instructional,
curriculum and faculty development, including workshops and academies, individual consultations, services
for digitizing media used in classes, access to teaching resources, and research on teaching. Additional
information is available at www.itlal.org/.

D. Office of Public Engagement
The University's Office of Public Engagement supports the University's capacity to do public good, locally and
globally, through the advancement of research, teaching and community engagement initiatives that address
societal issues. Additional information may be found at www.albany.edu/publicengagement/.

E. State University of New York (SUNY)-wide Academic Faculty Resources
1. SUNY Center for Professional Development
   The SUNY CPD is a collaborative central resource for the SUNY community providing access to high quality
   professional development opportunities focused on the latest trends and established best practices in
   higher education to enhance the capability of SUNY faculty and staff and increase SUNY's competitive
   advantage. Additional information can be found at cpd.suny.edu/index.cfm.

2. Open SUNY Center for Online Teaching Excellence (COTE)
The Open SUNY Center for Online Teaching Excellence mission is to cultivate, support, and promote
system-wide excellence in online teaching and learning through faculty development opportunities,
resources and supports, and research and scholarship. Additional information can be found at
commons.suny.edu/cote/.

3. SUNY SAIL Institute (Strategic, Academic and Innovative Leadership)
The SAIL Institute is a system-wide think tank and leadership development organization dedicated to
advancing understanding and building human capacity. It serves the 64-campuses of the SUNY system
and higher education institutions across the United States by providing cutting edge leadership
development; inspiring institutions to think innovatively about improving student success, and shoring
research and analysis that helps leaders stay up-to-date on current issues and future trends. Through
self-assessments, workshops, retreats, executive coaching and other development opportunities, the SAIL
Institute builds the capacity of leaders today so they can lead the institutions of tomorrow. Further
information is available at sunysail.org/.
Part 4: Other University Resources

A. University Space Management
At the University at Albany physical space is allocated and managed as a budgeted resource with a high level of oversight and coordination to ensure consistency with large University goals and objectives, to provide a centralized clearinghouse for space-related information, and to support critical for oversight and coordination. Further information www.albany.edu/facilities/campusplanning/space.html

B. Keys, Locks, and Access to University Buildings
Facilities Management, through its Key Shop, manages locks and keying for all campus spaces, regardless of room/space type or function. No University key may be duplicated except by the Key Shop. The following guidelines help ensure campus wide safety and accountability: www.albany.edu/facilities/documents/KeyPolicy.pdf.

C. Employee ID Cards (SUNYCard)
While serving as an identification card, the SUNYCard provides access to buildings and classrooms, access to University Libraries services, and may also be used to ride UAlbany and certain Capital District Transportation Administration (CDTA) buses. Funds may also be deposited with the SUNYCard Office, which allows the card to be used to make purchases at campus venues and vending machines, as well as at some off-campus businesses. Information on the SUNYCard can be found at www.albany.edu/uas/ualbanyid.php

D. University Mail Services
University Mail Services receives mail each weekday morning from the U.S. Postal Service and provides delivery and pick up at various University locations once daily. Outgoing stamped mail or mail with a completed postage recharge slip mail may also be dropped off at the main mail facility. Personal mail may not be left in office out baskets but can be mailed using the green mail receptacles on campus for personal outgoing mail. Further details about mail services can be found at www.albany.edu/mailservice/faculty-staff-mail-services.php

E. Vehicle Registration and Parking
Every employee, student and visitor must register and purchase a parking decal for each vehicle that he or she may operate or park at the University and must park in appropriate areas of the campus. Details about parking can be found at www.albany.edu/pmts/Parking.php

F. Emergency and Safety Services
1. Emergency Calls for police, fire, and medical services
   Emergency calls on all campuses of the University at Albany may be made in one of the following ways:
• **518-442-3131** from cell phones or other non-University telephones to connect with the University Police Department dispatcher. (Dialing 911 from a non-University phone will connect to the county 911 dispatcher and could delay response time.)

• **911** – from University telephone extensions will connect with the University Police Department

• **University blue light phones** located in buildings and exteriors throughout the campuses also connect directly to UPD.

2. **University Police Department**

   The University Police Department provides 24-hour-a-day services to the University at Albany. Additional information and resources related to campus safety and crime can be found at [police.albany.edu/](http://police.albany.edu/)

   The University’s *Annual Security & Fire Safety Report*, which consists of crime statistics for the past three years; fire statistics for the past three years; and the University's current campus policies related to personal, property and fire safety can be found at [police.albany.edu/ASR.pdf](http://police.albany.edu/ASR.pdf)

3. **Five-Quad Ambulance Service**

   Five Quad V.A.S. is a New York State certified ambulance agency operated by University at Albany students since its founding in 1973. Five Quad serves the University at Albany community, as well as the surrounding areas of Albany and Guilderland. Five Quad provides Basic Life Support 24 hours a day, seven days a week during the fall and spring semesters. Additional information is available at [www.albany.edu/~fivequad/index.html](http://www.albany.edu/~fivequad/index.html).