

**State University of New York  
Downstate Medical Center**

**Faculty Handbook**

## Preface

This handbook contains information about SUNY Downstate Medical Center and the policies under which it operates. Most of the information is applicable to academic and professional employees, although the information concerning academic rank applies only to academic employees.

This is not an official publication, in that it is not intended to supersede but rather to supplement and interpret other official publications and documents of the university or the state, such as the *Policies of the Board of Trustees* or state education, finance, civil service, and retirement laws.

New academic and professional employees are asked to refer also to material distributed at the time of appointment, as well as to publications available from the Office of Human Resources.

In addition, many of the publications and policy statements referred to in this handbook can be found in the reference section of the library.

# FACULTY HANDBOOK

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# **Section 1**

## **An Introduction to the State University of New York Downstate Medical Center**

**Overview of the State University System  
State University Campuses  
Downstate Medical Center  
Constituent Colleges and University Hospital of Brooklyn  
Mission Statement of Downstate Medical Center  
Historical Highlights**



## **Overview of the State University System**

Downstate Medical Center is one of 64 campuses in the State University of New York (SUNY) system. SUNY's geographically dispersed campuses bring educational opportunity within commuting distance of virtually all New Yorkers and comprise the nation's most diverse system of public higher education. When founded in 1948 by an act of the State Legislature, the university consolidated 29 state-operated but unaffiliated institutions whose varied histories of service dated as far back as 1816. SUNY has grown to a point where its impact is felt educationally, culturally, and economically throughout the state.

As a comprehensive public university, SUNY provides a meaningful educational experience to the broadest spectrum of individuals. Over 410,000 students are pursuing traditional study in classrooms and laboratories or are working at home, at their own pace, through such innovative institutions as Empire State College, for over two decades a leader in nontraditional education, distance learning, and assessment of prior learning.

SUNY's students are predominantly New York State residents, representing every one of the state's 62 counties. SUNY students also come from every other state in the United States, from four U.S. territories or possessions, and from more than 170 foreign countries.

SUNY enrolls one-third of all New York State high school graduates, and its total enrollment of over 410,000 (full-time and part-time) is nearly 40 percent of the state's entire higher education student population. Between 1976 and 1991, the University recorded a 144.5 percent increase in the enrollment of African, Asian, Hispanic and Native Americans, compared with a 63 percent average increase among colleges and universities across the state.

Because of its structure and comprehensive programs, SUNY offers students a wide diversity of educational options from which to select: short-term vocational/technical courses, certificate programs, baccalaureate degrees, graduate degrees, and post-doctoral studies. The University offers access to almost every field of academic or professional study somewhere within the system--some 6,688 programs of study overall.

New programs are developed every year as SUNY responds to the advancement of knowledge and to society's needs into the next century. Curricula range from those in the more conventional career fields, such as business, engineering, medicine, teaching, performing arts, social work, finance and forestry, to those concerned with tomorrow's developing and societal needs in the areas of environmental science, urban studies, immunology, information systems, biotechnology, telecommunications, microbiology, and health services management.

As part of the University's commitment to bring to the students of New York the very best and brightest scholars, scientists, artists, and professionals, SUNY's distinguished faculty is recruited from the finest graduate schools and universities throughout the United States and many countries around the world, and includes nationally and internationally recognized figures in all the major disciplines. Their efforts are regularly recognized in numerous prestigious awards and honors.

State University's research contributions are helping to solve some of today's most urgent problems. At the same time, contracts and grants received by University faculty directly benefit the economic development of the regions in which they are located, and translate into jobs for 8,000 New Yorkers at SUNY laboratories across the state.

SUNY researchers pioneered nuclear magnetic resonance imaging, introduced time-lapse photography of forestry subjects, isolated the bacteria that cause Lyme disease, and developed the first

implantable heart pacemaker. Other University researchers continue important studies in such wide-ranging areas as immunology, marine biology, sickle-cell anemia, and robotics, and make many of other contributions, inventions, and innovations that benefit society.

The University's program for the educationally and economically disadvantaged, consisting of Educational Opportunity Programs (EOP) and Educational Opportunity Centers (EOC), has become a model for delivering better learning opportunities to young people and adults traditionally bypassed by higher education. Over the past 23 years, almost 320,000 New York State residents have been served.

EOPs currently serve 11,300 students at 48 SUNY campuses, providing counseling and tutoring to improve scholastic performance and support services in such areas as academic planning, housing, and financial aid. At EOCs in 11 locations across the state, an additional 14,000 students are improving educational competencies, preparing for college entry, or learning marketable skills and occupations.

The 30 locally sponsored, two-year community colleges operating under SUNY offer local citizens programs that are directly and immediately job-related, as well as degree programs that serve as job-entry educational experience or a transfer opportunity to a baccalaureate degree at a senior campus. In the forefront of efforts to meet the accelerating pace of technological developments and the requirements of continuing educational opportunity, they provide local industry with trained technicians and help companies and employees in retraining and skills upgrading.

As a public university, SUNY has a special responsibility to make its rich and varied resources accessible to all. By focusing its educational system on the needs of the state, the University becomes a valuable resource for meeting those needs for today and tomorrow.

Through the SUNY 2000 planning project, the University is making a special effort to look ahead to the next century by examining New York State's higher education needs for a increasingly diverse population, including responses to new work-force needs, a changing economy, the burgeoning demand for health-care reform, the need for strengthening public education, and higher education's role as a mechanism for greater social and economic justice.

SUNY's involvement in the health sciences and health care is extensive and responsive to the rapid changes in society and the growing needs identified by the state's public health community. Hundreds of thousands of New York's citizens are served each year by medical and health sciences faculty and students in University hospitals and clinics or affiliated hospitals.

The University's Economic Development Services programs provide research, training, and technical assistance to the state's business and industrial community, with access to SUNY's diversity through Business and Industry Centers, the New York State Small Business Development Center, Rural Services Institutes, the Trade Adjustment Assistance Center, Technical Assistance Centers, Small Business Institutes, Centers for Advanced Technology, and international development.

SUNY's libraries, the major resource which supports the teaching and research activities of its students and faculty, are an important community resource too. Of the more than six million items circulated by SUNY campus libraries last year, over a third of a million were made available to the wider community by lending books to non-SUNY institutions, including public, school, special, and business libraries. Attendance at the University's libraries for the year was more than 20 million students, faculty, and public citizens. The Library Automaton Implementation Program (LAIP), which is establishing a network of shared library catalogs accessible from all campuses, is in its third year of implementation.

The University passed a major milestone in the mid-1980s when it graduated its one-millionth alumnus, and numbers more than 2.4 million graduates on its rolls. Most of SUNY's alumni reside and pursue careers in communities across New York State, contributing to the economic and social vitality of its people.

State University of New York is governed by a Board of Trustees appointed by the Governor, which directly determines the policies to be followed by the 34 state-supported campuses. Community colleges have their own local boards of trustees whose relationship to the SUNY Board is defined by law.

The University's motto is "To Learn--To Search--To Serve."

### **State University Campuses**

#### *University Centers*

University at Albany  
Binghamton University  
University at Buffalo  
Stony Brook University

#### *Colleges of Arts and Sciences*

SUNY Brockport  
Buffalo State College  
SUNY Cortland  
Empire State College  
SUNY Fredonia  
State University of New York College at Geneseo  
SUNY New Paltz  
State University of New York College at Old Westbury  
State University of New York College at Oneonta  
State University of New York at Oswego  
State University of New York at Plattsburgh  
State University of New York at Potsdam  
Purchase College of the State University of New York

#### *Centers for the Health Sciences*

Downstate Medical Center  
Upstate Medical University  
SUNY State College of Optometry  
Health Science Center, State University at Buffalo\*  
Health Science Center, State University at Stony Brook\*

#### *Agricultural and Technical Colleges*

Alfred State College  
SUNY Canton  
SUNY Cobleskill  
SUNY Delhi  
Farmingdale State  
Morrisville State College

*Specialized Colleges*

SUNY College of Environmental Science and Forestry  
State University of New York Maritime College  
SUNY Institute of Technology  
Fashion Institute of Technology \*\*

*Statutory Colleges \*\*\**

New York State College of Agriculture and Life Sciences at Cornell University  
New York State College of Ceramics at Alfred University  
New York State College of Human Ecology at Cornell University  
School of Industrial and Labor Relations at Cornell University  
New York State College of Veterinary Medicine at Cornell University

*Community Colleges*

Adirondack Community College at Glens Falls  
Broome Community College at Binghamton  
Cayuga County Community College at Auburn  
Clinton Community College at Plattsburgh  
Columbia-Greene Community College at Hudson  
Community College of the Finger Lakes at Canandaigua  
Corning Community College at Corning  
Dutchess Community College at Poughkeepsie  
Erie Community College at Williamsville, Buffalo and Orchard Park  
Fulton-Montgomery Community College at Johnstown  
Genesee Community College at Batavia  
Herkimer County Community College at Herkimer  
Hudson Valley Community College at Troy  
Jamestown Community College at Jamestown  
Jefferson Community College at Watertown  
Mohawk Valley Community College at Utica  
Monroe Community College at Rochester  
Nassau Community College at Garden City  
Niagara County Community College at Sanborn  
North Country Community College at Saranac Lake  
Onondaga Community College at Syracuse  
Orange County Community College at Middletown  
Rockland Community College at Suffern  
Schenectady County Community College at Schenectady  
Suffolk County Community College at Selden, Riverhead, Brentwood  
Sullivan County Community College at Loch Sheldrake  
Tompkins Cortland Community College at Dryden  
Ulster County Community College at Stone Ridge  
Westchester Community College at Valhalla

\* The Health Science Centers at Buffalo and Stony Brook are operated under the administration of their respective university centers.

\*\* While authorized to offer such baccalaureate and master's degree programs as may be approved pursuant to the provisions of the Master Plan, in addition to the associate degree, the Fashion Institute of Technology is financed and administered in the manner provided for community colleges.

\*\*\* These operate as "contract colleges" on the campuses of independent universities.

## **Downstate Medical Center**

SUNY Downstate Medical Center (DMC) is the sole academic medical center serving the over 2.4 million residents of Brooklyn, as well as residents of Queens and Staten Island. It consists of a College of Medicine, a School of Graduate Studies, a College of Nursing, a College of Health Related Professions, extensive graduate medical education and research facilities, and the 376-bed University Hospital of Brooklyn. It is affiliated with a number of regional hospitals, including Kings County Hospital Center, one of the largest hospitals in the New York City Health and Hospitals Corporation system.

Downstate is one of four SUNY health science centers. Its history spans more than 135 years, during which time it has undergone several name changes. Initially chartered as the Long Island College Hospital, it was renamed the Long Island College of Medicine in 1930. The "Downstate" era began in 1950, when a merger contract was signed with the newly constituted State University of New York to create Downstate Medical Center. The College of Nursing, College of Health Related Professions, and School of Graduate Studies were founded in 1966. In 1986 the Board of Trustees changed the name to the Health Science Center at Brooklyn to reflect the full scope of the Center's activities. Today, the Health Science Center at Brooklyn, known as SUNY Downstate Medical Center, encompasses a campus of 13 acres, with a total student body of 1,600, a faculty of nearly 3,500 (including full-time, part-time, and voluntary faculty) and support staff of approximately 3,000.

Downstate has traditionally served a distinct population of students--many are from Brooklyn itself and the New York City region, many are from disadvantaged backgrounds, and many are immigrants or children of immigrants just getting their start in American society. Over 90 percent of our entering classes in nursing and allied health come from New York City, as do over 50 percent of our matriculating medical students. Approximately a third of our students are from underrepresented minority groups.

Downstate and its colleges maintain affiliations with a number of area hospitals (see each college's *Bulletin* for its list of affiliates). The two primary teaching sites are University Hospital of Brooklyn and Kings County Hospital Center. As the major teaching affiliate of Downstate, Kings County Hospital Center shares with University Hospital and Downstate's other affiliates approximately 800 residents and fellows in integrated residency programs.

As a teaching center, Downstate and University Hospital of Brooklyn offer a number of specialized services and technologies. Over thirty general and subspecialty residency and fellowship programs are supported, as is biomedical research performed by Downstate faculty. A number of programs are unique within Brooklyn, or are provided in conjunction with only one or two other facilities. For example, Downstate is a regional referral center for neonatology, transplantation and pediatric hemodialysis and offers a rich resource of sophisticated medical facilities, many of which are not available elsewhere in the region. Downstate physicians provide specialized care in respiratory disease, diabetes and other metabolic disorders, HIV/AIDS, sports medicine, pediatric neurosurgery, cardiology and rheumatology. University Hospital physicians perform specialized procedures such as organ transplants, cardiothoracic surgery and neurosurgery.

Downstate also has a long history of commitment to community health. Through the Center for Community Health Promotion and Wellness, the medical center participates in numerous community health promotion outreach activities in collaboration with senior citizen centers, churches and other faith groups, community based organizations, public officials, local school districts and business entities. Programs to promote health and education include Expectant Family Education, Cardiac Screening, Health Fairs, a Mobile Asthma Center, Community Health Lectures, Smoking Cessation Programs and similar programs targeting Brooklyn's special needs. Downstate provides leadership in a crucial area of contemporary life, dealing with some of the difficult problems that are found primarily in urban areas, and serving a largely underserved population.

## **Constituent Colleges and University Hospital of Brooklyn**

Downstate comprises four separate but interrelated colleges (see the [Bulletin](#) of each college for more information):

### *College of Medicine (COM)*

The College of Medicine offers a Doctor of Medicine (M.D.) degree program, a Masters of Public Health (M.P.H.) degree program and, in conjunction with the School of Graduate Studies, a combined Doctor of Medicine / Doctor of Philosophy (M.D./Ph.D.) program. It also sponsors a combined Bachelor of Arts / Doctor of Medicine (B.A./M.D.) program in concert with Brooklyn College.

Like many American medical schools, the College of Medicine has adopted a multidisciplinary, systems-based curriculum in the first and second years. The first year teaches the normal structure and function of the body; the second year begins the study of human disease, its diagnosis, prevention and treatment. In addition to instruction in the basic sciences, the curriculum includes one day of clinical experience each week. The disciplines (i.e. Gross Anatomy, Biochemistry, etc.) have been integrated and organized into blocks based on organ systems. Each block incorporates various teaching modalities, including lectures, case-based learning, laboratories and conferences. Each block is taught using a combination of our traditional and problem-based learning formats. This involves small group, case-based sessions, lectures, laboratories and conferences.

The third and fourth years are devoted to clerkships (required introductory clinical courses) in each of the clinical disciplines, with the student functioning as a member of a health-care team under close faculty and resident supervision. As clinical experiences have been incorporated into the first two years, advanced basic science and research have been incorporated into the third and fourth years, including an intensive Back to Basic Science course during the spring of the fourth year.

The COM has a long and distinguished history, dating back to 1856. (See "Historical Highlights" below). Many significant events and distinguished names comprise the early history of the COM. Among its founding faculty members were the physician who perfected the use of the stethoscope in physical diagnosis, the first physician to use skin grafting, and the first American to teach physiology by conducting classroom experiments on laboratory animals.

Since then, the COM has had many faculty members and alumni who were innovators in medicine. One of our faculty members, for example, invented the portable "suitcase" kidney and established the nation's first federally funded dialysis program; another performed the first successful open-heart surgery in the state; and the first human images using magnetic resonance imaging were produced here.

In 1998, Dr. Robert Furchgott was awarded the Nobel Prize in Physiology or Medicine for his discovery of endothelium-derived relaxing factor (EDRF), a mysterious chemical in the inner linings of the arteries that controls the artery's widening and narrowing and his subsequent study of EDRF's nature and mechanism from which he concluded that EDRF is in fact the tiny molecule nitric oxide (NO). Based on Dr. Furchgott's research, laboratories around the globe detailed EDRF's importance in the body's physiology, from regulating blood pressure to preventing blood clots.

### School of Graduate Studies (SGS)

In 1956, Chandler McCuskey Brooks, then Chairman of the Department of Physiology, established the Graduate Educational Program at Downstate. The School of Graduate Studies originally comprised separate Doctor of Philosophy (Ph.D.) programs in each of the basic science departments. The School of Graduate Studies was formally established in 1966, with Dr. Brooks as Dean, and a formal MD/PhD program was initiated in 1968. In 1974, Dr. Paul Dreizen succeeded Dr. Brooks and served as Dean until 1997, when Dr. Susan Schwartz-Giblin was appointed. Dr. Schwartz-Giblin has overseen the reorganization of the graduate school into two interdepartmental Ph.D. programs, namely, the Neural and Behavioral Science program that was organized before her arrival but that has revised its curriculum, and a new Molecular and Cellular Biology Program approved in July 2001. The interdisciplinary and interdepartmental structure fosters research collaborations and consolidates educational and scientific resources. In addition, a proposal for a Joint SUNY/Polytechnic University Ph.D. Program in Biomedical Engineering has been submitted and enthusiastically reviewed at a site visit in May 2004; approval by SUNY has been received and New York State Education Department approval is pending.

For academic year 2004-2005, 65 students are enrolled in Ph.D. programs and 24 students are pursuing dual M.D./Ph.D. degrees within the research areas of either Neural and Behavioral Science or Molecular and Cellular Biology. Graduate students are admitted by either of two school-wide admissions committees: one for the PhD and the other for the dual degree.

The Faculty of the School of Graduate Studies have their primary appointments in basic science and clinical departments of the College of Medicine, and uncompensated joint appointments in a doctoral program. There are approximately 100 members of the graduate faculty. Their activities include sponsoring students for thesis research or laboratory rotations, participating in the teaching of graduate courses, journal clubs and seminars and serving on thesis advisory committees.

### College of Health Related Professions (CHRP)

The College of Health Related Professions offers programs of study leading to the Bachelor of Science (B.S.) degree, as well as credit and non-credit bearing certificate programs. The B.S. degree is granted in six allied health fields: Diagnostic Medical Imaging, Occupational Therapy, Physical Therapy, Physician Assistant Education, Medical Informatics, and Midwifery. These are transfer programs that are open to students who have successfully completed at least two years of college study or the equivalent. A credit-bearing certificate program is offered in Midwifery.

The mission of the College of Health Related Professions is to educate health care professionals in the delivery of excellent health care service by developing their scientific competence and fostering their humane spirit. The College seeks to accomplish this by providing a challenging and supportive atmosphere for learning that offers opportunities for structured experiences as well as independent inquiry. The faculty contribute to knowledge in allied health through advancements in clinical practice, scholarly activities, basic and applied research. Collaboration is emphasized among students, faculty, clinicians and professionals in health care and related disciplines. Students are prepared for professional leadership roles through course work, professional and campus activities. The College fosters ongoing professional growth by sponsoring continuing education opportunities in all disciplines. The College strives to serve the urban community in which it is located by providing health services and education to the population.

The achievements of CHRP faculty members are significant. Collectively, faculty have been awarded grants of over \$2 million and have been recognized with awards including the SUNY Chancellor's Award for Excellence in Teaching; the Health Information Management Association of NYC Distinguished Member Award; the New York State Society of Physician Assistants' annual award, and numerous fellowships in professional associations. Many faculty are leaders in local, state and national professional organizations.

### College of Nursing (CON)

The College of Nursing offers upper-division undergraduate and graduate education to more than 350 full-time and part-time students, who may be Registered Nurses completing requirements for the Bachelor of Science or Master of Science degree in advanced nursing practice. Undergraduate programs include an accelerated baccalaureate and a Registered Nurse to Bachelor of Science program. The CON offers Masters level programs in Clinical Nurse Specialist, Family Nurse Practitioner, Women's Healthcare Practitioner, Nurse Anesthesia and Nurse Midwifery. For nurses who hold master's degrees, the college offers certificate programs for preparation as Nurse Practitioners or Women's Nurse Practitioners.

All CON degree programs are approved and registered by the State University of New York and by the New York State Education Department and are fully accredited by the National League for Nursing. A highly qualified, diverse, and dedicated faculty presents opportunities for students to study at all levels in a variety of special content areas.

The goals of the College of Nursing reflect its commitment to promoting a spirit of inquiry; developing the College of Nursing as a center for nursing scholarship; fostering clinical excellence; and bettering the health of the urban community.

### University Hospital (UHB)

University Hospital of Brooklyn is the teaching and clinical research affiliate of SUNY Downstate Medical Center, the only academic medical center providing patient care, education, research and community services for the nearly 5 million people living in Brooklyn, Queens and Staten Island--a broad and diverse population with a variety of specialized health needs.

As a teaching center, University Hospital of Brooklyn offers a number of specialized services and technologies. More than twenty-five general and subspecialty residency and fellowship programs are supported, as is biomedical research performed by the faculty of the Medical Center. Integrated residency programs are offered with over a dozen affiliated hospitals, including Kings County Hospital Center and New York Harbor Healthcare System (the Brooklyn VA hospital).

The Hospital is a regional referral center for neonatology, transplantation and pediatric hemodialysis and offers a rich resource of sophisticated medical facilities, many of which are found nowhere else in the region. Physicians refer patients here for diagnosis, treatment and rehabilitation services that require our advanced technologies. Patients are also referred for specialized care in respiratory disease, diabetes and other metabolic disorders, HIV/AIDS, sports medicine, pediatric neurosurgery, cardiology and rheumatology. University Hospital physicians perform such specialized procedures as organ transplants, cardiothoracic surgery, neurosurgery, cancer treatment, pediatric surgery and care for patients with a wide range of inherited, rare and chronic diseases.

University Hospital of Brooklyn is committed to providing quality health care to the people of Brooklyn and beyond. To expand access to medical services, our Emergency Care Center sees patients 24 hours a day, seven days a week. The Hospital also operated 3 satellite health centers to serve community healthcare needs; The Family Health Services Center at 840 Lefferts Avenue, The Center for Healthcare Services at Midwood at 2171 Nostrand Avenue and the Center for Healthcare Services at Bedford Stuyvesant located at 613 Throop Avenue.



## **Mission Statement of Downstate Medical Center**

(<http://www.downstate.edu/ia/mission.htm>)

### **Mission statement of Downstate Medical Center (encompassing the College of Medicine):**

SUNY Downstate is the sole academic medical center located in the heart of one of our nation's largest, most ethnically diverse, working-class urban communities. With our schools of higher education, our goal is to train the next generation of physicians, nurses, health-care professionals and researchers serving our community and New York State. Through our research facilities, our mission is to advance the medical sciences to the community at large. Through our hospital and education affiliates, our mission is to serve the health-care needs of the 2.6 million residents of Brooklyn and Staten Island. Through graduate and continuing medical education, our mission is to provide lifelong learning opportunities for our physicians, nurses, and allied health professionals. We aspire to have a staff that is representative of the diverse ethnic populations we serve and to become more efficient and cost-effective in achieving our mission.

SUNY Downstate's Colleges of Medicine, Health Related Professions, Nursing and the School of Graduate Studies offer students a broad professional education that will prepare them for practice or careers in any location and community. This education provides exceptional opportunities for those students with a commitment to promoting health in urban communities and addressing the complex challenges of investigating and preventing diseases that confront clinicians, educators, and researchers in such an environment. This special aspect of Downstate's unique mission is reflected in the students it attracts and selects, the vast majority of whom are drawn from the New York City Metropolitan area. Many of these students are members of minority and cultural groups underrepresented in the health professions, and/or come from families of first-generation immigrants or from economically disadvantaged backgrounds.

The differences in the background and outlook that students bring with them can enhance the quality of the educational experience of all students at SUNY Downstate. The belief that diversity adds an essential ingredient to the educational process is one of the tenets of SUNY Downstate. Many factors, such as race, ethnic or cultural background, academic achievement, geographic location, diversity of experiences, leadership roles, and socioeconomic background, are taken into consideration in the admissions process. A diverse health care work force will be better equipped to provide culturally competent care to an increasingly diverse population.

### **Mission Statement of the College of Medicine:** (As developed by an Institutional Strategic Planning Committee in 1995 and stated in the bulletin of the College of Medicine)

Our primary mission is to make high-quality education available to New York State's next generation of health professionals. Integral to our concept of professional education is a commitment to confront the health problems of urban communities and a responsibility to advance the state of knowledge and practice in the health disciplines through basic and clinical research.

The primary goal of the College of Medicine is to graduate excellent physicians who will take their place in one of the many facets of medicine. Whether the student's ultimate goal is general or specialty practice, research, medical administration or academic medicine, the College provides a comprehensive educational experience for all students.

## **Historical Highlights**

The State University of New York Downstate Medical Center traces its history to 1856 with the founding of the Brooklyn German General Dispensary by Dr. Louis Bauer and a group of German-American

physicians. The original intention of the founders of the Dispensary was to build a hospital to care for a predominantly German population. However, the nationality of the local inhabitants was changing, with the Irish immigration sweeping into Brooklyn. Dr. Bauer worked with several other prominent Brooklyn physicians to organize a charitable institution called St. John's Hospital. At the same time, several other Brooklyn physicians led by Dr. Williams Dudley were touring Europe to study methods of medical education for want of a medical school in Brooklyn. They were particularly interested in the advantages of basing medical schools in hospitals rather than in universities as was done in Europe. After joining forces with Dr. Bauer, the name of St. John's Hospital was changed to the Long Island College Hospital to reflect the intentions of the organizers to combine medical education and hospital care. The Long Island College Hospital Collegiate Division has operated continuously since March 29, 1860.

The first curriculum was highly structured when compared with the chaos which reigned in other American medical schools at the time. Many were affiliated with neither a hospital nor a university. Indeed, most of those schools had absolutely no patient contact, so clinical teaching was a truly innovative approach. It is important to note that this was 33 years before the opening of Johns Hopkins Medical School and 50 years before the famed Flexner Report on medical education. Walsh, in his History of Medicine in New York, published in 1919, stated:

To the Long Island College Hospital of Brooklyn belongs the distinction of having inaugurated the hospital-college system of medical instruction in this country; at the time its medical college was organized, it was the only professional school in the United States conducted on that plan of instruction.

A national search yielded a distinguished faculty that included the illustrious Dr. Austin Flint, an early devotee of the stethoscope. Dr. Flint's name is still associated with a specific heart murmur. The first course of lectures began on the evening of Thursday, March 29, 1860 and twenty-one students graduated on July 24, 1860.

The Hospital was originally housed in a private mansion, the Perry Estate, in Brooklyn Heights, which served until a new building was erected in 1905. At that time, there were only two hospitals in Brooklyn: the Long Island College Hospital and Brooklyn City Hospital which opened in 1845. The Kings County Hospital, which was founded as an almshouse and was providing medical care by 1832, was located in the remote village of Flatbush. Consequently, it was easier to transport patients to a New York hospital by ferry than it was to transport them to Kings County Hospital by horse-drawn carriage.

There were many distinguished events and participants in the institution's subsequent history. In 1888, Cornelius N. Hoagland built and endowed the Hoagland Laboratory, one of the finest and best equipped buildings for medical teaching and research in the country, and Henry D. Polhemus' family endowed the Polhemus Memorial Building in 1898. The x-ray machines and other state-of-the-art-medical equipment in the Polhemus Building (which still stands) were used to care for sick and wounded soldiers of the Spanish American War.

One of the most distinguished alumni and faculty members of the Long Island College Hospital was Alexander J.C. Skene, a Scotsman, who graduated in 1863. Dr. Skene was chair of the department of gynecology and served as dean and president of the institution. He was the first president of the alumni association. Dr. Skene is the only person from Long Island for whom an anatomical part is named: glands in the female genitalia which he first described in 1880. Dr. Skene was a prolific writer, having published over 100 scholarly articles, five medical textbooks and a Victorian romance novel. He is the only gynecologist who has a statue commemorating him in a public place in Brooklyn.

In 1929, the faculty decided there should be a separation of the college and the hospital and in 1930 the school was rechartered as the Long Island College of Medicine, with affiliates established at Kings County, Brooklyn Jewish, Greenpoint, Kingston Avenue, and Coney Island Hospitals. The following year, Methodist Episcopal and Brooklyn Hospitals were added as affiliates. The Long Island College Hospital retained its name and still provides healthcare at the institution's original site.

On April 5, 1950, a merger contract was signed between the Long Island College of Medicine and the newly constituted State University of New York (SUNY), the largest multi-level system of higher education in the world. The Long Island College of Medicine was one of two existing medical schools to merge with the State University. In the early 1950s the school moved to its present site in Flatbush to be closer to its largest affiliated hospital, Kings County Hospital. In 1966 a School of Graduate Studies, a College of Nursing and a College of Health Related Professions was added along with a University Hospital, making the campus a true Health Science Center. Today, Downstate is one of sixty-four campuses across the state and one of four Health Science Centers associated with the State University of New York.

## **Section 2**

# **Downstate Medical Center Administration and Organization**

### **Executive Structure**

**President  
President's Cabinet  
Vice Presidents  
Colleges and University Hospital of Brooklyn**

## **Executive Structure**

### **President**

The President of Downstate Medical Center is the Chief Administrative Officer of the Medical Center, responsible to the Chancellor and Board of Trustees. The President administers the Medical Center, guides and promotes its development, and ultimately supervises all personnel. The President also appoints members of the professional and nonacademic staff, prepares and recommends the annual budget, and makes recommendations to the Chancellor, the Board of Trustees, and the campus council concerning the operation, plans, and development of the medical center. The President also shall assure that no actions are taken under the clinical practice plan that are inconsistent with the educational mission of the medical center.

### **President's Cabinet**

The President's Cabinet, comprised of senior managers, meets regularly to discuss major issues. Members of this cabinet include:

Executive Vice President and Chief Operating Officer  
Senior Vice President for Institutional Advancement and Philanthropy and Vice President for Academic Affairs  
Senior Vice President for Biomedical Education and Research and Dean of the College of Medicine  
Senior Vice President and Chief Financial Officer  
Senior Vice President for Clinical Affairs and Chief Executive Officer (UHB and Clinical Practice)  
Vice President for Biotechnology and Scientific Affairs  
Vice President for Student Affairs and Dean of Students  
Vice President for Managed Care and Clinical Business Plan Development  
Vice President for Human Resources  
Vice President for Facilities  
Vice President for Compliance and Audit Services  
Assistant Vice President for Planning  
Assistant Vice President for Peri-Operative Services  
Dean of the School of Graduate Studies  
Dean of the College of Nursing  
Dean of the College of Health Related Professions  
Executive Director of University Physicians of Brooklyn, Inc.  
Chief Medical Officer  
Associate Dean for Administration  
Chair, Clinical Chairs Group  
Chair, Clinical Practice Management Plan Governing Board  
Director of Community Relations  
Director of Nursing and Chief Nursing Officer  
Director of Institutional Advancement

## **Vice Presidents**

Executive Vice President and Chief Operating Officer

Vice President for Human Resources

Vice President for Facilities

Assistant Vice President for Student Life

Assistant Vice President for Design and Construction

Senior Vice President for Biomedical Education and Research and Dean, College of Medicine

Vice Dean

Vice President for Student Affairs and Dean of Students

Dean, School of Graduate Studies

Basic Science and Clinical Department Chairs

Associate Dean for Administration

Office of Education

Associate Dean for Education

Assistant Dean for Clinical Education

Assistant Dean for Program and Faculty Development

Associate Dean for Minority Affairs

Associate Dean for Graduate Medical Education

Clinical Associate Dean

Senior Vice President for Institutional Advancement and Philanthropy and Vice President for Academic Affairs, Executive Dean of the College of Nursing and the College of Health Related Professions

Dean, College of Health Related Professions

Dean, College of Nursing

Senior Vice President for Clinical Affairs & Chief Executive Officer, University Hospital of Brooklyn

Vice President for Hospital Operations / Chief Administrative Officer, UHB

Vice President for Managed Care

Assistant Vice President for Peri-operative Services

Assistant Vice President for Hospital Finance

Chief Medical Officer and Medical Director

Executive Director of Clinical Practice Management Plan / University Physicians of Brooklyn

Senior Vice President and Chief Financial Officer

Assistant Vice President for Financial Planning and Analysis

Assistant Vice President and Chief Information Officer

Assistant Vice President for Materials Management

Vice President for Compliance and Audit Services

Vice President for Biotechnology and Scientific Affairs

Assistant Vice President for Scientific Affairs

Assistant Vice President for Planning

## **Colleges**

The organization of the Medical Center's administrative structure and its constituent colleges is as follows:

### **College of Medicine**



### **School of Graduate Studies**

The fundamental organization of the SGS is based upon its two Graduate Programs, Neural and Behavioral Science and Molecular and Cellular Biology. Each program has a Director and Executive Committee of five faculty all elected by the faculty within each program. The Director serves for a two-year term which may be renewed for one term at a time, i.e., with a hiatus required for renewal.

### **College of Nursing**



### **College of Health Related Professions**



## **Section 3**

# **Governance Structure**

**University-Wide Governance**

**University Faculty**

**University-Wide Faculty Senate**

**Downstate Medical Center Governance Structure**

**Campus Council**

**Faculty and Professional Staff Assembly**

**Centerwide Committee**

**Students and Governance**



## **University-Wide Governance**

The responsibility for the governance of the SUNY system rests with a Board of Trustees consisting of sixteen distinguished citizens appointed by the Governor for staggered seven-year terms. The basic structure of the University is described by the Policies of the Board of Trustees (the "Policies"), which include definitions of the roles, authority, and responsibilities of the University and campus officers and the faculty and the principles governing the appointment, evaluation, and promotion of faculty and professional staff. The Board appoints the Chancellor, who is the chief executive officer of the university. The Board is also responsible for determining educational policy matters for the University, setting tuition, and approving its budget.

SUNY governance rules, organizational structure, and faculty appointment policies are specified in *Policies of the Board of Trustees*, which is available in the Benefits Office and online at [http://www.suny.edu/Board\\_of\\_Trustees/PDF/Policies.pdf](http://www.suny.edu/Board_of_Trustees/PDF/Policies.pdf).

Because term appointments to the board are staggered, the board membership roster changes from time to time. An up-to-date listing of the SUNY Board of Trustees members can be found online at [http://www.suny.edu/Board\\_of\\_Trustees/index.cfm](http://www.suny.edu/Board_of_Trustees/index.cfm).

## **University Faculty**

The *Policies of the Board of Trustees* provide that the university faculty is responsible for "the conduct of the university's instruction, research, and service programs."

The university faculty comprises the Chancellor, the executive and administrative officers of the university (all of whom have voting privileges), and all members of the faculty of each college (with voting privileges limited to staff having academic rank and term or continuing appointments). Voting members also include the chief administrative officer of each college and such other officers and staff members as may be specified by the faculty bylaws of each college.

## **University-Wide Faculty Senate**

The Faculty Senate is the official agency through which the university faculty engages in the governance of SUNY. Comprised of peer-elected representatives from all state-operated campuses and statutory colleges, the Senate is concerned with effective educational policies and other professional matters within the university. It provides a forum for faculty and professional staff to discuss common concerns with representatives of other campuses, the SUNY Board of Trustees, members of the central administration, campus presidents, and local governance leaders. It also serves as an advisory body to the Chancellor on University policy matters.

The Senate is composed of the SUNY Chancellor, two SUNY representatives having university-wide responsibilities, and representatives from each college. (The number of representatives from each college ranges from one to four, depending on the size of each college's faculty.) Downstate is represented by two senators and two alternate senators.

The faculty members of each college elect their own representatives and alternates by majority vote from a slate of two or more candidates nominated by secret ballot or by an elected faculty nominating committee. The term of each representative is three years.

Regular meetings of the Senate are held at least twice a year at various campuses on a rotating basis. The Executive Committee determines the time and place of meetings. The Senate may establish such standing committees as it deems advisable. Faculty and staff are appointed for one-year terms, and reappointments for up to three consecutive years are possible. Currently, the Faculty Senate has seven standing committees in addition to the Executive Committee: Awards, Governance; Graduate Academic Programs and Research; Operations; Public Information; Student Life; and Undergraduate Academic Programs and Policies. The committees participate in a joint meeting with the Executive Committee and local governance leaders each September to formulate plans for the coming year.

Additional policies of the SUNY Faculty Senate can be found in [Governance Handbook \(1994-1995\)](#), prepared by the Governance Committee of the SUNY Faculty Senate. (A revised handbook should be available in 2005.)

## **Downstate Medical Center Governance Structure**

### **Campus Council**

Sources: NYS Education Law, Article 8, Section 356; Cobleskill Catalog; letter to chancellor; policies

SUNY College or Campus Councils are established pursuant to the New York State Education Law, which provides, in part, for local supervision of the operations and affairs of each State-operated SUNY institution. The purpose of the Campus Council is to develop and foster strong relationships between the institution and local communities and to promote campus and university interests. (See [http://www.suny.info/policies/groups/public/documents/system/pub\\_source\\_0046.htm](http://www.suny.info/policies/groups/public/documents/system/pub_source_0046.htm)).

The Campus Council is an advisory body consisting of ten community members, nine appointed by the Governor, and one elected by and from the students of the campus. One member is designated by the Governor as Chair. Council members appointed by the Governor serve for a term of seven years.

The Campus Council has broad powers of advice and review, subject to approval by the Board of Trustees. Its major duties are the following, to:

- Recommend candidates for campus president;
- Review all major plans of the campus by the president. Recommendations are needed for changes in matters such as faculty and staff, student admissions, academic programs, standards, for the earning of academic degrees, expansion of the institutional plant, and student activities and housing;
- Make regulations governing the care, custody, and management of lands, grounds, buildings, and equipment;
- Review the proposed budget requests prepared by the President and recommend accordingly;
- Foster the development of advisory citizens' committees and appoint the members;
- Name buildings and grounds;
- Make regulations for the conduct and behavior of students;
- Prescribe and supervise student housing and safety; and
- Make an annual report to the State University Trustees.

The council meets at least four times a year, and minutes from open hearing and executive sessions are available to the public under the Freedom of Information Law.

## **Campus Administration**

The chief administrative officer for the campus is its President. The President is appointed by the Board of Trustees after a multi-stage search process designed to ensure broad representation of both internal and external constituencies. After consulting with the Chancellor, the chair of the campus council forms a search committee, which includes members of the council and representatives of key campus constituencies such as faculty, students, alumni, and professional staff. The search committee conducts the search and makes a recommendation to the campus council. The council, in turn, makes a recommendation to the Chancellor, who then transmits a recommendation to the Board. Each campus president is reviewed on a regular basis by the Chancellor and serves at the pleasure of the Board.

The President is responsible for the administration of the campus, including: the determination of the basic organizational structure of the campus administration; the appointment of administrative officers, including deans and department heads; the appointment of faculty and staff; the development of policies and procedures for the conduct of campus affairs; and the preparation of the institutional budget.

The Dean of the College of Medicine is responsible for the overall direction of the College's academic program and for the setting and maintenance of its standards of excellence for education, research, and clinical and community service. The Dean supervises and evaluates the faculty, department chairs, and staff of the College, approves all faculty appointments and promotions, manages the College's budget, and oversees the selection, evaluation, and promotion of its students.

The Dean is assisted by seven principal administrators: a Vice Dean, who serves as the Dean's senior deputy and oversees the College in his absence; the Senior Associate Dean for Education, who is responsible for all four years of the undergraduate medical education curriculum; the Vice President for Student Affairs and Dean of Students; the Associate Dean for Minority Affairs; the Associate Dean for Administration; the Associate Dean for Graduate Medical Education; and the Assistant Vice President for Scientific Affairs.

## **Faculty and Professional Staff Assembly**

Each SUNY campus has a local governance structure for the faculty and professional staff. At Downstate, this structure is the Faculty and Professional Staff Assembly and its Centerwide Committee. Voting membership of the Assembly includes the Chancellor of SUNY, the President of Downstate, and faculty and professional staff from each college or school. Student participation consists of one non-voting student representative from each college.

The role of the faculty is paramount in matters that concern mission articulation, curriculum content, establishment of criteria for faculty appointment, promotion and tenure, and awarding of degrees. Administrators, professional staff, and students may be involved in nonexclusive academic matters, such as budget priorities, campus safety, and plant management. As a governance body, the faculty and professional staff limit themselves to participating in matters that are within the contract for collective bargaining negotiations to avoid conflicts in functions and to protect the union's role.

Each college and school within Downstate has its own faculty and professional staff assembly which develops, reviews, and, when necessary, revises bylaws for the individual college or school. The bylaws are included in this Handbook in the appendixes: Appendix A, Downstate Medical Center Faculty and Professional Staff Assembly Bylaws; Appendix B, College of Health

Related Professions; Appendix C, College of Medicine; Appendix D, College of Nursing; and Appendix E, School of Graduate Studies. (See Chapter IV for CAPQ bylaws, which specify the tenure process for each college.)

Each college maintains its own committees:

*College of Health Related Professions Committees* - Committee of the Faculty and Professional Staff; Educational Policy and Curriculum; Committee on Academic and Professional Qualifications; Academic Policy; Program Development and Budget; and, Nominations, Elections, and Bylaws. There are also two committees appointed by the dean: Admissions, and Academic Standing and Student Appeals.

*College of Medicine Committees* - The principle governance body is the Executive Committee, which oversees the subcommittees and represents the faculty's concerns to the dean and other administrators. The other committees are: Faculty and Professional Staff Personnel Policies, Promotions, and Appointments; Research, Resources, and Budget; Bylaws; Student Admissions, Academic Standards, Student Activities, and Faculty-Student Relations; Educational Policy and Curriculum; Academic and Professional Qualifications; and, Nominations, Elections, and Ballots.

*College of Nursing Committees* - Committee of the Faculty and Professional Staff; Education Policy and Curriculum Integration; Faculty and Professional Personnel Policies; Committee on Academic and Professional Qualifications; Nominations, Elections, Ballots, and By-laws; Faculty Development, Budget, Research, and Resources; and, Admissions, Recruitment and Faculty/Student Relations.

*School of Graduate Studies Committees* – Faculty, and Nominations, Elections, Ballots, and Bylaws.

### **Centerwide Committee**

The representative body of the Faculty and Professional Staff Assembly is the Centerwide Committee of the Faculty and Professional Staff. The Centerwide Committee comprises the elected officers of the Assembly; the senators and alternates elected by the voting members of the Assembly to the SUNY Faculty Senate; the presiding officers of the Faculty and Professional Staff Assembly of each constituent college; and elected representatives of each constituent college. The President of Downstate is an ex-officio member of the Centerwide Committee. The officers of the Centerwide Committee include the chairman, chairman-elect, and secretary.

The Centerwide Committee holds monthly meetings and two centerwide assemblies each year at which time the President of Downstate presents a report. The Centerwide Committee is also responsible for:

- acting as the representative of the Faculty and Professional Staff Assembly;
- discussing and reviewing submitted reports and resolutions;
- communicating resolutions to administrators and voting members;
- initiating recommendations within its purview to the president;
- keeping permanent files of reports and passed resolutions;
- organizing and implementing the selection process for Distinguished Professorships and the Chancellor's Awards for Excellence; and
- recruiting representatives to serve on standing committees of the University Faculty Senate.

The presiding officer of the Centerwide Committee appoints members to the subcommittees. The current bylaws of the Centerwide Committee identify the following subcommittees: Educational Policy and Curriculum Integration; Personnel Policies; Research, Resources, Planning and Budget; Nominations, Elections and Ballots; Bylaws; and Library. (A full description of the rules, organization, and responsibilities of the Assembly and Centerwide Committee of the Faculty and Professional Staff is contained in the bylaws; see Appendix A.)

### **Students and Governance**

Students are encouraged to take an active part in the governance of the university, the Medical Center, and their respective colleges. Each college has its own Student Council. Representatives of each college Student Council participate on committees in the University Council, a centerwide student governance body that represents the interests of the entire student body. The council serves as liaison between students and administration and provides access to the President; determines expenditures of student activity fees; oversees campus clubs, organizations, and student publications; and plans and implements campus events.

Students are nonvoting members on the Faculty and Professional Staff Assembly and other selected committees. As specified by the policies of the Board of Trustees, the student president of the University Council sits as the representative to the SUNY Student Assembly.

## **Section 4**

# **Appointment and Promotion of Faculty**

**University-Wide Employment Policies and Procedures**

**Academic Appointment**

**Academic Titles**

**Appointments**

**Term Appointment**

**Continuing Appointment**

**Temporary Appointment**

**Service Credit**

**Computing Continuing Service**

**Evaluation and Promotion of Academic Employees**

**Renewal and Termination of Appointment**

**Voluntary Faculty**

**Retirement and Emeritus Status**

**Committee on Academic and Professional Qualifications (CAPQ) Guidelines**

## University-wide Employment Policies and Procedures

The *Policies of the Board of Trustees* give the President of the campus the authority to appoint and reappoint (or, in some cases recommend the appointment), after seeking consultation, the best qualified employees. The *Policies* reserve to the SUNY chancellor the authority to make certain appointments or reappointments upon the recommendation of the campus president. (Article XI, Title A)

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In addition, the agreement between the State of New York and United University Professions details *Appointment, Evaluation and Promotion, Personnel Files, Notice of Non-Renewal* and *Job Security Review Procedures* applicable to academic and professional employees. (See Sections 30 to 33)

### Academic Appointment

The policies and procedures governing the terms and conditions of employment of academic employees are subject to rules and regulations contained in the SUNY *Policies of the Board of Trustees*. Additional terms and conditions of service for faculty also are contained in:

*Agreement between the State of New York and United University Professions*  
*Individual Appointment Letters*

Information regarding additional policies and employee benefits can be found in:

*United University Professions Member Benefits Handbook*  
*UUP-Represented Faculty and Professional Staff Leave and Benefits Handbook, SUNY HSCB*  
*SUNY HSCB Supervisor's Manual.*

Policies and procedures explained in this handbook provide further elaboration but in no way alter these policies. All policies are subject to review and revision by the Board of Trustees and other appropriate groups.

The Board of Trustees has adopted the following terms and definitions:

*academic employee* is defined as an employee in the professional services negotiating unit with academic or qualified academic rank (faculty are academic employees);

*academic rank* is defined as rank held by members of the professional staff holding the titles of professor, associate professor, assistant professor, instructor, and assistant instructor, including geographic full-time faculty members having such titles, and rank held by members of the professional staff having the titles of librarian, associate librarian, senior assistant librarian, and assistant librarian.

*geographic full-time faculty* are defined as those persons serving on the faculty of a medical center who are not employed on a full-time basis for the purpose of fixing compensation payable by the State, but who conduct all of their professional services and activities at the medical center or its affiliated hospitals and are available to the State on a full-time basis for clinical and instructional purposes.

*qualified academic rank* is defined as rank held by members of the academic staff having titles of lecturer, or titles of academic rank preceded by the designations "clinical" or "visiting" or other similar designations.

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## Academic Titles

The following academic titles are in use by SUNY Downstate Medical Center:

<b><u>Academic Rank</u></b>	
Distinguished Professor	Professor of Clinical*
Distinguished Service Professor	Associate Professor of Clinical
Distinguished Teaching Professor	Assistant Professor of Clinical*
University Professor	Instructor
Professor and Chair	Assistant Instructor
Professor	Librarian
Associate Professor	Associate Librarian
Assistant Professor	Senior Assistant Librarian
	Assistant Librarian

<b><u>*Qualified Academic Rank</u></b> (Rank preceded by "clinical," "research," "adjunct," "visiting" or "teaching")	
Research Professor	Clinical Assistant Professor
Research Associate Professor	Teaching Professor
Research Assistant Professor	Teaching Associate Professor
Clinical Professor	Teaching Assistant Professor
Clinical Associate Professor	

### *Emeritus status*

All of the above with "emeritus" appended to the title at the time of retirement, as per Article XV of the *Policies*

\*Titles are locally defined by the College of Medicine *Bylaws*.

## Appointments

Policies pertaining to appointment procedures are described at length in Article XI of the *Policies of the Board of Trustees*. There are three types of appointments to the faculty: term appointments, which have defined beginning and end dates; temporary appointments, which may be terminated at any time; and continuing appointments, which is the equivalent of tenure. Term and continuing appointments are offered only to faculty members who have a compensation component paid through the state system. Both term and temporary appointments may be either full or part time.

Downstate has six title tracks: two tracks lead to a continuing appointment ("tenure") and the others do not.

***Academic track:*** This is the full-time tenure-eligible track in the College of Medicine, with expectations that faculty in this track are expected to make *substantial* contributions in teaching, in clinical activities when appropriate, and *significant* contributions in research and/or scholarly activities. Faculty in both basic science and clinical departments are eligible for this track.

***Academic/Clinical Track:*** This track is also tenure-eligible and is to be used for those faculty in clinical departments whose assignments and contributions to the University include substantial responsibility for *clinical* practice and programs, with major teaching responsibilities and clinical research or scholarly activities associated with their work. The track has parity with the more classic academic track in all areas of recognition. This track is appropriate for the clinician/scholar whose activities, academic and scholarly, are carried out largely in a clinical setting.

***Clinician/Educator Track:*** This track is non-tenure eligible and is to be used for those faculty whose *central* contribution to the University involves directing or working in a major clinical program or service with substantial associated teaching responsibilities, but where the opportunities for research or scholarly work are relatively modest, if existent at all. The primary basis for promotion will be excellence in those academic activities involving clinical care and teaching, although research and scholarly work are encouraged, if possible.

***Research track:*** This track is non-tenure eligible and is used for faculty whose *central* contribution to the Health Science Center is almost entirely in the research and scholarly area. Usually teaching duties are very modest or minimal, as are clinical duties.

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**Voluntary Faculty Track:** The purpose of this non-tenure eligible track is to recognize those unpaid academicians, physicians, and other health care professionals (or those paid through affiliate programs) who give voluntarily of their time to the programs of the Health Science Center, most often in teaching and clinical areas.

**Teaching Track:** The purpose of this non-tenure eligible track is to recognize those individuals who make substantial contributions to the Health Science Center in teaching. This track was recently recommended by the Committee on Academic and Professional Qualifications (CAPQ) and approved by the Dean of the College of Medicine and the Campus President.

The procedure for an initial appointment to the faculty begins with a recommendation from a department. Only the president has the authority to appoint, reappoint or recommend to the Chancellor for appointment or reappointment, such persons as are, in the president's judgment, best qualified. The *Bylaws* of the College of Medicine require that any appointment at the rank of Associate Professor or above be reviewed by the CAPQ.

### Term Appointment

A term appointment is an appointment for a specified period of not more than three years. These appointments are renewable unless terminated because of resignation, retirement, or termination as provided in Article XIV of the *Policies of the Board of Trustees*. Term appointments can be renewed for periods of up to three years, but cannot extend beyond the time that an academic employee is eligible for a continuing appointment.

According to Article XI, title D, section 5 of the *Policies*, written notice that a term appointment will not be renewed must be given to the appointee by the President or his representative. A schedule of the latest dates for non-renewal notices is listed in the *Policies* as follows:

1. Forty-five calendar days prior to the end of a part-time service term appointment.
2. In the first year of uninterrupted service, three months prior to the end of that term except if the term ends in June, July, or August, then no later than March 1.
3. In the second year of uninterrupted service, six months prior to the end of the term, but no later than December 15 for terms ending in June, July, or August.
4. After two or more years of uninterrupted service, twelve months prior to the expiration of the term.

### Continuing Appointment

A continuing appointment (tenure) is an appointment to a position of academic rank that is not affected by changes in rank, and continues until resignation, retirement, or termination in accordance with the *Policies of the Board of Trustees*.

The *Policies of the Board of Trustees* require that further employment of a faculty member who has completed seven years of full-time service as an assistant professor, instructor, senior assistant librarian, or assistant librarian must be on the basis of a continuing appointment and the last three consecutive years of service must have been in one of these titles. This transaction must be approved by the SUNY chancellor. The *Policies* also require that further employment of a faculty member who has completed three consecutive years of full-time employment at the rank of professor, associate professor, librarian, or associate librarian must be on the basis of a continuing appointment. This is also only effective when approved by the chancellor. Appointment to the rank of professor, associate professor, librarian, or associate librarian may be on a continuing basis at the initial appointment.

### Temporary Appointment

The Policies of the SUNY Board of Trustees define a temporary appointment as one which ordinarily shall be given to an individual whose service is to be 1) full time for a period anticipated to last no more than one year; 2) part time for no more than three years; or 3) voluntary. An employee can also be hired on a temporary basis to replace an employee on an authorized leave of absence.

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## Service Credit

Under Article XI, title B, section 3(d)(1), academic faculty who hold rank below the level of associate professor may request up to a maximum of three years' credit toward the seven years of service required for continuing appointment, if they have served satisfactorily in a full-time position in an academic rank at any other accredited academic institution of higher education. Such credit is at the discretion of the chancellor or his/her designee at the time of appointment. Faculty can also opt to waive, in writing to the President, all or part of their previous service within the first six months after initial appointment.

## Computing Continuous Service

Per Article XI, title B, section 3(d)(2), when computing consecutive years of service toward the tenure due date, periods of leave of absence at full salary are included. Leaves of absence at partial salary or without salary and periods of part-time service are not included, but are not considered an interruption of otherwise consecutive service.

## Evaluation and Promotion of Academic Employees

Policies pertaining to evaluation and promotion are covered in Article XII of the *Policies of the Board of Trustees*, the *Bylaws* of the Faculty and Professional Staff Assembly of the College of Medicine and reflected in guidelines produced by each college's Committee on Academic and Professional Qualifications (CAPQ).

The request for a continuing appointment for a faculty member should be submitted to the CAPQ at least 24 months before the tenure due date in order to allow for a one-year notice of non-renewal.

The College of Health Related Professions, College of Nursing, and College of Medicine each have committees that are responsible for reviewing recommendations for appointment, promotion, and change of status, as specified in each college's bylaws. (Faculty in the School of Graduate Studies are reviewed by the College of Medicine CAPQ.) All CAPQ committees follow the *Policies of the Board of Trustees*, although each college specifies its own procedural policies.

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**Comment:** Is this correct? No separate CAPQ for SGS?

The Bylaws of the College of Medicine Faculty and Professional Staff Assembly provide, in part:

- a) *The CAPQ shall review the credentials of individuals presented for appointment and/or promotion to the rank of Associate Professor or Professor and for all individuals presented for continuing appointment (tenure), and make recommendations to the Dean for action.*
1. *A recommendation for promotion or tenure may originate from the Departmental Chairperson, or*
  2. *A recommendation for promotion or tenure may originate from a Departmental Promotions and Tenure Committee.*

### *Appeals of Decisions of the CAPQ*

1. *If the CAPQ turns down an application for promotion or tenure that has been proposed by the Department Chairperson and/or the Departmental Promotions and Tenure Committee (Alternate Route Committee), then either of these parties may initiate an appeal to the Appeals Board.*
2. *The Appeals Board shall consist of three voting members. One voting member shall be the Presiding Officer of the Faculty and Professional Staff Assembly; the Presiding Officer Elect shall serve as his or her alternate. The Executive Committee shall select four full professors, two from Basic Sciences Departments and two from Clinical Departments; one from each discipline shall serve as a full member of the Appeals Board and the other shall be the alternate. Members and alternates will serve a one year term, but are eligible for reappointment by the Executive Committee.*
3. *The Appeals Board will review the submitted appeals, and each member will make an individual recommendation to the Dean, who will then make the final judgment.*

## Renewal and Termination of Appointment

Term appointments may be renewed or changed through the completion of a UP-2 Form submitted to the Dean's Office for review and forwarded to the Department of Human Resources. A temporary appointment may be terminated at any time. There is no right of appeal. The services of academic and professional employees having term appointments cease automatically at the end of the specified term. Employees must be notified in advance of non-renewal. Upon receiving notice of non-renewal, an employee who is tenure due has the right to request to be apprised of the reasons for non-renewal and to request a review of the reasons for non-renewal. The procedure is set forth in Article 33 of the UUP Contract.

## Voluntary Faculty

Voluntary faculty appointments are on a standardized reappointment cycle of September 1 through August 31. Departmental rosters are provided to the department chair for use in reappointment of those voluntary faculty who continue to have a relationship in good standing with Downstate Medical Center. The Chair completes the roster and submits it to the Dean's Office for review and signature.

#### **University Hospital Privileges**

Under the *Bylaws of the Medical and Dental Staff of University Hospital of Brooklyn*, appointment to the SUNY Health Science Center at Brooklyn faculty is a prerequisite for an appointment to the medical staff. All appointment forms for voluntary clinical faculty must be marked with a notation as to whether the candidate will or will not apply and have a medical staff appointment.

#### **Retirement and Emeritus Status**

Members of the faculty who wish to retire should contact their department chair to discuss the effective date of their retirement. Members of the faculty who retire in good standing in accordance with Article XV, title B or C of the board policies may append the term "Emeritus" to the title of their academic or administrative post.

#### **Committee on Academic and Professional Qualifications (CAPQ) Guidelines**

See the appendix for each college's CAPQ Guidelines and Bylaws.

# **Section 5**

## **Employment Policies and Procedures**

**Policies and Procedures  
Payroll and Benefits**

## **Policies and Procedures**

The policies governing the terms and conditions of faculty and professional staff employment are subject to the rules and regulations contained in the *Policies of the Board of Trustees* and the Agreement negotiated between the State University of New York and the United University Professions (UUP), which negotiates with New York State on behalf of all academics and non-teaching professionals in the SUNY system. There are also a number of state and locally-defined campus policies.

The policies and procedures outlined in this *Handbook* summarize a number of these official statements and are not intended to modify or replace official SUNY policies. The Agreement between the State of New York and UUP can be found at: <http://www.uupinfo.org/contract.html>. The Policies of the SUNY Board of Trustees can be found at [http://www.suny.edu/Board\\_of\\_Trustees/PDF/Policies.pdf](http://www.suny.edu/Board_of_Trustees/PDF/Policies.pdf). In addition, University-wide Policies and Procedures are available at the State University of New York Policy and Procedure Library and can be reviewed online at [http://www.suny.info/policies/groups/public/documents/system/pub\\_source\\_0009.htm](http://www.suny.info/policies/groups/public/documents/system/pub_source_0009.htm).

Faculty seeking further information should check with the Office of Human Resources or the UUP Office. Pertinent policies are summarized below.

## **Affirmative Action Policies**

### **Equal Opportunity/Affirmative Action Policy**

SUNY Downstate Medical Center is committed to equal opportunity/affirmative action on the basis of race, sex, color, religion, age, national origin, disability, marital status, status as a disabled veteran or a veteran of the Vietnam era, or sexual orientation in the recruitment and treatment of students; recruitment, selection, hiring, training, promotion, termination and other working conditions, such as benefits, compensation and transfers for faculty and staff; or the operation of any of the Medical Center's programs and activities. It is the intention of the Medical Center at Brooklyn to develop and expand the programs set out in this Affirmative Action Plan which will strengthen these policies.

### **Americans with Disabilities Act**

SUNY Downstate Medical Center will not discriminate against any employee or applicant for employment because of physical or mental disability in regard to any position for which the employee or applicant is qualified. The Medical Center agrees to take affirmative action to employ, advance in employment, and otherwise treat qualified individuals with disabilities without discrimination based upon their physical or mental disability in all employment practices such as the following: employment, upgrading, demotion, transfer, recruitment, advertising, layoff or termination, rates of pay or other forms of compensation, and selection of training, including apprenticeship.

Employees and applicants are protected from coercion, intimidation, interference or discrimination for filing complaint or assisting in an investigation under the act.

### **Policy on Religious Accommodation**

SUNY Downstate Medical Center prohibits discrimination in employment on the basis of religion. Under New York State Executive Law Section 296(10)(a)-(d) and New York State Education Law Section 224-1 it is an unlawful discriminatory practice for an employer to impose upon a person as a condition of obtaining or retaining employment, promotion, advancement or transfers, any terms or conditions that would require such person to violate or forego a sincerely held practice of his or her religion unless such reasonable accommodation would constitute an undue hardship for the employer.

Employees and prospective employees whose dress, hairstyle, beards, Sabbath and holy day observances and prayer requirements are mandated by their religious beliefs generally cannot be required to choose between their religious practices and their jobs.

All managers must make reasonable accommodations for an employee's religious observance or practice if it does not impose an undue hardship on the conduct of business. Employees must request religious accommodations in writing directly to their supervisors. It is the duty of the faculty and administrative officials to exercise the fullest measure of good faith in reviewing religious accommodation requests. Faculty, supervisors and managers, as agents of employers, may be liable individually for violating the religious accommodation law. The employee may also be required by the employer to make up the equivalent amount of time and work at some other mutually convenient time or may be required to charge such time against accrued leave balances, except sick time. An absence that is not made up or charged against accrued leave

may be treated as leave without pay.

No adverse or prejudicial effects shall result to any employee because he or she avails himself or herself of the benefits under this law.

### **Policy on Sexual Harassment**

SUNY Downstate Medical Center adheres to the 1980 guidelines issued by the Equal Employment Opportunity Commission (EEOC). These guidelines define sexual harassment and recognize it as a violation of Title VII of the Civil Rights Act of 1964.

Sexual harassment of employees and students is unacceptable conduct and will not be tolerated. Sexual harassment may involve the behavior of a person of either sex against a person of the opposite or same sex, and is defined as any unwelcome sexual advances, requests for sexual favors, or other verbal or physical conduct of a sexual nature, when:

- submission to such conduct is made either explicitly or implicitly a term or condition of an individual's employment or status as a student;
- submission to or rejection of such conduct is used as the basis for decisions affecting the employment or academic status of that individual; or
- such conduct has the purpose or effect of unreasonably interfering with an individual's work performance or educational experience, or creates an intimidating, hostile or offensive work or educational environment. A hostile environment is created by, but not limited to, discriminatory intimidation, ridicule or insult. It need not result in an economic loss to the affected person.

Persons who feel that they have been sexually harassed under the above definition and wish further information, or assistance in filing a complaint, should contact the director of the Office of Opportunity and Diversity (OOD), 718-270-1738, Room 5-82C, Basic Science building. The SUNY Internal Grievance Procedure for Complaints of Discrimination will be used to review allegations of discrimination concerning sexual harassment. Complaints will be kept confidential to the extent possible.

Filing a complaint internally does not preclude an employee or student from filing a complaint with the appropriate external agency.

### **Policy on Consensual Relationships**

Downstate Medical Center is committed to providing a work and educational environment for its faculty, staff and students free of intimidation and harassment. The Downstate Policy on Sexual Harassment states that such conduct is unacceptable and will not be tolerated. Further, sexual harassment situations will be dealt with promptly and appropriate corrective action will be taken. Faculty, staff and students may use the SUNY Grievance Procedure for Review of Allegations of Discrimination to file a complaint of discrimination with the Downstate Office of Opportunity and Diversity.

Downstate encourages the development of mentoring and collegial relationships characterized by professional and ethical behavior that is free of discriminatory actions. Consensual sexual relationships between a faculty member and a student, or between a supervisor and an employee exceed what is believed to be a collegial business or academic partnership and may compromise the objectivity and integrity of the individuals in positions of influence and power. Downstate recognizes that the decision to engage in such relationships is a personal one. Nonetheless, to fulfill its obligation and commitment to equal employment and educational opportunity and to prevent questionable standards of professional conduct, Downstate strongly discourages consensual sexual relationships between faculty and students, and between supervisors and subordinate employees.

Consensual sexual relationships are considered problematic by Downstate for two major reasons: conflict-of-interest and the power differential. Students depend upon professors for grades, recommendations and opportunities for teaching and research. Employees rely upon supervisors for promotions, raises, job assignments, overtime, and other terms and conditions of employment. Conflict-of-interest inevitably arises when individuals have responsibility for evaluating the work or academic performance, or for hiring or making salary or other personnel decisions involving those with whom they have intimate romantic relationships.

The parties in a consensual sexual relationship must recognize that the reasons for entering, maintaining or terminating such a relationship may be a function of the power differential, and that the relationship may not be truly welcome

or consensual. With an academic or employment career at stake, a student or employee may find it difficult or threatening to refuse a request from a professor or supervisor, no matter how casual the request. Such relationships may also be inappropriate in that they may create a negative or uncomfortable working or learning environment for others who may perceive preferential treatment.

Further, even in a seemingly consensual sexual relationship, consent cannot be considered a defense in a complaint of sexual harassment or retaliation. In addition, it is almost always the individual in the relationship with greater power who bears the burden of accountability. Thus, as the person in authority, it is the faculty member's or supervisor's responsibility to refrain from initiating and to discourage such behavior, and to maintain appropriate professional boundaries at all times.

### Guidelines

Persons entering a consensual sexual relationship should seriously consider the problems and issues such a dual relationship can create. Faculty members and supervisors who develop a sexual relationship and who are also involved in a work or academic relationship should act immediately to remove themselves from the mentoring or supervisory role.

Consensual sexual relationships between faculty members and students, or between supervisors and employees outside the instructional or supervisory context may also lead to difficulties, particularly when the parties involved are in the same academic unit or work department. Problems may occur from the student's or employee's perspective and can affect not only the individuals involved directly, but also the overall academic or work environments. Therefore, Downstate encourages faculty and administrators in positions of influence to remove themselves from personal relationships or situations in which they will be perceived as making academic or personnel decisions that are based on favoritism rather than merit. It shall be the responsibility of the individual with the power or status advantage to eliminate or mitigate a conflict situation, the consequences of which might prove detrimental to either party in the relationship.

### **Vietnam Era Veterans Readjustment Assistance Act of 1974**

The State University of New York Downstate Medical Center will not discriminate against any employee or applicant for employment because (s)he is a disabled veteran or veteran of the Vietnam era in regard to any position for which the employee or applicant for employment is qualified. The Medical Center agrees to take affirmative action to employ, advance in employment, and otherwise treat qualified disabled veterans and veterans of the Vietnam era without discrimination based upon their disability or veterans status in all employment practices such as the following: employment, upgrading, demotion, transfer, recruitment, advertising, layoff or termination, rates of pay or other forms of compensation, and selection of training, including apprenticeship.

Employees and applicants are protected from coercion, intimidation, interference, or discrimination for filing a complaint or assisting in an investigation under the act.

### **AIDS Policy**

Any employee or student who refuses to work with another employee or student or a patient because that that person has AIDS or another HIV-related condition is subject to disciplinary sanctions. Students or employees who feel that they have been discriminated against because of their AIDS or other HIV-related conditions can seek redress by submitting a grievance, in writing, to the Office of Opportunity and Diversity.

### **Alcohol and Controlled Substances in the Workplace Policy**

It is the policy of Downstate Medical Center to maintain a drug-free workplace. Unlawful manufacture, distribution, dissemination, possession or use of a controlled substance at state worksites is prohibited. Employees can be subject to criminal, civil, and disciplinary penalties if they distribute, sell, attempt to sell, possess, or purchase a controlled substance while at the workplace or while performing in a work-related capacity. In those work locations where it is permitted, an employee may possess and use a controlled substance which is properly prescribed by a physician.

Employees are also prohibited from on-the-job use of or impairment from alcohol or controlled substances. An employee must give written notification to SUNY Downstate Medical Center (Labor Relations Unit, Box 53) if convicted of any criminal drug statute for a violation occurring in the workplace or at a worksite, no later than five days after such conviction.

If there is reason to suspect an employee is not able to perform his or her duties as a result of a disability caused by use of alcohol or a controlled substance, the employee may be required to undergo a medical examination to determine the cause of the disability. This medical examination could include a drug test.

If a positive determination of abuse of alcohol or a controlled substance is made, the Labor Relations Unit may take several actions, including:

- Referral to the Employee Assistance Program (EAP). Participation in the EAP is confidential and voluntary on the part of the participant.
- Disability leave procedures, when an employee is disabled by drug or alcohol use.
- Disciplinary procedures consistent with sanctions for Violations of the Alcohol and Drug Policy, as well as applicable law, rules, regulations, and collective bargaining agreements.

These options are not mutually exclusive. A referral to EAP, for instance, does not exempt anyone from discipline. The complete statement/guidelines on alcohol and substance use in the workplace can be obtained from the Department of Human Resources.

### **Contact with Political Leaders**

All contacts between employees or departments and elected officials concerning SUNY Downstate Medical Center should be coordinated through the Office of Institutional Advancement. The office serves as a clearinghouse for these outreach efforts and also provides technical assistance. Notification of the office will also ensure that administration supports these efforts appropriately.

Any employee planning to invite an elected official to campus should contact the President's Office.

### **Deletion Policy for E-mail and Network Accounts**

All e-mail older than 13 months will be periodically deleted by the Network Technology Group, with the exception of archived mail.

Any network account not used for 13 months or longer shall be deleted by the Network Technology Group.

### **Extra Service Compensation Policy and Procedure**

This policy is applicable to the performance of service beyond that normally required by the professional obligation of the employee. Extra Service for Academic and Non-Teaching Professional staff of SUNY is defined as 1) work performed by an Academic or Non-Teaching Professional employee on a campus other than the campus to which the employee is regularly assigned and 2) special assignments performed by that employee at their own campus, which are substantially different from or in addition to an individual's professional responsibilities. These special assignments must not conflict with the employee's regular professional responsibilities.

Compensation for Extra Service may not exceed an amount equal to 20 percent of the employee's base annual salary in any academic calendar year. Additionally, all Extra Service activities must conform to the ethical standards mandated by Section 74 of the Public Officers' Law. Written approval for extra service assignments must be obtained prior to the commencement of the service.

No employee may engage in other employment which interferes with the performance of the employee's professional obligation. No full-time employee of the State University may assume another full-time position or obligation, either within or without the University, while receiving compensation from the University.

The request for Extra Service must be initiated by the employee's department twelve (12) weeks prior to the performance of the service. Detailed procedures and forms necessary for this request to be granted are outlined in the Extra Service Compensation Policy, which may be found in the Supervisor's Manual. Regulations may differ depending on the status of the employee and the payroll agency involved.

### **Fundraising and Solicitation Guidelines**

All fundraising or solicitation activities on behalf of SUNY Downstate Medical Center are to be coordinated through the Office of Institutional Advancement and Philanthropy.



## **Grievance Procedure**

The State, pursuant to the certification of the Public Employee Relations Bureau (PERB), recognizes UUP as the exclusive representative of SUNY academic and professional employees in collective bargaining and in grievances filed on their behalf. Therefore, Downstate is limited by law to hear and accept grievances only from UUP or the individual grievant. A grievance is a dispute concerning the interpretation, application or claimed violation of any term or provision of the Agreement between UUP and the State of New York (the "UUP Contract") or the claimed failure by the State to follow the procedural steps relating to appointment, evaluation and promotion of employees. A grievance must be submitted in writing on a form provided by the State. The procedure for filing a grievance is detailed in Article 7 of the UUP Contract. Copies of the UUP Contract are available in the UUP Office or online at <http://www.uupinfo.org/contract.html>.

## **Immigration Reform and Control Act**

To effectively implement the mandates of the Immigration Reform and Control Act and avoid the civil and criminal liability for its violation, all offers of employment for new hires, except faculty members, will continue to be made by the Department of Human Resources. Deans and Department Chairmen will continue to make the offer of employment to faculty candidates. However, the Deans and Department Chairman are strongly advised to include in their letter of Offer of Employment to each new faculty appointee (a copy of which must be attached to the appointment package) a statement that the offer of employment is: (1) subject to and in accordance with the laws of the State of New York and the Policies of the Board of Trustees; (2) subject to medical clearance (where appropriate) by the Department of Student/Employee Health Service; and (3) contingent upon the new appointee producing original documentation demonstrating employment authorization and identity prior to the effective date of the appointment, but not later than three (3) work days after the effective date of hire.

The Department of Human Resources will make or confirm the offer of employment for Faculty, Non-Teaching Professionals and Classified Employees and will contact all new hires and advise them that they must produce original documented proof of U.S. citizenship or authorization to work prior to the effective date of hire. Prior to the effective date of employment, Department of Human Resources staff will contact the prospective employee to schedule them to report on a specified date, convenient to both the prospective employee and Department of Human Resources staff, for Pre-employment processing. During the Pre-Employment processing the employee will be given an Employee Withholding Allowance Certificate (W-4 form) and the oath of office and emergency reference cards. At that time the employee will be required to submit proof of citizenship, authorization to work and complete the I-9 form. The employee will also be scheduled for a new employee orientation, medical examination and will receive approval to obtain an identification card. The employee must provide the required documentation within the first three (3) business days from the effective date of hire. Federal law specifies that the employer must remove the employee from the payroll after three (3) days if he/she has not produced documentary evidence of work authorization or an INS approved receipt evidencing application for such documents. A receipt for replacement of an acceptable document may not be accepted if the receipt is for the employee's first period of employment authorization for their first extension of an expiring employment authorization. In the event an employee is removed from the payroll, the Dean or Department Chair will be notified accordingly. To effect compliance, all appointment forms must be received by the appropriate Vice President or the Executive Director of University Hospital sufficiently in advance of the effective date of employment to allow for the necessary reviews and approvals and the securing of documentary evidence of citizenship or authorization to work.

## **Leave Policies**

### **Family and Medical Leave**

Under the Family and Medical Leave Act of 1993, New York State provides up to 12 weeks of paid or unpaid leave (at the employee's option) to eligible employees for certain family and medical reasons each calendar year. To be eligible, employees must have worked for the state for at least one year and for 1,250 hours over the previous 12 months. Unpaid leave is granted: 1) to care for the employee's child after birth, or placement for adoption or foster care; 2) to care for the employee's spouse, son, or daughter, or parent, who has a serious health condition; or 3) for a serious health condition that makes the employee unable to perform his/her job. At the employee's option, use of leave credits may be substituted for unpaid leave for any absences for which the employee would otherwise be allowed to charge leave. Employees may be required to provide 30 days advance notice when the leave is "foreseeable." Downstate may require medical certification to support a request for leave because of a serious health condition, and may require second or third opinions (at Downstate's expense) and a fitness for duty report to return to work. Upon return from FMLA leave, most employees must be restored to their original or equivalent positions with equivalent pay, benefits, and other employment terms.

## **Leave Donation Program**

The State of New York has agreed with employees represented by UUP and certain other employees to donate vacation credits to employees who have exhausted all their leave credits and sick leave at half-pay (where applicable). To be eligible to receive donated credits, an employee must have completed one cumulative year of state service, must be absent due to a non-occupational personal illness or disability for which satisfactory medical documentation is submitted as required by management, must have exhausted all leave credits and must be expected to be absent for at least two biweekly payroll periods following exhaustion of leave credits or sick leave at half pay (where applicable). The employee must not have had any disciplinary actions or unsatisfactory performance evaluations within his/her last three years of state employment.

The accruals of donating employees may not, as a result of the donation, dip below ten days of vacation credits, and they may not donate vacation credits which would otherwise be forfeited.

## **Leave for Pregnancy, Childbirth, and Childcare**

Pregnant employees may be asked or encouraged to report the existence of pregnancy, but they are not required to do so. If a supervisor believes an employee is unable to perform job duties because of pregnancy, the employee may be required to undergo a medical examination (at Downstate's expense). A pregnant employee who is medically disabled by pregnancy must be treated the same as any other disabled employee insofar as disability leave benefits are concerned.

Sick leave and sick leave at half-pay may be used only during a period of medical disability. Under the state's policy, disabilities arising from pregnancy or childbirth are treated the same as other disabilities in terms of eligibility for or entitlement to sick leave with and/or without pay, extended sick leave, and sick leave at half-pay. Generally, the period of such disability commences four weeks prior to delivery and continues for six weeks following delivery.

Absences during pregnancy and following childbirth may be charged to vacation, overtime, or personal leave irrespective of whether the employee is disabled. While the use of annual leave, overtime, and personal leave accruals prior to the onset of medical disability is discretionary, employees must be permitted to use these accruals during a period of medical disability after sick leave with pay has been exhausted.

Employees, regardless of sex, are entitled to leave without pay for child care for up to seven months following the date of delivery. Employees may use annual leave, personal leave, and overtime credits before being granted leave without pay. Check with Human Resources regarding computing the seven-month period of leave.

Temporary, provisional, and probationary employees without permanent status should check with Human Resources regarding computation and eligibility for disability leave.

## **Leave for Child Care for Adoptive Parents**

Adoptive parents are entitled to leave without pay in the same manner and to the same extent that such leave is available to natural parents. A maximum of seven months leave may be taken. The employee may take leave for this purpose starting at any time from the date the adoptive child is placed with the family to the effective date of the adoption.

## **Sabbatical Leave**

Policies pertaining to sabbatical leave are outlined in Article XIII, Title E of the *Policies of the Board of Trustees*. Sabbatical leaves may be granted for a period of not more than one year for travel, study, formal education, research, writing, or other experience of professional value. Faculty and college administrative officers not in a negotiating unit who have at least six consecutive years of service are eligible.

The policy pertaining to income while on sabbatical leave is specified as follows:

"Sabbatical leaves may be granted for periods of one year at rates not to exceed one-half basic annual salary or for periods of one-half year at rates not to exceed full basic annual salary. Eligible employees on sabbatical leave may, with the prior approval of the chief administrative officer, accept fellowships, grants-in-aid, or

earned income to assist in accomplishing the purposes of their leaves. In such cases, the chief administrative officer may adjust the sabbatical leave salaries to reflect such income, either prior to or during the periods of such leaves, provided, however, that in no case shall sabbatical leave salary be reduced if total earnings are less than full salary."

Since extra allocations of funds are not available to implement the sabbatical policy of the Board of Trustees, support of sabbaticals must be covered by regular departmental allocations.

Applications for sabbatical leave are available from the Office of Academic Administration (located in the Basic Science Building, Room 2-80, ext. 3042), and in the Dean's Office in the College of Nursing. Applications should be approved at least six months in advance (allow at least one month for approval). The application should:

- a. Describe the program that will be followed while on leave.
- b. Detail any prospective income.
- c. State that the applicant will continue as a member of the professional staff for a minimum of one year upon return.
- d. State that a detailed report of the professional activities and accomplishments will be submitted on return from sabbatical leave.

The majority of sabbatical leaves are granted for scholarly research leading to publication. In addition, applications that propose to enhance teaching competency and professional versatility or that would expand the applicant's ability to render significant public service are given consideration. Sabbatical applications in all cases require careful documentation and a specific work plan.

Application for sabbatical leave for faculty should be submitted in four copies to the President through the department chair or appropriate dean. The chair retains one copy, and forwards the remaining three with a recommendation for approval or disapproval (in triplicate) to the appropriate dean who then submits it to the Office of Academic Administration. Academic Administration then submits the final copy to the President, including endorsements.

Within four months of return from sabbatical leave, four copies of a report detailing professional activities/accomplishments must be submitted to the President through the department chair or appropriate dean. The chair retains one copy and forwards the remaining three, in triplicate, to the appropriate dean who then submits it to the Office of Academic Administration. Academic Administration submits the final copy to the President.

A faculty member who does not return for at least one year of employment after a sabbatical leave may be asked to remit any salary received during leave from the University or to arrange for any new employer to reimburse the University for such salary.

## **Nepotism Policy**

Employment of two or more members of the same family (defined as mother, father, spouse, sibling, children, and including members of the same household) is not precluded by Downstate policy. However, an employed family member cannot directly supervise another family member. Similarly, a family member can neither approve nor recommend for another employed member of the same family, promotions, salary increases, performance evaluations, or other changes in the appointment status. The sole exception to this policy is when the supervisor is a project director of funds administered by the Research Foundation and where the family member is named in the grant and is approved by the funding agency.

## **Personnel Records**

All official Personnel records (other than for employees of the Research Foundation), are maintained in the Department of Human Resources. Employees may submit a written request to arrange to see their personnel files and submit responses to any material in their files. Official personnel records for Research Foundation employees are maintained in the Research Administration Office.

For changes in internal location information (i.e., office address, extension, box number) or in personal demographic information (i.e., name, home address, marital status, etc.), notify either the Department of Human Resources or the Research Administration Office, as appropriate.

For changes in the number of dependents or tax exemptions, notify the Benefits Office and/or the appropriate state or research Foundation payroll office.

## **Pre-Employment Health Clearance**

Section 405 of the New York State Health Code requires that all employees who have patient contact receive medical clearance prior to starting work. No exemptions from this requirement will be allowed. All employees who report to work on or after July 1, 1995 will not be permitted to work until they have obtained full medical clearance from the Downstate Employee Health Service. Employees will not be paid for work conducted before obtaining health clearance.

## **Public Employees' Fair Employment Act**

Under the Taylor Law (Public Employees' Fair Employment Act of 1967), academic and professional employees of SUNY, and all other public employees, have the right to join or not join any employee organization and to choose representation for collective bargaining with the state. This act also prohibits strikes by public employees and contains provisions for settlement by the Public Employment Relations Board (PERB) of problems in negotiations.

Under the terms of the law, academic and professional employees of SUNY are a separate negotiating unit. United University Professions (UUP) is the employee organization currently representing this unit in collective negotiations with the state. Union dues or agency shop fees are deducted from each employee paycheck. The dues or agency shop fee is 0.9% of the biweekly gross for employees with a base annual salary of \$16,299 or less, with no biweekly limit. The deduction is 1.0% of the biweekly gross for employees with a base annual salary of \$16,300 or more, with no biweekly limit. There is no maximum deduction for dues or agency shop fees.

## **Smoking**

Downstate is in compliance with New York State Public Health Law Article 13E. Smoking is prohibited in all indoor areas of Downstate Medical Center including offices, rooms, hallways, stairways, elevators, bathrooms, cafeterias, lunchrooms, parking garages and any other areas with a roof or other ceiling enclosure and state vehicles.

## **Snow Emergencies**

SUNY Downstate Medical Center may be closed only by the order of the Governor. However, the President has the authority to cancel classes due to weather emergencies. When classes are cancelled, only those employees designated as essential must report to work. Supervisors should advise their employees if they are deemed essential. Employees who do not report to work on a day when the President has cancelled classes, or who work only a portion of the day, must charge their accrued leave balances for the period of their absence.

## **Travel Expenses and Honoraria**

The New York State Ethics Commission has issued regulations on the acceptance of travel expenses or reimbursements by state employees. The regulations restrict the receipt of travel expenses, set up procedures for obtaining approval to receive such payments, and impose special reporting requirements for these payments.

The regulations should be consulted prior to agreeing to or receiving any payment from entities other than Downstate for travel expenses, speeches, publications or conferences within their disciplines. Copies of the regulations may be found in the Department of Human Resources and the Academic Affairs Office. All faculty and certain others are exempt from these regulations. All other state officers and employees are covered by these regulations. Travel expense regulations differ depending on whether the expense relates to official duties. Honoraria must never be accepted by covered employees for services related to official duties. The regulations also delineate certain exceptions to the policy.

## **SUNY HSCB Supervisor's Manual**

The Department of Human Resources has compiled a Supervisor's Manual which incorporates many of the policies in effect at Downstate. In addition to these policies, the manual offers guidance for employee management issues and when to consult Labor Relations or the Department of Human Resources.

Copies of the following policies may be found in the ***SUNY HSCB Supervisor's Manual*** (<http://138.5.102.102/labor/SkillsGuide.pdf>):

- AIDS Policies
- Affirmative Action Recruitment Plan for Faculty
- Alcohol & Controlled Substances in the Workplace Policy (SUNY HSCB Supplemental)
- Confidentiality in AIDS Testing Policy
- Early Consideration for Permanent Appointment
- Ethics Regulations on Outside Activities and Limitations on the Receipt of Honoraria and Reimbursement for Travel Expenses
- Extra Service Policy & Procedure
- Financial Disclosure Requirements
- Holiday Schedule
- Immigration Reform and Control Act
- Leave for Child Care for Adoptive Parents
- Leave for Pregnancy, Childbirth and Child Care
- Nepotism Policy
- On-Call/Recall Services
- Promotion and Certain Salary Increases for Professional Employees (UUP)
- Reaffirmation of Equal Employment Opportunity Policies
- Recruitment Procedures
- Sabbatical Leave Policy
- Smoking Policy
- Sexual Harassment Policy
- Time and Attendance Monitoring Program
- Voluntary Self-Identification of Disabled Veterans and Veterans of the Vietnam Era
- Voluntary Self-Identification of Handicapped Status
- Workweek/Workday Policy for Classified Service Employees

### **Payroll and Benefits**

#### **Salary Arrangements**

The Dean or Department Chair negotiates salary arrangements with faculty members and will set forth the terms in a letter agreement signed by both parties. The Vice President for Human Resources will confirm the offer of employment in a letter to the employee.

All UUP represented employees are eligible to receive negotiated salary increases to their base salary component in accordance with the Agreement between the State of New York and UUP (<http://www.uupinfo.org/contract.html>)

#### **Payroll**

Payroll is distributed on a biweekly basis on Wednesdays with a two-week lag period. Paychecks (and stubs for employees with direct deposit) are distributed after 11:30 am in the department office. To collect a paycheck an employee must present a valid Downstate identification card and sign the payroll roster. Employees may designate another person to pick up their paychecks or request that their paychecks be mailed to them by signing a letter of authorization. Checks not picked up will be returned to the Payroll Office (Administrative Facility, Room 104) on the Friday following payday.

#### **Direct Deposit**

Employees wishing to have the funds from their regular paycheck electronically deposited to their bank account can obtain an application form from the Payroll Office (Box 10) which must be signed by their department representative. Certain requirements exist for acceptance. If approved, the Payroll Office will send the employee an enrollment form. It takes about four weeks from the time of submitting the enrollment form for direct deposit to commence.

## Timesheets

In accordance with the Policies of the Board of Trustees, employees are required to certify their presence and record any absences from work on timesheets provided by the State. Employees are also required to record any charges to or accruals of annual or sick leave on the timesheets. Completed timesheets are to be submitted to the Department Chair or designee.

The Paycheck Withholding Policy directly links timely submission of timesheets with the release of paychecks. The paycheck of any employee who fails to submit two or more timesheets will be withheld. Once a paycheck is withheld, the Payroll Office will release the paycheck upon receipt of the delinquent timesheets. Any employee who is on direct deposit and who is delinquent two or more timesheets will be removed from direct deposit without prior notice and will not be permitted to apply for direct deposit for an additional six months.

## Vacation and Sick Leave Accrual

Terms for vacation and sick leave accrual are set forth in Article XIII the Policies of the Board of Trustees. Full time employees represented by UUP accrue both vacation and sick leave at the rate of 1¼ days per month of employment. The accrual rate increases according to the following schedule:

Years of Service	Leave Accrual Rate
0-1	1 <sup>1/4</sup> days per month (15 days)
2	1 <sup>1/3</sup> days per month (16 days)
3, 4, 5	1 <sup>1/2</sup> days per month (18 days)
6	1 <sup>2/3</sup> days per month (20 days)
7	1 <sup>3/4</sup> days per month (21 days)

In addition, on January 2 of each year, one vacation day is added to the accrual balance of all employees eligible to accrue vacation leave.

## Holidays

In or about August of each year, the Vice President for Human Resources will notify employees of the dates which have been designated as holidays for the upcoming academic year. Employees may take days designated as floating holidays on alternative days. Employees must obtain prior supervisory approval to observe floating holidays on alternative days. Any alternative days selected must be used within one year.

Employees who are eligible to observe holidays will receive a compensatory day off for holidays that fall on a day they are not scheduled to work. Employees required to work on a holiday will receive a compensatory day off (1½ compensatory days for Thanksgiving and Christmas). Compensatory days off must be scheduled at times mutually convenient to the employee and the University and must be used within one year of accrual or be forfeited.

## Retirement Systems

Qualified employees of the State University of New York are eligible to elect one of three retirement programs:

1. New York State Teachers' Retirement System (TRS)
2. New York State Employees' Retirement System (ERS)
3. The Optional Retirement Program (ORP)

Under the Optional Retirement Program, employees may choose between Teachers Insurance and Annuity Association and College Retirement Equities Fund (TIAA-CREF), the insurers designated by the Board of Trustees, or Alternate Funding Vehicles, including ING Life Insurance and Annuity Company, Metropolitan Life and Affiliated Companies and The Variable Annuity Life Insurance Company (VALIC). Each funding vehicle offers a variety of investment instruments.

Once the employee elects a program it is irrevocable during employment at SUNY.

All three programs provide for contributions by the employee as well as the University. Employee contributions are made on a pre-tax basis (federal taxes only) through payroll deduction. Contribution rates are as follows:

TRS – Employee contributes 3% of salary for the first 10 years; no contribution after 10 years.  
University contribution – the employee receives a state pension.

ERS – Employee contributes 3% of salary for the first 10 years; no contribution after 10 years.  
University contribution – the employee receives a state pension.

ORP – Employee contributes 3% of salary for term of employment  
University contribution: 8% of state salary for first 7 years; 10% of salary thereafter

### **Flexible Spending Account**

The Flexible Spending Account is a benefit that allows state employees to pay for certain expenses with pre-tax dollars. There are two benefits under this program.

#### **Health Care Spending Account**

The Health Care Spending Account allows employees to set aside any amount from \$150 to \$3,000 annually to pay for health care expenses that are not reimbursed by health insurance or another benefit plan. Only medically necessary medical, hospital, dental, vision, hearing and drug expenses for the employee and tax dependents can be reimbursed by the Health Care Spending Account.

#### **Dependent Care Advantage Account**

The Dependent Care Advantage Account allows employees and their families to set aside up to \$5,000 per year in pre-tax salary for eligible child care, elder care, and/or disabled dependent care expenses that are necessary for the employee or spouse to work. There is an employer contribution based on the employee's salary.

For additional information, contact the Benefits Office or go to [www.flexspend.state.ny.us](http://www.flexspend.state.ny.us).

### **Tax Deferred Retirement Savings**

Employees represented by UUP are eligible to participate in a voluntary tax-deferred annuity program through a salary reduction agreement. Amounts deposited in the program, including interest and dividends, are not subject to income tax until they are withdrawn. For more information, see <http://www.uupinfo.org/benefits/retirelinks.html>.

### **NYS Deferred Compensation Plan**

The New York State Deferred Compensation Plan is a state sponsored, voluntary retirement savings plan that provides quality investment options, investment educational programs and related services to help State and local public employees achieve their retirement savings goals.

Under the Plan,

- Contributions are made automatically through payroll deductions.
- No current federal or New York State income tax is payable on contributions. Contributions are deducted from salary or wages before federal and state income tax withholding is calculated.
- Interest and investment earnings are not subject to current federal or New York State income tax.
- New York State residents who are at least 59½ are entitled to a New York State income tax exemption of up to \$20,000 on payments from Plan Accounts.
- Benefit payments are available only after the employee permanently leaves work with the government employer. Distributions must begin when the employee reaches age 70½, unless the employee is still working for New York State or a participating employer.

For more information, see <http://nrsretire.nrsservicecenter.com/nrs/CDA/nrsEmployeeHome/1.3116..00.html>.

## **Health Insurance**

<http://www.nyhpa.org/nyship.html>

Health insurance is provided in accordance with the New York State Health Insurance Program (NYSHIP). NYSHIP is a benefit program, established in 1957, to provide health insurance coverage to state and local government employees.

NYSHIP offers coverage through its own indemnity health plan, called the Empire Plan, and through 21 HMOs located around New York. The following HMOs participate in the NYSHIP program:

Aetna U.S. Healthcare  
Blue Choice  
Capital District Physicians' Health Plan  
Community Blue  
Elderplan, Inc.  
Empire BlueCross/BlueShield Blue Choice HMO  
HIP Health Plan of New York  
HMO Blue  
HMO – CNY  
GHI HMO Select, Inc. (formerly Wellcare of New York)  
Independent Health - Hudson Valley Region  
Independent Health - Western New York  
MVP Health Plan  
PHP - A Univera Company  
Preferred Care  
United HealthCare  
Univera Healthcare  
Vytra Healthcare

For more information about the NYSHIP program, contact:

New York State Department of Civil Service, Employee Benefits Division

The State Campus, Albany, NY 12239, phone: 518-485-1771, <http://www.cs.state.ny.us>

The cost of coverage is dependent upon the plan chosen and whether individual or family coverage is selected. The employee's share of the health insurance premium is deducted from the employee's biweekly pay on a pre-tax basis.

Coverage becomes effective on the 43<sup>rd</sup> day of employment. Failure to enroll in a Health Insurance Plan within the first 43 days of employment will result in an additional 10 week waiting period following the employee's completion of enrollment forms.

## **United University Professions (UUP)**

[www.uupinfo.org](http://www.uupinfo.org)

United University Professions (UUP) is the union representing more than 29,000 faculty and professionals on 29 State University of New York campuses, plus the New York State Theatre Institute. UUP is affiliated with the New York State United Teachers and the American Federation of Teachers, AFL-CIO.

With some 800 job titles included in the bargaining unit, UUP reflects the diversity of the State University. Members include academic faculty, student affairs personnel, librarians, public relations personnel, doctors, dentists, nurses and other professionals at teaching hospitals and health science centers, graphic artists, financial aid counselors, central administration staff, student resident hall personnel, and admissions counselors.

UUP represents SUNY faculty and other professionals at the bargaining table and works to protect their interests by:

- Achieving improvements in salary, fringe benefits, working conditions and retirement programs.
- Providing funding for professional growth and development through leaves, awards, conferences and other grant programs.



- Obtaining state resources for the state university through effective legislative and political action.
- Seeking to enhance and preserve the quality of the university.

As the largest higher education union in the nation, UUP is also a source for information on labor unions, state work force and bargaining issues, higher education reform, college faculty concerns and a variety of higher education topics.

### **UUP Benefit Trust Fund**

<http://www.uupinfo.org/benefits/benefits.pdf>

In addition to medical insurance, the collective bargaining agreement between UUP and the State of New York provides for a scholarship program and for dental and vision care. These benefits are funded by the State and are administered by the UUP Benefit Trust Fund. In addition, the Fund administers a life insurance program.

Coverage under the Fund is not automatic. If eligible, members and their dependents must first enroll in the Fund. Enrollment cards are available by calling the Fund at 800-UUP-FUND (800-887-3863) or from the UUP Web site at [www.uupinfo.org](http://www.uupinfo.org).

### **Dental Coverage**

Two dental coverage plans are available through the Fund. Both are provided by Cigna Dental. The first is a Preferred Provider Organization (PPO), which allows the employee to use any dentist. Reimbursement rates are the same for participating and non-participating providers. Participating providers will not charge more than the network allowance for services.

The second dental plan is a Dental Health Maintenance Organization (DHMO). Dental HMO coverage is similar to coverage under a medical HMO. Enrollees must use a primary-care network dentist and must obtain referrals for network specialists. When using the DHMO, the enrollee's out-of-pocket expense is limited to the patient charge described on the Patient Charge Schedule. This schedule, which contains a full list of covered procedures, can be found at [www.uupinfo.org/benefits/dhmo.pdf](http://www.uupinfo.org/benefits/dhmo.pdf).

### **Vision Coverage**

The Vision Care Plan, administered through Davis Vision, offers quality eye care services at no cost from any of the plan's participating providers, once every 24 months (12 months for dependent children under age 19). Every 24 months (from the last month of benefits received), eligible members and dependents are entitled to an eye examination including dilation, as professionally indicated, and one pair of eyeglasses (prescription lenses and frames), or the benefit may be applied toward contact lenses. Toric contact lenses will be reimbursed up to \$150. For dependent children under age 19, the benefit is once every 12 months.

For detailed information, see <http://www.uupinfo.org/benefits/benefits.pdf>.

### **Scholarship Program**

The Scholarship Program is available to dependent children who are enrolled in the Fund and are eligible for coverage on the last day of the semester for which they are applying. Eligibility is contingent on the member's active employment. UUP retiree members, COBRA and direct payment employees are not eligible.

The dependent child must earn at least 12 undergraduate credit hours toward degree requirements at a state-operated SUNY school (this does not include, for example, community colleges, Cornell University, Fashion Institute of Technology, Alfred University) in the semester for which they are applying. For example, if 14 credits have been completed and a student fails a three-credit course, only 11 credits have been earned. A list of state-operated SUNY schools can be found below. An official transcript must be provided with the application that shows a grade-point average of at least 2.0 was earned in the semester for which they are applying.

The scholarship award is \$500 per semester to be used for tuition, fees, books or supplies. A maximum of one (1) scholarship per dependent child will be awarded each semester, even if both parents are UUP members. A total maximum of eight scholarships will be awarded to each dependent child.

The application must be postmarked within 60 days from the last day of the semester for which the

dependent child is applying. If an official transcript is being sent under separate cover, enclose proof of transcript request with the application prior to the deadline in order to qualify.

### **Life Insurance Coverage**

All active members and agency fee payers of UUP in the Professional Services Negotiating Unit are eligible for life insurance coverage. Eligibility for this program differs from that for dental and vision coverage. This benefit does not cover dependents or retirees.

If an employee goes on an employer-approved leave without pay, s/he is not eligible for the life insurance program unless s/he is in paid membership status on the date of death. To continue membership while on an approved leave, a direct-dues payment must be made within 30 days of commencing the leave. Contact UUP Member Benefits and Services at 800-342-4206 for more information or use the application provided on the UUP Web site at [ww.uupinfo.org](http://ww.uupinfo.org).

Individual Eligibility begins on the date on which the employee first pays dues as a member of the Professional Services Negotiating Unit and terminates when the employee no longer pays dues as a member of the Professional Services Negotiating Unit.

The maximum benefit is \$6,000.

### **Tuition Benefits**

SUNY Downstate offers its UUP employees two tuition and fee assistance benefits:

#### **Tuition Waiver**

This is an official forgiveness of part or all of the tuition at a state operated campus (not applicable to community colleges, but applicable under certain conditions to the contract colleges at Cornell). The percentage of the waiver is determined on the basis of the individual program as well as by the funds available. All full-time employees are eligible for waivers. Approval is sought through submission of the Form B-140.

#### **Space Available**

When space is available, employees may enroll in a course on a tuition-free basis subject to the following requirements:

- a. SUNY Downstate determines when space is available, recognizing that such determination must be made in sufficient time to permit enrollment by employees;
- b. Employees must meet all course prerequisites;
- c. Employees may enroll in a maximum of one course per semester and special session, for example, summer session and intercession;
- d. Minimum enrollment requirements established by SUNY Downstate as a necessary condition for offering a course shall not be affected by students interested in enrolling in a course on a space available basis.

#### **Tuition Reimbursement**

Employees may be reimbursed for supervisor approved courses at the rate of \$25 per credit. However, the reimbursement must be charged to the OTPS budget of the department to which the employee is assigned.

### **Group Disability Insurance**

After one year of service UUP members are entitled to free coverage under the long-term disability plan underwritten by Teachers Insurance and Annuity Association (TIAA). Enrollment is automatic after one year of service and there is no cost to the employee.

Benefits are available after six months of continuous disability, defined as the complete inability to perform the material and substantial duties of any occupation for which the enrollee is suited by education, training or experience. The monthly income benefit replaces 60% of monthly wage base up to a maximum of \$5,000 per month before offsets. Offsets include benefits payable under Social Security, Workers Compensation, pension benefits under TRS or ERS and any sick

leave or salary continuation.

### **New York State United Teachers Benefits**

All members of UUP are entitled to the benefits available to members of the New York State United Teachers (NYSUT). Among other benefits, NYSUT provides free accidental death or dismemberment insurance. Other benefits include term life insurance, personal property and life insurance and long term care insurance.

For details, see <http://memberbenefits.nysut.org/>

### **American Federation of Teachers Benefits**

UUP members are also entitled to the benefits available to members of the American Federation of Teachers (AFT). For details, see <http://www.aft.org/aftplus/index.htm>.

## **Section 6**

# **Faculty Rights and Responsibilities**

**Statement of Professional Rights and Responsibilities**

**Academic Freedom**

**Scientific Misconduct**

**Conflict of Interest**

**Policy on Patents, Inventions and Copyright**

**Publicity and Public Statements**

**State University of New York Press**

## **Faculty Rights and Responsibilities**

The following are statements on Faculty Rights and Responsibilities, as approved and adopted by the University Faculty Senate.

### **Statement of Professional Rights and Responsibilities**

The following statement was originally adopted by the Faculty Senate in 1973 and revised for the 1995 edition of the Faculty Senate Governance Handbook.

#### **STATEMENT OF PROFESSIONAL RESPONSIBILITIES AND RIGHTS\***

The professors of the State University of New York, in order to define their professional responsibilities and rights, make the following statement:

##### **I. OVERVIEW**

- (1) The responsibilities of professors in the State University of New York derive from their membership in a learned profession whose members, within a faculty, perform the dual function of cultivating areas of knowledge as coherently structured intellectual disciplines, and of educating students in these areas. Professional responsibilities are thus dedicated primarily to this profession, to students, and to colleagues. Obligations to the University and to the society at large are discharged by fulfilling these responsibilities.
- (2) The rights of professors in the State University of New York derive, in turn, from membership in the University. In addition, professors retain all the civil rights belonging to citizens in general.

##### **II. RESPONSIBILITIES**

###### **A. SCHOLARSHIP**

- (1) As scholars, professors have the responsibility to learn and to advance learning by disciplined inquiry.
- (2) They should pursue studies in the areas of their own scholarship both to keep abreast of the work of fellow scholars and to contribute through individual or collaborative study to the development of knowledge in these areas.
- (3) They should defend scholarly positions which in their judgments are well-founded, and they should modify or abandon positions which in their judgments have been shown to be faulty or untenable.
- (4) They should cooperate with fellow scholars within the University and in the profession at large to promote learning in their areas of expertise, and they should help to establish within the University the best conditions for the pursuit of scholarship.

###### **B. TEACHING EFFECTIVENESS AND STUDENT RELATIONSHIPS**

- (1) As teachers, professors are responsible for educating students in their area of knowledge, seeking in the process not to indoctrinate but to enlighten. As freely and completely as the level of student development permits, professors should share the knowledge they have verified to their own satisfaction with students, and they should nurture understanding of the methods by which the students themselves may in turn become self-disciplined scholars.
- (2) Professors should distinguish fact from opinion, hypothesis from conclusion, and critically present varieties of scholarship.
- (3) They should respect the dignity of students as persons, defend their intellectual freedom and the confidential nature of professional relationships with them, and evaluate their work in a positive effort to enhance their understanding, without regard to considerations other than the quality of the work itself.

- (4) They should be conscientious in meeting students in class and privately at their mutual convenience, and should make themselves available to students in a manner consistent with their other responsibilities.
- (5) They should choose teaching materials and structure their courses in a way that, in their judgment will best enable them to facilitate student learning and related teaching responsibilities.

### **C. COLLEGIALITY**

- (1) As members of a faculty, professors are responsible for promoting effective collegiality.
- (2) They should collectively ensure that administrative structures, rules, and regulations of the University, and of their own institution within it, are consistent with the effective discharge of their scholarly and teaching responsibilities. Furthermore, while they should not violate existing rules, they should be constructively critical of them in an effort both to prevent what in their judgment may hinder their own teaching and scholarship, or that of their colleagues, and to improve the conditions in which these activities are carried on. They should study these conditions, participate in decisions respecting them, and counsel administrative officers candidly in light of their best professional judgment, insofar as that may be done without neglecting their other responsibilities.
- (3) They should abide by the rules and regulations arrived at by their colleagues, even when they disagree, until such time as they may persuade the others differently, so long as that action does not violate the academic freedom of any parties involved.
- (4) They should take deliberate and appropriate action in evaluations of candidates for appointment or reappointment to the faculty of their institution basing their judgment only on professional grounds.
- (5) They should participate in the governance of the University and their own institution, and in the establishment of procedures determined collectively by the faculty.
- (6) They should conduct themselves in the affairs of their campus, and exercise their rights as scholars and teachers, always with consideration for the welfare of their students, their colleagues, their institution, and the University as a whole.
- (7) When speaking outside the University on any matter, professors should avoid creating the impression that they speak for the University or their institution within in, except when they are acting as duly appointed agents in that capacity.

## **III. RIGHTS**

### **A. SCHOLARSHIP**

- (1) As scholars, professors have the right to define the areas of their scholarship, in accordance with their professional training, abilities and interests; and to pursue their studies and share their results subject to no restraints save their own professional integrity and the collective judgment of their work by fellow scholars. Because only scholarly peers are competent to evaluate such work, professors have the right to have their intellectual work judged exclusively by such persons.
- (2) Professors have the right both to determine the minimal and to promote the optimal conditions within the University for the discharge of their scholarly responsibilities.

### **B. TEACHING EFFECTIVENESS AND STUDENT RELATIONSHIPS**

- (1) As teachers, professors have the rights and freedom to present the results of their studies to students, irrespective of who may be offended by such ideas or knowledge.
- (2) Professors have the further right to determine the conditions necessary for the effective exercise of this right, including among others the selection of instructional materials, prerequisites and the number of students that can be taught effectively in each classroom situation. They also have the right to determine the style in which teaching can best be done, provided always that this right is exercised in such a way as not to neglect their responsibilities as scholar, teacher, and colleague.

- (3) Professors have the collective right to establish and enforce criteria for the attainment of academic degrees within their respective disciplines, within the context of relevant education law or regulations.

#### C. COLLEGIALITY

- (1) As members of the faculty, professors have the right to speak freely within the University on all matters ultimately affecting their scholarship and teaching; they have the right to participate in discussions with colleagues and students on such matters without fear of overt or covert reprisal, and to be accorded the dignity of a responsive hearing when they offer counsel.
- (2) They have the collective right to evaluate candidates for appointment or reappointment to institutional positions on their respective campuses, and thereby to define the membership of the profession within the University.
- (3) They have the right to be judged in the discharge of all their responsibilities by the fellow members of their profession.

#### **GUIDELINES FOR ADJUDICATING ALLEGATIONS OF UNPROFESSIONAL CONDUCT IN VIOLATION OF THE SUNY STATEMENT OF PROFESSIONAL RIGHTS AND RESPONSIBILITIES**

In order to provide a means for professional self-regulation and to assure procedural due process in proceedings involving charges of unprofessional conduct in violation of the SUNY Statement of Professional Rights and Responsibilities, a procedure should be established on each SUNY campus to provide collegial consideration of such allegations. Such procedure should encompass the following:

1. Judgments of unprofessional behavior should emanate from professional peers.
2. Adherence to the basic concepts of procedural fairness should be required, including the following provisions:
  - a. Allegations should be documented.
  - b. The burden of proof should rest with the complainant.
  - c. The respondent should have full access to all allegations and documentation, and ample opportunity to respond.
  - d. Appropriate and reasonable professional behavior and confidentiality should be maintained in the proceedings.
  - e. Provision for appeal should be afforded.
3. The review or hearing body should be empowered to resolve the complaint or grievance informally, through reasonable conciliation, prior to instituting more formal proceedings.
4. Several levels of appropriate action (including reprimand and censure), insofar as may be consistent with contractual agreements in force at the time of review, should be provided to the review body.

*\*It is understood that, at any given time, there may be in force contractual agreements concerning terms and conditions of employment of members of the professional staff of the State University of New York. No item in this Statement of Professional Rights and Responsibilities should be construed as violating or abrogating such agreements. The Statement is intended rather to assert that, as participants in a professional collegiality, professors in the State University of New York undertake the responsibilities and enjoy the rights set forth herein, quite apart from such contractual agreements made by them and on their behalf as persons employed by the University.*

## **Academic Freedom**

Article XI, Title I of the *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 University-Wide Faculty Senate adopted the following statement on Academic Freedom in April 1986:

Faculty of the State University of New York enjoy the same civil liberties, and specifically, freedom of opinion and expression, guaranteed to all citizens by the Constitution. As members of the academic profession, furthermore, those freedoms are translated into the specific forms named below. Just as the medical profession is bound by the Oath of Hippocrates, so is the academic profession bound by the Socratic ideal: to pursue truth without fear or prejudice, and to encourage others to do the same. That pursuit can only be accomplished in a spirit of free enquiry for, as the framers of the Constitution recognized, no law should be made for the human mind.

Recent events on campuses throughout the State of New York have threatened the rights of individuals and groups to free expression, and have challenged the principle that the scholarly and intellectual achievements of professional academics can be judged best only by their peers.

It is, therefore, timely for the Faculty Senate once again to proclaim, support, and recommend the following principles based on the Statement of Professional Rights and Responsibilities as essential to the upholding of those academic freedoms necessary to achieve the objectives of the profession, namely:

1. As scholars, faculty have the right to define the areas of their scholarship in accordance with their professional training, abilities, and interests; and to pursue their studies and share their results subject to no restraints save their own professional integrity and the collective judgment of fellow scholars.
2. As academic professionals, faculty have the right to have their work evaluated solely by fellow scholars who are competent to judge it; and the responsibility, furthermore, to respect the intellectual freedom of their students, while inculcating in them a critical spirit of free enquiry and intellectual integrity.
3. As members of the academic community, faculty have the right to speak freely within the University on all matters affecting their scholarship and teaching without fear of reprisal either overt or covert; and the responsibility to abide by decisions arrived at by the majority, so long as these do not violate their own academic freedoms.
4. In cases where violations or abuses of academic freedom are alleged, faculty have the right for a full, open, and impartial hearing and adjudication by a review body of their peers (as outlined in the Guidelines in the Statement of Professional Rights and Responsibilities or through the contractual review process established by United University Professions and the State, whichever is appropriate).

## **Scientific Misconduct**

Scientific research must be carried out in accordance with the highest ethical standards. Impropriety of any type in the conduct of research is abhorrent to the inherent purpose of all scientific inquiry: the discovery and dissemination of truth. The academic community cannot condone plagiarism, fraud, lying or other types of wrong-doing in the conduct of scientific research. Such activities seriously undermine the moral foundations of our institutions, the idea of scientific research, and the public's trust in the personal integrity of scientists engaged in health related research. SUNY Downstate Medical Center is committed to sustaining and encouraging an environment of creativity commensurate with the highest ethical standards of scientific research and regards the imparting of principles of integrity and honesty to students as an integral part of the education process and a responsibility of the faculty and administration. The Medical Center is also committed to undertake diligent efforts to protect the position and reputation of the individual(s) who makes, in good faith, an allegation of scientific misconduct. To this end, Downstate has established and implemented Guidelines for the Review of Alleged Scientific Misconduct.



This policy and the associated procedures apply to all individuals at Downstate Medical Center engaged in research regardless of the sponsor of the research. Consistent with the Public Health Service (PHS) regulations ([42 CFR Part 50, Subpart A](#)), Downstate recognizes its reporting and procedural obligations to the PHS, during each phase of the review process, when an allegation of possible misconduct in science involves any research, research-training or research-related grant or cooperative agreement with the PHS.

This policy and associated procedures will normally be followed when an allegation of possible misconduct in science is received by an institutional official. Particular circumstances in an individual case may dictate variation from the normal procedure deemed in the best interest of Downstate Medical Center and the Public Health Service. Any change from normal procedures also must ensure fair treatment to the subject of the inquiry or investigation. Any significant variation should be approved in advance by the Senior Vice President for Biomedical Education and Research of Downstate Medical Center.

## **Conflict of Interest**

### **I. Policy Statement**

Consistent with the missions of the SUNY Downstate Medical Center, all faculty and staff are encouraged to pursue free and open inquiry and the unrestricted dissemination of knowledge independent of personal interests. Open exchange of scholarly knowledge is integral to the Center's goals of teaching, research, clinical care and public service. As members of a public university, the Center's faculty and staff have a responsibility to ensure integrity in all aspects of the performance of their responsibilities and activities. In keeping with this obligation, they are also required to avoid conflicts of interest. In instances where potential or actual conflicts exist, faculty and staff are expected to consult with appropriate Center officers and abide by this policy. It is the responsibility of Center officials charged with implementing this policy to identify potential or actual conflicts of interest and take appropriate steps to manage, reduce or eliminate them.

To meet these objectives and to ensure compliance with federal regulations, the SUNY Board of Trustees Policy on Conflict of Interest and the New York State Public Officers Law, Downstate Medical requires each Investigator to comply with the disclosure requirements set forth in this policy.

### **II. Guiding Principles**

Faculty and staff may not engage in other employment or activities which interfere with the performance of their professional obligations to Downstate Medical Center.

Downstate Medical Center will not accept sponsored research funding from a faculty-owned company for work to be carried out under his/her direction.

Products of research (i.e., publications, materials, etc.) are to be made available on a timely basis and on an at-cost basis.

Selection of speakers, course materials and "enduring materials" for CME and other programs should be entirely the responsibility of Downstate Medical Center and not subject to the review and approval of the organization providing financial support for the program.

Disclosure of affiliations, sponsorships, monetary support and other potential biasing factors should routinely be made to the individuals attending CME or other programs by Downstate Medical Center.

### **III. Definitions**

Conflict of interest: any interest, financial or otherwise, direct or indirect; participation in any business, transaction or professional activity; or incurring of any obligation of any nature, which is or appears to be in substantial conflict with the proper discharge of an employee's duties in the public interest. A conflict of interest is also any financial interest that could, or may be reasonably expected to, bias the design, conduct or reporting of sponsored research.

The potential for conflicts of interest may arise from specific actions taken by Investigators, or by the nature of positions they hold at the Center and outside the Center, or by the financial interests they or their immediate family hold. For example, a conflict on interest can result when:

- consulting arrangements exist between an Investigator and a business enterprise that supports or is supported by Center programs involving the Investigator;

- consulting arrangements exist between an Investigator and a business enterprise that is licensed to commercialize Center technologies invented by the Investigator;
- significant financial interests of an Investigator at the Center exist in a business enterprise that supports or is supported by the Investigator's Center research;
- an Investigator at the Center holds a position as consultant, officer, director, trustee or owner of a non-Center business enterprise that supports or is supported by the Investigator's Center research;
- significant financial interests of an Investigator at the Center exist in a business enterprise that owns or has applied for the patent, manufacturing or marketing rights to a drug, device or procedure that is a subject of, or will predictably result from, the Investigator's Center research; or
- significant financial interests of a Investigator at the Center exist in a business enterprise that is known by the Investigator to own or have applied for patent, manufacturing or marketing rights that can reasonably be expected to compete with a device, product or procedure that will predictably result from the Investigator's Center research.

Investigator: the principal investigator or co-principal investigator (or project director or co-project director) of a sponsored research proposal to the National Science Foundation or the Public Health Service. For the purposes of this policy, "Investigator" shall include the Investigator's spouse and, as required, all dependent children.

#### IV. Review Procedure

The Senior Vice President for Biomedical Education and Research shall appoint an ad hoc faculty committee to review financial disclosure information and relevant sponsored research applications and to make recommendations regarding the resolution of actual or potential conflicts of interest. The Assistant Vice President for Scientific Affairs (the financial disclosure designee) shall be responsible for ensuring that all reporting requirements are met, that records are maintained, that any sanctions imposed by the Center are recorded, that appropriate persons at the University, State and Federal levels are notified of the disposition of alleged policy violations and that copies of all current rules and law governing conflict of interest are maintained on file.

The SUNY II financial disclosure form shall be initially filed and updated annually, or more frequently if new reportable significant financial interests are obtained, by SUNY faculty and staff who apply for funds to external sponsors under the following conditions:

- faculty/staff who apply to any external sponsor and whose salary are above the threshold established by the State Ethics Commission (\$58,198 in FY95/96); and
- faculty/staff, regardless of salary level, who submit applications for funds as Investigators to the National Science Foundation or the U.S. Public Health Service report only those interests 1) that would reasonably appear to affect or be affected by the research or educational activities funded or proposed for funding by NSF or PHS and 2) which are valued at greater than \$10,000.

Research Foundation employees at Downstate Medical Center who are applying as Investigators to the NSF or PHS for sponsored research support and who represent or act on behalf of the Foundation or are in a significant decision making capacity with respect to the professional, technical or scientific aspects of a program or project conducted or administered by the Foundation must complete and file the Research Foundation's Conflict of Interest Disclosure Statement.

The financial disclosure designee and the ad hoc faculty committee will review the financial disclosure statements, determine whether an actual or potential conflict of interest exists, and recommend to the Senior Vice President for Biomedical Education and Research and/or the Research Foundation's Operations Manager at the Medical Center what conditions or restrictions, if any, should be imposed by the Center to manage, reduce or eliminate such conflict of interest. The Senior Vice President for Biomedical Education and Research will make the final decision regarding the conditions or restrictions to be imposed.

An Investigator or employee who disagrees with the determination of the Senior Vice President may appeal to the President of Downstate Medical Center (to the President of the Research Foundation in the case of Foundation employees) for reconsideration of such determination. The determination of the President shall be final and binding.

Faculty and staff of Downstate Medical Center are encouraged to seek assistance in reviewing potential relationships with outside organizations prior to their execution in order to minimize or eliminate any potential conflicts of interest.

## V. Resolution of Conflict of Interest

When a conflict of interest, as defined by this policy, is discovered, actions must be taken to manage, reduce or eliminate such conflict of interest. These actions can include, but are not limited to:

- public disclosure of significant financial interests;
- monitoring of research by independent reviewers;
- with respect to NSF or PHS funded research, disqualification from participation in the portion of the NSF or PHS funded research that would be affected by any significant financial interests;
- severance of relationships that create actual or potential conflicts; or
- with respect to NSF funded research only, if the Center determines that imposing conditions or restrictions would be either ineffective or inequitable, and that the potential negative impacts that may arise from significant financial interests are outweighed by interests of scientific progress, technology transfer or the public health and welfare, then the Center may allow the research to go forward without imposing such conditions or restrictions.

For PHS funded research programs, where any such conflict is found, the Center will report to the sponsor prior to the Center's expenditure of funds under the award the existence of a conflicting interest (but not the nature of the interest or other details) found by the Center and assure that the conflict of interest has been managed, reduced or eliminated in accordance with PHS policy; and, for any interest that the Center identifies conflicting subsequent to the Center's initial report under the award, the report will be made and the conflicting interest managed, reduced or eliminated, at least on an interim basis, within sixty days of that identification. For NSF funded research programs, conflicts of interest must be managed, reduced or eliminated prior to the Center's expenditure of any funds under the award. Both NSF and PHS will be notified if the Center is unable to satisfactorily manage a conflict of interest situation or upon completion of disciplinary proceedings as provided for in this policy.

For PHS funded clinical research programs, whose purpose is to evaluate the safety or effectiveness of a drug, medical device or treatment and which has been designed, conducted or reported by an Investigator with a conflicting interest that was not disclosed or managed as required under this policy, the Investigator must disclose the conflicting interest in each public presentation/publication of the results of the research.

Where any such conflict is found with respect to the Investigator or the Investigator's spouse (in contrast to those with respect to the Investigator's dependent children), which would also violate the NYS Public Officers Law, corrective steps must be taken to render the activities in conformance with such law.

## VI. Compliance

The Senior Vice President for Biomedical Education and Research shall report promptly to the President all cases in which Investigators have failed to comply with the Center's Conflict of Interest Policy or the means determined to resolve a conflict of interest. In such cases where disciplinary action is contemplated, the President, or his/her designee, shall:

- institute disciplinary proceedings against an Investigator who has failed to comply with the conflict of interest policy. Article 19 of the UUP Agreement shall be the sole source of Center discipline for members of the UUP-represented unit.
- disciplinary sanctions may include termination or alteration of the employment or academic status of persons against whom charges have been substantiated, and must be consistent with established SUNY Board of Trustees policies and applicable collective bargaining agreements.

For Research Foundation employees, in addition to any penalty contained in any provision of law or federal policy, officers or employees who knowingly and intentionally violate any of these provisions may be suspended from employment with the Research Foundation or their relationship with the Foundation may be terminated.

## VII. References

- State University of New York Board of Trustees Policy on Conflict of Interest (approved 6/27/95)
- New York State Public Officers Law (Sections 73-a, 73 and 74)
- Research Foundation Board of Directors Conflict of Interest Policy (approved 5/10/95)
- National Science Foundation Investigator Financial Disclosure Policy (revised 7/11/95)
- Public Health Service Objectivity in Research Policy (revised 7/11/95)

## Policy on Patents, Inventions and Copyright

The SUNY Policy on Patents and Inventions and Copyrights is set forth in the Policies of the Board of Trustees at Article XI, Title J. Additional information is available on the UUP website at <http://www.uupinfo.org/qanda.pdf>.

### *Patents and Inventions Policy.*

#### (a) Purpose.

(1) SUNY recognizes that the three primary missions of an educational institution are teaching, research, and public service. While carrying out its research mission, SUNY further recognizes that inventions of value to the public will be made by persons working in its facilities. It is the policy of SUNY to encourage such inventors and inventions and to take appropriate steps to aid the inventor and ensure that the public receives the benefit. Appropriate steps include securing research support, identifying inventions, securing appropriate patents, marketing inventions through licensing and other arrangements, and managing royalties and other invention-related income. These activities are undertaken in a spirit of cooperation with governmental agencies and private industry as part of SUNY's contribution to the economic well-being of the State of New York and of the nation.

(2) In implementing its policies SUNY will take appropriate steps to ensure that its faculty may freely publish the results of scholarly research pursuant to the SUNY Board of Trustees policy on unrestricted disclosure of research activities as set forth in Trustees' resolution number 66-258. In conformance with this principle, all concerned shall cooperate so that essential rights to inventions shall not be lost.

(3) All net proceeds after payment of the inventor's share as defined in subdivision (c), and other appropriate costs associated with the University Technology Transfer Program, realized from the marketing of SUNY inventions shall be used for the support of SUNY research programs.

(b) All inventions made by faculty members, employees, students, and all others utilizing University facilities at any of the State-operated institutions of SUNY shall belong to SUNY and should be voluntarily disclosed or shall be disclosed to SUNY upon request of the University. The inventor or inventors shall make application for patents thereon as directed by SUNY and shall assign such applications or any patents resulting therefrom to or as directed by SUNY. However, non-university organizations and individuals who utilize University research facilities under the Trustees' policy on cooperative use of research equipment, or policy and guidelines on use of SUNY facilities by emerging technology enterprises, will retain ownership of all patentable inventions. Also, an invention made by an individual wholly on such individual's own time and without the use of such University facilities shall belong to the individual even though it falls within the field of competence relating to the individual's University position. For purposes of this provision, an individual's "own time" shall mean time other than that devoted to normal and assigned functions in teaching, University service, direction and conduct of research on University premises and utilizing University facilities. The term "University facilities" shall mean any facility available to the inventor as a direct result of the inventor's affiliation with SUNY, or any facility available under the Trustees' policy on cooperative use of research equipment, or policy on use of facilities by emerging technology enterprises, and which would not otherwise be available to a non-SUNY-affiliated individual. Where any question is raised as to ownership of an invention or patent under these provisions, the matter shall be referred to a committee of five members to be named by the Chancellor of SUNY. At least three of such members shall be members of the academic staff of the University. Such committee shall make a careful investigation of the circumstances under which the invention was made and shall transmit its findings and conclusions to the Chancellor for review. If the committee determines that the invention has been made without the use of the University facilities and not in the course of the inventor's employment by or for the University and the Chancellor concurs in such determination, the University will assert no claim to the invention or to any patent obtained thereon.

(c) With respect to any invention obtained by or through SUNY or assigned to or as directed by it in accordance with the foregoing provisions, the University, in recognition of the meritorious services of the inventor and in consideration of the inventor's agreement that the invention shall belong to the University, will make provision entitling the inventor and the inventor's heirs or legatees to a nonassignable share in any proceeds from the management and licensing of such invention to the extent of 40 percent of the gross royalty paid, unless this exceeds the limits fixed by applicable regulations of the relevant sponsoring agency, which will control in such cases. SUNY may make suitable arrangements with nonprofit patent management agencies for the purpose of obtaining services and advice with respect to the patentability of inventions, the obtaining of patents thereon and the management and licensing of inventions. Such arrangements may provide for division of the net income from any invention after payment of the inventor's share between the management agency and SUNY.

(d) Upon recommendation of the Patents and Inventions Policy Board, the Chancellor may grant exclusive licenses for a fixed period for the marketing of inventions, since it is recognized that in the absence of such a condition some inventions may not reach the marketplace for the public benefit. Granting of exclusive licenses for a fixed period may be accepted by the Chancellor as a condition for industrial sponsorship of research programs, within guidelines recommended by the Patents and Inventions Policy Board.

(e) Grants made available to SUNY by or through The Research Foundation of SUNY shall be subject to the policy herein stated except in special instances as hereinafter provided. Nothing in the policy herein stated shall prevent the acceptance of research grants from, or the conduct of research for, agencies of the United States, either directly or through the Research Foundation, upon terms and conditions under applicable provisions of Federal law or regulations which require a different disposition of inventions or patent rights, nor shall anything herein contained prevent cooperative arrangements with other agencies of the State of New York for research.

(f) The Chancellor, acting with the advice of the Patents and Inventions Policy Board or SUNY's designated Patent Management Agent, may determine not to file a patent application in the case of any specific invention or continue efforts at marketing. The University's decision shall be arrived at, in consultation with the inventor, within a period not to exceed six months from the date of first submission of the inventor's properly executed statement of disclosure of invention to the University or its designee. In every instance in which the University determines not to file a patent application or continue efforts at marketing, or fails to elect to do so within six months from the date of submission of said disclosure statement, all of the University's rights to the invention shall be released to the inventor, who may then file for a patent, subject only to those restrictions that may be required by an external sponsor, if any. In every instance in which the

University determines to file a patent application or continue efforts at marketing, the inventor may, at any subsequent time, request the Patents and Inventions Policy Board to recommend such release. For any invention so released to an inventor, SUNY, at its option, shall receive 10 percent of the net proceeds, in recognition of the contribution of the State and people of New York to the support of the research which resulted in said invention. For purposes of this provision, the term "net proceeds" shall mean earnings to the inventor from the invention over and beyond reasonable costs incurred in the process of patent application and management.

(g) In all cases, any person is entitled to request an exception or waiver to the provisions of this patents and inventions policy. The person requesting an exception or waiver shall have the right to appear, accompanied by representatives of the person's choice, before the Patents and Inventions Policy Board for consideration of the request for an exception or waiver. The Patents and Inventions Policy Board shall prepare a report of its findings and an advisory recommendation to the Chancellor for review. The decision of the Chancellor on the findings and recommendations of the Patents and Inventions Policy Board shall be final.

(h) The Chancellor shall establish and appoint a Patents and Inventions Policy Board of the State University of New York and designate the Chair thereof in accordance with the following:

(1) The Patents and Inventions Policy Board shall have no more than 10 members, and shall include one representative of the Central Administration, two from the University Centers, one from the Health Sciences Centers, one from another major research institution of the University, one from the Colleges of Arts and Science, one from the Agriculture and Technology Colleges, one from The Research Foundation of SUNY, and two representatives from business and industry.

(2) The Patents and Inventions Policy Board shall have full powers of organization.

(3) The members of the Patents and Inventions Policy Board shall serve without extra compensation and at the pleasure of the Chancellor. The normal term of appointment shall be for three years.

(4) The Patents and Inventions Policy Board shall meet at least once annually.

(5) The Patents and Inventions Policy Board shall advise the Chancellor in the following matters:

(a) guidelines and procedures for the implementation of these policies;

(b) exceptions to these policies in unusual circumstances;

(c) determining the extent of the University's interest in inventions;

(d) determining whether or not to grant exclusive licenses or to commit the University to the future granting of exclusive licenses as a condition of sponsorship for particular research projects;

(e) such other matters as the Chancellor may deem appropriate.

(6) The Patents and Inventions Policy Board shall undertake continual review of these policies and advise the Chancellor and the Board of Trustees thereto.

(7) The Patents and Inventions Policy Board shall maintain current information concerning patent and invention activities within the University, disseminate information to the faculty of SUNY concerning such activities, and encourage general awareness of an interest concerning patents within the University community.

(8) The Patents and Inventions Policy Board, through the Chancellor, shall report annually to the Board of Trustees concerning its activities and recommendations during the preceding year.

*Copyright Policy.* Generally the members of the staff of the University shall retain all rights to copyright and publish written works produced by them. However, in cases where persons are employed or directed within the scope of their employment to produce specific work subject to copyright the University shall have the right to publish such work without copyright or to copyright it in its own name. The copyright will also be subject to any contractual arrangements by the University for work in the course of which the writing was done. Staff members will be expected not to allow the privilege to write and retain the right to their work to interfere with their University duties. In those cases where an author desires the help of University facilities, arrangements should be made through the administrative staff of the author's institution in advance with respect to the assistance which may be appropriately given and the equity of the University in the finished work.

## **Publicity and Public Statements**

The Office of Institutional Advancement provides information about the medical center, its personnel and its activities and achievements to members of the medical center community and to the media. Staff in Institutional Advancement are available to assist in releasing appropriate information to the media and answering media questions.

All public statements or press releases regarding the medical center and/or the professional activities of its employees should be issued through the Office of Institutional Advancement. Academic employees are encouraged to submit information concerning their research and other professional activities to the Office of Institutional Advancement, which will determine appropriate publicity in accordance with medical center policy.

## **State University of New York Press**

The State University of New York Press publishes scholarly and trade books in support of the State University of New York's commitments to teaching, research, and public service. With an editorial board made up of SUNY faculty from throughout the state, SUNY Press has a large catalog, featuring authors from around the world.

From a modest beginning in 1966, SUNY Press has become one of the largest public university presses in the United States, with an annual output of around 200 books and a backlist of more than 3400 titles. The Press publishes chiefly in the humanities and social sciences, and has attained national recognition in the areas of education, philosophy, religion, Jewish studies, Asian studies, political science, and sociology, with increasing growth in the areas of literature, film studies, communication, women's studies, and environmental studies.

SUNY Press reports to the Office of the Provost and Vice Chancellor for Academic Affairs and is a proud member of the Association of American University Presses.

## **Faculty-Student Relations Policy**

The best medicine has an abiding respect for the humanity at the core of us all. Meeting this standard in medical education requires that interactions between faculty and students be mutually respectful and civil. Faculty and students should strive to exhibit a high standard of professionalism. (*See the discussion of Professionalism in the Downstate Medical Center Student Handbook*)

Students should bear in mind that constructive criticism is an important part of the learning process. Courses and clerkships may require considerable effort and time from students to achieve educational goals. However, mistreatment of students is not sanctioned. Examples of mistreatment and inappropriate behavior include the following: sexual harassment; discrimination based on race, ethnicity, religion, gender, sexual orientation, physical disabilities, or age; purposeful humiliation; and the use of grading or other forms of evaluation in a punitive manner.

Students who think that they have been treated unfairly or inappropriately by a faculty member are encouraged to consult with staff of the Office of Student Affairs in order to determine an appropriate course of action. Allegations of sexual harassment or discrimination may be reported to the Office of Opportunity and Diversity (*for details on this office and the appropriate procedures, see the Downstate Medical Center Student Handbook*).

## **Section 7**

# **General Policies and Procedures**

- Central Receiving**
- Central Stores**
- Children's Center at SUNY Brooklyn**
- Classroom Services**
- Collections and Donations**
- Division of Laboratory Animal Resources**
- Employee Assistance Program**
- Employee Health Service**
- Employee's Right to Know**
- Fire & Safety Regulations**
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- Mail Services**
- Parking**
- Physical Plant and Maintenance (FM&D)**
  - Physical Plant**
    - Trades Shops**
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- Property Control System**
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- Public Safety (University Police)**
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- University Name**

## **Central Receiving**

([http://138.5.102.102/finance/central\\_receive.html](http://138.5.102.102/finance/central_receive.html))

The Office of Central Receiving receives all incoming shipments of supplies, equipment and materials and transports them to their designated internal location. For State funded shipments, applicable electronic data entries are performed to alert Accounts Payable of the items received to initiate payments. Central Receiving also coordinates shipment of supplies being stored at the warehouse facility and the receipt and return of gas cylinders.

Central Receiving is located at University Hospital Room ALL1-529, Ext. 1217, Fax ext. 1266, Box 61, open from 9:00 a.m. to 4:00 p.m.

## **Central Stores**

([http://138.5.102.102/finance/central\\_stores.html](http://138.5.102.102/finance/central_stores.html))

Central Stores provides a variety of hospital and office supplies; coordinates all outbound United Parcel packages; coordinates Comprehensive Archive (file storage and retrieval) services; and coordinates Dry Ice shipments.

Central Stores items and services are charged to State accounts under object code 9200, or billed to Research Foundation and other HSCB affiliates. Please consult the Central Stores Catalog for more details on ordering supplies. Catalogs can be obtained by either calling Central Stores at ext. 1514 or by accessing the Central Stores Bulletin Board on the campus network via e-mail. Central Stores also supervises the QCC operations (see Quick Copy section below).

Central Stores is located in University Hospital at Room ALL1-530; Ext 1514, Fax ext. 1266, Box 61 and is open Monday to Friday, except holidays, from 9am to 4pm.

## **Children's Center at SUNY Brooklyn**

The Children's Center at SUNY Brooklyn, located at 440 Lenox Road, is an on-site day care center which offers developmentally appropriate early childhood education for children from age 8 weeks to five years. The Center has a sliding fee scale ranging from \$95/week (for those earning up to \$40,000 per year) to over \$200/week. Center hours are from 7:30 a.m. to 5:30 p.m. The director and staff are fully qualified to each young children and the Center has been accredited by NAEYC, which affirms the high quality of the educational services the Center provides. There is a \$10 non-refundable application fee.

## **Classroom Services**

The Classroom Services Department is responsible for the functions of room scheduling and audio visual services within the five colleges at Downstate Medical Center. The Department receives requests to schedule meetings, classes or symposia and reserves the necessary space and equipment for the successful completion of your event. Staff also provide technical assistance, as needed, to operate audiovisual equipment such as overhead, slide, or video projectors, etc. Unfortunately, the Department does not provide projectionists at this time. Reservations are preferred by fax, or by campus email addressed to Classroom Services or by an online interactive form. Assistance and directions are available by phone. Campus ext. 2639 or 7633. Emergency number for equipment assistance: 718-270-1215 Fax requests: 718-270-7471

## **Collections and Donations**

No canvassing, peddling or soliciting is permitted on the property of the Medical Center, except with permission of the President.

Collections for certain charitable causes, including the State Employees Federated Fund (SEFA), are publicized through official channels, such as posters, special mailings and publications. No direct personal solicitations are made and employees are under no obligation to contribute to these causes.



## **Division of Laboratory Animal Resources**

<http://research.downstate.edu/acuc/dlar.htm>

The Division of Laboratory Animal Resources (DLAR) is a support activity for the Medical Center's research and teaching programs. The Division has 27 professional, technical and office personnel to carry out the animal care program in accordance with the standards established by the NYS Department of Health, the US Public Health Service, the US Department of Agriculture and the Association for Assessment and Accreditation of Laboratory Animal Care.

Further information about the Division and animal use protocols is available at the DLAR web page at <http://research.downstate.edu/acuc/dlar.htm>.

## **Employee Assistance Program**

(<http://138.5.102.102/eap/index.shtml>)

The Employee Assistance Program is a confidential referral and information service that helps employees cope with personal problems that may affect their lives and their job performance. A benefit offered to SUNY Downstate employees and their families and retirees, the Employee Assistance Program is a voluntary program designed to offer a highly professional, **confidential** source of help for people who need assistance with personal problems of concern. The Program offers assessment, referral, information, education, training, support and evaluations. The program is jointly sponsored by labor and management and provides services to all employees, regardless of bargaining unit, length of service or current status (i.e., employees on leave, retired employees, etc.).

The Employee Assistance Program offers confidential assessment and referrals as requested and can provide assistance in the following areas:

- Family related problems
- Child care, elder care, legal, financial or other support services
- Workplace, health education and employee wellness programs
- Consultations in relation to work-related issues
- Assistance with emotional or physical illnesses, alcohol or other drug-related problems
- Critical Incident Stress Response and Debriefing
- Responses to workplace trauma and/or violence
- Other services as the need arises

An employee may enter EAP in several ways: self-referral; referral by a supervisor, or a third party. A supervisor may recommend EAP to an employee based on work performance only. Because confidentiality is essential, once a supervisor has made the recommendation, no further information concerning that employee's participation is provided to that supervisor. Refusal to use EAP does not constitute grounds for dismissal, nor does use of EAP services guarantee continuation of employment. EAP referral does not remove an employee's responsibility to improve his or her work performance.

## **Employee Health Service**

The Employee Health Service provides urgent care for work-related illness or injury to full-time and part-time employees. Other services available include:

- Referral to general or specialist physicians
- Annual health assessments (required) for employees working in University Hospital of Brooklyn
- Influenza vaccine
- Required immunizations
- Tuberculin testing

There is no charge for office visits, but the coverage does not include the cost of medications, hospitalization, laboratory fees, radiology fees or consultation with physicians other than the Employee Health Service physicians. Emergencies should be sent to the Emergency Room at University Hospital of Brooklyn.

The Employee Health Service is located at 440 Lenox Road, Apt. 1S and is open from 9:00 a.m. to 4:00 p.m.. The telephone number is (718) 270-1995.

## Employee's Right to Know

Federal regulations require that employers provide employees with information and training regarding hazardous chemicals used in the workplace. Known as the employees' "Right- to-Know" about the hazards associated with the use of any hazardous chemical in their workplace, this information is provided in Material Safety Data Sheets specific to the each chemical.

The employer's responsibilities are:

- To inform employees that they can request information pertaining to hazardous materials in the workplace and upon an employee's request, provide, within 72 hours, a Material Safety Data Sheet specific to the chemicals found in the work area
- To provide Education and Training in the safe and proper handling of substances before the employee begins working with the substances, at least once per year, and whenever a new chemical is introduced
- To keep records of workers who are exposed to chemicals regulated by the Federal Occupational Safety and Health Administration

## Fire and Safety Regulations

The Fire Safety Plan outlines procedures for the safe and orderly evacuation of the occupants of a floor or the entire building during a fire or an emergency. The plan also outlines the methods to evacuate all occupants in the shortest possible time via the nearest safe means of egress and all available fire detection and suppression methods installed. Copies of the Fire Safety Plan are available in the Office of the Director of Safety Management.

The Basic Science Building and University Hospital are equipped with alarm bells. There are five emergency exit staircases in the Basic Science Building. Fire alarm pull stations are mounted near the exit staircase doors on every floor.

In case of smoke or fire, follow instructions in the fire plan, R-A-C-E: Rescue or remove anyone in immediate danger from fire or smoke; Activate the fire alarm; Contain the fire by closing all doors and windows; Evacuate or extinguish fire with appropriate extinguisher..

All employees should know the location of the nearest fire extinguisher, fire alarm and fire exit.

## Information Services

[http://infonet.downstate.edu/QuickPlace/is/Main.nsf/h\\_Toc/F8F65CC27299279485256EBB006BC0EE/?OpenDocument](http://infonet.downstate.edu/QuickPlace/is/Main.nsf/h_Toc/F8F65CC27299279485256EBB006BC0EE/?OpenDocument)

The Information Services Division provides a broad array of computing services and resources to the academic, clinical, and administrative areas of Downstate Medical Center:

- Maintain the Downstate computing network and network services such as email, internet, and anti-virus software (<http://uhweb1.hscbklyn.edu/netgrp/>)
- Develop computing applications (call 270-3003)
- Administer the main data center and systems services (270-1085)
- Provide centerwide helpdesk service (270-HELP)

The mission of the Information Services Division is to make SUNY Downstate the Medical Information Technology Center in Brooklyn and the surrounding area for all the health care educational, patient care, and research activities in this region.

## Mail Services

<http://138.5.102.102/finance/mail.html>

Mail Services handles all incoming, outgoing and interoffice mail of Downstate Medical Center. Mail is delivered daily to each department and picked up regularly from mail drop boxes throughout the campus. Mail Services also provides special services such as overnight mail services by Express Mail, DHL, Airborne, Federal Express, and makes available to Downstate community a full range of U.S. postal services. The Central Mail Services unit does not sell USPS postage stamps. However, stamps can be purchased at the Campus Bookstore (located in the Student Center) or the UHB Gift Shop.

The Mail Room is located in the basement of the Basic Science Building, Room BSB B56. Call the Central Mail Services unit at extension 1175 for assistance or consultation.

## Parking

[http://www.downstate.edu/police/security\\_frame.html](http://www.downstate.edu/police/security_frame.html)

Parking at Downstate Medical Center is extremely limited, and what is available has been divided as fairly as possible among the many groups who utilize the Center. Key card parking is available to employees on a seniority basis by employee category of faculty and staff. Employees seeking parking privileges should visit the Parking Office to sign up for the waiting list.

The HSCB Foundation operates a parking lot (not State owned) on Parkside Avenue and they have their own sign up and waiting list. They also have a limited number of pre-paid daily parking tickets available. Apply at the Faculty Student Association Office, room 203 in the Student Center for the Foundation lot.

The Parking Office is located at 825 New York Avenue, 1st floor, telephone number 270-3163. The office hours are 9:00 AM to 4:00 PM, Monday to Friday.

## Physical Plant and Maintenance (FM&D)

<http://138.5.102.102:591/FMnD/FMPro?-db=headlines.fp5&-format=defaultxxx.html&-findall>

The Facilities Management and Development Department (FM&D) is responsible for the overall maintenance and operation of all DMC buildings and grounds which totals in excess of 2,500,000 gross square feet. The department is subdivided into four primary divisions: Physical Plant, Design & Construction, Environmental Health and Safety, and Project Management.

**Physical Plant** is comprised of four areas: Trades Shops, Maintenance Operations Center, Power Plant, Building Services & Grounds.

The Trades Division is made up of individual shops performing maintenance and repairs in the carpentry, electrical, painting, Masonry, and plumbing fields.

The Maintenance Operations Center is FM&D's communication center. They employ the use of an automated maintenance management system to process and track work orders. The work orders are distributed to divisions responsible for performing the service requested.

The Power Plant consists of individuals trained in the field of facilities engineering. They are responsible for the primary utilities such as heating, electricity, hot water, ventilation, air conditioning, and refrigeration.

Building Services provides custodial service to all buildings except Dormitories, Hospital and the Student Center. They are also responsible for ground's maintenance to all areas throughout the DMC complex.

**Design & Construction** is responsible for all construction and alteration work throughout the institution. They provide engineering assistance to the institution, including the physical plant, on matters pertaining to construction, renovation, or design. This division employs a team of architects and engineers.

**Environmental Health & Safety** provides consultation, assistance and enforcement of all governing codes including, but not limited to, JCAHO, OSHA, NFPA, as well as institutional policy on Right-to-Know. Services for hazardous materials management is also provided

**Project Management** is responsible for the coordination of finish work, i.e. telephone, computer cabling, and furniture acquisition carpet, etc. This division also provides on special request, project management for construction work normally not assigned to Design & Construction.

### **Property Control System**

([http://138.5.102.102/finance/property\\_control.html](http://138.5.102.102/finance/property_control.html))

The SUNY computerized Property Control System (PCS) provides a means for uniform reporting and control of capital assets by all SUNY campuses. It was designed to meet the requirements of the New York State Division of the Budget and the Department of Audit and Control as well as the needs of the SUNY System for projecting and budgeting funds required to replace old and/or obsolete equipment. The State University Construction Fund (SUCF) in Albany and the SUNY campuses maintain the system jointly.

The campus Property Control Office is responsible for administering the campus inventory maintenance system. This includes identifying eligible new equipment or furniture with asset tags (eligible assets are those valued at \$300 or more for state assets, \$5,000 or more for Research Foundation assets); conducting independent inventories and record audits; coordinating disposal of surplus equipment; and informing departments of proper procedures for equipment disposal, inventories and record maintenance.

When equipment or furniture valued at \$300 or more is transferred from one location to another, an equipment transfer form must be completed and submitted to the Property Control Office.

When a department no longer needs to use a piece of equipment or furniture, a report of surplus property must be completed and submitted to the Property Control Office.

### **Public Officers Law**

([http://www.suny.info/policies/groups/public/documents/policies/pub\\_suny\\_pp\\_036095.htm](http://www.suny.info/policies/groups/public/documents/policies/pub_suny_pp_036095.htm))

The Board of Trustees has adopted a policy on the Defense and Indemnification of State Officers and Employees.

This policy provides an overview of NYS Public Officers Law section 17 which affords protection to state officers and employees against personal liability in the event that such officers and employees are sued individually as a result of any cause of action which may arise by reason of an act or omission which occurs "while the employee was acting within the scope of his public employment or duties . . . ." Former employees and certain volunteers are also covered where appropriate.

This policy also discusses NYS Public Officers Law section 19 pursuant to which reimbursement is authorized for criminal defense expenses incurred by state officers and employees upon acquittal or dismissal of criminal charges brought against the officer or employee. This law requires the State to pay reasonable attorneys' fees and litigation expenses incurred by a state officer or employee in the defense of a criminal proceeding in a state or federal court. The criminal proceeding must arise out of an act which occurred while the officer or employee was acting within the scope of his or her public employment or duties.

The scope of criminal and civil indemnification protection for officers and employees of the State includes State University of New York officers, employees, trustees and council members serving the state-operated campuses, and authorized volunteers.

In addition, Article 50 of the UUP contract provides that employees in the Professional Services Negotiating Unit shall be covered by Section 19 of the Public Officers Law during the term of the agreement.

### **Public Safety (University Police)**

(<http://www.downstate.edu/police/default.html>)

University Police/Public Safety Department is a professional campus police agency whose purpose is to provide for the safety of members of the Health Science Center community and the security of all property on campus. Our mission is to ensure a safe problem-free environment for students, faculty, staff and visitors, and to enforce University policies and applicable State and local laws. The Department also ensures the efficient utilization and equitable distribution of available parking spaces and provides transportation and escort services for our community.

University Police/Public Safety Department staff patrol the campus 24 hours a day, seven days a week with personnel assigned to all open entrances/exits and buildings within the complex. It also provides motorized patrols of the surrounding public streets as an adjunct to the New York City Police Department. Our communications center (270-2626) is likewise staffed around the clock to provide information and assistance as needed. There is a network of emergency telephones (red) conveniently located throughout the Health Science Center. In addition, there is also a network of panic alarms located at various places including the corridors, laboratories, rest rooms and on-call rooms. Both the red phones and the panic alarms are linked directly with the University Police/Public Safety Department and they are monitored 24 hours a day to ensure quick response to all emergencies.

The operational offices are located on the first floor of University Hospital in room A1-339 while the administrative offices are located in room 1-85A of the Basic Science Building.

### **Purchasing**

<http://138.5.102.102/finance/purchasing.html>

The Office of Contracts and Procurement Management, located at in the Administrative Facility, Room 105, is the delegated and authorized agent for State procurement functions at Downstate Medical Center. All commitments against state appropriations must be made in full compliance with the various laws governing New York State purchasing activities.

The Purchasing Office organizes and administers a centralized purchasing service for the institution, with a basic objective to secure the most appropriate materials, supplies, equipment, services, etc., at the lowest available price consistent with quality requirements and delivery needs. It is also responsible for implementing and monitoring the Procurement Card and Business Travel Account programs.

The Contracts Department prepares and issues requests for proposal and invitations for bid, structures agreements, reviews and negotiates service and lease agreements for the campus. It manages the procurement and disbursement of major capital items through the Tax Exempt Leasing Program funding method.

The office provides advice to the Downstate community on cost-effective methods, commodity information and sourcing, negotiation and problem solving.

The Director of Contracts and Procurement Management oversees the office.

### **Quick Copy Center**

[http://138.5.102.102/finance/quick\\_copy.html](http://138.5.102.102/finance/quick_copy.html)

Downstate has an in-house Quick Copy Center (QCC) for photocopying jobs. This service is provided on a first come first served basis. QCC services are recharged to State or Research Foundation accounts.

The QCC also coordinates larger and more complicated requests for production services (offset printing as well as photocopying) with printing vendors. The QCC is available to assist with advance estimated printing costs for job specifications you give.

All original materials to be reproduced are to be brought with your requisition to the QCC at BSB B-63.

To avoid printing errors, plan sufficient advance production time. Most errors occur on RUSH print jobs where instructions are verbal. RUSH print jobs also increase the cost of printing in most cases.

The Quick Copy Center is located in BSB Room B-63, Ext. 1117, Fax ext 3724, Mail Box 34, open from Monday to Friday, except holidays, from 8.30am to 4.30 pm.

### **Stationery Policy**

<http://www.downstate.edu/ia/stationery.htm>

A standard stationery format helps SUNY Downstate project an identifiable and consistent graphic image on letterhead and on business cards. The standard format also increases Print Shop productivity by enabling the department to eliminate short print runs of customized stationery and freeing the department to produce other important materials. In addition, the standard format decreases paper cost and waste by producing stationery that can be used by groups of people rather than a single individual.

The Downstate Medical Center graphic standards include such features as the use of the Center logo, the name of the institution, paper stock, ink color, and typeface. All letterhead and stationery must conform to these standards regardless of funding source and regardless of whether an outside vendor is selected to produce the material. The standards are: paper stock: classic crest white; ink color: PMS 285; tint: 50%.

Only Center departments and major divisions or offices may have letterhead with the name of their unit imprinted on it. The following positions may, at the discretion of the incumbent, have stationery imprinted with their title or titles: President; Vice President; Deputy, Associate, and Assistant Executive Director of University Hospital; Deans; Distinguished Professors; and Deputy, Associate, or Assistant Vice President.

Only Deans, Department Chairs, and Division Chiefs may have their names included on the letterhead along with their title or titles. The other features of the letterhead must conform to the institutional standard.

The Director of Institutional Advancement must expressly authorize the use of logos by campus-affiliated organizations or any design features deviating from the Downstate graphics standards.

All faculty and personnel at or above the level of director may order personalized note and memo pads provided the design conforms to an institutional standard and funding is available.

### **Telecommunications**

<http://138.5.102.102/finance/telecomm.html>

The Office of Telecommunications oversees the telephone services for Downstate Medical Center and its satellite facilities. The office provides all main telephone switchboard and paging services, as well as coordinates all telephone equipment purchases and installations, and telephone service changes which include services for state-issued cellular telephones. The Monthly Telephone Management and Budget System Reports generated by this office provide tremendous help to the departmental administrators in controlling telephone usage costs and monitoring non-state business calls reimbursement by staff members.

The office is located in University Hospital in room UH ALL1-526A.

### **Travel Reimbursement**

<http://www.osc.state.ny.us/agencies/travel/manual.htm#genguide>

New York State considers an employee to be in travel status when the employee is on assignment at a work location more than 35 miles from both the employee's home and official station. This determines that the employee is eligible for reimbursement of travel expenses such as meals and lodging.

Only actual, necessary and reasonable business expenses will be reimbursed. Travel should be by the most efficient and cost effective method of transportation available. Employees should schedule all travel assignments effectively to minimize expenses whenever possible. When making travel arrangements, employees should check to see if there is an OGS Contract for the type of travel related services that you need. Currently OGS has contracts for car rentals, airfare, and centralized travel agent services, both statewide and regional.

Section 109 of the New York State Finance Law provides that each traveler requesting reimbursement for travel expenses must submit a detailed statement explaining the official business purpose for which expenses were incurred. General statements, such as, "on official business," "by direction of," "in connection with duties" do not meet these requirements.

Refer to the web site for the New York Office of Statewide Travel for detailed information.

**The Office of the State Comptroller will no longer reimburse employees for air and rail travel expenses that are charged to State, Hospital, IFR, Endowment or Dormitory funds. All airline and rail tickets must be purchased from the designated state authorized travel agent using an authorized Business Travel Account.** To make travel arrangements, see the Travel Coordinator for your department. To ensure reimbursement, all travelers should complete a Travel Approval Request form **prior** to commencing travel.

## **Meal and Lodging Expenses**

Only breakfast and dinner are reimbursable meals; lunch is not a reimbursable expense. Per diem rates are established by the federal government and are identified by county, the traveler must indicate the county as well as the city on the voucher. A full per diem is considered to be dinner the first day, lodging, and breakfast the following day. Incidental expenses such as tips to bellmen, porters, hotel maids etc. are included in the per diem. Breakfast on the first day and dinner on the last day will also be reimbursed provided they meet the same requirements for arrival and departure times as for day trips.

Employees may choose from one of two methods for reimbursement of meals and lodging expenses.

### **Method I – Unreceipted**

This is a flat rate per diem allowance for meals, lodging and incidentals regardless of where lodging was obtained, including a relative or friend. No receipts are required. To receive the full per diem it must be necessary for travelers to be in overnight travel status and be eligible for both breakfast and dinner.

### **Overnight Travel - Method II - Receipted**

This method provides reimbursement of actual lodging costs based on the area of assignment, and an allowance for meals. Receipts for lodging are required when using Method II. Receipts are not required for any meals associated with overnight travel. Employees must attach the original lodging receipt to the travel voucher. If lodging is provided by another agency or organization, this should be indicated on the voucher, and the traveler may claim the meal allowance for that area.

All taxes are included in the maximum allowances. For travel in NYS, employees should use the tax exemption certificate (AC 946). For out of state travel, taxes are not included in the maximum lodging amount, and may be reimbursed.

Travel reimbursements are processed by the Office of Expenditure Processing (see above).

## **University Name**

All publications by academic and professional employees, or in which such an employee is a joint author, should carry the reference:

From the Department [or Program]  
of \_\_\_\_\_  
SUNY Downstate Medical Center

When representing the medical center in an official capacity, academic and professional employees are expected to use the medical center title and the name of the medical center.

## **Section 8**

### **Administrative Offices**

**Alumni Association, College of Medicine**

**Education  
Research  
Financial Support  
Service**

**Clinical Practice Management Plan**

**Department of Biomedical Communications**

**Department of Human Resources**

**Finance Division**

**Administrative Services  
Budget Administration  
Bursar  
Contracts  
Expenditure Processing  
Faculty Student Association  
Financial Management  
FM&D Design and Construction  
Health Science Center at Brooklyn Foundation, Inc.  
Hospital Finance  
Income Fund Reimbursable Office  
Information Services  
Payroll  
Purchasing  
Research Administration  
Senior Vice President / Chief Financial Officer**

**Office of Continuing Medical Education**

**Office of Diversity**

**Office of Institutional Advancement and Planning**

**Office of Scientific Affairs & Biotechnology**

**Division of Student Affairs**

**Office of Student Admissions  
Office of Financial Aid  
Office of the Registrar  
Office of Student Affairs**

**Research Foundation of the State University of New York**

**Scientific and Medical Instrumentation Center (SMIC)**

**Scientific Computing Center**

**Student Center Governing Board**



**Parents' Association**

**Institutional Committees**

**Institutional Biosafety Committee (?)**

**Institutional Review Board for the Protection of Human Subjects (IRB)**

**Radiation Safety Committee (?)**

**Animal Care & Use Committee**

**Facilities Use Committee**

**About Downstate Medical Center**

**Campus Map & Directions**

## **Alumni Association, College of Medicine**

<http://138.5.102.101/Alumni/Default.html>

The Alumni Association-College of Medicine, founded in 1880, is fully dedicated to the needs of SUNY Downstate Medical Center and the medical students.

### **Education**

The Association is committed to improving the medical education and training of the medical students. Alumni participate in the “doctoring experience” which is a clinical component that is included in the first and second year students’ curriculum. Alumni also serve as advisors and mentors to students, helping them explore residency and career choices. In addition the Alumni Association purchases educational books and other materials for the medical students, which are housed in the library and various departments.

### **Research**

The Alumni Association is committed to fostering scientific investigation of medical subjects. The Association support summer research fellowships and a full year research scholarship for medical students. In addition the organization sponsors Faculty Gem Lectures where faculty of distinction present their outstanding scholarly research. One gem lecturer was Robert Furchgott, Ph.D., who won the Nobel Prize for medicine in 1998 and is an Honorary Alumnus.

### **Financial Support**

Providing financial support to the medical students and school is a top priority. Students with financial need are granted tuition scholarships; last year 63 students received these scholarships. The Alumni Association funds transportation for foreign and out of state electives, class programs, the White Coat Ceremony and many other student programs.

### **Service**

The Alumni Association acts as a liaison between the medical school faculty and students to promote a positive learning environment for the students. The organization advocates on behalf of the students with the many offices of the school (the bursar, registrar, financial aid, etc...) to ensure student needs are being met. Members of the Alumni Association also sit on the Medical School Admissions Committee to ensure that children of alumni have advocates on their behalf.

### **Clinical Practice Management Plan (CPMP)**

Clinical Practice Management Plan (CPMP) is a non-incorporated association established under the State University of New York (SUNY) Board of Trustees Article XVI Plan for the Management of Clinical Practice Income. This Article addresses the rules of how the practice plan shall operate, bill for medical services, collect, disburse and report clinical practice plan activity.

University Physicians of Brooklyn (UPB), Inc., an academic practice plan, is a nonprofit 501c(3) tax-exempt organization established as the corporate conduit for providing clinical care and services as prescribed by Article XVI mentioned above.

For a copy of the Clinical Practice Management Plan and/or UPB By-Laws please contact the Executive Director’s office at 718.270.8105.

## **Department of Biomedical Communications**

<http://www.downstate.edu/bc/default.html>

The Department of Biomedical Communications supports faculty and staff communications efforts for teaching, research and patient care by combining creative talent with advanced communications technologies. Services include professional consultation, design, art, photography, imaging and video production in a wide variety of print, projection and electronic media.

Biomedical Communications is located on the third floor of the Health Science Education Building, Room 312. The main office is open from 9:00 am to 5:00 (closed 12:30 – 1:30), Monday through Friday. The telephone number is (718) 270-7550.

## **Department of Human Resources**

Maintains personnel records and oversees personnel policies.

## **Finance Division**

<http://138.5.102.102/finance/default.html>

The mission of the Finance Division is to:

- Provide financial information and advice to the President and leadership of Downstate Medical Center, with the ultimate goal of maintaining the financial health of the Center. Assist in identifying the needs of the institution, maximizing all resources, and reducing costs as appropriate.
- Provide financial systems and internal controls, to assure that Downstate complies with all applicable rules and regulations. Meet all internal and external deadlines in a timely manner.
- Interact with students, faculty and staff, our customers, in a courteous and professional manner. Provide excellent services and improve the quality of the work environment at Downstate.
- Advance the financial health of the medical center and maintain a strong financial foundation in order to support the institution's strategic plans.

## **Accounts Payable**

The Accounts Payable, located in the Administrative Facility, Room 106, is responsible for processing all department vouchers (e.g. standard and travel vouchers, purchase orders) against the following funding sources: State Purpose, Hospital, Dormitory, Endowment and Income Fund Reimbursable (IFR). The Director of Disbursements oversees the Office of Accounts Payable.

## **Administrative Services**

The Office of Administrative Services oversees the following areas:

Central Receiving  
Central Stores  
Mail Services  
Property Control  
Quick Copy Center  
Telecommunications

## **Budget Administration**

The Office of Budget Administration is responsible for the financial planning and analysis of Downstate Medical Center resources. It manages the budget process for the various funding sources such as State Purpose, Hospital Dormitory, Endowment, IFR & IFR Overhead, and Research Foundation Overhead. The office also participates in the operations and investment planning of the HSCB Foundation.

Budget Administration generates reports on fiscal conditions, provides revenue projections, monitors the collection of revenue, and manages the distribution of departmental funding. It also approves all transactions requiring the use of centerwide funds, processes Graduate Research Initiative funding requests, and reviews all academic and administration personnel transactions.

A monthly financial update book is prepared by Budget Administration and distributed to the institution's senior management staff.

### **Bursar**

The Bursar's Office is responsible for reporting and disbursing to the State Comptroller all money received at the Downstate Medical Center. These collections include tuition, fees, residence hall rent, admissions deposits, library fines and fees, and parking for our state garages. The office also disburses all checks made available through Federal, State, and local loan and scholarship programs.

### **Contracts**

The Office of Contracts and Procurement Management is the delegated and authorized agent for State procurement functions at Downstate Medical Center. All commitments against state appropriations must be made in full compliance with the various laws governing New York State purchasing activities.

The Purchasing Office organizes and administers a centralized purchasing service for the institution, with a basic objective to secure the most appropriate materials, supplies, equipment, services, etc., at the lowest available price consistent with quality requirements and delivery needs. It is also responsible for implementing and monitoring the Procurement Card and Business Travel Account programs.

The Contracts Department prepares and issues requests for proposal and invitations for bid, structures agreements, reviews and negotiates service and lease agreements for the campus. It manages the procurement and disbursement of major capital items through the Tax Exempt Leasing Program funding method.

The office provides advice to the Downstate community on cost-effective methods, commodity information and sourcing, negotiation and problem solving.

### **Faculty Student Association**

The Faculty Student Association (FSA) was organized in 1950 under a contract between FSA and the State University of New York to provide services to the campus as a non-profit auxiliary service corporation. FSA operates various ancillary services for SUNY-Downstate Medical Center including the university book store, hospital gift shop, student center's food services, etc.

### **Financial Management**

The Financial Management Office is responsible for providing institutional financial reporting services such as revenue/expense journals, CER/accounting reports, vendor utilization analyses and employees overtime reports. It handles utility billing and recharges, bank reconciliations, maintains local chart of accounts, as well as inputs PDME/PDS data. The office also takes care of most of Finance Division's IT requirements and coordinates the maintenance and training of the Web Account System.

### **FM&D Design and Construction**

The Design and Construction Division is responsible for all construction and alteration work throughout the Downstate Medical Center complex. It employs a team of architects, engineers and project managers to provide engineering assistance to the institution regarding the physical plant, construction, renovation and design. It is involved in the planning of the capital budget as well as the institution's strategic plans.

### **Health Science Center at Brooklyn Foundation, Inc.**

The Health Science Center at Brooklyn Foundation, Inc. is a not-for-profit tax-exempt corporation incorporated in 1976 to establish, operate, manage, promote, and cultivate educationally related activities for the students and faculty of the Downstate Medical Center. The Foundation receives and manages bequests,

donations, endowments, charitable unitrusts and other funds which are legitimately non-State revenue.

The Foundation also provides bookkeeping and banking type services to the institution, and operates a parking lot between Parkside Avenue and Winthrop Street.

### **Hospital Finance**

The Division of Hospital Finance is responsible for all financial matters directly related to the University Hospital of Brooklyn (UHB). Through multiple revenue enhancement initiatives and close monitoring of revenue and expense targets, the Division strives to continually enhance the UHB's financial position. The Division oversees the departments of Hospital Accounting, Hospital Budgeting, Hospital Reimbursement, Inpatient Business Office, Outpatient Business Office, Medical Records, Outpatient Registration, Hospital Clinical Systems, and Hospital Financial Systems.

### **Income Fund Reimbursable Office**

The Income Fund Reimbursable (IFR) Office is responsible for monitoring the fiscal integrity of the Downstate Medical Center's IFR accounts. This includes providing IFR accounting services to Downstate Administrations and Academic Affairs, University Hospital, Research Foundation, as well as managing the funds received from Kings County Hospital Center and other affiliations.

### **Information Services**

The Information Services Division provides a broad array of computing services and resources to the academic, clinical and administrative areas of Downstate Medical Center. It is responsible for developing computing applications, administering the data center and systems services, maintaining and updating system network as well as providing technical help to the Downstate community.

### **Payroll**

The Payroll Office is responsible for processing payroll, making payroll adjustments and keeping records of timesheets. It is responsible for the distribution of payroll checks to all State employees and processing tax withholding, health insurance payments and various deductions for pension, savings accounts, SEFA donations, etc.

### **Purchasing**

The Office of Contracts and Procurement Management is the delegated and authorized agent for State procurement functions at Downstate Medical Center. All commitments against state appropriations must be made in full compliance with the various laws governing New York State purchasing activities.

The Purchasing Office organizes and administers a centralized purchasing service for the institution, with a basic objective to secure the most appropriate materials, supplies, equipment, services, etc., at the lowest available price consistent with quality requirements and delivery needs. It is also responsible for implementing and monitoring the Procurement Card and Business Travel Account programs.

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The office provides advice to the Downstate community on cost-effective methods, commodity information and sourcing, negotiation and problem solving.

### **Research Administration**

The Office of Research Administration assists the investigators by providing Human Resource (personnel and payroll) support for sponsored program employees, administration of the effort certification, Income Fund Reimbursable (IFR), and cost sharing systems, procurement of supplies, equipment and services, and monitoring the on-going status of research accounts.

## **Senior Vice President / Chief Financial Officer**

The Senior Vice President and Chief Financial Officer (SVP/CFO) leads the Finance Division with the goal of maintaining the financial health of Downstate Medical Center and financial systems to support medical education, scientific research and healthcare delivery. The Division is made up of the following departments: Administrative Services, Budget Administration, Bursar's Office, Capital Budget, Contracts and Purchasing, Expenditure Processing, Faculty Student Association, Financial Management, Hospital Finance, Health Science Center at Brooklyn Foundation, Income Fund Reimbursable Office, Information Services, Payroll Office and Research Administration.

## **Office of Continuing Medical Education**

<http://138.5.50.47/cme/default.html>

The mission of the Office of Continuing Medical Education (OCME) is to provide and support a comprehensive continuing medical education (CME) program that meets the needs of those involved in teaching, medical research, and the delivery of health care. CME is viewed as the continuum initiated in the undergraduate phase, intensified during graduate medical education, and continuing throughout the life of the physician.

The OCME sponsors a large and diverse selection of CME activities encompassing current advances in medicine, skill updates, public health and physician practice issues, and other relevant topics in various medical specialties. The OCME makes appropriate CME activities available to physicians from every area of public health and medicine. The majority of participants derive from the physicians of Downstate and its affiliates, as well as local physicians. Consistent with our philosophy that good patient care involves a community of health-care givers and to strengthen the impact of our CME Program, all professional medical groups are encouraged to participate in appropriate activities. The OCME offers various types of activities (courses, conferences, symposia, workshops, and case reviews) in all areas of public health, medicine and patient care. Needs assessment has dictated the use of traditional educational design formats (lecture, panel discussion, hands-on skills workshops), as well as some need for development of non-traditional activities (audiovisual and interactive computer-format and web-based programs that deliver instruction asynchronously direct to the user).

## **Office of Institutional Advancement and Planning**

The Office of Institutional Advancement provides information about the medical center, its personnel and its activities and achievements to members of the medical center community and to the media. Staff in Institutional Advancement are available to assist in releasing appropriate information to the media and answering media questions.

All public statements or press releases regarding the medical center and/or the professional activities of its employees should be issued through the Office of Institutional Advancement. Academic employees are encouraged to submit information concerning their research and other professional activities to the Office of Institutional Advancement, which will determine appropriate publicity in accordance with medical center policy.

## **Office of Opportunity and Diversity**

Office of Opportunity and Diversity [OOD] (formerly known as the Affirmative Action Office) assists the campus community with the implementation of policies and procedures relating to equal employment opportunities/affirmative action. In its continuing effort to seek equity in employment by identifying and eliminating incidents of illegal discrimination, the State University of New York provides the [Grievance Procedure for Review of Allegations of Discrimination](#). This procedure may be used by any Downstate Medical Center faculty or staff member as a mechanism for the investigation and resolution of complaints which allege illegal discrimination on the basis of age, color, creed, disability, marital status, national origin, race, religion, sex, sexual harassment, sexual orientation, status as a veteran of the Vietnam war or a disabled veteran. Faculty can informally discuss problems relating to alleged discrimination or file a complaint with the Affirmative Action Officer under this procedure. OOD is located at 151 East 34th Street, AF-103, extension 1738.

## **Office of Scientific Affairs and Biotechnology**

<http://research.downstate.edu/office/osa.htm>

The Office of Scientific Affairs and Biotechnology is responsible for facilitating basic science and clinical research, fostering interdisciplinary research, overseeing and evaluating new and existing center-wide research core facilities, technology transfer issues relating to discoveries made at the Center and the development and management of the

Downstate Biotechnology Park. In addition, the Office helps medical and graduate students, residents, fellows and students from local colleges and high schools identify research mentors within the Center.

The Office is also responsible for the management of research support functions at Downstate, providing campus-wide leadership in developing externally funded research programs and managing the Center's Division of Laboratory Animal Resources, the Institutional Animal Care and Use Committee, the Institutional Review Board, the Institutional Biosafety Committee and the Office of Research Development.

### **Division of Student Affairs**

The Division of Student Affairs encompasses several offices which provide student services to students in all four colleges – Office of Admissions, Office of Financial Aid, Office of Student Affairs, and the Office of the Registrar. In addition, the Office of Academic Development for the College of Medicine is also housed in this Division.

#### **Office of Student Admissions**

The Office of Admissions provides services for applicants to the Colleges of Health Related Professions, Nursing, and Medicine. Admission to the School of Graduate Studies is through the School of Graduate Studies and the departments.

The Office of Admissions is located in the Basic Science Building, Room 1-133. Telephone 718 270-2446. Office hours are 9:00 a.m. to 5:00 p.m. Monday through Friday.

#### **Office of Financial Aid**

Questions regarding financial aid should be referred to the Office of Financial Aid staff. The office is located in the Basic Science Building, Room 114, 718 270-2488. Office hours are 9:00 a.m. to 5:00 p.m., Monday through Thursday; and 10:00 a.m. – 5:00 p.m. on Friday.

The purpose of Downstate Medical Center's financial aid program is to enable college attendance for students who might not otherwise be able to meet its costs. Financial aid consists primarily of loans, with limited scholarships, grants, and part-time employment.

#### **Office of the Registrar**

The Office of the Registrar is part of the Division of Student Affairs and is on the first floor of the Basic Science Building in Room 112. Office hours are 10:00 a.m. to 6:00 p.m., Monday through Thursday; and 10:00 a.m. – 5:00 p.m. on Friday. The office is responsible for class schedules, registration, course selection, course adds/drops, grades, transcripts, certification of student status, certification of academic good standing, loan deferments, veterans' affairs and the maintenance of all academic records.

#### **Office of Student Affairs**

The Office of Student Affairs serves as a general help and information office to students in all four colleges. Student health insurance information, international students' immigration forms, and Commencement are only a few of the areas handled through this office. The Office is located in the Basic Science Building, Room 114. Telephone 718 270-2187. Office Hours are 9:00 a.m. to 5:00 p.m. Monday through Friday; after 5:00 p.m. appointments are available for students.

The Office also serves as the Dean of Students' Office for the College of Medicine.

### **Research Foundation of SUNY**

The Research Foundation of SUNY is a private, nonprofit educational corporation whose primary responsibility is the administration of externally funded contracts and grants for and on behalf of SUNY. The Research Foundation has facilitated research, education and public service at 30 state-operated SUNY locations. Rather than directly contract with a principal investigator or with SUNY, sponsors contract directly with the RF for all sponsored grants, contracts and agreements for sponsored research and training programs.

The Research Foundation Office oversees faculty research, inventions, patents, etc., and maintains Research Foundation employee personnel policies. Call the Research Foundation office at extension 1178 for personnel issues, the Office of Scientific Affairs at extension 2680 for other issues. A complete description of Research Foundation policies can be found on the Downstate website.

The Research Foundation consists of the central office working in conjunction with operating units at 30 campus locations across New York State. The campus RF offices are responsible for the day-to-day administration of sponsored programs including financial, human resources, procurement and reporting activities. The offices provide this support in accordance with federal, sponsor, Research Foundation, SUNY and campus guidelines. Sponsored program functions delegated to the campuses are conducted under the supervision of Foundation operations managers who are appointed by the Foundation's Board on the recommendation of the respective campus presidents.

For additional information, see the Research Foundation website at <http://www2.rfsuny.org/>.

### **Scientific and Medical Instrumentation Center (SMIC)**

<http://www.hscbklyn.edu/SUNY/Research/resource.htm#SMIC>

The Scientific and Medical Instrumentation Center (SMIC) is an interdisciplinary bio-medical/clinical engineering department, providing a variety of instrumentation services to the Health Science Center at Brooklyn. SMIC's specialized laboratories service a broad range of clinical and research equipment (excluding x-ray or ionizing radiation devices). Its fully-equipped machine shop provides prototyping and finished construction of specialized instruments, components and devices in a variety of materials including plastics, aluminum and other metals.

For more information about SMIC and its services, contact the SMIC administrator at extension 3192.

### **Scientific Computing Center**

The Scientific Computing Center (SCC) is an in-house consulting group providing research support for faculty, staff, and students. Services include instruction in the use of programs for analysis and presentation and access to specialized computer equipment and software. In addition to consulting services, the Center also delivers lectures and seminars to Basic Science and Clinical departments on bio-statistics, and data acquisition and analysis. Staffed by career scientists with expertise in experimental design, bio-statistics, mathematical modeling, signal analysis and bio-informatics, Scientific Computing is designed to be a one stop Center for researchers' needs.

Typical consultation services which the SCC provides for researchers include:

- Determining proper sample sizes for statistical significance
- Formulating appropriate hypotheses
- Utilizing mark-sense scan forms for data input
- Using appropriate techniques for acquiring and organizing data
- Reorganizing, transforming, simplifying, and summarizing complex data
- Using software for graphing and displaying data
- Modifying and enhancing image files
- Modeling procedures for fitting curves to data
- Scanning images and data into computer files
- Assisting the researcher in interpreting and writing up results of data analysis
- Utilizing advanced scientific programs
- Writing special purpose programs for modeling and analysis

The Scientific Computing Center also maintains the Faculty Resource Room, a core computing and graphic facility open to SUNY Downstate researchers. This facility is equipped with large screen computers, all connected to the campus network and the internet. The room is designed as an open-access center housing specialized equipment including:

- 3 flatbed scanners for scanning images, which are specially adapted to scan X-Rays, gels, negatives, 35mm slides, etc.
- a Polaroid Palette for producing 35mm slides from presentation software
- a Polaroid Slide Scanner for digitizing 35mm slides
- 2 Silicon Graphics Workstation for studying molecular dynamics
- a Tektronix dye sublimation printer for producing publication quality color output
- a Tektronix color laser printer for producing high quality color output

Some of the software available for data analysis, presentation graphics, and courseware include:



- SPSS
- SAS
- Adobe Photoshop
- Photo Editor
- Omnipage
- The Microsoft Professional Suite (Word, Excel, PowerPoint, Access)

### **Student Center Governing Board**

<http://www.downstate.edu/sc/Student%20Organizations/studentorgs/council07.html>

The Student Center is the heart of social and community activity on the Downstate Campus. Working hand-in-hand with all other student councils, the Faculty-Student Association, and school administrative bodies, the members of The Student Center Governing Board (SCGB) have a crucial and highly influential role in shaping the social, recreational, and athletic affairs of the University student body.

The SCGB is open to all SUNY Downstate students. The board meets on alternate Tuesdays at 6:00 p.m. in the Student Center reading room, and its meetings are open to all those who wish to attend. The ten voting members are elected in the spring of the preceding year, but all attendees are encouraged to participate.

The Student Center Governing Board sponsors many of the campus activities, including monthly Coffeehouses, weekly Movie Nights, weekly Happy Hours, Basketball Intramurals, Mini Courses and Spring Fling-the annual semi-formal dance.

### **Parents' Association** 2004-2005 Student Handbook, p.75

The Parents' Association of the College of Medicine is a non-profit, tax exempt corporation dedicated to a "better understanding among parents, school and community." The purpose of the Parents' Association is:

1. To introduce parents to the College of Medicine and to help them become acquainted with the school;
2. To acquaint parents with the academic program of the school through guest speakers from the school (faculty and administration); and
3. To assist parents in learning how to cope with the emotional needs of medical students.

The Parents' Association meets on the third Thursday of each month, providing an opportunity for parents to meet and share common concerns and problems of medical students. The Parents' Association has purchased computers and gross anatomy teaching models for use by medical students. It has also contributed funds to the senior class party, the yearbook and to the Student Counseling Service.

### **Institutional Committees**

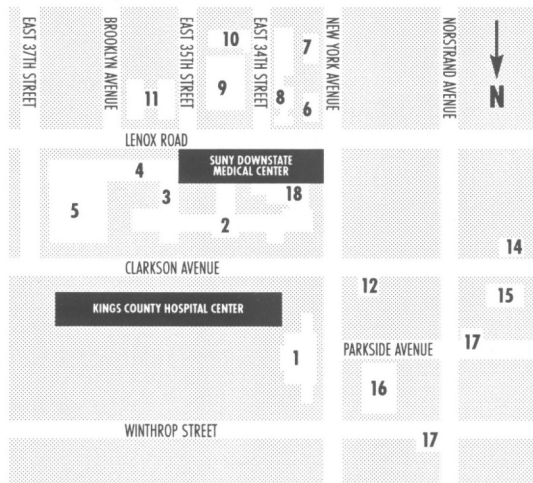
## About Downstate Medical Center

**Downstate Medical Center** is one of four health science centers of the State University of New York, the largest multi-level system of higher education in the world. The campus includes a College of Nursing, College of Health Related Professions, School of Graduate Studies, the 376 bed University Hospital, and the seventh largest College of Medicine in the United States.

**The Campus** occupies thirteen acres in the geographic center of Brooklyn. As the only academic health science center in Brooklyn and Staten Island, the Center leads a network responsible for health professions training and patient care throughout the region.

Note: Additional satellite facilities are identified on the map on the following page.

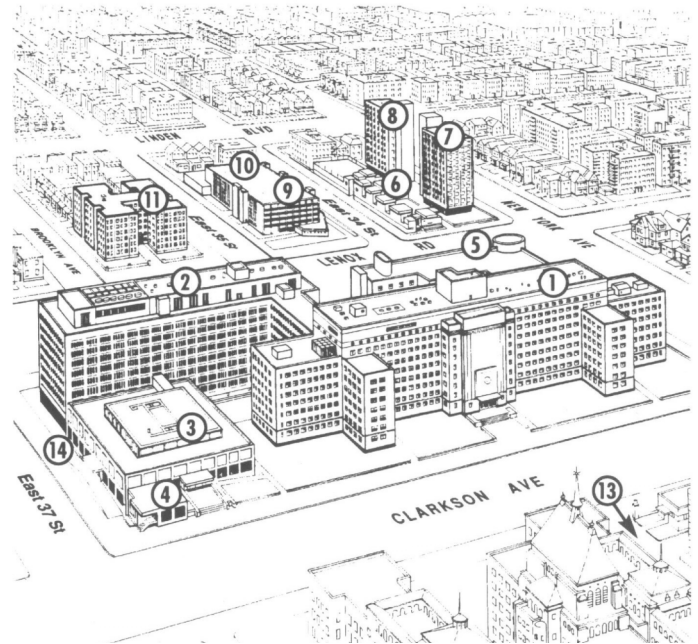
1. Senior House (SrHs)
2. Basic Sciences Building (BSB)  
450 Clarkson Avenue
3. Central Receiving
4. University Hospital of Brooklyn (UH)
5. Outpatient Clinic Division (OPD)
6. 811 NYA Residence Hal
7. 825 NYA Residence Hall
8. Student Center (StuCtr)
9. Parking Garage (assigned & transient parking)
10. Administrative Services Facility (ADMFAC)
11. Staff Nurses' Residence (440 Lenox Road)
12. Parking (323 Clarkson Avenue; assigned parking)
14. Public Safety-Transportation Division  
(224 Clarkson Avenue)
15. State Key Card Park Lot (225 Clarkson Ave; assigned parking)
16. HSC Foundation Park Lot (Parkside Ave; assigned & transient parking)
17. IRT Subways
18. Health Science Education Building (EB)  
(395 Lenox Road)



Over 1500 students are enrolled in educational programs each year. Degrees awarded by the Center include Doctor of Medicine; Doctor of Philosophy in the basic medical sciences; Bachelor of Science in Nursing, Physical Therapy, Occupational Therapy; Physician Assistant; M.S. in Nursing; and a combined M.D. - Ph.D. degree.

The Campus also is a center of research activity, where physicians and scientists seek answers to medical problems, and a health care facility serving the needs of the regional community. The Center's University Hospital serves patients with special problems on both an inpatient and outpatient basis.

1. Basic Sciences Building  
450 Clarkson Avenue
2. University Hospital  
445 Lenox Road
3. Outpatient Department  
470 Clarkson Avenue
4. MRI Building
5. Health Science Education



Building  
395 Lenox Road

6. Student Center
7. North Residence Hall
8. South Residence Hall
9. Parking Garage
10. Administrative Annex
11. Staff Nurses' Residence
12. Central Receiving
13. To Senior House
14. Acute Care Receiving Center

## Directions to SUNY Downstate Medical Center

### BY SUBWAY

**IRT Flatbush Avenue Line** (#2 Seventh Avenue or #5 Lexington Avenue) trains to Winthrop Street Station. [May take any IRT Brooklyn-bound train (#2, 3, 4, or 5) to Nevins Street in Brooklyn, changing there for a #2 or #5 marked "Flatbush Avenue."] Walk one block south on Nostrand to Clarkson Avenue, left one and a half blocks to 450 Clarkson Avenue.

IND "Q" Line train to Parkside Avenue Station (Parkside Avenue exit). Cross street to get B12 bus (see below).



### BY BUS

The B-12 and northbound B-44 buses stop at the corner of Clarkson and New York Avenues.

Or transfer from the B-35 to the northbound B-44 at Church and New York Avenues.

The following lines connect with the B-12 along Clarkson Avenue: B-41, B-44, B-46, and B-49.

### PARKING

A limited number of spaces for visitors are available at a nominal cost at the Center's Parking Garage on East 34<sup>th</sup> Street, between Linden Boulevard and Lenox Road. There are also several private parking lots in the area.

### BY AUTOMOBILE

From Manhattan:

**Manhattan Bridge:** exit onto Flatbush Avenue. Continue approximately three and one-half miles to Parkside Avenue. Turn left onto Parkside Avenue and travel four blocks to New York Avenue. Turn right at New York Avenue and continue one block to Clarkson Avenue.

**Brooklyn Bridge:** stay to the left at the end of the bridge, following the ramp to Boerum Place, which becomes Adams Street. Continue along Adams Street to Atlantic Avenue. Turn left onto Atlantic Avenue and continue to Flatbush Avenue. Turn right onto Flatbush Avenue and continue approximately two and one-half miles to Parkside Avenue. Turn left onto Parkside Avenue and travel four blocks to New York Avenue. Turn right at New York Avenue and continue one block to Clarkson Avenue.

**Brooklyn-Battery Tunnel (toll):** exit onto the Brooklyn-Queens Expressway. Continue approximately one mile, staying to the left, and exit onto Prospect Expressway. Travel three exits to the Fort Hamilton Parkway exit. Continue through two traffic lights to Caton Avenue. Turn left onto Caton Avenue, and continue sixteen blocks to Flatbush Avenue. Turn left onto Flatbush Avenue and continue two blocks to Parkside Avenue. Turn right onto Parkside Avenue and travel four blocks to New York Avenue. Turn right at New York Avenue and continue one block to Clarkson Avenue. **From Staten Island and Newark International Airport:**

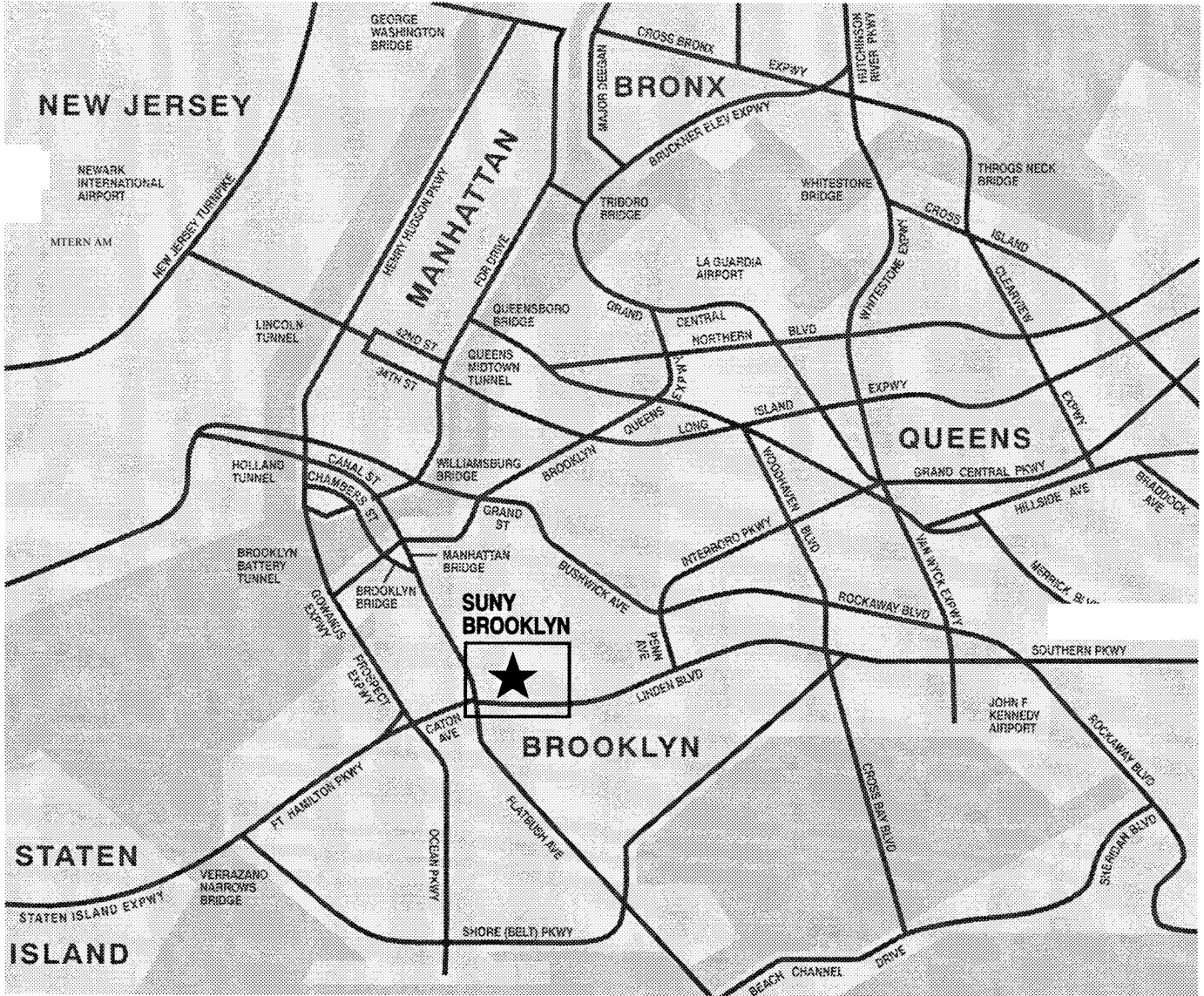
**Verrazano Narrows Bridge (toll):** follow bridge to Route 278, the Gowanus Expressway. Travel approximately five miles to the Prospect Expressway exit. Continue on the Prospect Expressway three exits to the Fort Hamilton Parkway exit. Travel along East 5 Street through two traffic lights to Caton Avenue. Turn left onto Caton Avenue, and continue sixteen blocks to Flatbush Avenue. Turn left onto

Flatbush and continue two blocks to Parkside Avenue. Turn right onto Parkside Avenue and travel four blocks to New York Avenue. Turn right at New York Avenue and continue one block to Clarkson Avenue.

From Long Island and Airports:

Southern Long Island and JFK: West on Belt Parkway to North Conduit Boulevard exit (Exit 17W). Continue on North Conduit Boulevard for about 3/4 mile. Fork left onto Linden Boulevard, and take Linden Boulevard to New York Avenue. Right two blocks on New York Avenue to Clarkson Avenue.

Northern Long Island and LaGuardia: Take Grand Central Parkway to Jackie Robinson Pkwy (JRP/ formerly Interboro Pkwy) exit. Continue on JRP to end-Pennsylvania Avenue exit. Follow Pennsylvania to Linden Boulevard, turn right onto Linden. Take Linden Boulevard to New York Avenue. Right two blocks on New York Avenue to Clarkson Avenue.



## **Appendix A**

# **SUNY Downstate Medical Center Faculty and Professional Staff By-Laws**

**By-Laws**

Amended 6/96  
Call passed amendments have  
been incorporated

STATE UNIVERSITY OF NEW YORK

DOWNSTATE MEDICAL CENTER [HSCB]  
FACULTY AND PROFESSIONAL STAFF BYLAWS

Preamble

As directed by the Policies of the Board of Trustees of the State University of New York, the Faculty of the Downstate Medical Center [HSCB] shall have the obligation to participate significantly and with responsibility in the initiation, development and implementation of the programs and policies of the Downstate Medical Center [HSCB] and its constituent Schools or Colleges. Recognition is made of the fact that participation implies a cooperative effort among members of the academic community. The Faculty and Professional Staff of the Downstate Medical Center [HSCB] do hereby enact these Bylaws to define the organization and procedures necessary for the execution of its duties and responsibilities. In addition, the Faculty and Professional Staff of each constituent School or College of the Medical Center shall enact their own bylaws defining the organization and procedures necessary for the execution of their duties and responsibilities; providing such bylaws are consistent with, not contrary or inimical to, nor detract from the Downstate Medical Center [HSCB] Bylaws herein set forth.

ARTICLE I:

DEFINITION OF TERMS

- |                               |                                                                                                                                                                                                       |
|-------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Item 1 - "University"         | State University of New York.                                                                                                                                                                         |
| Item 2 - "Board of Trustees"  | Board of Trustees of the State University of New York.                                                                                                                                                |
| Item 3 - "Chancellor"         | The Chief Administrative Officer of the State.                                                                                                                                                        |
| Item 4 - "Medical Center"     | The Downstate Medical Center [HSCB] of the State University of New York. Abbreviated as DMC [HSCB].                                                                                                   |
| Item 5 - "The Faculty"        | The Faculty of the Downstate Medical Center [HSCB], consisting of the Chancellor of the University, the President of the Medical Center, and all members of the academic staff of the Medical Center. |
| Item 6 - "President"          | The Chief Administrative Officer of the Downstate Medical Center [HSCB].                                                                                                                              |
| Item 7 - "Academic Staff"     | Those persons having full academic rank or qualified academic rank at the Medical Center as defined in the Policies of the Board of Trustees, Article II, 1973.                                       |
| Item 8 - "Professional Staff" | All persons in the departments of instruction in the schools or                                                                                                                                       |

colleges, occupying positions designated by the President and confirmed by the Committee on Faculty and Professional Staff Personnel Policies of the schools or colleges or as defined in the contract under the Taylor Law, as supporting the educational and research goals of the schools or colleges.

Item 9 - "School or College" A distinct organizational unit of the Medical Center which is responsible for instruction in one or more discrete areas.

Item 10 - "Consult with Faculty" Consultation shall take the form of discussion and advice prior to the taking of official action.

## ARTICLE II

### RESPONSIBILITIES OF THE FACULTY AND PROFESSIONAL STAFF

The Faculty and Professional Staff is responsible for the development and implementation of programs and policies in accordance with the standards for Articles of Governance of the State University Faculty Senate, subject to the authority of the State University Trustees and not inconsistent with the powers and policies thereof. Responsibilities of the Faculty and Professional Staff include:

Item 1 - The development and conduct of educational, research and service programs of the Medical Center.

Item 2 - The maintenance of academic standards, including requirements for admission and the granting of degrees.

Item 3 - Significant participation in the formulation of faculty and professional staff personnel policies including appointments, promotions and selection of administrative officers, department chairman and division chairman.

Item 4 - Consultation in the preparation of the budget including an annual review of the budget by the Center-Wide Research, Resources, Planning and Budget Committee. (see Article IV, Section E, Item 3)

Item 5 - The encouragement and development of student participation in educational programs of the Center.

Item 6 - Participate jointly with the administration in the periodic assessment of Faculty-Professional Staff and Administrative activities in the areas of Faculty and Professional Staff responsibility.

## ARTICLE III



## ORGANIZATION OF THE DMC FACULTY AND PROFESSIONAL STAFF

### **Section A: Faculty and Professional Staff Assembly**

The organization of the total Faculty and Professional Staff at the Medical Center shall be known as the DMC [HSCB] Faculty and Professional Staff Assembly. In addition, each constituent school or college of the Medical Center shall have a Faculty and Professional Staff Assembly whose membership and organization shall be defined in the bylaws.

**Item 1 - Membership:** Membership in the DMC [HSCB] Faculty and Professional Staff Assembly shall consist of the Faculty of the Medical Center as defined in Article I, Item 5 and the professional staffs defined in Article I, Item 8.

**Item 2 - Voting Membership:** The voting members of the DMC [HSCB] Faculty and Professional Staff Assembly shall consist of the Chancellor of the University, President of the Medical Center and the voting membership of the constituent schools or colleges.

**Item 3 - Student Participation:** There shall be one duly elected non-voting student representative from each of the schools or colleges in the Faculty and Professional Staff Assembly of the Medical Center. He shall be the Presiding Officer of his college or school student organization or his delegate.

### **Section B: Officers of The DMC [HSCB] Faculty and Professional Staff Assembly**

**Item 1 -** The officers of the DMC [HSCB] Faculty and Professional Staff shall consist of a Presiding Officer, an Presiding Officer Elect, and a Secretary. They shall be elected biannually by a majority of those casting ballots and their names shall be announced prior to the end of the academic year. The Presiding Officer Elect shall assume the office of Presiding Officer automatically at the expiration of the Presiding Officer's Term or whenever that office becomes vacated.

**Item 2 -** The duties of the Officers shall be as follows:

- (a) The Presiding Officer shall preside at the meetings of the DMC [HSCB] Faculty and Professional Staff Assembly and the Committee of the DMC [HSCB] Faculty and Professional Staff. He shall be a member ex-officio of all DMC [HSCB] committees and perform such duties as are appropriate to his office. The Presiding Officer shall appoint a Parliamentarian each year who shall also serve as a Parliamentarian of the Committee of the DMC [HSCB] Faculty and Professional Staff.
- (b) The Presiding Officer Elect shall assist the Presiding Officer to perform his duties and shall preside in the event of his absence.
- (c) The Secretary of the DMC [HSCB] Faculty and Professional Staff Assembly shall also serve as Secretary to the Committee of the DMC [HSCB] Faculty and Professional Staff. He shall notify the DMC [HSCB] Faculty and Professional Staff Assembly of all meetings, keep the minutes and records of the DMC [HSCB] Faculty and Professional Staff Assembly, and distribute copies of the minutes to each member after each meeting. The Secretary and the Librarian shall each keep a permanent file of the minutes, and up-to-date copy of these Bylaw and a roster of the voting Faculty and Professional Staff, all for use and inspection by the Faculty and Professional Staff.

Item 3 - The Senators and Alternate Senators, to the State University of New York Faculty Senate. Senators and Alternate Senators shall be elected and function in accordance with Article VII of the Policies of the Board of Trustees of the State University of New York for a term of **three** years. They shall represent the DMC [HSCB] Faculty and Professional Staff Assembly at the meetings of the State University Senate. At the meeting of the Faculty Assembly immediately subsequent to each meeting of the Senate, the Senators or Alternate Senators shall report on any questions raised or actions taken which are of interest to the DMC [HSCB] Faculty and Professional Staff.

Section C: ~~Meeting of The Faculty and Professional Staff Assembly~~

Item 1 - Regular Meetings: Two regular meetings of the DMC [HSCB] Faculty and Professional Staff Assembly shall be held in **each** academic year **during** the months of October-November and **April-May**. The Secretary of the Faculty and Professional Staff Assembly shall notify each member of **the** voting Faculty and Professional Staff at least one week in advance of each meeting.

Item 2 - Special Meetings: Special meetings may be called by the Chancellor, by the President, by the Presiding Officer of the DMC [HSCB] Faculty and Professional Staff Assembly, or at the request of ten members of the Committee of the Faculty and Professional Staff of the DMC [HSCB]. Special meetings must also be called by the Presiding Officer upon written application of twenty-five members of the voting Faculty and Professional Staff of the Center. This should be done in no more than ten days of receipt of this application and every effort be made to notify the voting Faculty and Professional Staff of the meeting. The business of such meetings shall be indicated on the notice of **the** meeting and shall be limited to the matter set forth in the application.

Item 3 - Quorum: A quorum at any meeting of the DMC [HSCB] Faculty and Professional Staff Assembly shall consist of 10% of the voting Faculty and Professional Staff, or a minimum number of forty.

Item 4 - Order of Business: The order of business at DMC [HSCB] Faculty and Professional Staff Assembly meetings, except for special meetings, shall be:

- (a) Reading and approval of minutes of previous meetings.
- (b) Report of **the** Chancellor of the University.
- (c) Report of the President of the Medical Center.
- (d) Report of the Presiding Officer.
- (e) **Report** of the Senators.
- (f) Report of elections, when these **have been** held.
- (g) Reports of Committees.
- (h) Reports of Special Committees.
- (i) Report of Secretary.
- (j) Unfinished business.
- (k) New business - Items of new business may be presented at any meeting of the DMC [HSCB] Faculty and Professional Staff Assembly. Unlimited discussion is allowed but discussion may be terminated by a vote of two-thirds of those present and voting. Any resolution may be voted upon without those present and voting. Any resolution may be voted upon without delay by voice and considered passed if approved by a simple majority of assembly members present and voting; however, any resolution must be voted on by a mail ballot sent to all voting members of **the** Faculty and

Professional Staff under any of the following circumstances:

- (i) By vote of twenty-five members present at the Assembly Meeting.
- (ii) By vote of the majority of the Committee of the Faculty and Professional Staff at its next meeting.
- (iii) By petition of twenty-five members of the voting Faculty and Professional Staff within ten days of the distribution of the minutes of the meeting.

Item 5 - A written secret ballot shall be used:

- (a) For elections.
- (b) For all resolutions under the circumstances listed in Item 4.

Item 6 - The manner of voting on resolution by mail shall be as follows: Within two weeks of the fulfillment of any of the circumstances listed in Item 4, a secret ballot (accompanied by the text of the final resolution) shall be sent by the Secretary of the DMC [HSCB] Faculty and Professional Staff Assembly to members of the voting Faculty and Professional Staff.

Item 7 - A resolution shall be considered passed if a majority of the votes cast are in its favor.

Item 8 - Unless otherwise provided in these Bylaws, Robert's Rules of Order (latest edition), shall govern the conduct of business of the DMC [HSCB] Faculty and Professional Staff Assembly.

#### ARTICLE IV

#### COMMITTEE OF THE DMC [HSCB] FACULTY AND PROFESSIONAL STAFF

##### Section A: Membership

The Committee of the DMC [HSCB] Faculty and Professional Staff shall consist of:

- (a) The Officers of the DMC [HSCB] Faculty and Professional Staff Assembly.
- (b) The Senators elected by the voting members of the DMC [HSCB] Faculty and Professional Staff Assembly to the State University of New York Faculty Senate.
- (c) The Presiding Officer of the Faculty and Professional Staff Assembly of each constituent college or school.
- (d) Twenty elected members, ten (10) of which shall be from the College of Medicine, four (4) from the School of Graduate Studies, three (3) from the College of Health Related Professions and three (3) from the College of Nursing. These members will be elected as determined by the Bylaws of each constituent college or school.
- (e) The President of the Downstate Medical Center [HSCB] shall be ex-officio.

##### Section B: Officers of The Committee of The DMC [HSCB] Faculty and Professional Staff

- (a) CHAIRMAN - The Presiding Officer of the DMC [HSCB] Faculty and Professional Staff Assembly shall be Chairman. In his absence the Vice Chairman (Presiding Officer Elect) shall preside. In the event that both the Chairman and Vice Chairman are absent, the Secretary

shall preside at meetings and shall designate another committee member to act as secretary.

- (b) VICE CHAIRMAN - The Presiding Officer Elect of the DMC [HSCB] Faculty and Professional Staff Assembly shall be Vice Chairman.
- (c) SECRETARY - The Secretary of the DMC [HSCB] Faculty and Professional Staff Assembly shall be Secretary.

Section C: Meetings of The Committee of The DMC [HSCB] Faculty and Professional Staff

- (a) The first regular meeting of the Committee shall take place in September. Thereafter, the Committee shall meet regularly at bimonthly intervals, with a meeting to precede each meeting of the Faculty and Professional Staff Assembly.
- (b) Special meetings may be called by the President or Chairman of the Committee of the DMC [HSCB] Faculty and Professional Staff at any time.
- (c) The Secretary of the Committee of the DMC [HSCB] Faculty and Professional Staff shall be responsible for the preparation of an agenda for each regular meeting which includes:-
  - (i) Status reports from the Presiding Officer of each constituent school or college, and
  - (ii) Status reports from each standing committee of the Committee of the DMC [HSCB] Faculty and Professional Staff. In addition, the Secretary of the Committee of the DMC [HSCB] Faculty and Professional Staff shall be responsible for the preparation of the minutes of the meetings of the Committee, and for the distribution of these to the following persons: The President, the Deans of the Schools, the Chairman of Departments or Divisions, the Librarian, the Senators, the Alternate Senators, and members of the Committee. Copies will also be sent to the Librarian, who will make them available to members of the faculty upon request.
- (d) Robert's Rules of Order (latest edition) shall govern the conduct of meetings of the Committee of the DMC [HSCB] Faculty and Professional Staff.

Section D: Functions of The Committee of The DMC [HSCB] Faculty and Professional Staff

- (a) The Committee shall act as the representative of the Faculty and Professional Staff Assembly in all matters referred to it by its Presiding Officer, its subcommittees, the DMC [HSCB] Faculty and Professional Staff Assembly, Student Organizations or Administration.
- (b) The Committee shall review the status of Faculty and Professional Staff participation in the member schools of the Medical Center. The Committee shall determine whether such participation is consistent with the Policies of the Board of Trustees of the State University of New York, and with the Bylaws of the Medical Center. Recommendations for revisions of Faculty and Professional Staff participation shall be made to the President when necessary.
- (c) The Committee shall be responsible for the notification of meetings of DMC [HSCB] Faculty

**and Professional Staff Assembly** to be distributed by the **secretary** to all voting members of the Assembly.

- (d) The Committee shall discuss and deliberate upon those reports **and/or** resolutions that are submitted to it as described in Article VI, Item i, j, "General Rules." It shall study such reports and resolutions particularly from the standpoint of their impact on the total operations of the Medical Center. The Committee shall be empowered to take such action as it seems necessary in the interest of the Faculty and Professional Staff. The Committee, through the Presiding Officer (**Chairman**), shall be prepared to present its recommendation or its reasoned criticism of the report **and/or** resolution at the next meeting of the DMC [HSCB] Faculty and Professional Staff Assembly.
- (e) The Committee shall ensure that the resolutions or other **determinations** of the DMC [HSCB] Faculty and Professional Staff are communicated to Administration for information and implementation or change when necessary and proper.
- (f) The committee shall be authorized to initiate recommendations **and/or** resolutions in the interest of the DMC [HSCB] Faculty and Professional Staff and submit them to the President for information and action.
- (g) The Committee shall be responsible for keeping a permanent file of reports and the texts of the passed resolutions of all the other Faculty and Professional Staff Assemblies of the Medical Center.

**Section E: Subcommittees of The Committee of The DMC [HSCB] Faculty and Professional Staff**

- ▶ Educational Policy and Curriculum Integration
- ▶ **Faculty** and Professional Staff Personnel Policies
- ▶ Research, Resources, Planning and Budget
- ▶ Nominations, Elections and Ballots
- ▶ Bylaws
- ▶ Library

**The Committee of Educational Policy and Curriculum Integration**

A. Membership

- (1) The Education Policy and Curriculum Integration Committee shall consist of eleven members. These will consist of the Chairman and one other member of the Committee with

comparable responsibilities in the College of Medicine and the Chairman of the Committee with comparable responsibilities in the other constituent schools and colleges. In addition, there will be a member from the Committee of the DMC [HSCB] Faculty and Professional Staff (elected by that group), two student members from the College of Medicine and one student member from each of the other constituent colleges and schools.

- (2) This Committee will be initially convened by the member from the Committee of the DMC [HSCB] Faculty but will elect its own Chairman at its initial meeting.
- (3) The President of the Downstate Medical Center [HSCB] and the Presiding Officer of the DMC [HSCB] Faculty Assembly shall be ex-officio members.

#### **B. Functions**

- (1) The Committee on Educational Policy and Curriculum Integration shall continually study the overall educational policy of the Medical Center, and where deemed advisable, make recommendations dealing with matters in this area for action by the Committee of the Faculty and Professional Staff.
- (2) The Committee shall review proposed curriculum changes in any School or College of the Medical Center, with the view to assessing the possible impact of such changes on the total educational policy of the Center, and on the teaching programs of other Colleges or Schools of the Center and make recommendations to the Committee of the Faculty and Professional Staff.
- (3) The Committee shall continually study the policy of the Medical Center and, where necessary, make the appropriate recommendations to the Committee of the Faculty and Professional Staff regarding the evaluation of the Academic performance of students, examination procedures, awarding of honors, and granting of diplomas.
- (4) The manner in which the above functions can best be served is to be decided by the Committee.
- (5) The Committee shall consider and act upon new proposals relating to its functions that originate from members of the Medical Center.

The Committee of Research, Resources, **Planning** and Budget

**A. Membership**

- (1) This Committee shall consist of five members, four of whom are the Chairman of the Committee with the same functions in each constituent school and college. The fifth will be a member of the Committee of the DMC [HSCB] Faculty and will be elected by that group. In the event that a constituent school or college does not have a corresponding Committee, it shall provide a member of this Committee by election or appointment.
- (2) The President of Downstate Medical Center [HSCB] and the Presiding Officer of the DMC [HSCB] Faculty and Professional Staff shall be *ex-officio* members.
- (3) This Committee will be initially convened by the member from the Committee of the DMC [HSCB] Faculty and Professional Staff but will elect its own Chairman at its initial meeting.

**B. Functions**

- (1) The Committee shall initiate, plan and develop ways and means of securing and maintaining support for research activities of the Faculty of the Medical Center from within the State University system and from external sources and make recommendations to the Committee of the Faculty and Professional Staff.
- (2) The Committee shall periodically review established procedures for the development, support and approval of research activities of the faculty of the Medical Center and make recommendations to the Committee of the Faculty and Professional Staff.
- (3) **The Committee shall periodically review the role of established research activity in the context of the entire educational effort of the Medical Center and make recommendations to the DMC [HSCB] Faculty and Professional Staff.**
- (4) The Committee shall review the overall fiscal direction of established and proposed educational and related progress of the Medical Center and make recommendations to the Committee of the Faculty and Professional Staff.
- (5) The Committee shall initiate, develop and plan criteria and machinery that will ensure Faculty and Professional Staff participation in the preparation of the Downstate Medical Center [HSCB] Budget and make recommendations to the Committee of the Faculty and Professional Staff.
- (6) The Committee shall periodically review established procedures relating to planning and budget and make recommendations to the Committee of the Faculty and Professional Staff.
- (7) The Committee shall consider and act upon new proposals relating to its functions that originate from members of the Medical Center.

The Committee of The Faculty and Professional Staff Personnel Policies

A. Membership

- (1) The Faculty and Professional Staff Personnel Policies Committee shall consist of five members, four of whom are the Chairman of the Committee with the same functions in the constituent schools and colleges. The fifth will be a member of the Committee of the DMC [HSCB] Faculty and Professional Staff who will be elected by that group.
- (2) The President of the Downstate Medical Center [HSCB] and the Presiding Officer of the DMC [HSCB] Faculty and Professional Staff shall be ex-officio members.
- (3) This Committee will be initially convened by the member from the Committee of the DMC [HSCB] Faculty and Professional Staff who will elect its own Chairman at its initial meeting.

B. Functions

- (1) The Committee shall periodically review all personnel policies pertaining to the DMC [HSCB] Faculty and Professional Staff to ensure consistency with the Policies of the Board of Trustees of the State University of New York.
- (2) The Committee shall develop, recommend, and assist in implementing policies dealing with salary scales, work loads, fringe benefits, Faculty-Administration relations, and related matters in the Medical Center and make recommendations so the Committee of the Faculty and Professional Staff Assembly.
- (3) The Committee shall make recommendations for the preparation and publication of a DMC [HSCB] Faculty Handbook in accordance with Article IX, Title A, Paragraph 3 of the Policies of the Board of Trustees of the State University of New York.
- (4) The Committee shall cooperate with Administration in setting standards for Academic and Professional qualifications of the Faculty and Professional Staff and in formulating procedures for promotion and tenure.
- (5) The Committee will determine standards which will develop and maintain an atmosphere of freedom, commitment to academic inquiry and respect for academic rights of others.
- (6) The Committee will develop with Administration authorities a mechanism to prevent and review breeches of the institutional obligation to protect academic freedom, including freedom to teach.
- (7) The Committee will assist in the development of standards for student responsibility toward the right to teach and be taught, and in the development of procedures to review and correct breeches of these standards.
- (8) The Committee shall consider and act upon new proposals relating to its functions that



originate from members of the Medical Center.

The Committee of Nominations, Elections and Ballots

**A. Membership**

- (1) This Committee shall consist of five members, four of whom are the Chairman of the Committee with the same function in each constituent school and college and the fifth the Presiding Officer of the Faculty and Professional Staff of the Downstate Medical Center [HSCB].
- (2) This Committee will be convened by the Presiding Officer of the Faculty and Professional Staff of the Downstate Medical Center [HSCB] but will elect its own Chairman at its initial meeting.
- (3) The President of the Downstate Medical Center [HSCB] shall be an ex-officio member.

**B. Functions**

- (1) It shall be the responsibility of the Committee to attempt to recommend two or more candidates for the Office of Presiding Officer, Assistant Presiding Officer, Secretary and Senators of the DMC [HSCB] Faculty and Professional Staff.
- (2) There shall be no more than 75% of the nominees from any one School or College of the Center amongst the candidates named for each of the above elective offices.
- (3) Nominations of candidates other than those recommended by the Committee may be made from the floor of the DMC [HSCB] Faculty and Professional Staff Assembly at the time the Committee presents its recommendations.
- (4) At the April-May meeting of the DMC [HSCB] Faculty and Professional Staff Assembly, the Committee shall present its list of nominees for all pending vacancies. Within one month subsequent to the April-May meeting of the DMC [HSCB] Faculty and Professional Staff Assembly, the Committee shall mail to each voting member of the DMC [HSCB] Faculty and Professional Staff a ballot listing all the nominees (including those nominated from the floor) for the various pending vacancies. From the date of mailing, two weeks shall be allowed for the return of the ballots to the Committee. Immediately, at the expiration of this period, the Committee shall tabulate the vote and report the results to the President of the Center, the Secretary of the DMC [HSCB] Faculty Assembly and the Presiding Officer of the DMC [HSCB] Faculty Assembly and to Schools, Colleges and Affiliated Institutions through the Office of Public Relations and the use of bulletin boards.
- (5) Additional responsibilities of the Nominations, Elections and Ballot Committee shall include the following:
  - a. Supervise any special elections.
  - b. Ensure that specified faculty representatives to the various standing Committees of the DMC [HSCB] Faculty and Professional Staff Assembly and the appropriate Committees be elected and to inform the Assembly and the Committees of the results.
  - c. Ensure that specified student representative<sup>3</sup> to the Educational Policy and Curriculum Integration Committee be elected and to inform that Committee of the results.
  - d. To keep an up-to-date listing of membership of all DMC [HSCB] Faculty and Professional Staff Assembly Standing Committees and to have it available to the Library for use and inspection by the Faculty and Professional Staff.
  - e. To supervise the counting of all mail ballots for elective offices.
  - f. To supervise the counting of all mail ballots on resolutions as described in Article III,

## The Committee of Bylaws

### **A. Membership**

- (1) This **Committee** shall consist of five members, four of whom are the Chairman of the committee with the same functions in each constituent school and college. The fifth will be a member of the committee of the DMC [HSCB] Faculty and Professional Staff and will be elected by that group.
- (2) The President of the Downstate Medical Center [HSCB] and the Presiding Officer of the DMC [HSCB] Faculty and Professional Staff Assembly shall be ex-officio members.
- (3) This Committee will be initially convened by the member from the committee of the **DMC** [HSCB] Faculty and Professional Staff but will elect its own **Chairman** at its initial meeting.

### **B. Functions**

- (1) The Committees shall periodically review the Bylaws of the Faculty and Professional Staff of the Downstate Medical Center [HSCB] to determine whether such bylaws are consistent with the Policies of the Board of Trustees of the State University of New York and make recommendations to the Committee of the Faculty and Professional Staff.
- (2) The Committee shall initiate, develop and plan necessary amendments for revisions to the bylaws of the Center and consistent with the Policies of the Board of Trustees of the State University of New York and make recommendations to the Committee of the Faculty and Professional Staff.
- (3) The Committee shall assist the Faculties of the Schools and Colleges of the DMC [HSCB] to develop **and/or** revise their bylaws so as to achieve consistency with the bylaws of the DMC [HSCB] Faculty and Professional Staff within one year of the adoption.
- (4) The Committee shall consider and act upon new proposals relating to its functions that originate from members of the Medical Center.
- (5) This Committee shall periodically consider the fairness of the distribution **membership** on the Committee of the DMC [HSCB] Faculty and Professional Staff and recommend changes when necessary.

## The Committee of Library

### A. Membership

- (1) This Committee shall consist of eight voting members. A chairman shall be elected by the , **centerwide** faculty assembly. Five members shall be elected by their respective **schools** or colleges (one from the College of Health Related Professions, one from the Graduate School, one from the College of Nursing, and two from the College of **Medicine**, one from the basic sciences and one **from** the clinical departments. The seventh voting member shall be the Director of Libraries, and the last member shall be one person from the library, elected by the staff of the library.
- (2) The term of service for the Chairman and each member shall be two years, and members ~~may~~ be re-elected.
- (3) The **Presiding** Officer of the DMC [HSCB] Faculty and Professional Staff shall be an **ex-officio** member. In the case of a tie, the Presiding Officers may cast a vote.

### B. Functions

- (1) The Committee shall meet a **minimum** of four times a year and periodically review policies relating to the Library and make recommendations to the **Centerwide** Committee of the Faculty and Professional Staff.
- (2) The committee **shall** periodically review established procedures relating to the Library and **make recommendations** to the Committee of the Faculty and Professional Staff.
- (3) The Committee shall consider and act upon new proposals relating to its **functions** that originate from members of the Medical Center.
- (4) The Committee shall advise the Commission on the Joint Library to consider and **act** on any changes of policies.

CLEV

**STANDING COMMITTEES OF THE CONSTITUENT SCHOOLS OR  
COLLEGES OF THE DMC [HSCB]**

There shall be the following standing committees or subcommittee within each school or college of the center in addition to any other committees which may be appropriate for each unit. The membership and functions of each committee will be specified by the individual school or college.

- (a) Curriculum.
- (b) Faculty Personnel Policies (including provisions for appointment of College Officers in accordance with Articles IX and XII of the Policies of the Board of Trustees of the State University of New York).
- (c) Committee on Academic and Professional Qualifications.
- (d) Budget.
- (e) Nominations and Elections.
- (f) Bylaws.

**ARTICLE VI**

**GENERAL RULES FOR ALL STANDING COMMITTEES OR SUBCOMMITTEES OF  
THE DMC [HSCB] FACULTY AND PROFESSIONAL STAFF ASSEMBLY**

- (a) Each member of any Committee shall be entitled to one vote at meetings of the Committee.
- (b) A quorum shall consist of the majority of Faculty and Professional Staff members of the Committee.
- (c) Unless otherwise specified in these Bylaws, each Committee shall annually elect a Chairman and any such officers at the Committee shall deem necessary from among its members. The Officers shall be eligible for reelection.
- (d) The term of office of committee members shall be determined by the constituent schools or colleges.
- (e) Each Committee shall hold its initial meeting as soon as practicable after the beginning of the Academic year in the month of September.
- (f) All Committees shall be responsive to inquiries, recommendations or communications from the Faculty, Administration, and appropriate Student Committees of the Medical Center.
- (g) The Committees shall make full use of appraisal and recommendations of appropriate Committees of the various schools or colleges of the Medical Center, including recognized student groups.

- (h) The Chairman of Committees shall appoint from among the voting and non-voting members of the Faculty of the individual schools or colleges, and when appropriate, from the student body, those subcommittees that will best enable the Committee to carry out its responsibilities. When areas of specific concern to individual departments, disciplines or subjects of divisions, within or without the respective schools or colleges are involved, the subcommittee shall have, when necessary, at least one representative from the affected area included in its membership.
- (i) The Committees or subcommittees shall conduct publicly announced open hearings when necessary, at which time interested parties shall be given an opportunity to set forth their views. Two weeks prior notice shall be given for such hearings. The Office of Public Relations of the Medical Center shall be asked to employ all means at its disposal to publicize the hearings **within** the schools and colleges and the affiliated institutions and hospitals. Bulletin board notices at the schools and colleges and affiliated institutions and hospitals shall be fully utilized.
- (j) A minority shall be **entitled** to submit a report at the time that a Committee makes its report.
- (k) Copies of reports and the texts of passed resolutions shall be submitted by the individual schools or colleges of the Center to **the** Secretary of the Committee of the DMC [HSCB] Faculty and Professional Staff at the time they are submitted to or passed by their duly authorized bodies.

## ARTICLE VII

### ELECTIONS

Item 1 - The voting members of the DMC [HSCB] Faculty and Professional Staff Assembly shall be eligible for election as, and entitled to cast a mail ballot for, Presiding Officer, Presiding Officer Elect, Secretary, Senators and Alternate Senators of the DMC [HSCB] Faculty Assembly. A voting member shall cast only one vote in any Center-wide ballot, but can vote in each of the schools in which he may hold an appointment in "local" balloting.

Item 2 - The Nomination of candidates, election and counting of ballots for each of **the** above-named offices of the DMC [HSCB] Faculty and Professional Staff shall be carried out as described in Article IV, Section E, **Item** 4b.

Item 3 - **All positions** on standing Committees of all Faculty and Professional Staff Assemblies shall be filled by election or by appointment by an elected Faculty and Professional Staff Committee except that for Director of Libraries on the Library Committee and the members of the Joint-Library Commission.

Item 4 - The voting members of the DMC [HSCB] **Faculty** and Professional Staff will be eligible for election to Committees or Subcommittees of DMC [HSCB] Faculty and Professional Staff Assembly except in the case of the Committee on Academic and Professional Qualifications where special conditions may prevail in **each** college or school.

Item 5 - The schools or colleges are composed of several identifiable groups or disciplines (**e.g.** "Basic and Clinical"). **There** shall be equal representation where possible on a standing committee

or committee of the DMC [HSCB] and in no case more than a majority of one for any one discipline.

Item 6 - The individual holding a joint appointment may not serve as a representative of more than one school or college on a standing committee or subcommittee of the DMC [HSCB].

Item 7 - The names of elected officers and Committee members of DMC [HSCB] Committees shall be announced prior to the end of the academic year and they shall serve for the ensuing years beginning the following September 1.

Item 8 - If a member of a standing Committee or subcommittee cannot serve his full term, the Chairman of the Committee shall request an appointment from the appropriate school of a protem member to serve on the Committee for remainder of the term.

### ARTICLE VIII

#### AMENDMENTS TO THE BYLAWS

##### Item 1 - Presentation of Amendments

Proposals to amend these Bylaws must be made on the written petition of twenty-five members of the voting faculty of the Medical Center to the Presiding Officer of the DMC [HSCB] Faculty at least four weeks before discussion at a DMC [HSCB] Faculty and Professional Staff Assembly meeting or by majority vote of the Committee of the DMC [HSCB] Faculty and Professional Staff. The Secretary of the DMC [HSCB] Faculty Assembly shall be responsible for the distribution of the text of the proposed amendment to the voting Faculty of the Center at least two weeks before discussion at the DMC [HSCB] Faculty and Professional Staff Assembly meeting.

##### Item 2 - Method of Voting on Amendments

- (a) Within two weeks of termination of discussion on an amendment, a secret ballot (accompanied by the text of the final proposed amendment and when appropriate, the text of the existing Bylaw, it seeks to supersede) shall be sent by the Secretary of the DMC [HSCB] Faculty and Professional Staff Assembly to members of the Voting Faculty. The ballots shall be counted by the Nomination, Elections, and Ballot Committee and the result of the Medical Center and its Affiliated Institutions via the resources of the Office of Public Relations and bulletin board. The result of the vote and the count shall be made available within two weeks of the mailing of the ballot. The text of passed amendments shall be transmitted to the Board of Trustees, Chancellor and Provost of the State University of New York, the University Senate, the president of the Center, the Dean and Associate Deans of Affiliated Institutions.
- (b) These Bylaws may be amended by approval of two-thirds of the votes cast.
- (c) An amendment to these Bylaws shall go into effect immediately upon its adoption unless the motion to adopt specifies a time for its going into effect or the DMC [HSCB] Faculty and Professional Staff Assembly has previously adopted a motion to that effect.

Incorporated into main body of ByLaws 6/97

**APPROVED AMENDMENTS TO**

**DOWNSTATE MEDICAL CENTER [HSCB] FACULTY AND  
PROFESSIONAL STAFF ASSEMBLY BY-LAW**

Article III, Section R, Item 1

**Amendment I**

The officers of the Downstate Medical Center [HSCB] Faculty and Professional Staff shall consist of a Presiding Officer, a Presiding Officer Elect and a Secretary. The Secretary and Presiding Officer Elect shall be elected annually and their names shall be announced prior to the end of the academic year. The Presiding Officer Elect shall assume the office of Presiding Officer automatically at the expiration of the Presiding Officer's term or whenever that office becomes vacated. The first year this amendment is in force, the Presiding Officer shall be elected according to the previous by-laws. Subsequently, the Presiding Officer shall be succeeded by the Presiding Officer Elect.

**Amendment II**

In all places in the By-Laws where the term "Assistant Presiding Officer" is used, the term "Presiding Officer Elect" shall be substituted.

**Amendment III**

Elections for Presiding Officer, Presiding Officer Elect, Secretary, Senators and Alternate Senators shall be decided by a plurality of the votes cast. This amendment is not intended to **supersede** the voting procedures of the constituent colleges.

AMENDMENTS TO THE BYLAWS  
OF THE

DOWNSTATE MEDICAL CENTER [HSCB] FACULTY AND  
PROFESSIONAL STAFF ASSEMBLY

Amendment III

Section B, Item I, Amendment I - Reads now:

The Officers of the Downstate Medical Center [HSCB] Faculty and Professional Staff shall consist of a Presiding Officer, a Presiding Officer Elect and a Secretary. The Secretary and Presiding Officer Elect shall be elected annually and their names shall be announced prior to the end of the academic year. The Presiding Officer Elect shall assume the office of Presiding Officer automatically at the expiration of the Presiding Officer's term or whenever that office becomes vacated. The first year this amendment is in force, the Presiding Officer shall be elected according to the previous bylaws. Subsequently, the Presiding Officer shall be succeeded by the Presiding Officer Elect.

**NEEDED TO READ:**

Amendment are underlined

The Officers of the Downstate Medical Center [HSCB] Faculty and Professional Staff shall consist of a Presiding Officer, a Presiding Officer Elect and a Secretary. The Secretary and Presiding Officer Elect shall be announced prior to the end of the [biennium]\* and their names shall be announced prior to the end of the academic year. The Presiding Officer Elect shall assume the office of Presiding Officer automatically at the expiration of the Presiding Officer's term or whenever that office becomes vacated. The first year this amendment is in force, the Presiding Officer shall be elected according to the previous bylaws. Subsequently, the Presiding Officer shall be succeeded by the Presiding Officer Elect. This January 1977 amendment regarding [biennium]\* election will be effective starting with spring elections 1977.

Amendment II

Section E, Item 1, Part I (p.7) - Reads now:

The Educational Policy and Curriculum Integration Committee shall consist of eleven members. These will consist of the Chairman and one other member of the Committee with comparable responsibilities in the College of Medicine and the Chairman of the **Committee** with comparable responsibilities in the other constituent schools and colleges. In addition, there will be a member from the Committee of the DMC Faculty and Professional Staff (elected by that group, two student members from the College of Medicine and one student member from each of the other constituent colleges and schools.

**Proposed:**

ARTICLE IV, SECTION E, ITEM 5: LIBRARY COMMITTEE



## A. Membership

1. This Committee **shall** consist of eight voting members. A Chairman who shall be elected by the Centerwide Faculty Assembly. Five members shall be elected by their respective schools or colleges. One **from** The College of Health Related Professions, one from The Graduate School and one for The College of Nursing. The College of Medicine shall have two members, one from The Basic Sciences and one from The Clinical Departments. The seventh voting member shall be the Director of Libraries and the last member shall be one person from the Library, elected by the members of The Library.
2. Term of service for **the** Chairman and each member **shall** be two years and members may be reelected.
3. The Centerwide Presiding Officer of The DMC Faculty and Professional Staff shall be an Ex-officio member. In instances of a tie, The Presiding Officer **may** cast a vote.

## B. Functions

1. The Committee shall meet a minimum of four times a year and periodically review policies relating to the Library and make recommendations to the Centerwide Committee of the Faculty and Professional Staff.
2. The Committee shall consider and act upon new proposals relating to **its** functions that originate from the Centerwide Committee. ,

## **Appendix B**

# **College of Health Related Professions Faculty and Professional Staff Assembly By-Laws**

**By-Laws  
CAPQ Guidelines**

State University of New York  
Health Science Center at Brooklyn

**College of Health Related Professions  
Faculty and Professional Staff Assembly  
Bylaws**

**Preamble**

In keeping with the policies of the Board of Trustees of the State University of New York and in compliance with the directive set forth in the Faculty and Professional Staff Bylaws of the State University of New York, Health Science Center at Brooklyn (SUNY-HSCB) the members of the Faculty and Professional Staff of the College of Health Related Professions of the SUNY-HSCB do hereby enact these Bylaws for the purpose of establishing the Faculty and Professional Staff Assembly of the College of Health Related Professions and supporting Standing Committees, and designating the policies and procedures necessary for the definition and execution of its duties and responsibilities.

**Article I. Definition of Terms**

- |                                             |                                                                                                                                                                                                                                                                                                                                                |
|---------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Item 1. "University":                       | State University of New York                                                                                                                                                                                                                                                                                                                   |
| Item 2. "Board of Trustees":                | Board of Trustees of the State University of New York                                                                                                                                                                                                                                                                                          |
| Item 3. "Chancellor":                       | The Chief Administrative Officer of the State University of New York                                                                                                                                                                                                                                                                           |
| Item 4. "SUNY - HSCB":                      | The State University of New York Health Science Center at Brooklyn                                                                                                                                                                                                                                                                             |
| Item 5. "President":                        | The Chief Administrative Officer of the State University of New York                                                                                                                                                                                                                                                                           |
| Item 6. "Vice President and Executive Dean: | Vice President and Executive Dean of the College of Health Related Professions and the College of Nursing                                                                                                                                                                                                                                      |
| Item 7. "Dean":                             | Dean of the College of Health Related Professions                                                                                                                                                                                                                                                                                              |
| Item 8. "College":                          | College of Health Related Professions of the State University of New York                                                                                                                                                                                                                                                                      |
| Item 9. "Faculty":                          | The Faculty of the College of Health Related Professions of State University of New York, Health Science Center at Brooklyn, consists of those individuals who hold academic appointments in the College on a full-time or part-time basis. Faculty shall run for elected offices and serve on standing committees and have voting privileges. |
| Item #10. "Continuing Education Faculty":   | The Faculty of the continuing education certificate programs of the College of Health Related Professions of State University of New York, Health Science Center at Brooklyn, consists of those individuals who hold appointments on a full-time or part-time basis. Faculty                                                                   |

shall have voting privileges; however, Faculty may run for elected offices and serve on standing committees at the discretion of the Dean of the College of Health Related Professions.

Item 11. "Professional Staff":

All persons of the College, occupying positions designed by the President and confirmed by the Faculty and Professional Policies or as defined in the contract negotiated under the Taylor Law, as supporting the educational and research goals of the school. Professional Staff members may vote and run for elected offices.

Item 12. "Assembly":

Assembly shall be defined as the body of faculty (full-time, part-time, and continuing education) and professional staff members of the College of Health Related Professions.

Item 13. "Academic Staff":

Those persons having academic or qualified academic rank in the College as defined in Article II, Policies of the Board or Trustees.

Item 14. "Academic Rank":

Article II, Policies of the Board of Trustees defines academic rank as "rank held by those members of the professional staff having the titles of professor, associate professor, assistant professor, instructor, and assistant instructor."

Item 15. "Qualified Academic Rank":

Article II, Policies of the Board of Trustees defines qualified academic rank as "rank held by those members of the academic staff having titles of lecturer, or titles of academic rank preceded by the designations clinical or visiting or other similar designations.

Item 16. "Consult with the Faculty and Professional Staff":

Consultation shall take the form of discussion and advice prior to the taking of official action.

Item 17. "Program":

An administrative unit responsible for the imparting of a body of knowledge as recognized in the courses of instruction required by individual professional mandates.

Item 18. "Standing Committees":

Established Standing Committees of the College (Article III, Section C).

## Article II. Authority and Responsibilities of the Faculty and Professional Staff Assembly and Standing Committees

The Faculty and Professional Staff is authorized to recommend, develop and implement programs and policies in accordance with the standards of Articles of Governance of the University Faculty Senate of State University of New York as promulgated by the policies of the Board of Trustees. The responsibilities of the Faculty and Professional Staff Assembly include the following:

Item 1. The development, support and conduct of educational, research and service programs of the

College.

- Item 2. The establishment, maintenance and continuous review of academic standards, including requirements for admission, promotion, and for the granting of degrees.
- Item 3. Formulation of personnel policies relative to appointments and promotions; participation in the selection of administrative officers and program chairpersons.
- Item 4. Participation in the formulation and implementation of policies pertaining to budget and resources of the College.
- Item 5. Encouragement of student participation in the development of educational programs of the College.
- Item 6. Participation in the periodic assessment of Faculty, Professional Staff, and Administrative activities in the areas of Faculty and Professional responsibility.

### **Article III. Organization of the Faculty and Professional Staff Assembly**

The organization shall be known as the Faculty and Professional Staff Assembly of the College of Health Related Professions, abbreviated FPACHRP.

#### **Section A. Membership and Participation**

- Item 1. Membership: Membership in the FPACHRP shall consist of the Faculty and Professional Staff of the College of Health Related Professions as defined in Article 1 of the Bylaws.
- Item 2. Voting Membership: The voting members of the FPACHRP shall consist of Faculty and Professional Staff of the College of Health Related Professions.
- Item 3. Student Participation: There shall be one non-voting student representative from the College of Health Related Professions Student Council invited to attend and participate in selected meetings of the FPACHRP as designated by the Committee of the Faculty and in the meetings of selected committees of the College. (Article V, Sect. C, (b) )

#### **Section B: Elected Officers of FPACHRP**

- Item 1. The elected officers of the College of Health Related Professions Faculty and Professional Staff Assembly shall consist of a Presiding Officer, a Presiding Officer-Elect and a Secretary. All elected officers shall serve for one year, and their names shall be announced prior to the end of the academic year. Term of office: July 1 to June 30.

The Presiding Officer-Elect shall assume the office of the Presiding Officer automatically at the expiration of the Presiding Officer's term or whenever that office becomes vacated. At such time, a mail ballot will be called to elect a new Presiding Officer Elect.

In the event that there is no Presiding Officer-Elect, the Presiding Officer shall be eligible for renomination and re-election to a second term of office.

In the event an elected officer fails to meet his or her responsibilities as stated in the Bylaws as determined by a majority vote of the Committee of the Faculty and Professional Staff, the officer shall be removed by a majority vote of the members of the Faculty and Professional Staff Assembly voting by mail ballot.

In the event an elected officer (other than the Presiding Officer or the Presiding Officer-Elect) resigns during his or her term of office, a replacement shall be elected by a majority vote (closed ballot) of the Committee of the Faculty and Professional Staff.

If the Presiding Officer-Elect fails to complete a term, a new Presiding Officer-elect shall be elected at the earliest possible date in accord with Article V.

Item 2: The duties of the elected **officers** shall be as follows:

- (a) The Presiding Officer shall:
  - 1. Preside at meetings of the FPACHRP and **perform** such duties as appropriate to the office.
  - 2. Notify CHRP programs to appoint Faculty representatives to serve on FPACHRP standing committees.
  - 3. Be an ex-officio member of FPACHRP standing committees unless otherwise specified.
  - 4. Appoint a Parliamentarian yearly.
  - 5. Be a member of SUNY-Brooklyn Center-Wide Committee of Faculty and Professional Staff.
  - 6. Preside over the meetings of the Committee of the Faculty and Professional Staff.
  - 7. Be available to meet with centerwide administration.
  - 8. Contact student governing body to elicit student representation and input.
- (b) The Presiding Officer-Elect shall:
  - 1. Assist the Presiding Officer in the performance of **his/her** duties.
  - 2. Preside in event of **his/her** absence.
  - 3. As needed, the Presiding Officer-Elect shall attend meetings of the College Standing Committees of the Faculty and Professional Staff and the Centerwide Committee of the University.
- (c) The Secretary shall:
  - 1. Notify the Faculty and Professional Staff of FPACHRP meetings at least ten calendar days in advance of each meeting, except in the case of special meetings.
  - 2. Distribute and post agenda for FPACHRP meetings.
  - 3. Prepare and distribute a listing of the chairs and members of each standing committee to faculty and professional staff members
  - 4. Keep accurate minutes and records of FPACHRP.
  - 5. Maintain a permanent file of minutes and records of FPACHRP.
  - 6. Distribute copies of the summary of its proceedings to each member of the assembly within 3 weeks **after** each meeting.
  - 7. Maintain an up-to-date copy of College Bylaws and Centenwide Bylaws.
  - 8. Coordinate voting or mail resolutions with the Committee of **Nominations, Elections, and Bylaws**.
  - 9. Maintain an up-to-date listing of membership of all Standing Committees and maintain a current roster of voting Faculty and Staff members.
  - 10. Attend the College committee of the Faculty and Professional Staff meetings.

Item 3: Other Elected Positions

Member at Large to CAPQ (Article V, Section C, Item I

**Chair/Members of Bylaws Committee (Article V, Section F, Item I)**

**Section C. Standing Committees of FPACHRP**

(See Article V for Specific Roles and Functions of the FPACHRP Committees)

Committee of the Faculty and Professional Staff	
Committee on Educational Policy and Curriculum	
Committee on Academic and Professional	Qualifications
Committee on Academic Policy	
Committee on Program Development and Budget	
Committee on Nominations, Elections, and ByLaws	

**Article IV. Standard Operating Procedures of the Operating Procedures of the Faculty and Professional Staff Assembly of the College of Health Related Professions**

**Section A. Nominations and Elections**

Item 1. The Committee on Nominations, Elections, and ByLaws solicits nominations for elected offices from the Faculty and Professional Staff and conducts elections. This should be initiated in the month of February and completed by May 30th of the current academic year.

Any member of the FPACHRP shall be eligible to hold office as Presiding Officer, Presiding Officer-Elect, or Secretary, and to cast a ballot in such elections.

The Committee on Nominations, Elections, & ByLaws shall mail, verify and count the ballots as described in Article V, Section F, Item 1.

**Item 2. Requirements for Election:**

- (a) In all elections a majority of the votes cast shall be sufficient for election.
- (b) If there is a possibility that no candidate will receive a majority of the votes, the preference of the majority shall be determined by the candidate receiving the most number of votes.
- (c) If there is an equal number of votes among candidates, a run-off election will be conducted.

**Section B. Meetings of FPACHRP**

Item 1. Regular Meetings: Three regular meetings of the FPACHRP shall be held in each academic year. Unless otherwise provided in these Bylaws, the latest edition of Robert's Rules of Order shall govern the conduct of business of FPACHRP under the jurisdiction of the parliamentarian. The meetings will be scheduled at the beginning of each semester.

Item 2. Special Meetings: May be called by the Chancellor, President, Vice President, Dean or Presiding Officer or upon written application of 20% of the members of FPACHRP. This should be done in no more than ten days of receipt of such application and every effort should be made to notify FPACHRP members. The business of such meetings shall be indicated on the notice of the meeting and shall be limited to the matter set forth in the application.

- Item 3. Quorum: A quorum at any meeting of the **FPACHRP** shall have a minimum of one faculty member **from** each program.
- Item 4. Notice of Meeting: Except in the case of special meetings, the Secretary shall **notify** each member of the faculty and professional staff, Dean of the College of Health Related Professions, Vice-President, and President of **SUNY/HSCB** by mail at least ten calendar days in advance of a meeting.
- Item 5. Order of Business: The order of business at the **CHRP** Faculty Assembly meetings, except for special meetings shall be:
- (a) Approval of minutes of previous meetings
  - (b) Report of the Chancellor
  - (c) Report of the President
  - (d) Report of the Vice-President
  - (e) Report of the Dean
  - (f) Report of the Presiding Officer
  - (g) Report of the Secretary
  - (h) Report of the Associate Dean of Program and Faculty Development
  - (i) Report of the Associate Dean of Research
  - (j) Report of the Committees
  - (k) Old Business
  - (l) New Business

- Item 6. Voting Procedures: Items of new business may be presented at any meeting of the **FPACHRP**. Discussion is encouraged but may be brought to a close by a vote of the majority of those present. A quorum is required (Article IV, Section C, Item 3) to vote on any resolution. Any resolution may be voted upon without delay and considered passed if approved by a majority of assembly members present. A resolution must be voted on by mail ballot sent to all members of the **FPACHRP** under the following circumstances:
1. By vote of three members present at the Assembly meeting.
  2. By petition of five members of the voting Faculty and Professional Staff within ten days of the distribution of the minutes of the meeting.

- Item 7. Written Secret Ballot: Written secret ballots shall be utilized for all elections of **FPACHRP**.

- Item 8. The Manner of Voting on Resolutions by Mail: Within two weeks of the fulfillment of any of the circumstances listed in Item 6, a secret ballot (accompanied by the text of the final resolution) shall be sent by the Secretary of the **FPACHRP** to members of the Faculty and Professional Staff. From the date of mailing, two weeks should be allowed for the return of the ballots.

#### Section D. Procedure for Creating New Committees

##### Item 1. Additional Committees



Additional Standing Committees and Ad-Hoc Committees shall be created by:

1. Proposal of the Committee of the Faculty and Professional Staff of FPACHRP; or
2. Written proposal by 10% of members of FPACHRP.

Approval by a majority vote of the Assembly is required.

## **Article V. Standing Committees**

### **Section A. General Rules of Standing Committees:**

- Item 1. Each Committee shall hold its initial meeting for the academic year in the month of September. The previous year's Chairperson of the Committee, shall be responsible for calling the initial meeting. He/she shall preside at this meeting for the purpose of electing a new Chairperson to whom he or she shall deliver the records of the Committee. It is the responsibility of the Committee Chairperson to plan and select a **date/time** for this meeting prior to the beginning of the academic year.
- Item 2. If a member of a Standing Committee cannot serve **his/her** full term, the Chairperson of the program shall appoint another representative to serve on the Committee for the remainder of the unexpired year.
- Item 3. A quorum shall consist of the majority of Committee members, except in the case of CAPQ as determined by CAPQ's standing Rules of Procedures.
- Item 4. The names of all of program representatives on standing committees shall be submitted by the Chairperson of each program to the Secretary.
- Item 5. When necessary, the Chairperson of the Standing Committee will appoint Subcommittees to assist the Committee in carrying out its responsibilities. Membership in such Subcommittees may be from among the members of the Faculty Professional Staff or Student Body. When matters of specific interest to individual departments are involved, the Subcommittees shall have, when possible, at least one representative from the departments concerned.
- Item 6. Passing of recommendations of the Committee shall be by a majority vote of members. All Standing Committees and Subcommittees shall be responsible for making verbal detailed reports of their activities to the FPACHRP via the Chairperson of the Committee. For each Faculty and Professional Staff Assembly meeting.
- Item 7. All Committees shall submit an annual written report of their activities to the Presiding Officer and Dean of CHRP via the Chairperson before the June meeting.
- Item 8. The Presiding Officer, with the approval of the Committee of the Faculty and Professional Staff, may appoint to any Committee one member of the College.
- Item 9. The Dean of the College of Health Related Professions is an ex-officio member of all Standing Committees, and shall receive copies of the minutes and an annual written report of all activities of each standing committee. The Dean should be notified of meetings.

### **Section B: Committee of the Faculty and Professional Staff of FPACHRP**

#### **Item 1. Membership:**

- (a) The Committee of the Faculty and Professional Staff shall consist of the Presiding Officer of the FPACHRP and one member from each Program in the College elected by a majority of his/her Program Faculty. The Presiding Officer Elect shall be an ex-officio

member.

**Item 2. Officers of Committee of the Faculty and Professional Staff of the FPACHRP**

- (a) Chairman.  
The Presiding Officer of the FPACHRP Faculty Assembly shall be Chairperson. In his/her absence, Secretary of this Committee shall preside at meetings.
- (b) Secretary  
A Secretary shall be appointed from within the Committee.

**Item 3. Meetings of the Committee of the Faculty and Professional Staff of the FPACHRP**

- (a) The first regular meeting of the Committee shall take place in September. Thereafter, the Committee shall meet regularly with a meeting to precede each meeting of the FPACHRP.
- (b) Special meetings may be called by the Chairperson of the Committee of the Faculty or at written request of three members of the Committee of Faculty and Professional Staff.
- (c) The Secretary of the Committee shall be responsible for the preparation of the minutes of the meetings of the Committee and for the distribution of these to the following persons: The President, the Vice-President, the Dean of the College, Chairperson of Programs, and members of the Committee and others to be deemed appropriate. The minutes shall include the time and place of the next meeting.

**Item 4: Functions of the Committee of the Faculty and Professional Staff of the FPACHRP:**

- (a) The Committee shall function as an executive body, directing the flow of matters to and from committees, the FPACHRP or other Appropriate constituencies, and will provide such recommendations as it deems necessary to the Dean.
- (b) The Committee shall consider all matters referred to it by its Presiding Officer, the CHRP Faculty, Student Organizations or Administration.
- (c) The Committee shall be responsible for the preparation of an agenda for meetings of the CHRP Faculty Assembly.
- (d) The Committee shall have the authority to establish ad-hoc committees of the Committee of the Faculty and Professional Staff.
- (e) The Committee shall ensure that the resolutions or other determinations of the FPACHRP are implemented.
- (f) The Presiding Officer may appoint, with the approval of the Committee, persons to represent the Faculty, when requested to do so by other governance organizations.
- (g) The Committee Chairperson shall prepare and present a report at meetings of the FPACHRP.

**Section C: Committee on Educational Policy and Curriculum**

**Item 1: Membership:**

- (a) The Committee on Educational Policy and Curriculum shall consist of one (1) member from each of the programs in the College.
- (b) One voting student member will be appointed by the Student Council Governing Body to represent the entire student body of the College. In addition, two alternative student representatives will be appointed by the Student Council Governing Body.

- (c) The Committee Chairperson shall prepare and present a report at the meetings of the FPACHRP.
- (d) Ex-Officio members shall include the Dean, Presiding Officer of FPACHRP and one clinical faculty member from each Program in the College to be appointed by the Program Chairpersons.
- (e) The Chairperson of the Committee shall be elected annually at the first meeting of the Committee. The Chairperson shall serve as a member of the Centerwide Educational Policy and Curriculum Integration Committee.

**Item 2: Functions:**

- (a) The Committee on Educational Policy and Curriculum shall review all proposed curriculum changes and overall educational policy of the College and shall refer recommendations to the individual programs and the Dean.
- (b) The Committee shall assess the possible impact of proposal curriculum change on the total educational policy of the College and on the teaching programs of other Colleges within the Health Science Center.
- (c) The Committee shall review and periodically update the course evaluation form.

**Section D. Committee on Academic and Professional Qualifications**

**Item 1. Membership:**

- (a) The Committee on Academic and Professional Qualifications shall consist of six members including one (1) member from each Program in the College, each of whom shall be elected by a majority of his Program Faculty. An additional member shall be elected from FPACHRP. Membership will include two tenured faculty.
- (b) The Chairperson of the Committee shall be elected annually at the first meeting of the Committee.

**Item 2. Functions:**

- (a) The CAPQ shall review the credentials of individuals for continuing appointment **and/or** promotion and for all new appointments to the rank of Associate Professor and Professor and make recommendations to the Dean for action.
- (b) The Committee shall establish procedures for its operations including special mechanisms and submit such procedures to the FPACHRP for approval.
- (c) The Committee shall develop criteria of qualifications for each rank and for attainment of tenure in accord with Article XII, Title B of the Policies of the Board of Trustees. The criteria shall be submitted to FPACHRP for approval. Upon approval, the criteria should be disseminated to the faculty.
- (d) The Committee shall elect from its membership a representative to serve on the Centerwide Committee of Faculty and Professional Policies.

**Section E. Committee on Academic Policy**

**Item 1. Membership:**

The Committee shall consist of one member of the Programs in the College, each of whom shall be elected by a majority of his Program Faculty. The Chairperson shall be elected annually at the first

meeting of the Committee.

Item 2. Functions:

- (a) The Committee shall establish new policies on academic regulations, and academic integrity.
- (2) The Committees shall review and recommend modifications for existing policies at a minimum of every two years.

Section F. Committee on Program Development and Budget

Item 1. Membership:

- (a) The Committee on Program Development and Budget shall consist of the Chairperson of each of the Programs in the College, or their designee.
- (b) The Dean of the College shall be an ex-officio member.
- (c) The Chairperson of the Committee shall be elected at the first meeting of each quarter.

Item 2. Functions:

- (a) The Committee shall review and make determinations and proposals on research resources, planning salaries and budget issues common to all Programs in the College.
- (b) A member of the Committee to be elected at the first annual meeting shall serve as a member of the Centenvide Committee on Research, Resources, Planning and Budget.

Section G. Committee on Nominations, Elections, **and** Bylaws.

Members of this committee shall be elected by FPACHRP from its membership by majority vote. The Chairperson of the committee shall be elected by the committee at the first meeting.

Item 1. Committee on Nominations, Election, and Bylaws:

Item 1. Membership:

The committee shall consist of three members who are to be elected at the first annual meeting FPACHRP from a slate nominated from the floor. The Secretary shall also be a member. The Chairperson shall be elected annually at the first meeting of the Committee.

Item 2. Functions:

- (a) The committee shall recommend candidates for the Offices of: Presiding Officer-Elect and Secretary of FPACHRP.
- (b) The committee shall elect from its membership a representative to serve on the Centenvide Committee on Nominations, Elections, Ballots.
- (c) The Committee Chairperson or his/her designee shall assist the Secretary of FPACHRP counting mail ballots.
- (d) The Committee shall review periodically the Bylaws of the Faculty and Professional Staff of the College to determine whether such Bylaws are consistent with the Policies of the Board of Trustees of the State University of New York and the Bylaws of the Faculty and Professional Staff of the SUNY-Brooklyn, and make recommendations to the FPACHRP.
- (e) The Committee shall initiate and develop necessary amendments or revisions to the Bylaws of the College consistent with the Policies of the Board of Trustees of the State University of New York and the By-Laws of the Faculty and Professional Staff of the

SUNY-HSCB and make recommendations to the FPACHRP.

## **Article VI. Committee Appointed By The Dean**

### **Section A: Committee on Admissions and Academic Standing**

The Committee on Admissions and Academic Standing is not a standing committee of the FPACHRP but is a committee appointed by the Dean of the College of Health Related Professions. The committee is advisory to the Dean and reports directly to the Dean.

#### **Item 1. Membership**

- (a) The voting members of the committee consist of the Chairperson of each program and others appointed by the Dean.
- (b) The Chairperson of the committee is appointed by the Dean. The Chairperson is responsible for scheduling meetings and recording the minutes of meetings.

#### **Item 2. Functions**

- (a) The committee is responsible for reviewing and voting on all candidates presented for acceptance, rejection, or placement on the alternate list.
- (b) The committee develops **and/or** coordinates college-wide admissions policies and recommends these policies to the Dean.
- (c) The committee reviews the academic status of all students and makes recommendations to the Dean on such matters as promotion to the next semester, academic probation, leaves of absence, dismissals, graduation, cancellation of registration for other than academic cause and all other matters pertaining to the enforcement of the academic policies of the College of Health Related Professions.

#### **Item 3. Quorum**

- (a) A quorum consists of a majority of voting members.
- (b) Voting: A simple majority is needed to pass an action. In the case of a tie, the Dean will have the deciding vote.

#### **Item 4. Frequency of Meetings:**

The committee meets frequently, usually weekly or every other week while applications for admission are being processed, and as needed at other times of the year.

## **Article VII. Amendments to the Bylaws**

### **Section A:**

Presentation of Amendment Proposals to amend these Bylaws must be made by the written petition of 25% of members of FPACHRP, or by any Standing Committee of FPACHRP, to the Presiding Officer and voting members of FPACHRP, ten days before discussion at a FPACHRP meeting.

### **Section B: Method of Voting on Amendments**

Item 1. Upon the termination of discussion on a proposed amendment, a secret ballot (accompanied by

the text of the final proposed amendment and, when appropriate, the text of the existing Bylaws it supersedes) shall be sent by the Secretary of the FPACHRP to the voting members. The ballots shall be counted by the Nominations, Elections, and Bylaws Committee and the result of the vote made public by that Committee to all members. The results of the vote and the count shall be made available within two weeks of the mailing of the ballot. The text of passed amendments shall be transmitted to the Board of Trustees, Chancellor and Provost of the State University of New York, the University Senate, the President, Vice-President of the Center and the Dean of the College.

Item 2. These Bylaws may be amended by a majority of the votes cast in favor of the proposed amendment.

Item 3. **An** amendment to these Bylaws shall go into effect immediately upon its adoption unless the motion to adopt specifies a time for its going into effect or the FPACHRP has previously adopted a motion to that effect.

Revised 1995



SUNY  
**D**OWNSTATE  
Medical Center

College Of Health Related Professions

# TENURE AND PROMOTION GUIDELINES



Prepared by the Committee on Academic and Professional Qualifications  
Approved by the College of Health Related Professions  
Faculty and Professional Staff Association  
**2003**

## **ACKNOWLEDGEMENTS**

This report represents the collective and dedicated efforts of the  
College of Health Related Professions,  
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Special thanks are extended to the committee members for their time, effort and insight.

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## INTRODUCTION

This document is intended to assist the faculty of the College of Health Related Professions, State University of New York, Downstate Medical Center as they prepare for promotion and tenure. The guidelines are designed for faculty on tenured lines applying for promotion and tenure, and clinical faculty on non-tenured lines applying for promotion. The document delineates timelines, defines the State University of New York Criteria utilized to evaluate the applicant, gives suggestions for meeting the criteria and clarifies the policies of the Committee on Academic and Professional Qualifications (CAPQ) of the College of Health Related Professions.

In the CAPQ review of each applicant, the stated criteria serve as a framework for assessing each applicant's application. Since no single policy is applicable to all professionals, applicants are reviewed relative to the status of their profession. Although applicants for tenure and promotion must meet all five criteria specified by the SUNY Board of Trustees, quality teaching must be every applicant's highest priority.

Faculty members are encouraged to utilize the guidelines on an annual basis as they prepare their goals and objectives for the academic year. This will ensure that the faculty's goals and objectives meet the SUNY criteria for Promotion and Tenure.

## **TYPES OF FACULTY APPOINTMENTS IN THE COLLEGE OF HEALTH RELATED PROFESSIONS AT SUNY DOWNSTATE**

Faculty members are hired on tenure lines and non-tenure lines. It is the responsibility of each faculty member to know his/her appointment status.

**Faculty members on tenured lines** are hired with the intention that, after a specified period of time, they will be evaluated by the CAPQ for continuing appointment. If the faculty member chooses not to apply, the faculty member will only be reappointed for one year. If the CAPQ's evaluation results in a decision to deny tenure, the faculty member will be reappointed for (1) one year, after which the faculty member's position will be terminated.

Faculty members on tenured lines are traditionally hired at the position of full-time Assistant Professor. An Assistant Professor on a tenured line who submits materials to the CAPQ may choose to apply for promotion to Associate Professor. A tenured Associate Professor may choose to apply to the CAPQ for promotion to Professor.

**Faculty members on non-tenured lines** are those who, for administrative reasons, are not eligible for tenure. This group includes, but is not limited to faculty who are paid through grant-funded lines and faculty who hold part-time positions. A Clinical Assistant Professor is eligible to apply to the CAPQ for promotion to Clinical Associate Professor. A Clinical Associate Professor is eligible to apply to the CAPQ for promotion to Clinical Professor.

**CRITERIA BY WHICH APPLICATIONS FOR **TENURE**  
**AND/OR** ACADEMIC PROMOTION ARE EVALUATED  
IN THE COLLEGE OF HEALTH RELATED PROFESSIONS  
SUNY DOWNSTATE MEDICAL CENTER**

Please note: The official definition as it appears in the Policies of the Board of Trustees (see Appendix A) is printed in boldface type. The specific definition used by the Committee on Academic and Professional Qualifications (CAPQ) of the College of Health Related Professions follows in standard type.

- Mastery of subject matter - as demonstrated by such things as advanced degrees, licenses, honors, awards, and reputation in the subject matter field. For applications to the CHRP CAPQ, this category includes evidence of expertise in clinical practice, presentations at professional meetings, and publications other than journal articles or major textbook chapters, which are considered under the criterion, Scholarly Ability.
- Effectiveness in teaching - as demonstrated by such things as judgment of colleagues, development of teaching materials or new courses and student reaction, as determined from surveys, interviews, and classroom observation. For applications to the CHRP CAPQ, this category includes documented evidence of teaching effectiveness, such as a letter from the Program Chair, peer evaluations, student evaluations, observation reports, and examples of innovative instructional materials.
- Scholarly ability - as demonstrated by such things as success in developing and carrying out significant research work in the subject matter field, contribution to the arts, publications, and reputation among colleagues. For applications to the CHRP CAPQ, this category includes documented evidence of successful participation in academic research and grant proposals.
- Effectiveness of University service - as demonstrated by such things as college and university public service, committee work, administrative work; and work with students or community in addition to formal teacher-student relationships. For applications to the CHRP CAPQ, this category includes documented evidence of contributions to program, CHRP, and center wide committees or special projects.
- Continuing growth - as demonstrated by such things as reading, research, or other activities to keep abreast of current developments in the academic employees' fields, and being able to handle successfully increased responsibility. For applications to the CHRP CAPQ, this category includes documented evidence of continuing education, attendance at professional conferences, and service in professional organizations.

Definitions approved by the **CHRP** FPSA 2/02

## **FUNCTIONS OF THE CAPQ**

### **COMMITTEE STRUCTURE:**

The committee includes one member from the faculty of each academic program in the College of Health Related Professions. An additional member (Member at Large) is elected annually by the College of Health Related Professions Faculty Assembly. Membership includes two tenured faculty members whenever possible.

### **CAPQ RESPONSIBILITIES:**

1) Review applications for tenure, and prepare a written report to the Dean of the College of Health Related Professions, which includes the Committee's recommendations and rationale.

2) Review applications for promotion, and prepare a written report to the Dean of the College of Health Related Professions, which includes the Committee's recommendations and rationale.

The CAPQ reviews applications for tenure and/or promotion according to the guidelines specified in this document. These guidelines are based upon the 5 criteria for evaluation and promotion specified by the SUNY Board of Trustees (see page 5 and Appendix A in this document).

### **INITIATION OF CAPQ REVIEW PROCESS.**

#### **For Faculty on Tenure-Lines:**

##### **Application for Tenure**

CAPQ must receive an initiation letter with supporting documents eight months prior to the date for which appointment must be renewed. The letter or request from the initiating faculty member should clearly indicate if the review process is for continued appointment (tenure) promotion in rank or both. The applicant's qualifications for continued appointment (tenure) and promotion are considered separately.

##### **Application for Promotion**

Many faculty members submit a combined application for tenure and promotion to Association Professor. However, the application for promotion is purely voluntary. Submission of an application for promotion from Associate Professor to Professor is also voluntary, with timing of the application at the faculty member's discretion.

## **For Faculty on Non-Tenure Lines:**

Submission of an application for promotion is purely voluntary, and faculty on non-tenure lines may submit this application at any time during the course of their employment when they feel they meet the qualifications for promotion to the next highest clinical line.

## **MATERIAL REQUIRED BY THE CAPQ FROM THE APPLICANT**

For review of all tenured positions and applications for promotion, the applicant must submit to the **CAPQ**:

- three (3) names of potential references, (The candidate should select potential references who can assess performance in one or more of the five tenure criteria.)
- curriculum vitae
- materials specified in Tables 2, 3, 5, or 6.

## **SEQUENCE OF THE CAPQ REVIEW PROCESS:**

**This process must be completed within three months of the initiation letter. The CAPQ:**

1. Contacts the applicant's Program Chair for a letter of support and list of three colleagues (other than the three submitted by the applicant) who may be contacted for letters of recommendation. This provides the CAPQ with a list of six possible references.
2. Selects and contacts four (4) references from the lists submitted by the applicant and Program Chair.
3. Interviews additional professionals to clarify applicant's documentation and supporting materials at the discretion of the **CAPQ**.
4. Interviews the applicant and the Program Chair separately to clarify any issues before the **CAPQ** makes the final recommendation. If the applicant is a Program Chair, the senior faculty member will be interviewed.
5. Complete the review process and make a recommendation to the Dean.

In the case of an adverse recommendation, the Dean informs the applicant and advises the applicant about the appeals process.

## **APPEALS TO A CAPQ RECOMMENDATION**

The applicant may choose to appeal the CAPQ's recommendation by writing a letter to the Chair of the CAPQ. The applicant must make the appeal within two (2) weeks of notification by the Dean. The appeals process must start within two (2) weeks from the applicant's requests.

## **TENURE-LINE FACULTY PROCEDURES FOR PROMOTION**

A faculty member hired on a tenure track must achieve continuing (tenured) status within six years of the initial date of appointment. Criteria for continuing appointment are specified in the Policies of the Board of Trustees, Article XII (See Appendix A).

Shortly after the fifth anniversary of the initial date of appointment, the faculty member receives a letter from SUNY Downstate administration (see Appendix B). This letter explains that the faculty member must apply for tenure if he or she wishes to be reappointed. If the faculty member chooses not to apply, the faculty member will only be reappointed for one (1) year after the sixth anniversary of the initial date of appointment. In this case, it is the faculty member's responsibility to discuss administrative procedures with the Program Chair. Any faculty member who does not receive the 5 year letter at the appropriate time is advised to contact his or her Program Chair.

After receipt of this letter and at least eight (8) months prior to the date on which the appointment must be renewed, the faculty member must submit an initiation letter with supporting documents to the CAPQ. The CAPQ refers to these materials as the Tenure Package. If a faculty member is applying for both tenure and promotion, this must be clearly stated in the initiation letter.

Faculty members who wish to submit the Tenure (or Tenure and Promotion) Package prior to the deadline date may submit their materials to the CAPQ at any time.

The CAPQ review process is described in this document in the section, Functions of the CAPQ. (See page 5).

The CAPQ recommendation and rationale is forwarded to the Dean of the College of Health Related Professions. After review of the CAPQ recommendation and materials, the Dean makes a recommendation to the President of Downstate Medical Center. According to the Policies of the Board of Trustees, the President informs the faculty member of his recommendation.



## TIMELINE

(A faculty member hired 9/1/2000 is used as an example)

Years 1 - 5:

- Faculty member follows guidelines to steadily achieve the criteria specified in Criteria for Achievement of Tenure and Promotion
- Faculty member maintains copies of all materials to be included in the Tenure and Promotion package
- On an annual basis, faculty member formulates annual Goals and Objectives, and reviews these in a formal meeting with the Program Chair
- On an annual basis, faculty completes the Annual Review of the previous year's Goals and Objectives and reviews these in a formal meeting with the Progr'am Chair.

Year 6:

- Faculty member receives letter from Downstate Medical Center administration at the beginning of the sixth year of hire (example: Letter is sent on the **fifth** anniversary of the initial date of hire (example: 9/1/2005). Any faculty member who does not receive the 5 year letter at the appropriate time is advised to contact his or her Program Chair.
- Faculty member prepares the Tenure Application Package.
- Faculty member submits Tenure Package to CAPQ at least 8 months prior to the 6<sup>th</sup> anniversary of the date of initial appointment (January 1,2005).
- CAPQ reviews the Package.
- CAPQ submits recommendation and materials to the Dean of the College of Health Related Professions.
- Dean makes recommendation to the President of Downstate Medical Center.
- President of Downstate Medical Center makes recommendation to the Chancellor of SUNY.

6<sup>th</sup> Year Anniversary of Initial Date of Hire (September, 2006)

- If the faculty member has failed to submit the Tenure Package to the CAPQ eight months earlier, the faculty member will be reappointed for (1) one year, after which the faculty member's position will be terminated.
- If the faculty member's application for tenure is denied, the faculty member will be reappointed for (1) one year, after which the faculty member's position will be terminated.
- If the faculty member's application for tenure (or tenure and promotion) is approved, the faculty member is appointed on a continuing basis.

**TABLE 1**  
**Faculty on Tenure Lines**  
**CRITERIA FOR ACHIEVEMENT OF TENURE AND PROMOTION**

	Achievement of Tenure and Promotion to Associate Professor	Promotion from Associate Professor to Professor
MASTERY OF SUBJECT MATTER	Presentations at major professional conferences	Continued presentations at major professional conferences (some must be as an invited or keynote speaker)
	Publications (other than journal articles or major textbook chapters, which are considered as Scholarly Ability)	National or international recognition of mastery through <b>formal</b> awards. <b>and/or</b> Achievement of advanced clinical or academic credentials
	Achievement of a Doctoral Degree	
SCHOLARLY ABILITY	Publications in peer-reviewed journals and major textbooks	Publications related to a clearly identifiable research focus in peer reviewed journals and major textbooks
	Grant proposals	Documented external funding for research activities or education
	Documented research	Research publications related to the applicant's research focus
EFFECTIVENESS IN TEACHING	Documented evidence of teaching effectiveness (e.g., letter from Program Chair, peer evaluations, student evaluations, observation reports, examples of innovative instructional materials)	Documented evidence of innovations in teaching or curriculum development
EFFECTIVENESS OF UNIVERSITY SERVICE	Documented evidence of contributions to Program, CHRP, and Center wide Committees or special projects	Documented evidence of leadership contributions to Program, CHRP, and Center wide Committees or special projects
	Documented evidence of community service related to the applicant's profession	Documented evidence of leadership activities in community service related to the applicant's profession
CONTINUING GROWTH	Evidence of continuing education and/or attendance at professional conferences	Continued evidence of participation at professional conferences and advanced educational programs
	Evidence of service in professional organizations	Evidence of service in key leadership roles in professional organizations

**TABLE 2**  
**Faculty on Tenure Lines**  
**GUIDELINES FOR TENURE AND PROMOTION PACKAGE (TO ASSOCIATE PROFESSOR)**

CATEGORY	SUBMIT TO CAPQ	HAVE AVAILABLE, IN ANTICIPATION OF REQUEST FOR REVIEW BY CAPQ
<b>INTRODUCTION</b>	Curriculum Vitae (prepared according to CAPQ guidelines)	
	Summary Statement	
<b>MASTERY OF SUBJECT MATTER</b> (Clinical Practice, Presentations, Non-peer reviewed publications)	Summary Statement	1 page abstract for each major presentation; copies of published work (e.g., book reviews, newsletter articles)
	Copy of diploma for highest academic degree	Copies of award certificates (names of awards are listed in the CV)
		Copies of documentation of advanced certification
<b>SCHOLARLY ABILITY</b> (Publications, Grant Proposals, Research)	Summary Statement	Copies of published journal articles
	Abstracts from published journal articles	Copies of published book chapters
	Summary sheet and notification letter for grant proposals	
<b>EFFECTIVENESS IN TEACHING</b>	Summary Statement	Course Syllabi
	Written review of teaching performance by Program Chair	Creative course resources
		Peer evaluation forms
		Actual course evaluations for all courses taught within last 3 years
<b>UNIVERSITY SERVICE:</b> (Program, CHRP, and Center wide Committees or Special projects; Community Service Related to the Applicant's Profession)	Summary Statement	Copies of Major Committee Reports
		Thank-you letters

Table 2 continued

CONTINUING GROWTH (Continuing Education, Conferences Attended, Service in Professional Organizations)	Summary Statement	List of Continuing Education Courses (date, title, location, sponsoring organization or major speaker)
		List of Conferences Attended (date, title, location, sponsoring organization)
		Letters/Certificates from Professional Organizations

Approved by the CHRP FPSA 2/02

**TABLE 3**  
**Faculty on Tenure Lines**  
**GUIDELINES FOR PROMOTION PACKAGE (ASSOCIATE PROFESSOR TO PROFESSOR)**

CATEGORY	SUBMIT TO CAPQ	HAVE AVAILABLE, IN ANTICIPATION OF REQUEST FOR REVIEW BY CAPQ
<b>INTRODUCTION</b>	Curriculum Vitae (prepared according to CAPQ guidelines)	
	Summary Statement	
<b>MASTERY OF SUBJECT MATTER</b> (Clinical Practice, Presentations, Book Reviews)	Summary Statement	1 page abstract for each major presentation
	Copies of significant national or international award certificates	
	Where applicable, copies of documentation of advanced certification	
<b>SCHOLARLY ABILITY</b> (Publications, Grant Proposals, Research)	Summary Statement (must describe the applicant's identified research focus)	Copies of published journal articles
	Abstracts from published journal articles	Copies of published book chapters or complete textbooks
	Documentation of external funding for research or education	
<b>EFFECTIVENESS IN TEACHING</b>	Summary Statement (must describe innovations in teaching or curriculum development)	Course Syllabi
		Creative course resources
		Letters from colleagues or students documenting benefits from teaching or curricula innovations
<b>UNIVERSITY SERVICE:</b> (Program, CHRP, and Center wide Committees or Special projects; Community Service Related to the Applicant's Profession)	Summary Statement (must describe leadership roles)	Copies of Major <b>Committee</b> Reports
		Thank you letters

Table 3 continued

<b>CONTINUING GROWTH</b> (Continuing Education, Conferences Attended, Service in Professional Organizations)	Summary Statement (must describe leadership roles)	List of Continuing Education Courses (date, title, location, sponsoring organization or major speaker)
		List of Conferences Attended (date, title, location, sponsoring organization)
		<b>Letters/Certificates from          Professional Organizations</b>

## FACULTY ON NON-TENURE LINES

There are no institutional requirements for administrative review of faculty on non-tenure lines. Some of these faculties, however, are eligible to apply to the CAPQ for consideration of promotion. The following tables are provided to guide this process.

**TABLE 4  
FACULTY ON NON-TENURE LINES  
CRITERIA FOR PROMOTION**

	<b>Promotion to Clinical Associate Professor</b>	<b>Promotion to Clinical Professor</b>
<b>MASTERY OF SUBJECT MATTER</b>	3 letters of recommendation about clinical expertise from supervisors or colleagues	Continued presentations at major professional conferences (some must be as an invited or keynote speaker).
	Presentations at professional meetings (invited and refereed; local and national)	National or international recognition of mastery through formal awards.
	Achievement of a Master's Degree	
<b>SCHOLARLY ABILITY</b>	Publications in professional forums	Publications related to a clearly identifiable clinical, educational, or research focus.
	Documented participation in group research or grant funded projects	Documented leadership roles in group research or grant funded projects
<b>EFFECTIVENESS IN TEACHING</b>	Documented evidence of teaching effectiveness (letter from Program Chair, peer evaluations, student evaluations, observation reports, examples of innovative instructional materials)	Documented evidence of innovations in teaching or curricula. External funding for educational programs
<b>EFFECTIVENESS OF UNIVERSITY SERVICE</b>	Documented evidence of contributions to Program, CHRP, and Center wide Committees or special projects	Documented evidence of leadership contributions to Program, CHRP, and Center wide Committees or special projects
	Documented evidence of community service related to the applicant's profession	Documented evidence of leadership activities in community service related to the applicant's profession
<b>CONTINUING GROWTH</b>	Evidence of continuing education and/or attendance at professional conferences	Continued evidence of participation at professional conferences and advanced educational programs
	Evidence of service in professional organizations	Evidence of service in key leadership roles in professional organizations

**TABLE 5**  
**Faculty on Non-Tenure Lines**  
**GUIDELINES FOR PROMOTION PACKAGE**  
**Faculty Seeking Promotion to Clinical Associate Professor**

CATEGORY	SUBMIT TO CAPQ	HAVE AVAILABLE, IN ANTICIPATION OF REQUEST FOR REVIEW BY CAPQ
<b>INTRODUCTION</b>	Curriculum Vitae (prepared according to CAPQ guidelines)	
	Summary Statement	
<b>MASTERY OF SUBJECT MATTER</b> (Clinical Practice, Presentations, Book Reviews)	Summary Statement	1 page abstract for each presentation at professional meetings, copies of published book reviews)
	Copy of diploma for highest academic degree	Copies of award certificates (names of awards are listed in the CV)
	3 letters of recommendation about clinical expertise from supervisors or colleagues	Copies of documentation of advanced certification
<b>SCHOLARLY ABILITY</b> (Publications, Participation in Group Research or Grant Funded Projects)	Summary Statement	Copies of publications
	Documented evidence of participation in group research or grant funded projects	
<b>EFFECTIVENESS IN TEACHING</b>	Summary Statement	Course Syllabi
	Written review of teaching performance by Program Chair	Creative course resources
		Peer evaluation forms
		Actual course evaluations for all courses taught within last 3 years
<b>UNIVERSITY SERVICE:</b> (Program, CHRP, and Center wide Committees or Special projects; Community Service Related to the Applicant's Profession)	Summary Statement	Copies of Major Committee Reports
		Thank-you letters

Table 5 continued



<b>CONTINUING GROWTH</b> (Continuing Education, Conferences Attended, Service in Professional Organizations)	Summary Statement	List of Continuing Education Courses (date, title, location, sponsoring organization or major speaker)
		List of Conferences Attended (date, title, location, sponsoring organization)
		<b>Letters/Certificates from          Professional Organizations</b>

Approved by the CHRP FPSA 2/02

**TABLE 6**  
**Faculty on Non-Tenure Lines**  
**GUIDELINES FOR PROMOTION PACKAGE**  
**(PROMOTION TO CLINICAL PROFESSOR)**

CATEGORY	SUBMIT TO CAPQ	HAVE AVAILABLE, IN ANTICIPATION OF REQUEST FOR REVIEW BY CAPQ
<b>INTRODUCTION</b>	Curriculum Vitae (prepared according to CAPQ guidelines)	
	Summary Statement	
<b>MASTERY OF SUBJECT MATTER</b> (Clinical Practice, Presentations, Book Reviews)	Summary Statement	1 page abstract for each major presentation
	Copies of significant national or international award certificates	Copies of documentation of advanced certification
	Where applicable, copies of documentation of advanced certification	
<b>SCHOLARLY ABILITY</b> (Publications, Grant Proposals, Research)	Summary Statement (must describe the applicant's identified clinical, educational, or research focus)	Copies of published journal articles
	Abstracts from published journal articles	Copies of published book chapters or complete textbooks
	Documented evidence of participation in group research or grant funded projects	
<b>EFFECTIVENESS IN TEACHING</b>	Summary Statement (must describe innovations in teaching or curricula)	Course Syllabi
	Documentation of external funding for an educational program	Creative course resources
		Letters from colleagues or students documenting benefits from teaching or curricula innovations
<b>UNIVERSITY SERVICE:</b> (Program, CHRP, and Center wide Committees or Special projects; Community Service Related to the Applicant's Profession)	Summary Statement (must describe leadership roles)	Copies of Major Committee Reports

Table 6 continued

		Thank-you letters
<b>CONTINUING GROWTH</b> (Continuing Education, Conferences Attended, <b>Service</b> in Professional Organizations)	Summary Statement (must describe leadership roles)	List of Continuing Education Courses (date, title, location, sponsoring organization or major speaker)
		List of Conferences Attended (date, title, location, sponsoring organization)
		Letters/Certificates from Professional Organizations

## APPENDICES

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## APPENDIX A

### STATE UNIVERSITY OF NEW YORK POLICIES OF THE BOARD OF TRUSTEES, 1998

#### Article XII: Evaluation and Promotion of Academic Employees.

##### Title A. Evaluation of Academic Employees.

1. *Policy.* It is the policy of the university to evaluate academic employees.
2. *Purpose.* The purpose of evaluation pursuant to this Title shall be the appraisal of the extent to which each academic employee has met his or her professional obligation. Written communication of such appraisal shall be sent to the academic employee concerned. The evaluations conducted pursuant to this Title may be considered by the chief administrative officer of a college and the college administrative officers in making decisions or recommendations with respect to continuing appointment, renewal of term appointment, promotion, discretionary adjustments to basic annual salary, and for any other purpose where an academic employee's performance may be a relevant consideration. Nothing contained herein shall prevent the chief administrative officer from taking such action as the chief administrative officer may deem appropriate to the operating requirements of the college.
3. *Applicability.* Pursuant to this Title, academic employees may be evaluated; such evaluation, if any, is to be made by the chief administrative officer, or designee.
4. *Criteria.* In conducting evaluations pursuant to this Title, the chief administrative officer of the college concerned, or designee, may consider, but shall not be limited to consideration of, the following:
  - (a) Mastery of subject matter - as demonstrated by such things as advanced degrees, licenses, honors, awards, and reputation in the subject matter field.
  - (b) Effectiveness in teaching - as demonstrated by such things as judgment of colleagues, development of teaching materials or new courses, and student reaction, as determined from surveys, interviews, and classroom observation.
  - (c) Scholarly ability - as demonstrated by such things as success in developing and carrying out significant research work in the subject matter field, contribution to the arts, publications, and reputation among colleagues.
  - (d) Effectiveness of university service - as demonstrated by such things as college and university public service, committee work, administrative work, and work with students or community in addition to formal teacher-student relationships.
  - (e) Continuing growth - as demonstrated by such things as reading, research, or other activities to keep abreast of current developments in the academic employees' fields, and being able to handle successfully increased responsibility.

## **Title B. Promotion of Academic Employees.**

**1. Procedure.** The chief administrative officer of a college, after giving consideration to recommendations of academic employees, including the committees, if any, of the appropriate department or professional area, and other appropriate sources in connection with promotion of a specific academic employee, may promote, or recommend to the chancellor for promotion, such persons as are, in the chief administrative officer's judgment, best qualified. Nothing contained herein shall prevent the chief administrative officer of a college from taking such promotion action as the chief administrative office may deem appropriate to the operating requirements of the college.

**2. Criteria.** Recommendations of academic employees, or their appropriate committees or other appropriate sources may consider, but shall not be limited to consideration of, the following:

(a) Mastery of subject matter - as demonstrated by such things as advanced degrees, licenses, honors, awards, and reputation in the subject matter field.

(b) Effectiveness in teaching - as demonstrated by such things as judgment of colleagues, development of teaching materials or new courses and student reaction, as determined from surveys, interviews, and classroom observation.

(c) Scholarly ability - as demonstrated by such things as success in developing and carrying out significant research work in the subject matter field, contribution to the arts, publications, and reputation among colleagues.

(d) Effectiveness of University service - as demonstrated by such things as college and university public service, committee work, administrative work, and work with students or community in addition to formal teacher-student relationships.

(e) Continuing growth - as demonstrated by such things as reading, research, or other activities to keep abreast of current developments in the academic employees' fields, and being able to handle successfully increased responsibility.

**3. Length of service.** Completion of a minimum period of service with the university may be a consideration but shall not be a qualification for promotion.

**APPENDIX B**

5 year Letter **from**  
SUNY Downstate Administration to  
CHRP Faculty on Tenure Lines

Date:

Dear \_\_\_\_\_

This is to inform you, on behalf of the President, that as your appointment has been in a tenure track since September 1, 1998, it must be on a continuing (tenured) basis as of September 1, 2005. This is delineated in Article XI, Title B, sub-section 3(a) of the Policies of the Board of Trustees of the State University of New York. The Chairman of your department has also been notified.

A lead time of approximately 18 months to 2 years is needed to fully review your qualifications. I would suggest that you discuss this with your Chair as soon as possible.

You will be required to submit the following to your College's Committee on Academic and Professional Qualifications.

1. Your curriculum vitae in the proper format (described in your College's Tenure & Promotion Guidelines)
2. All documents required by your College's Committee on Academic Qualifications.

Please feel free to contact this office, extension 3042, should you have any questions.

Sincerely,

Assistant to the Vice President

## APPENDIX C

### SAMPLE CURRICULUM VITAE

#### CURRICULUM VITAE

Name and Credential(s)

E-mail address

Office phone; office fax

#### EDUCATION

(Order: most recent first)

#### LICENSURE/CREDENTIALS

(Explain any credentials after your name above)

#### EMPLOYMENT

**Teaching responsibilities:**

**Fall Semester:**

**Spring Semester:**

**Summer Semester**

**Faculty Mentor for Student Research Projects**

(State years; # of projects per year, summary statement of project topics)

List all other positions: most recent first

(Title of position; Name and location of facility; brief summary of responsibilities)

#### PUBLICATIONS

**Thesis/Dissertation**

**Peer-Reviewed Journals**

(Order: most recent first; type your name in bold font)

**Book Author or Editor, Journal Editor** (whichever is applicable)

(For Journal Editor, state name of journal and issue; briefly describe topic of the issue)

**Book Chapters**

**Published Abstracts and Proceedings**



**CURRENT RESEARCH**

("Name of study"; researchers - with your name in bold)

**FUNDED PROJECTS**

(Name of project; type of project -e.g., research, training grant; **funding** agency; amount of funding; dates of funding.)

**GRANT APPLICATIONS APPROVED BUT NOT FUNDED** (if applicable)

**PROFESSIONAL PRESENTATIONS**

(Order: most recent first; for each presentation, include title, names of other presenters, type/length of presentation; sponsoring agency; location; date(s).

**UNIVERSITY SERVICE**

**Center-Wide University Service**

(Position, Committee Title; Dates)

**Service to the College of Health Related Professions**

**Service to the .....Program** (state title of the applicant's program within CHRP)

**PROFESSIONAL ACTIVITIES**

**National Activities**

**Regional Activities**

**Community Service**

**Awards**

At bottom left or right hand comer of late page: date (month and year) of last update: e.g. - 12/02

# **Appendix C**

## **By-Laws of the Faculty and Professional Staff Assembly of the College of Medicine**

**By-Laws  
CAPQ Guidelines**

STATE UNIVERSITY OF NEW YORK  
DOWNSTATE MEDICAL CENTER

**By-Laws of the  
Faculty and Professional Staff Assembly of the College of Medicine**

PREAMBLE

In keeping with the policies of the Board of Trustees of the State University of New York, and in compliance with the directive set forth in the Faculty By-Laws of the Downstate Medical Center, the members of the Faculty and Professional Staff Assembly of the College of Medicine (FPACM) do hereby enact these By-Laws for the purpose of establishing the organization of the Faculty and Professional Staff of the College of Medicine, and designating the policies and procedures necessary for the definition and execution of its duties and responsibilities.

ARTICLE I

DEFINITION OF TERMS

- Item 1. "University": State University of New York.
- Item 2. "Board of Trustees": Board of Trustees of the State University of New York.
- Item 3. "Chancellor": The Chief Administrative Office of the State University of New York.
- Item 4. "Medical Center": Downstate Medical Center of the State University of New York, abbreviated as SUNY-DMC.
- Item 5. "President": The Chief Administrative Officer of the Downstate Medical Center.
- Item 6. "College": The College of Medicine of the SUNY-DMC.
- Item 7. "Dean": The Dean of the College of Medicine of the SUNY-DMC.
- Item 8. "Faculty": The Faculty of the College of Medicine of the SUNY-DMC, consisting of the Chancellor of the University, President of the Medical Center, the Dean of the College of Medicine, other administrative personnel who also hold academic appointments in the College, and all members of the academic staff of the College.
- Item 9. "Academic Staff": Those persons having full academic rank, or qualified academic rank in the College as defined in Article II, Policies of the Board of Trustees.

Item 10. "Professional Staff": All persons in the departments of instruction in the College occupying positions designated by the President and confirmed by the Committee on Faculty and Professional Staff Personnel Policies or as defined in the contract negotiated under the Taylor Law, as directly supporting the educational and research goals of the College.

Item 11. "Consult with Faculty and Professional Staff": Consultation shall take the form of discussion and advice prior to the taking of official action.

Item 12. "Department": An administrative unit responsible for the imparting of a body of knowledge as recognized in the courses of instruction required in the first three years of medical school.

## ARTICLE II

### AUTHORITY AND RESPONSIBILITIES OF THE FPACM

The FPACM is authorized to develop and implement programs and policies in accordance with the standards for Articles of Governance of the University Faculty Senate of State University of New York as promulgated by the Policies of the Board of Trustees. The responsibilities of the FPACM include the following:

- Item 1. The development and conduct of educational, research and service programs of the College.
- Item 2. The establishment and continuous review of academic standards.
- Item 3. Formulation of Faculty and Professional Staff personnel policies relative to appointments, promotions, and selection of administrative officers, department chairmen and division chairpersons.
- Item 4. Participation in the formulation and implementation of budgetary policies of the College.
- Item 5. Encouragement of student participation in the development of educational programs of the College.
- Item 6. Participation with the administration in the periodic assessment of Faculty Professional Staff and Administrative activities in the areas of FPACM responsibility.

ARTICLE III  
ORGANIZATION OF THE FPACM

SECTION A. FACULTY AND PROFESSIONAL STAFF ASSEMBLY OF THE COLLEGE OF  
MEDICINE:

The organization shall be known as the Faculty and Professional Staff Assembly of the College of Medicine, abbreviated FPACM.

Item 1. Membership. Membership in the FPACM shall consist of the Faculty, the Academic and the Professional Staff of the College as defined in Article I, Items 8, 9, and 10.

Item 2. Voting Membership, The voting members of the FPACM shall be as follows:

- a) The Chancellor of the University and
- b) The President of the SUNY-DMC; and
- c) The Dean of the College of Medicine; and
- d) Those members of the Faculty of the College of Medicine with professional rank or with the rank of instructor.
- e) Members of the Professional Staff as defined in Article I, Item 10 who have completed at least one year of professional service.

SECTION B. OFFICERS OF THE FPACM:

Item 1. The officers of the FPACM shall consist of a Presiding Officer, a Presiding Officer Elect and a Secretary. The Secretary shall be elected annually and shall serve for one year. The Presiding Officer Elect shall be elected every two years and shall assume the office of Presiding Officer automatically at the expiration of the Presiding Officer's term or whenever that office becomes vacated. The Presiding Officer shall serve for two years. The Presiding Officer and Presiding Officer Elect shall not be eligible to serve again in the same office until two years have elapsed. In the event an elected officer fails to meet his or her responsibilities as stated in these By-Laws as determined by a two-thirds majority vote of the Executive Committee, the officer shall be

removed by a two-thirds majority of the votes received by a mail ballot of the members of the FPACM.

*If the Presiding Officer Elect [or Secretary] fails to complete a term, a new Presiding Officer Elect or Secretary shall be elected at next election date by the method described in these By-Laws (Article VI). The Presiding Officer, with the consent of a majority of the Executive Committee, will appoint an interim Presiding Officer Elect or Secretary.*

**Item 2.** *The duties of the officers shall be as follows:*

*a) The Presiding Officer shall preside at the meetings of the FPACM and the Executive Committee, and shall be an ex-officio member of all FPACM and Executive Sub-Committees, and perform such duties as are appropriate to the office. The Presiding Officer shall appoint a Parliamentarian each year whom shall also serve as Parliamentarian of the Executive Committee. The Presiding Officer shall be a member of the College of Medicine Dean's Council of Chairs.*

*b) The Presiding Officer Elect shall assist the Presiding Officer in performing his or her duties and shall preside in the event of his or her absence.*

*c) The Secretary of the FPACM shall notify membership of all meetings, keep minutes and records of the FPACM, and distribute the minutes of meetings of the Executive Committee to each member within two weeks after each meeting. The Secretary shall prepare minutes of meetings of the FPACM within one month. The will deposit in the SUNY-DMC Archives a permanent file of the minutes, an up-to-date copy of these By-Laws, and a roster of the FPACM voting membership for the use and inspection by members of the FPACM.*

#### **SECTION C. MEETINGS OF THE FPACM**

**Item 1.** *Regular Meetings, Two regular meetings of the FPACM shall be held in each academic year during the months of November and April. Members of the academic community of SUNY-DMC and students of the College of Medicine are invited to attend any of the meetings of the FPACM and express their opinions on any matters under discussion.*

Item 2. Special Meetings. Special meetings may be called the Chancellor, the President, the Dean, the Presiding Officer of the FPACM, or at the written request of 10 or more members of the Executive Committee. Furthermore, special meetings must be called by the Presiding Officer upon written application of 25 members of the voting Faculty or Professional Staff. This shall be done within 10 days of receipt of such application. The business of such meetings shall be indicated on the advance notice of the meeting distributed to the Faculty and Professional Staff, and any actions taken shall be limited to those matters set forth in the application.

Item 3. Quorum. A Quorum at any meeting of the FPACM shall consist of a minimum number of 40 voting members.

Item 4. Notice of Meetings. Except in the case of special meetings, the Secretary of the FPACM shall notify voting members by mail and by public announcement at least one week in advance of a meeting.

Item 5. Order of Business. The order of business at the FPACM meetings, except for special meetings, shall be:

- a) Reading and approval of minutes of previous meetings.
- b) Report of the Chancellor.
- c) Report of the President.
- d) Report of the Dean.
- e) Report of the Presiding Officer.
- f) Report of elections, when applicable.
- g) Reports of Committees.
- h) Report of the Secretary.
- i) Old Business.
- j) New Business. Items of new business may be presented at any meeting of the FPACM.

Unlimited discussion is allowed but discussion may be terminated by a majority vote of those present and voting. Any resolution may be voted upon without delay by voice vote and considered passed if approved by a simple majority of assembly members present and voting.



When a resolution is passed by fewer than 25 votes, it shall become valid unless either of the following circumstances occur:

- 1) The Executive Committee, at its next meeting, sends the resolution to all members of the FPACM for a mail ballot, or
- 2) A petition of 25 members of the FPACM is submitted to the Executive Committee within 45 days of the Faculty Assembly. Such a petition requires that the resolution be sent to all members of the FPACM for a mail ballot.

Item 6. Unless otherwise provided in these By-Laws, the latest edition of Robert's Rules of Order shall govern the conduct of business of the FPACM.

ARTICLE IV  
EXECUTIVE COMMITTEE OF THE FPACM

Membership:

The Executive Committee shall consist of sixteen elected members in addition to the elected officers of the Faculty and Professional Staff, with the following provisions: 1) At least one member of the Professional Staff shall be elected to the Committee. 2) One faculty member from an affiliated hospital shall be elected. 3) At least six but not more than eight members shall be elected from either basic science or clinical departments. No department shall be represented by more than two members. The Presiding Officer, Presiding Officer Elect, and Secretary of the FPACM shall be elected as specified in Article IV. Following completion of his or her term of office, the Presiding Officer shall remain as a voting member of the Executive Committee for two years as Past Presiding Officer.

Officers of the Executive Committee;

a) Chairperson. The Presiding Office of the FPACM shall be the Chairperson. In his or her absence, the Presiding Officer Elect shall preside. In the event both Presiding Officer and Presiding Officer Elect are absent, the Secretary shall preside at meetings and shall designate a committee member to act as Secretary.

b) Vice-Chairperson. The Presiding Officer Elect of the FPACM shall be the Vice-Chairperson.

c) Secretary. The Secretary of the FPACM shall serve as Secretary to the Executive Committee.

d) Parliamentarian. The Parliamentarian of the FPACM shall serve as Parliamentarian of the Executive Committee.

Meetings:

a) The meetings of the Executive Committee shall be open to all voting members of the FPACM. A closed session may be called by a vote of two-thirds of the members of the Executive Committee present and voting.

- b) The first regular meeting of the Executive Committee shall take place in September.  
Thereafter, the Executive Committee shall meet regularly each month with a meeting to precede each meeting of the FPACM.
- c) Special meetings may be called at any time by the Presiding Officer or at the written request of three members of the Executive Committee.
- d) The Secretary of the Executive Committee shall be responsible for the preparation and distribution of the minutes of the meetings of the Executive Committee. Distribution shall be to the members of the Executive Committee. Copies shall be sent to the SUNY-DMC Archives and made available to any voting member of the SUNY-DMC Faculty or Professional Staff upon request.
- e) The minutes shall include the time and place of the next scheduled meeting.

Functions:

- a) The Executive Committee shall consider all matters referred to it by its Presiding Officer, by the FPACM, by academic community and by the Administration of the College.
- b) The Executive Committee shall review the status of Faculty and Professional Staff participation in Department and College-wide functions. The Executive Committee shall determine whether such participation is consistent with the Policies of the Board of Trustees of the State University of New York, with the By-Laws of the Medical Center, and with the By-Laws of the College. Recommendations for revisions of Faculty and Professional Staff participation shall be made when necessary.
- c) The Executive Committee shall be responsible for the preparation of an agenda for each FPACM meeting. The Secretary of the [Executive Committee shall be responsible for distribution by mail of the agenda and the announcement of all FPACM meetings at least one week in advance.
- d) The Executive Committee shall discuss and deliberate upon those reports and resolutions that are submitted to it as described in Article V, Function o), or by its sub-committees. It shall study such reports and resolutions, particularly from the standpoint of their impact on the total

operations of the College. The Executive Committee, through the Presiding Officer, shall present its recommendations to the dean and at a meeting of the FPACM present its recommendations for discussion and action. A minority shall be entitled to submit a report at the time of the sub-committee reports.

- e) The Executive Committee shall ensure that resolutions affecting Center-wide activities are communicated to the FPACM for its consideration and action before referral to the President or Dean.
- f) The Executive Committee shall have authority to recommend the formation of ad-hoc committees of the FPACM, and have authority to establish sub-committees of the Executive Committee for business which in its judgement is not the responsibility of a regular standing sub-committee.
- g) The Executive Committee shall be authorized to confer, have knowledge of and review with the Dean and the President matters concerning the Medical School budget and shall make recommendations to them regarding salaries, equipment and related items. The Executive Committee is to represent the FPACM in all matters relating to budget. It shall report annually to the FPACM concerning the above considerations.
- h) The Executive Committee shall be authorized to initiate recommendations and resolutions to the Dean and the President in the interest of the College Faculty and Professional Staff.
- i) The Executive Committee shall be responsible for keeping a permanent file of reports and the texts of adopted resolutions of all other Faculty Assemblies of the Medical Center.
- j) They shall select from their own membership eight individuals, one of whom shall be from the Professional Staff and one Faculty member from an affiliated hospital in addition to their officers to serve as College of Medicine representatives on the Center-Wide CFPS.

Standing Sub-committees of the Executive Committee:

The Executive Committee shall have the following standing sub-committees:

- A) Faculty and Professional Staff Personnel Policies, Promotions and Appointments.
- B) Research, Resources, and Budget

- C) By-Laws
- D) Student Admissions, Academic Standards, Student Activities, and Faculty-Student Relations.
- E) Committee on Educational Policy and Curriculum (CEPC)
- F) Committee on Academic and Professional Qualifications (CAPQ)
- G) Committee on Nominations, Elections, and Ballots

Members of standing sub-committees of the Executive Committee shall be selected by such methods as it deems appropriate within the guidelines specified under "membership" of each standing subcommittee or by other sections relating to membership. Chairpersons of standing subcommittees shall be selected as specified in Article V, Function j).

Item A            FACULTY AND PROFESSIONAL STAFF PERSONNEL POLICIES, PROMOTIONS  
AND APPOINTMENTS SUB-COMMITTEE

Membership:

This Sub-committee shall consist of seven members including at least one member of the Professional Staff and one faculty member from an affiliated hospital.

Functions:

- a) The Sub-Committee shall review periodically all personnel policies pertaining to the College Faculty and Professional Staff including the review of the performance of departmental chairpersons to ensure consistency with the Policies of the Board of Trustees of the State University of New York.
- b) The Sub-committee shall develop, recommend, and assist in implementing policies dealing with promotions, appointments, work-loads, faculty-administration relations, and associated matters in the College and make its recommendations to the Executive Committee.
- c) The Sub-committee shall develop criteria for designation of the Professional Staff not covered in the contract negotiated under the Taylor Law.

## RESEARCH, RESOURCES, AND BUDGET SUB-COMMITTEE

### Membership:

The Research, Resources and Budget Sub-committee shall consist of five members at least one of whom shall be from the Professional Staff.

### Functions:

- a) The Sub-Committee shall initiate, plan and develop ways and means of securing and maintaining support for research activities of the Faculty of the Medical School from within the State University system and from external sources and make recommendations to the Executive Committee.
- b) The Sub-Committee shall review periodically the established procedures for development, support and approval of research activities of the Faculty of the College and recommendations to the Executive Committee.
- c) The Sub-Committee shall review periodically the role of the research activities in the context of the entire educational effort of the College and make recommendations to the Executive Committee.
- d) The Sub-Committee shall review periodically the utilization of the physical facilities of the College of Medicine.
- e) The Sub-Committee shall review overall fiscal direction of established proposed educational and related programs of the Medical School and make recommendations to the Executive Committee.
- f) The Sub-committee shall initiate, develop and plan criteria and machinery that will ensure faculty participation in the preparation of the Medical School Budget and the Departmental Budgets and make recommendations to the Executive Committee.
- g) The Sub-Committee shall periodically review established procedures relating to planning and budget and make recommendations to the Executive Committee.

- h) The Sub-Committee shall consider and act upon new proposals relating to its functions that originate from members of the Medical School.



Item C            BY-LAWS SUB-COMMITTEE

Membership:

The By-Laws Sub-committee shall consist of five members including at least one member of the Professional Staff.

Functions:

- a) The Sub-committee shall review periodically the By-Laws of the Faculty and Professional Staff of the College to determine whether such By-Laws are consistent with the Policies of the Board of Trustees of the State University of New York and the By-Laws of the Faculty and Professional Staff of the SUNY-DMC, and make recommendations to the Executive Committee.
- b) The Sub-committee shall initiate and develop necessary amendments or revisions to the By-Laws of the College consistent with the Policies of the Board of Trustees of the State University of New York and the By-Laws of the Faculty and Professional Staff of the SUNY-DMC, and make recommendations to the Executive Committee.

Item D                   STUDENT ADMISSIONS, ACADEMIC STANDARDS, STUDENT ACTIVITIES  
AND FACULTY-STUDENT RELATIONS SUB-COMMITTEE

Membership:

The Sub-committee shall consist of five faculty members including one faculty member from an affiliated hospital. In addition, there should be three voting student members from the College of Medicine and one voting member from the House Staff.

Functions:

- a) The Sub-Committee shall study continually the admissions policy and academic standards of the College and, where deemed advisable, make recommendations dealing with matters in this area to the Executive Committee.
- b) The Sub-]Committee shall initiate and review policies pertaining to evaluation of academic performance of students, examination procedures, awarding of honors and granting of diplomas, and shall make appropriate recommendations to the Executive Committee.
- c) The Sub-committee shall initiate and review, in cooperation with the student and house staff organizations, faculty participation in student activities and make appropriate recommendations to the Executive Committee.
- d) The Sub-committee shall review periodically the status of Faculty-Student relations, and initiate recommendations to the Executive Committee in this area.
- e) The Sub-Committee shall act with the Student Admissions, Academic Standards, Student Activities and Faculty-Student Relations Committee of the School of Graduate Studies to review and propose changes in admissions policy and academic standards as these pertain specifically to students enrolled in combined Ph.D.-M.D. programs.

[SUB]-COMMITTEE ON EDUCATIONAL POLICY AND CURRICULUM [CEPC]

Membership:

The Committee on Educational Policy and Curriculum shall consist of seven members, in addition to the chairperson. At least one member shall be a faculty member from an affiliated hospital. Three members shall be from basic science departments, three from clinical departments with no more than one member from a department. In addition, there shall be one voting student member from each class of the College of Medicine and one voting member from the house staff

Functions:

- a) The Sub-committee on Educational Policy and Curriculum shall study continually the educational policy of the College, and make recommendations dealing with matters in this area .
- b) The Sub-Committee shall advise the Dean regarding the development of the curriculum, review changes therein and report these recommendations to the Executive Committee and the FPACM.

Item F                    SUB-COMMITTEE ON ACADEMIC AND PROFESSIONAL QUALIFICATIONS  
[CAPQ]

Membership:

The Sub-Committee on Academic and Professional Qualifications (abbreviated: CAPQ) shall consist of eleven tenured faculty, at least one of whom shall be on the staff of an affiliated hospital. The members of the committee shall be elected in the spring of each year by the FPACM from a slate of candidates presented to FPACM jointly by the Dean and the Committee on Nominations, Elections and Ballots and may be supplemented by nominations from the floor. No more than two Departmental Chairpersons may be elected to membership of the Committee. However, should a member of the committee be promoted to chair, he/she may remain on the committee to serve out his/her term of office. Within one month of the presentation of nominees, a mail ballot shall be distributed by the Sub-committee on Nominations, Elections and Ballots, as outlined in Article IV, Section D, Function d). Members shall serve for three years. Should any member be unable to complete his or her term of office, the Presiding Officer with the consent of the Executive Committee shall appoint a temporary replacement until the next election.

Functions:

- a) The CAPQ shall review the credentials of individuals presented for appointment and/or promotion to the rank of Associate Professor or Professor and for all individuals presented for continuing appointment (tenure), and make recommendations to the Dean for action.
1. A recommendation for promotion or tenure may originate from the Departmental Chairperson, or
  2. A recommendation for promotion or tenure may originate from a Departmental Promotions and Tenure Committee.

This committee shall consist of five tenured faculty in departments of 20 or more full time faculty and three tenured faculty in small departments. Committees in departments with fewer than the specified number of tenured faculty shall consist of three tenured or non-tenured faculty. All members of departmental committees shall be elected by the departmental faculty for a term of three years. Departmental

chairpersons and members of the CAPQ may not serve on these committees. Each affiliated hospital shall have a Promotions Committee elected from the voting faculty which will report its recommendations directly to the College of Medicine CAPQ. Membership of the Promotions Committee at the affiliated hospitals shall include three voting faculty members of each HSCB-affiliated department or division (depending on how the clinical services are organized at the individual hospitals). Each member shall serve for a term of three years and the elections shall be such that one member is replaced each year. When considering a candidate for recommendation for promotion or tenure a sub-committee of five members shall be formed from this committee- the three from the candidate's own department or division (depending on how the clinical services are organized at the individual hospitals). Each member shall serve for a term on three years and the elections shall be such that one member is replaced each year. When considering a candidate for recommendation for promotion or tenure a sub-committee of five members shall be formed from this committee- the three from the candidate's own department or division and two others from different department or divisions. The recommendation of this sub-committee shall then be reported back to the full committee for its further action. Members of the Promotions Committees at the affiliated hospitals must be voting faculty. Responsibility for nominations and elections to the Promotions Committees at affiliated hospitals shall be placed in the hands of the Medical Boards of the hospitals. Members of the committee may not be appointed. A faculty member may request a Promotions and Tenure Committee review of her/his academic and professional qualifications and credentials for tenure or promotion at any time. The Promotions and Tenure Committee shall review the credentials of each faculty member whose continued employment in the College is dependent upon the granting of tenure and present its findings to the CAPQ whether or not they intend to recommend the individual for tenure. The CAPQ shall take appropriate action and forward its recommendations to the Dean.

- b) The Sub-committee shall establish procedures for its operations and submit such procedures to the Executive Committee for its approval.
- c) The Sub-committee shall develop criteria of qualifications for each rank and for attainment of tenure in consultation with the Dean and submit such criteria to the Executive Committee for its approval.

- d) Procedures of operations and qualifications for each rank and attainment for tenure shall be attached to the minutes and be made available in the SUNY-DMC Archives following approval of the Executive Committee.

#### Appeals of Decisions of the CAPQ

1. If the CAPQ turns down an application for promotion or tenure that has been proposed by the Department Chairperson and/or the Departmental Promotions and Tenure Committee (Alternate Route Committee), then either of these parties may initiate an appeal to the Appeals Board.
2. The Appeals Board shall consist of three voting members. One voting member shall be the Presiding Officer of the Faculty and Professional Staff Assembly; the Presiding Officer Elect shall serve as his or alternate. The Executive Committee shall select four full professors, two from Basic Sciences Departments and two from Clinical Departments; one from each discipline shall serve as a full member of the Appeals Board and the other shall be the alternate. Members and alternates will serve a one year term, but are eligible for reappointment by the Executive Committee.
3. The Appeals Board will review the submitted appeals, and each member will make an individual recommendation to the Dean, who will then make the final judgment.

Item G SUB-COMMITTEE ON NOMINATIONS, ELECTIONS AND BALLOTS

Membership:

The Sub-Committee on Nominations, Elections and Ballots shall consist of seven members including one member of the Professional Staff and one faculty member from an affiliated hospital, to be appointed by the Executive Committee annually in the fall and shall serve for one year.

Functions:

- a) It shall be the responsibility of the Sub-Committee to maintain and develop a current and continuing roster of voting members.
- b) The Sub-Committee shall recommend two or more candidates for the office of Presiding Officer Elect and Secretary. In the event that an incumbent is nominated for reelection, it shall not be necessary for the Committee to nominate a second candidate. In the event that the preceding Presiding Officer Elect is unable to take office as Presiding Officer, the Committee shall also recommend two or more candidates for the office of Presiding Officer.
- c) The Sub-Committee will present the final slate for review by the Executive Committee and the Dean two weeks prior to the April meeting of the FPACM. Nominations of candidates other than those recommended by the Committee may be made from the floor of the FPACM at the time the Sub-Committee presents its recommendations.
- d) At the April meeting of the FPACM, the Sub-committee shall present its list of nominees for all pending vacancies. Within one month subsequent to the April meeting of the FPACM, the Committee shall transmit through whatever means available, including electronic, to each voting member of the FPACM, a ballot listing all the nominees (including those nominated from the floor) for the various pending vacancies. From the date of transmittal, two weeks shall be allowed for the return of the ballots to the Sub-committee. Immediately, at the expiration of this period, the Sub-committee shall tabulate the votes and report the results to the President, the Deans of the Colleges of the Medical Center, the Secretary of the FPACM, and the Presiding Officer of the FPACM and to the College. The names of newly elected officers shall be announced in May.

e) Additional responsibilities of the Sub-committee on Nominations, Elections and Ballots shall include the following:

1. Supervise any special election.
2. Ensure that specified representation on the various committees is followed.
3. Maintain an up-to-date listing of membership of all FPACM and Executive Committee and make this available in the SUNY-DMC Archives for inspection and use by the Faculty and Professional Staff.
4. Supervise the counting of all mail ballots for elective offices.
5. Supervise the counting of all mail ballots on resolutions and amendments.



ARTICLE V  
GENERAL RULES FOR ALL COMMITTEES

The following General Rules shall apply to all Sub-committees of the FPACM and the Executive Committee.

The President, the Dean and the Presiding Officer of the FPACM or their designated representatives shall be ex-officio members without vote on all committees, unless specifically prohibited in these By-Laws.

- b) All voting members of the FPACM shall be eligible for membership on these committees unless otherwise stated in these By-Laws.
- c) No single department of instruction, discipline or subject in the College shall have more than two representatives on any one committee/sub-committee. Officers, professional staff and affiliated hospital members shall not be considered representatives of specific departments for this purpose. Unless otherwise specified in these By-Laws, at the first selection, half of the representatives on a committee shall be selected for one year and the remaining representatives shall be selected to serve for two years. In subsequent selections, to fill various vacancies resulting from expired terms, the selected persons shall serve two years.

The names of members and officers of all committees shall be announced before the end of the academic year, and they shall serve for the ensuing year(s) beginning the following September 1.

- f) A committee member is eligible for re-election, unless otherwise stated in these By-Laws.
- g) If a member of a committee cannot serve the full term, the Chairperson of the Committee shall appoint a pro-tem member to serve on the Committee for the remainder of the un-expired term except for the CAPQ.
- h) Each member of a committee shall be entitled to one vote at meetings of that committee.
- i) A quorum shall consist of a majority of faculty and professional staff members of the committee except in the case of the CAPQ.

- j) The Presiding Officer of FPACM shall annually appoint a chairperson for each of its standing sub-committees with the consent of a majority of the voting members of the Executive committee who are present. This appointment will be presented to the Executive Committee who may choose to either accept the nominee of the Presiding Officer or may nominate additional candidates for sub-committee chairperson.
- k) Each committee shall hold its initial meeting as soon as practicable after the beginning of the academic year in the month of September. The Chairperson of the standing sub-committees during the preceding year, whether or not he or she remains as a member of the committee, shall be responsible for calling this initial meeting.
- l) All committees shall be responsive to inquiries, recommendations or communications from the College community.
- m) The chairpersons of standing sub-committees shall appoint members to assist the Sub-committee in carrying out its responsibilities with the advice and consent of the Presiding Officer. Membership in such sub-committees may be from among the voting and non-voting members of the Faculty, Professional Staff, Student Body and House Staff of the College. When areas of specific interest to individual department, divisions, disciplines or subjects within the College are involved, the sub-committee shall have, when possible, at least one representative from the group concerned.
- n) A minority shall be entitled to submit a report at the time that a committee makes its report.
- o) Sub-committees will report items for action and minutes of the meeting to the Secretary of the Executive Committee within 3 weeks of the meeting.
- p) Chairs of Sub-committees or their representatives should be present at all meetings of the Assembly and the Executive Committee. If not a member of the Executive Committee they may have voice but not vote.
- q) All Sub-committees shall meet at least quarterly.
- r) Members of Sub-committees unable to regularly attend meetings are subject to replacement for the current term by the Presiding Officer, with the majority approval vote of the Executive Committee.

- s) Sub-committee Chairs shall be subject to replacement by a two-thirds vote of the Executive Committee on the recommendation of the Presiding Officer for cause. (Unless otherwise stated in the By-Laws). In the case of the CAPQ it shall be with the approval of the Dean.

## ARTICLE VI

### ELECTIONS

Any voting member of the FPACM shall be eligible to hold office as Presiding Officer, Presiding Officer Elect, or Secretary, and to cast a ballot in such elections. The ballot for the above-named officers of the FPACM shall be mailed [transmitted], deposited and counted as described in Article IV, Section D, Function d).

Requirements for Election:

1. In all elections a majority of the votes cast shall be sufficient for election.
2. If there is a possibility that no candidate will receive a majority of the votes, the preference of the majority shall be determined by a system of preferential balloting.
3. In elections where there is a group of candidates for more than one vacancy on a committee, the candidates with the most votes shall be elected even if a majority is not attained.

## ARTICLE VII

### AMENDMENTS TO THE BY-LAWS

#### Presentation of Amendments:

Proposals to amend these By-Laws must be made on the written petition of 25 voting members of the FPACM to the Presiding Officer of the FPACM, or by a two-thirds vote of the Executive Committee at least two weeks before discussion at a FPACM meeting.

#### Method of Voting on Amendments:

a) Within two weeks of termination of discussion on a proposed amendment, a secret ballot (accompanied by the text of the final proposed amendment and, when appropriate, the text of the existing by-laws it seeks to supersede) shall be transmitted by the Secretary of the FPACM to voting members. The ballots shall be counted by the Sub-committee on Nominations, Elections and Ballots and the result of the vote shall be communicated to the membership. The results of the vote and the count shall be made available within two weeks of the mailing of the ballot. The text of passed amendments shall be transmitted to the Board of Trustees, Chancellor, and Provost of the State University of New York, the University Senate, the President of the Center, the Dean, and Associate Deans of the College.

b) These By-Laws may be amended by a two-thirds majority of the votes cast in favor of the amendment.

c) An amendment to these By-Laws shall go into effect immediately upon its adoption unless the motion to adopt specifies a time for its going into effect or the FPACM has previously adopted a motion to that effect.

Revised, 2003

Jack E. Termine, Chair, By-Laws Sub-committee

## CAPQ Guidelines

### RESEARCH SCHOLARSHIP

Level:

1. Participates in investigation research leading to publications in peer-reviewed journals.
2. Conducts focused investigation research program with steady or improving rate of publication in referred journals; evidence of independence.
3. Supervises independent, productive investigative research programs; addresses major and significant problems; solid record of original and important publications in peer-reviewed journals of the discipline; attracts students and fellows; evidence of respect by independent experts (e.g. letters of recommendation, invited lectures, reviewed articles, authorship of standard textbooks, etc., competitively awarded grant support sufficient to support work, and citation of published work)
4. In addition to Level 3, achieved wide national or international reputation for contributions or comparable distinction as a scholar; recognized as having had a major influence on his/ her field.

### TEACHING

Level:

1. Participates in the departmental teaching program. Teaches competently, effectively and with commitment. Relates well to students and other teachers.
2. Exceptional instructor, substantial teaching responsibility, uses innovative and creative methods, assumes significant responsibility for course planning and administration.
3. In addition to Level 2, substantial, primary responsibility for organization and administration of major departmental teaching obligations.
4. In addition to Level 3, individual has achieved a national or international reputation in health science education by publication and presentation of educational innovations.

## CAPO Guidelines

### PROFESSIONAL SERVICE

Level:

1. Accepts and performs administrative and governance duties; interacts in a positive way with faculty and students.
2. Is a significant contributor to administration, governance and/ or clinical service at HSCB and/ or its affiliates, e.g., holds direct managerial responsibility for a major clinical service in a department.
3. In addition to Level 2, shows substantial evidence of leadership in and/ or outside the institution. This may be significant professional service on editorial boards, NIH study sections and professional society planning boards.
4. In addition to Level 3, individual represents "magnet" for their expertise to attract graduate students, house staff, and/or patient referrals.

### \*\*POINT DISTRIBUTION REQUIREMENTS\*\*

#### TENURED ACADEMIC TRACK

Associate Professor: 2 Research/ Scholarship; 1 Teaching; 1 Service (min=5)

Professor: 3 Research/ Scholarship; 1 Teaching; 1 Service (min=6)

#### TENURED CLINICAL TRACK

Associate Professor of Clinical: 1 Research/ Scholarship; 2 Teaching; 2 Service (min=5)

Professor of Clinical: 1 Research/ Scholarship; 2 Teaching; 2 Service (min=6)

#### QUALIFIED RESEARCH TRACK

Research Associate Professor: 2 Research/ Scholarship; 1 Teaching; 0 Service (min=3)

Research Professor: 3 Research/ Scholarship; 1 Teaching; 0 Service (min=5)

#### QUALIFIED CLINICAL TRACK

Clinical Associate Professor: 0 Research/ Scholarship; 1 Teaching; 1 Service (min=3)

Clinical Professor: 1 Research/ Scholarship; 1 Teaching; 2 Service (min=5)

#### QUALIFIED TEACHING TRACK

Teaching Associate Professor: 0 Research/ Scholarship; 2 Teaching; 1 Service (min=3)

Teaching Professor: 1 Research/ Scholarship; 3 Teaching; 1 Service (min=5)

## COMMITTEE ON ACADEMIC AND PROFESSIONAL QUALIFICATIONS

The CAPQ reviews a large quantity of material for each faculty member seeking promotion. We would appreciate the Chairs and candidates keeping two points in mind as they prepare supporting documents:

Take the time to familiarize yourself with the CAPQ guidelines. These include a scoring system for three categories of performance that is considered by the Committee.

- A Prepare a curriculum vitae and/or supporting materials that clearly address(es) the guidelines. Help the Committee to identify relevant contributions in each of the areas. Some suggestions to help avoid common errors include:

➤ Research/ Scholarship

- Highlight/ distinguish peer-reviewed publications from non-peer-reviewed publications. Papers that are submitted or are in preparation receive little consideration and should be kept separate from papers that are in print or in press.
- Do not double-up entries (e.g. by listing both a spoken presentation and the published abstract from the same meeting).

➤ Teaching

- Be clear about specific teaching responsibilities on this campus or its affiliates.
- Be specific about the number of contact hours, the level (e.g. medical students, residents, graduate students, etc.), the nature of the teaching (e.g. lecture, conference, laboratory, rounds, etc.). Give dates (at least by identifying the years) and the courses.
- Sometimes there is no evidence of teaching on a CV and every rank in every track has a teaching requirement.

➤ Service

- Be clear about service responsibilities on this campus or its affiliates.
- Be specific about positions that are appointed and positions that are elected. Give dates (at least by identifying years) for service commitments.



COMMITTEE ON ACADEMIC AND PROFESSIONAL QUALIFICATIONS  
CURRICULUM VITAE AND BIBLIOGRAPHY REQUIREMENTS

In preparing a curriculum vitae, please present **ALL** relevant information as described below.

**9 PERSONAL DATA**

- 3 Name
- Mailing Address
- 3 Telephone (Home & Office)
- 3 Social Security #
- 3 Date of Birth
- Place of Birth
- 3 Citizenship/Visa type

**9 EDUCATION**

➤ **DEGREES**

- 3 Undergraduate
- Graduate
- 3 Postgraduate
- 9 Medical School

➤ **TRAINING**

- Internship
- 3 Residencies
- 9 Fellowships

➤ **BRIEF STATEMENT ABOUT TEACHING AND/OR OTHER SCHOLARLY ACTIVITIES**

**9 LICENSURES**

- 9 Year obtained
- State
- License #

➤ **AWARDS & HONORS**

➤ **SOCIETY MEMBERSHIPS**

- Dates

➤ **CERTIFICATIONS**

- Year obtained
- Certificate #

COMMITTEE ON ACADEMIC AND PROFESSIONAL QUALIFICATIONS  
CURRICULUM VITAE AND BIBLIOGRAPHY REQUIREMENTS

➤ **COMMITTEE MEMBERSHIPS**

- Dates
- Office held (if applicable)

➤ **APPOINTMENTS**

➤ **ACADEMIC**

3 Date(s)

3 Title(s)

➤ **HOSPITAL**

3 Date(s)

3 Title(s)

➤ **PAST & PRESENT RESEARCH ACTIVITIES**

- Funding Source
- Total \$ Amount
- Period of funding
- Principal Investigator
- University Service
- Teaching Responsibilities

➤ **OTHER**

➤ Date(s)

➤ Title(s)

➤ **PUBLICATIONS:**

- Use index medicus citation format exemplified **BELOW**. \* Listings should be chronological and labeled as follows:
  - Original papers (in reviewed journals)
  - Books
  - Book Chapters
  - Abstracts, Presentations, and Reviews
  - Other Publications

\*Goleuke, P., Leahy, A., Kahng, K., and Wait, R.: Effects of Verapamil in 48-Hour Cold Storage Kidney Preservation. Transplantation 45: 502-504, 1987.

# **Appendix D**

## **College of Nursing By-Laws**

**By-Laws  
CAPQ Guidelines**

COLLEGE OF NURSING BY-LAWS

STATE UNIVERSITY OF NEW YORK  
HEALTH SCIENCE CENTER AT BROOKLYN  
COLLEGE OF NURSING

FACULTY AND PROFESSIONAL STAFF BY-LAWS

PREAMBLE

In keeping with the policies of the Board of Trustees of the State University of New York and in compliance with the directive set forth in the Faculty and Professional Staff By-Laws of the College of Nursing of the Health Science Center we do hereby enact these By-Laws for the purpose of establishing the organization of the Faculty and Professional Staff of the College of Nursing, and designating the policies and procedures necessary for the definition and execution of its duties and responsibilities

ARTICLE I

DEFINITION OF TERMS

- Item 1.: "University": State University of New York
- Item 2.: "Board of Trustees": Board of Trustees of the State University of New York.
- Item 3.: "Chancellor": The Chief Administrative Officer of the State University of New York.
- Item 4.: "Science Center": Health Science Center at Brooklyn, abbreviated as HSC
- Item 5.: "President": The Chief Administrative Officer of the Health Science Center
- Item 6.: "Executive Dean": Chief Administrative officer of the College of Health Related Professions and the College of Nursing at the University level of the Health Science Center
- Item 7.: "College": The College of Nursing of the Health Science Center
- Item 8.: "Dean": Chief Administrative Officer of the College of Nursing of the HSC

- Item 9.: Faculty": The Chancellor of the University, The President of the Health Science Center, the faculty of the College of Nursing who hold academic appointments in the College and members of the academic staff of the College.
- Item 10.: "Academic Staff': Those persons having fill academic rank or qualified rank in the College as defined in Article II, Policies of the Board of Trustees.
- Item 11.: "**Professional Staff**": All persons in the department of instruction of the College, occupying positions designated by the President and confirmed by the Faculty and Professional Personnel Policies or as defined in the contract negotiated under the Taylor Law, as supporting the educational and research goals of the School.
- Item 12.: "Consult with Faculty": Consultation shall take the form of discussion and advice prior to the taking of official action.

## ARTICLE II

### AUTHORITY AND RESPONSIBILITIES OF THE FACULTY PROFESSIONAL STAFF

The Faculty and Professional Staff is authorized to develop and implement programs and policies in accordance with the standards of Article of Governance of the University Faculty Senate of State University of New York as promulgated by the Policies of the Board of Trustees. The responsibilities of the Faculty and Professional Staff include the following:

- Item 1.: Development and implementation of educational, research and service programs of the College.
- Item 2.: Establishment and continuous review of academic standards.
- Item 3.: Formulation and implementation of Faculty and Personnel Policies relative to appointments, promotions and selection of academic and professional staff.

- Item 4.:** Participation in formulation and implementation of budgetary policies of the College.
- Item 5.:** Encouragement of student participation in the development of educational programs of the College.
- Item 6.:** Participation with the CON administration in the periodic assessment of faculty and professional staff and administrative activities in the areas of faculty and professional staff responsibility.

### ARTICLE III

#### ORGANIZATION OF THE FACULTY AND PROFESSIONAL STAFF

##### **Section A: Faculty and Professional Staff Assembly of the College of Nursing.**

The organization shall be known as the Faculty and Professional Staff Assembly of the College of Nursing, abbreviated as FPACN.

- Item 1.:** Membership shall consist of the faculty and professional staff of the College of Nursing as defined in Article I, Items 9, 10 and 11.
- Item 2.:** The voting member shall consist of faculty and the professional staff of the College of Nursing.
- Item 3.:** There shall be one non-voting student representative from each **program** of the College of Nursing.

##### **Section B: Elected Officers of the Faculty and Professional Staff Assembly of the College of Nursing.**

- Item 1.:** The elected officers of the FPACN shall consist of a Presiding Officer and a Presiding Officer-Elect. The term of office is one year. The Presiding Officer-Elect shall be elected annually. The Presiding Officer-Elect shall assume the office of Presiding Officer automatically at the expiration of Presiding Officer's term or when that office becomes vacated.

**Item 2.:** The duties of the Officers shall be as follows:

a. The Presiding Officer shall:

1. Preside over the FPACN and perform such duties as appropriate to the office.
2. Serve as a member of the Health Science Center at Brooklyn Center-Wide Committee of the Faculty and Professional Staff and other appropriate Center-Wide Committees.
3. Serve as an ex-officio member of all FPACN committees unless otherwise specified.
4. Appoint a parliamentarian yearly.
5. Create ad hoc committees and appoint ad hoc committee members as necessary.
6. Preside over the Committee of the Faculty and Professional Staff of the College of Nursing.
7. Oversee the process of student representation on standing Committees

b. The Presiding Officer-Elect shall:

1. Assist the Presiding Officer to perform his or her duties.
2. Preside in the event of his or her absence.

**Item 3.:** Representatives to the Center-Wide Committee of the Faculty and Professional Staff

Three representatives from FPACN shall be elected annually and function in accordance with Article VI of the Policies of the Board of Trustees of the State university. They shall represent FPACN at the meetings of the Center-Wide Committee. At the meeting of FPACN following a Center-Wide meeting, a Representative shall report on questions raised and actions taken. The Representatives may ask a designee to act in their absence.



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Section C: Standing Committees of the FPACN

- Committee of the Faculty and Professional Staff
- Educational Policy
- Curriculum
- Program Evaluation
- Committee on Academic and Professional Qualifications
- Nominations, Elections, Ballots and By-Laws
- Faculty Development
- Admissions and Recruitment

(See Article IV, Section A, B, C for General Rules, Membership and Functions of the FPACN Committees).

Section D: Meetings of the FPACN.

Item 1.: Regular Meetings. There will be at least four regular meetings to be scheduled in September, December, March and May.

Item 2.: Special Meetings. Special meetings may be called by the Chancellor, President, Executive Dean, Dean, or Presiding Officer. Special meetings must be called by the Presiding Officer upon written application of twenty-five percent of the members of FPACN.

Special FPACN meetings shall be called within ten days of receipt of such application and every effort shall be made to notify all members of the FPACN. The business of such meetings shall be indicated on the notice of the meeting and shall be limited to the matter set forth in the application.

**Item 3.:** Quorum. A quorum of any meeting of the FPACN shall consist of a simple majority of all the members.

**Item 4:** The agenda shall include:

- a. Approval of minutes of previous meetings.
- b. Report of the Chancellor
- c. Report of the President/Vice President
- d. Report of the Executive Dean
- e. Report of the Dean
- f. Reports of the Associate Deans
- g. Report of the Presiding Officer
- h. Reports of the Directors
- i. Reports of Standing Committees
- J. Reports of Special Committees.
- k. Reports of Student Council Representative
- l. Old Business
- m. New Business: Items of new business may be presented at any meeting of the FPACN. Unlimited discussion is allowed but discussion may be terminated by a vote of two-thirds of those present and voting.

Any resolution may be brought to a vote if approved by a simple majority of assembly members present; however, any resolution must be voted on by mail ballot sent to all voting members of the FPACN under any of the following circumstances:

1. By vote of three members present at the Assembly Meeting.
2. By petition of twenty-five per cent of the voting Faculty and Professional Staff within ten days of the meeting.

**THE PRESIDING OFFICER MAY REVISE THE ORDER OF THE AGENDA AS NECESSARY.**

**Item 5.:** A written secret ballot shall be used for:

1. Elections.
2. All resolutions under the circumstances listed in item 4, m, 1-2.

**Item 6.:** The manner of voting on resolutions by mail shall be as follows:

Within two weeks of the fulfillment of any of the circumstances listed in Item 4, m, 1-2, a secret ballot (accompanied by the text of the final resolution) shall be sent by the Nominations, Elections, Ballots and By-Laws Committee to members of the voting Faculty and Professional Staff. The Ballots are returned to the Nominations, Elections, Ballots and By-Laws Committee.

**Item 7.:** Unless otherwise provided in these by-Laws, the latest edition of **Robert's Rules of Order** shall govern the conduct of business of the FPACN.

ARTICLE 1V  
Standing Committees of the FPACN

8

SECTION A: GENERAL RULES OF STANDING COMMITTEES

- Item 1.: Each member of a committee shall be entitled to one vote at the meetings of that committee.
- Item 2.: A quorum shall consist of the majority of faculty and professional staff members of that committee.
- Item 3.: Unless otherwise stated in these By-Laws, the Dean and the Presiding Officer of the FPACN shall be ex-officio members of each standing committee.
- Item 4.: Unless otherwise specified in these By-Laws, each committee shall annually elect a chairperson and any such officers from among its members as the committee shall deem necessary. The officers shall be eligible for reelection.
- Item 5.: Unless otherwise specified in these By-Laws, at the first election, one half of the nominees on a committee who receive the highest number of votes shall be elected to a two year term and the remaining nominees shall be elected to a one year term. In subsequent elections, to fill committee vacancies, the elected persons shall serve a two year term.
- Item 6.: If a vacancy occurs on a committee, the vacancy shall be filled by a special election held in a timely manner.
- Item 7.: Each committee shall hold its initial meeting as soon as practicable after the beginning of the academic year in the month of September. The chairperson of the committee during the preceding year, whether or not she or he remains a member of the committee, shall be responsible for calling this initial meeting. He or she shall preside at this meeting for the purpose of electing a new chairperson to whom he or she shall deliver the records of the committee.

## General Rules (Cont'd).....

- Item 8.: All committees shall be responsive, on behalf of the CON, to relevant inquiries, recommendations or communications.
- Item 9.: All committees shall serve as the liaison to appropriate Center-wide Committees, administrative offices, and other groups of the HSC.
- Item 10.: All committees shall submit budget requests to the Committee of the Faculty.
- Item 11.: When appropriate, committees shall conduct publicly announced open hearings at which interested parties shall be given an opportunity to express their views. Two weeks prior notice shall be given for such hearings.
- Item 12.: All committees, via the chairperson, shall be responsible for making full and detailed reports to the FPACN.
- Item 13.: All committees, via the chairperson, shall submit an annual report of their activities to the FPACN.

### **SECTION B: Selection of Standing Committee Members:**

1. Members of all committees shall be elected by the FPACN.
2. Membership shall consist of a minimum of three members and shall reflect all academic programs as appropriate.
3. Each member of the faculty and professional staff shall serve on standing committees of the FPACN.

**SECTION C: Membership and Functions of Standing Committees**

Item 1. The Committee of the Faculty and Professional Staff:  
Membership: Membership shall include the Presiding Officer, the Presiding Officer Elect and 3 elected members of the Faculty and Professional Staff Assembly. There will be no ex-officio members.

**Functions:**

- a. The Committee shall consider all matters referred to it by the members of the FPACN and the Dean/Associate Deans.
- b. The Committee shall serve as a consultant to the Dean/Associate Deans for administrative decisions affecting educational programs.
- c. The Committee shall serve as a vehicle of communication between the faculty and the Dean/Associate Deans regarding matters of personnel policies, budget and resources.
- d. The Committee shall consult with the Dean in developing and implementing policies dealing with work assignments, faculty-administration relations and associated matters in the College of Nursing and shall make recommendations to the FPACN.
- e. The Committee shall maintain standards which will facilitate an atmosphere of freedom, commitment to academic inquiry and respect for academic rights of others.
- f. The Committee shall, when requested by the FPACN, propose the qualifications and procedure for selecting a Dean of the College of Nursing.
- g. The Committee shall report to the FPACN.

ITEM 2: Education Policy Committee

Membership:

Membership shall consist of elected faculty who are representative of each academic program. In addition, there shall be one non-voting student representative who shall be the President of the Student Council or her/his designee.

Functions:

- a. The Committee shall examine all overall educational policies of the CON and, where deemed advisable, make recommendations to the FPACN.
- b. The Committee shall make appropriate recommendations to the FPACN regarding the evaluation of the academic performance of students, examination procedures, awarding of honors and granting of diplomas.
- c. The Committee will collaborate with the Division of Student Affairs regarding educational policies.

Item 3 Curriculum Committee

Membership:

- a. Membership shall consist of elected faculty, representative of the academic programs. In addition, there shall be one non-voting student representative who will be the President of the Student Council or his/her designee.
- b. The Chairperson shall serve as a member of the Center Wide Educational Policy and Curriculum Integration Committee.

Functions:

- a. The Committee shall review the curriculum changes proposed by each academic program. Recommendations for approval will be made to the FPACN

Functions Cont'd....

- b. The Committee shall review curriculum issues in any School or College of the Health Science Center to assess the significance of such issues for the programs of the CON.

Item 4: Program Evaluation Committee

Membership

- a. Membership shall consist of elected faculty.

Functions

- a. The Committee shall design, coordinate, and monitor the evaluation of all aspects of the programs of the College of Nursing. Specifically, the committee shall insure that data collection, data analyses, and recommendations are implemented according to the program evaluation plan.

Item 5: Committee on Academic and Professional Qualifications

Membership:

- a. Membership shall consist of five faculty whose academic rank reflects the composition of the total faculty. There will be no ex-officio member of this committee.

Functions:

- a. The Committee shall review periodically all Personnel Policies pertaining to the Faculty and Professional Staff of the College of Nursing to insure consistency with the Policies of the Board of Trustees of the State University of New York.
- b. The Committee shall develop policies dealing with promotion, appointment, continuing appointment, and faculty evaluation and make recommendations to the FPACN.
- c. The Committee shall implement policies dealing with promotion, appointment, continuing appointment and faculty evaluation and make recommendations to the Dean.



- d. The Committee shall review and revise as necessary the Guidelines for Appointment, Evaluation and Promotion of the College of Nursing Faculty in consultation with the faculty and the Dean and submit guidelines to the FPACN for its approval.

Item 6: Nominations, Elections, Ballots and By-Laws Committee

Membership:

- a. Membership shall consist of elected faculty.
  - b. The chairperson shall be a member of the Center-Wide Nominations, Elections, Ballot and By-Laws Committees.
- There shall be no ex-officio member of this committee.

Functions:

- a. The Committee shall recommend candidates for the Office of Presiding Officer-Elect and representatives to the Centenvide Committee of Faculty and Professional Staff.
- b. The Committee shall recommend candidates to serve on all Standing Committee.
- c. The committee shall call a special faculty meeting each Spring to develop a slate and conduct an election to fill all vacancies of the FPACN. The committee shall ensure that:
  - 1). representation on the various committees are selected in the manner specified in these By-Laws.
  - 2). voting by secret ballot will take place at this meeting.
  - 3). in case of a tie vote, a run-off election will be held
- d. The committee shall supervise any special elections.

Functions (Cont'd).....

- e. The Committee shall review periodically the By-Laws of the Faculty and Professional Staff of the College of Nursing to determine whether such By-Laws are consistent with policies of the Board of Trustees of the SUNY and the By-Laws of the Faculty and Professional Staff of the HSC of Brooklyn and make recommendations to the FPACN as needed.
- f. The Committee shall initiate and develop necessary amendments or revisions to the By-Laws of the CON consistent with the Policies of the Board of Trustees of the SUNY and the By-Laws of the FAPS of the HSC at Brooklyn.

Item 7: Faculty Development Committee

Membership: Membership shall consist of elected faculty members

Functions:

- a. The Committee shall assess the need and plan for faculty development programs to the FPACN and shall implement approved programs.
- b. The Committee shall collaborate with other units of the HSC in planning and implementing faculty development programs.

Item 8: Admissions and Recruitment Committee

Membership:

- a. The Committee shall consist of five faculty members and one non-voting student representative who shall be the President of the student council or his/her designee.
- b. Ex-officio members shall include Associate Dean for Academic Programming and the HSCB Director of Admissions.

**Functions:**

- a. The Committee shall study and develop the admission policies of the College of Nursing and make recommendations for change to the FPACN.
- b. The Committee shall select and/or approve qualified applicants for admission to the College of Nursing programs.
- c. The Committee shall coordinate student recruitment to the academic programs of the College of Nursing.

**ARTICLE V****ELECTIONS**

Any voting member of the FPACN shall be eligible to hold office as Presiding Officer-Elect and to cast a ballot in all elections.

**Item 1.: Requirements for Election:**

- a. A majority of the votes cast shall be sufficient for election
- b. When there are more than two candidates for office, the candidate with the most votes shall be elected even if a majority is not attained.

**ARTICLE VI****AMENDMENTS TO THE BY-LAWS**

- Item 1.:** Presentation of Amendments
- a. Proposals to amend these By-Laws must be made on the written petition of twenty-five percent of the voting members of the FPACN to the Presiding Officer of the FPACN at least four weeks before discussion at a FPACN meeting.

Item 2.: Method of Voting Amendments:

- a) Within two weeks of termination of discussion on a proposed amendment, a secret ballot (accompanied by the text of the final proposed amendment and, when appropriate, the text of the existing By-Laws it superseded) shall be sent by the Nominations, Elections, Ballots, & By-Laws Committee to the voting members. The ballots shall be counted by the Nominations, Elections, Ballots and By-Laws Committee and the result of the vote made public by that committee to all members. The results of the vote and the count shall be made available within two weeks of the mailing of the ballot. The text of passed amendments shall be transmitted to the Board of Trustees, Chancellor and Provost of the State University of New York, the University Senate, the President of the Center and the Dean of the College.
- b) These By-Laws may be amended by approval of a two thirds majority of the votes cast in favor of the amendments.
- c) By-Laws amendments voted by FPACN are submitted to the Health Science Center of Brooklyn Centerwide By-Laws Committee for review. This committee ascertains if the amendment is consistent with Centenvide By-Laws. Upon approval of the Health Science Center Center-Wide By-Laws Committee the amendments are officially adopted.
- d) An amendment to these By-Laws shall go into effect immediately upon its adoption unless the motion to adopt designates a specific time.
- e) Copies of the adopted amendment dated at the time of approval will be sent to all FPACN members to be added to their copy of the CON By-Laws.

COLLEGE OF NURSING

GUIDELINES

APPOINTMENT, REAPPOINTMENT, PROMOTION, &

CONTINUING APPOINTMENT

**COLLEGE OF NURSING  
GUIDELINES: APPOINTMENT, PROMOTION & CONTINUING APPOINTMENT**

**Revised: 1988**

## INTRODUCTION

An explanation of rank in the College of Nursing is necessary because in the past it has varied from administration to administration and from the **generally** accepted traditional academic system. In common with other colleges, non-tenured (qualified Academic rank) titles are clinical instructor, lecturer and clinical assistant professor, clinical associate professor and clinical professor. Tenure bearing (Academic rank) rank ordered are: Instructor, Assistant Professor, Associate Professor, and Professor.

When a faculty member is on a tenure line, (i.e., Academic rank) the creditable **service** toward tenure begins at the time of appointment and continues according to the State University of New York policies up to a maximum of 7 years.

The lecturer title is used for temporary appointments, and for adjunct faculty appointments. It may also be used by non-doctoral faculty prior to their completing all requirements for doctoral education.

The **Dean(s)** and faculty will use the document labeled "**Criteria for Appointment, Evaluation and Promotion of College of Nursing Faculty (CAEPCONF)**." The criteria in this document are from the SUNY Board of Trustees. They were accepted by the Faculty Assembly in May, 1984. This document is divided into five parts and are the standards by which a faculty member is evaluated for appointment, reappointment, promotion and tenure based on documented performance in:

- A. Mastery of Subject Matter
- B. Effectiveness in Teaching
- C. Scholarly Ability
- D. Effectiveness of University Service
- E. Continuing Growth

It is assumed that as an individual progresses from Instructor, Assistant Professor, Associate Professor and Professor, that all criteria for the lower level **rank(s)** must have been met.

A faculty member seeking promotion to a higher rank is required to provide documentation that all criteria in the five categories have been met in the **rank/title** requested. Candidates should

concentrate on documentation of the last five years of his/her professional career. However, this should not preclude a candidate from noting or listing major accomplishments, honors or awards that were achieved prior to that time.

#### Basic Assumptions

Faculty will provide leadership—in the educational programs by doing the following:

- Design Curriculum
- Implement Curriculum
- Evaluate Curriculum
- Revise Curriculum
- Develop educational policies

Faculty will engage in scholarly and professional activities as identified in the document entitled "**Criteria** for Appointment, Evaluation and Promotion of College of Nursing Faculty."

Faculty **will provide** leadership to the students in the educational program by doing the following:

- Recruitment, admission and pre-admission activities
- Academic advisement and retention activities
- Educational counseling
- Curriculum design and implementation
- Evaluation of students
- Development of student policies

#### Steps to be followed by

##### A faculty candidate seeking appointment to the CON

1. Presents a resume to the Office of the Dean.
2. This resume is evaluated according to the criteria for appointment by the Dean and appropriate faculty members.
3. The prospective faculty resume is evaluated in terms of the specific educational/instructional needs of the CON. This review considers appropriate teaching, clinical and research activities and/or experiences.
4. An **interview** is scheduled with a small group of faculty persons.

.The size of the group must be at least  
3 faculty persons but may be more



- .They are appointed by the Dean of CON
  - .One person from the group must be a duly elected member of CAPQ
  - .Two persons must be st same or higher rank as the applicant
  - .Faculty with clinical expertise in the field of the applicant will be appointed to the faculty interview group
  - .**CAPQ guidelines** for faculty evaluation are followed
5. The faculty interview group stnds a written evaluation **form** with a recommendation for appointment or non-appointment to the Dean.
  6. The Dean(s) **interviews** the faculty candidate.
  7. The Dean reaches a decision based on the data obtained from the **interview(s)**, resume and other written materials submitted to CON by the candidate for a faculty position.
  8. If the Dean does not concur with the recommendation of the faculty interview group, **she/he** will meet with the group and discuss the rationale for the differences.
  9. The final decision for hiring faculty is made by the Dean of the College of Nursing, subject to the final approval of the Vice President for Academic Affairs and the President.
  10. The Dean notifies the candidate in writing of the recommendations to appoint or not appoint.

Steps to be followed by

A faculty member seeking reappointment to the CON

1. Follows rules for SUNY.
2. Follows criteria identified by **CAEPOCONF**.
3. Follows **CAPQ** guidelines for faculty evaluation.
4. Lecturers on the non-tenured line are appointed for one **year** initially then may be recommended for reappointment for a period of one or two years.

- A. Evaluations are processed in the same manner as for those in tenure track.
- B. All SUNY, UUP and **Criteria** for Appointment, Evaluation and Promotion of CON faculty apply.
5. Faculty in tenure track lines are reappointed for one or two years. Tenure track titles are: instructor, assistant professor, associate professor and professor.
6. Faculty appointed as clinical instructor or clinical assistant professor are reappointed on an annual basis initially, then may be reappointed for a period of one or two years. Generally, such clinical titles are restricted to these levels.
7. Faculty up for reappointment are evaluated by:
  - CAPQ (peer evaluation(s))
  - Student **evaluation(s)**
  - Administrative evaluation (Associate Dean)
  - Data submitted by individual seeking reappointment
  - (a) **Information** in resume/curriculum vitae.
  - (b) **Information** on administrative data **sheet(s)**.
8. Faculty **meets** with written evaluators (CAPQ Chairperson, and **Administrator/Associate** Dean).
9. Faculty meets with Dean after the review process is completed.
10. Faculty candidate is notified in writing of reappointment or non reappointment.
11. Faculty salary at reappointment follows UUP Guidelines.

Steps to be followed by

A Faculty member seeking promotion

1. All SUNY, W P and **Criteria** for Appointment, Evaluation and Promotion of CON faculty apply to the member seeking promotion.
2. The candidate requesting promotion notifies the Dean of her/his intention.
3. The candidate presents documentation that the criteria have been met for the requested rank of promotion.

4. CAPQ reviews and evaluates the candidate according to its guidelines. The written summary has a recommendation to the Dean for either advancement or non-advancement.
5. Evaluation for promotion includes:
  - A. CAPQ (if at all possible the person evaluating and/or **summarizing information** about the candidate should be at the ~~Yank~~ or above for which promotion is sought by the candidate).
  - B. Administration (Associate Dean) evaluates the candidate.
  - C. Student evaluations.
  - D. Data from administrative data sheets is reviewed for past several years. Review generally is limited to last five years.
  - E. Updated resume and other appropriate documentation.
6. Faculty candidate meets with written evaluators (CAPQ Chairperson, and **Administrator/Associate Dean**).
7. Candidate meets with Dean following the evaluation process identified in step 5 (A-E) in the above section.
8. If the promotion sought is to the Associate or Full Professor level, an external review is conducted.

The external review consists of:

- A. Candidate submits a list of five potential persons who can evaluate **her/him** for promotion. These persons must be at level of achievement sought by the candidate. The potential evaluators listed by the candidate may not be currently employed by the CON or SUNY, HSCB. Their last position cannot have been at the CON or SUNY, HSCB.
- B. The Dean selects three persons from the candidates list and chooses two of **her/his** own to review the candidate. This means a total of five external reviewers will be sought by the Dean of the CON. At least four of the five persons must be nurses. A non-nurse can be an external reviewer,
- C. Dean asks external reviewers if they will accept

the assignment. This is generally done first by phone then by written letter. .

- D. The external reviewers will be sent materials submitted by the candidate. This includes evaluations by CAPQ, administration and students. It 'also includes documentation that the five criteria for promotion have been met. A resume documentating publications, honors and awards should be **included in the packet.**
- E. Dean reviews all materials (internal and external) and makes a decision to support or not support the promotion.
- F. Dean meets with faculty member.
- G. External review is completed at least one month before material is due to allow for contractual deadlines.
- H. Candidates promotion package is sent to the Vice President for Academic Affairs, and the President for review and approval and/or recommendation to the Chancellor as appropriate.
- I. Faculty member receives written notice after the review process is completed by the President of SUNY, HSCB.

Steps to be followed by

A Faculty member seeking tenure

1. A faculty member who seeks tenure is reviewed by a special tenure committee elected by the faculty. The elected committee serves for a one year period.
2. The tenure review **committee** follows CAPQ evaluation for reappointment.
3. The tenure committee consists of three persons who are tenured and are at the same or higher rank as the candidate.
4. Tenure will be considered only at the Associate Professor level or higher.
5. The candidate should schedule meetings with the Dean and/or Associate Dean for administrative assistance in preparing for tenure.

6. External review is completed in same manner as promotion to Associate or Full Professor. Please see list (8. A-I) in section entitled steps to be followed by a faculty member seeking promotion.
7. External reviewers must have one month to respond to candidate's materials.
8. The external review must be completed at least one month before material is due to allow for contractual deadlines. This gives the Dean, CON time for a final full review of materials and preparation of her/his letter of support. The candidate's tenure package is sent to the Vice President for Academic Affairs, the President, SUNY, HSCB for review and approval and then to SUNY, State Plaza for final action by the Chancellor.
9. Outline of procedure for tenure:
  - A. Candidate submits one completed tenure packet to the Dean, CON for duplication and review purposes before material is due for contractual deadlines. This should be at least two months before the deadline.
  - B. Candidate oversees the duplication of these tenure packets. Seven are needed in total; five for external reviewers, one to be sent to Academic Affairs and one to be kept in faculty file in CON. The original is kept in CON.
  - C. Information is always treated in a confidential manner.
  - D. Packets are used for external reviewers. The Dean, CON will request that external reviewers return the candidate's packet back to the CON after reviewing it. Letters of external reviewers are shared with faculty candidate if that is the choice of the external reviewer. The sights of privacy of candidates are protected.
  - E. One completed tenure packet (the original) is placed in CON records during periods of internal and external review. Refer to steps to be followed by a faculty member seeking promotion, step 5 (A-E) and step 8, (A-I) ,

- F. Candidate is notified in writing by the President, SUNY, HSCB if tenure has been recommended to the Chancellor. It takes approximately one year for the tenure process to be completed.
10. Subject to the approval by ~~the~~ Vice President for Academic Affairs and the President, a faculty member may request that creditable service towards tenure be temporarily halted, but shall not be deemed an interruption of otherwise consecutive service by the following procedure:
- A. Faculty member submits a written request for a change of status to a non-tenured line (*i.e.*, qualified academic appointment) to the Dean of the College of **Nursing** which includes **rationale(s)** for such request. Such rationale is generally limited to significant changes in assignment or extended absences with pay for other than scholarly activities which would tend to interfere with normal progression toward tenure.
  - B. Dean submits a written letter to the faculty member accepting or rejecting the request.
  - C. Assistant to the Dean files, with the President, through the Vice President for Academic Affairs, appropriate written request forms regarding a faculty **member's** change of status (title).

**I. MASTERY OF SUBJECT MATTER:** As demonstrated by such things as advanced degrees, licenses, honors, awards reputation for clinical and didactic expertise in subject matter field, development of courses, content, teaching tools.

Instructor/Lecturer	Assistant Professor	Associate Professor	Professor
<p><u>For Appointment</u>            B. Has a masters degree in nursing.</p> <p>C. Is prepared in an area of clinical specialization.</p> <p>D. At least one year of teaching and clinical experience in a college or university nursing program or acceptable equivalent is preferred.</p> <p>E. Enrollment in a doctoral program of studies is desired.</p> <p><u>For Reappointment</u>            A. Discusses recent developments in theoretical area of expertise.</p> <p>B. Demonstrates knowledge of recent developments in current theoretical and clinical area(s) of expertise.</p> <p>C. Enrollment in a doctoral program of studies is desired.</p>	<p>In addition to all the stated criteria for instructor/lecturer, the Assistant Professor.</p> <p><u>For Appointment</u>            A. Has an earned doctorate in nursing or related discipline,</p> <p><u>For Appointment or Promotion</u>            B. Has a minimum of two years teaching experience in a college or university nursing program or acceptable equivalent.</p> <p><u>For Reappointment</u>            A. Acts as a resource for faculty in an area of clinical expertise</p> <p style="text-align: center;">OR</p> <p>B. Acts as a consultant in nursing or a related discipline.</p> <p style="text-align: center;">OR</p> <p>C. Holds a joint appointment in another college of DMC or an adjunct or honorary appointment in another institution.</p>	<p>In addition to all the stated criteria for previous ranks, the Associate Professor.</p> <p><u>For Appointment or Promotion</u>            D. Has a minimum of four years teaching experience in a college or university nursing program.</p> <p>E. Acts as a consultant in nursing or related discipline.</p> <p>F. Contributes to professional publications.</p> <p style="text-align: center;">OR</p> <p>G. Has been awarded recognition fi-om a professional organization for contribution in nursing or related discipline.</p>	<p>In addition to all the stated criteria for previous ranks, the Professor.</p> <p><u>For Appointment or Promotion</u>            A. Has a minimum of six years teaching experience at the baccalaureate level.</p> <p>B. Receives recognition from the professional community for work in a nursing discipline.</p>

**ii. Effectiveness in Teaching:** As demonstrated by such things as development or teaching materials or new courses and student reactions, as determined from surveys, interview and classroom observations and as determined by evaluation of colleagues and students.

Instructor/Lecturer	Assistant Professor	Associate Professor	Professor
<p>D. Implements the teaching learning process.</p> <p>E. Seeks guidance from colleagues in implementing teaching when appropriate.</p> <p>C. Creates an atmosphere which promotes learning.</p> <p>D. Encourages student participation in their own learning.</p> <p>E. Encourages students to think independently.</p> <p>F. Relates nursing theories and evidence based findings to specific nursing situations.</p> <p>G. Encourages development of students' conceptual abilities.</p> <p>H. Communicates a philosophy which is compatible with that of the College of Nursing.</p> <p>I. Communicates effectively with students and peers.</p> <p>J. Uses a variety of teaching strategies.</p> <p>K. Improves performance based on self, peer and student evaluation.</p>	<p>In addition to all the stated criteria for instructor/lecturer, the Assistant Professor.</p> <p>A. Offers guidance to less experienced faculty.</p> <p>B. Contributes to the teaching-learning process by serving in a leadership role.</p>	<p>In addition to all the stated criteria for previous ranks, the Associate Professor.</p> <p>H. Takes leadership role actively in faculty development concerning the teaching-learning process.</p> <p>I. Demonstrates innovative approaches in teaching.</p> <p>J. Serves as a role model for faculty and students.</p>	<p>In addition to all the stated criteria for previous ranks, the Professor.</p> <p>A. Serves as a primary resource for the continual improvement of teaching effectiveness by mentoring junior faculty, dissemination of research, grant writing, scholarly publication.</p> <p>B. Designs new approaches to be used in teaching and evaluation.</p>



... demonstrated by such things as success in developing and carrying out significant research work in the subject matter field... publications and reputation among colleagues

Instructor/Lecturer	Assistant Professor	Associate Professor	Professor
<p><u>For Appointment</u></p> <p>A. Enrollment in a doctoral program of studies is desired.</p> <p>B. Demonstrate familiarity with literary sources in one's specialty area.</p> <p>C. Maintains membership in a scholarly association.</p> <p><u>For Reappointment:</u> In addition to the above.</p> <p>A. Implements selected research findings from nursing or related discipline.</p> <p>B. Shares knowledge or emerging trends and developments in area of expertise.</p> <p>C. Supports scholarly efforts and activities of the university and the profession.</p> <p>D. Maintains membership in a scholarly association.</p>	<p>In addition to all the stated criteria for instructor/lecturer, the Asst. Professor.</p> <p>A. <b>Participates</b> in nursing and/or interdisciplinary research -</p> <p>C. Prepares a scholarly paper in nursing or in another discipline from a nursing perspective for publication in refereed journals or presentations at professional meeting.</p> <p style="text-align: center;">OR</p> <p>D. Submits an article for publication in a professional journal or textbook.</p> <p style="text-align: center;">OR</p> <p>D. Participates in writing a grant or fellowship applications in nursing or a related discipline.</p> <p>Conducts one or more of the following activities in nursing or another discipline:</p> <p>B. Scholarly paper C. Article D. Writing a grant</p>	<p>In addition to all the stated criteria for previous ranks, the associate professor.</p> <p>K. Evaluates nursing and related research in the classroom and clinical settings.</p> <p>L. Has publications accepted in referred journal or major publishers of professional textbooks.</p> <p>M. Submits a grant or fellowship application to an external funding source.</p> <p style="text-align: center;">OR</p> <p>N. Presents scholarly papers at multiple professional meetings.</p>	<p>In addition to all the stated criteria for previous ranks, the Professor.</p> <p>A. Is recognized as a resource person in an area of nursing expertise.</p> <p>B. Continues active research in nursing and/or with a related discipline.</p> <p>C. Mentors faculty, students, interdisciplinary colleges in the development of research, scholarly papers, publications, presentations at professional meeting, grant applications.</p>

outreach, administrative work and work with students in addition to formal teacher - student relationship.

<b>Instructor/Lecturer</b>	<b>Assistant Professor</b>	<b>Associate Professor</b>	<b>Professor</b>
<p>A. Participates in College and University Committee.</p> <p>B. Interprets the SUNY philosophy and nursing program to students and the public.</p> <p>C. Attends center-wide faculty assembly meetings.</p> <p>D. Contributes to civic and/or health related community agencies.</p>	<p>In addition to all the stated criteria for instructor/lecturer, the Assistant Professor.</p> <p>A. Assumes greater responsibilities on College and University committees.</p> <p>E. Serves, on request, as a preceptor for graduate students during a teaching practicum.</p> <p>F. Represents the College at professional meetings, conferences and conventions.</p>	<p>In addition to all the stated criteria for previous ranks, the Associate Professor.</p> <p>O. Serves in a leadership role on college and/or university committees.</p> <p>P. Participates actively in civic and/or health related activities.</p> <p>Q. Provides leadership in the implementation of College and University Initiatives e.g. grant development, special projects, continuing professional education.</p>	<p>In addition to all the stated criteria for previous ranks, the Professor.</p> <p>A. Presents evidence of leadership in civic and/or health related activities.</p> <p>B. Participates with other disciplines inside and outside the institution to promote nursing and changes in health policies</p>

V. **Continuing:Growth:** as demonstrated by activities such as reading research to keep abreast of current development in his/her field and being able to handle increased responsibilities successfully.

A, Participates in professional and/or educational organization.

The remaining criteria for continuing growth appear to have been delineated under the previous criteria.

# **Appendix E**

## **School of Graduate Studies Faculty By-Laws**

**By-Laws**

STATE UNIVERSITY OF NEW YORK DOWNSTATE MEDICAL CENTER BROOKLYN  
SCHOOL OF GRADUATE STUDIES

FACULTY BY-LAWS

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PREAMBLE

In keeping with the Policies of the Board of Trustees of the State University of New York and in compliance with the directive set forth in the Faculty and Professional Staff By-Laws of the Downstate Medical Center, the members of the Faculty of the School of Graduate Studies of the Downstate Medical Center do hereby enact these By-Laws for the purpose of establishing the organization of the Faculty of the School of Graduate Studies and designating the policies and procedures necessary for the definition and execution of its duties and responsibilities.

ARTICLE I

DEFINITION OF TERMS

- Item 1. "University": State University of New York
- Item 2. "Board of Trustees": Board of Trustees of the State University of New York.
- Item 3. "Chancellor": The Chief Administrative Officer of the State University of New York.
- Item 4. "The Medical Center": The Downstate Medical Center (DMC).
- Item 5. "President": The Chief Administrative Officer of the DMC.
- Item 6. "The School": The School of Graduate Studies of the DMC.
- Item 7. "Dean": The Dean of the School of Graduate Studies of the DMC.
- Item 8. "Faculty": The Faculty of the School of Graduate Studies of the DMC, consisting of the President of the Medical Center, the Dean of the School of Graduate Studies, other administrative personnel who also hold academic appointments in the School, and all additional members of the academic staff of the School.
- Item 9. "Faculty Assembly": The Faculty Assembly of the School of Graduate Studies as described in Article III of these By-Laws.
- Item 10. "Committee of the Faculty": The Committee of the Faculty of the Faculty Assembly as described in Article IV, Section A of these By-Laws.

ARTICLE II

AUTHORITY AND RESPONSIBILITIES OF THE FACULTY

The Faculty is authorized to develop and implement programs and policies in accordance with the standards for Articles of Governance of the University Faculty Senate of State University of New York. The responsibilities of the Faculty include the following:

- Item 1. The development and conduct of educational, research, and service programs of the School.
- Item 2. The establishment and continuous review of academic standards.
- Item 3. Meaningful participation in formulation of Faculty personnel policies regarding appointments and promotions, and in selection of administrative officers and program directors.
- Item 4. Encouragement of student participation in the development of educational programs of the School.
- Item 5. Joint participation with the administration in the periodic assessment of Faculty, Professional Staff, and administrative activities in the areas of Faculty responsibility.

### ARTICLE III

#### ORGANIZATION OF THE FACULTY

##### SECTION A. FACULTY ASSEMBLY OF THE SCHOOL OF GRADUATE STUDIES.

The organization shall be known as the Faculty Assembly of the School of Graduate Studies.

- Item 1. Membership. Membership in the Faculty Assembly shall consist of the Faculty of the School as defined in Article I, Item 8.
- Item 2. Voting Membership. The voting members of the Faculty Assembly shall be as follows:
- a) The Chancellor of the University; and
  - b) The President of the DMC; and
  - c) The Dean of the School of Graduate Studies; and
  - d) Members of the Faculty holding academic rank, with the exception of Assistant Instructors.
- Item 3. Student Participation. There shall be one non-voting student representative, who shall be the presiding officer of the student organization of the School, or his delegate.

##### SECTION B. OFFICERS OF FACULTY ASSEMBLY

- Item 1. The officers of the Faculty Assembly shall consist of a Presiding Officer, a Presiding Officer Elect and a Secretary. The Presiding Officer Elect and the Secretary shall be elected for a *two (2) year term* by a majority of those casting ballots. They shall serve for a period of *two (2) academic years* beginning September 1. At the expiration of the term of the Presiding Officer or whenever that office becomes vacant, the Presiding Officer Elect shall succeed the Presiding Officer. The Secretary may succeed him or herself for one term upon re-election. No officer shall be eligible to serve again until two years have elapsed.
- Item 2. The duties of the officers shall be as follows:
- a) The Presiding Officer shall preside at the meeting of the Faculty Assembly and the Committee of the Faculty and shall be an *ex officio* member of all Standing Committees and perform such duties as are appropriate to his office. The Presiding Officer shall appoint a Parliamentarian each year from the members of the Committee of the Faculty who shall also serve as Parliamentarian of the Committee of the Faculty.  
  
The Presiding Officer shall include in his or her report to the Faculty Assembly a synopsis of the recommendations and resolutions of meetings of the Committee of the Faculty held since the previous Faculty Assembly meeting, as well as the reports of any Standing Subcommittees of the Committee of the Faculty which have been presented to the Committee of the Faculty.
  - b) The Presiding Officer Elect shall assist the Presiding Officer in performing his or her duties and shall preside in the event of his or her absence.
  - c) The Secretary of the Faculty Assembly shall also serve as secretary to the Committee of the Faculty and shall notify the Faculty Assembly of all meetings, keep the minutes and records of the Faculty Assembly and distribute copies of the minutes to each member after each meeting. The Secretary and the Librarian of the DMC shall each keep a permanent file of the minutes, a current copy of these By-Laws, and a roster of the voting membership for the use and inspection of the Faculty.

##### SECTION C. MEETINGS OF THE FACULTY ASSEMBLY

- Item 1. Regular Meetings. Two regular meetings of the Faculty Assembly shall be held *at least once* in each academic year during the Fall and Spring.
- Item 2. Special Meeting. Special meetings may be called by the Chancellor, the President, the Dean, the Presiding Officer of the Faculty Assembly, or at the written request of 8 or more members of the Committee of the Faculty. Furthermore special meetings must be called by the Presiding

Officer upon written application of 15 members of the voting faculty. This shall be done within 10 days of receipt of such application. The business of such meetings shall be indicated on the notice of the meeting, and any actions taken shall be limited to those matters set forth in the application.

- Item 3. Quorum. A Quorum at any meeting of the Faculty Assembly shall consist of a minimum of 20 voting members.
- Item 4. Notice of Meetings. Except in the case of a special meeting, the secretary of the Faculty Assembly shall notify each voting member of the Faculty Assembly by mail at least one week in advance of a meeting.
- Item 5. Order of Business. The order of business at the Faculty Assembly meetings, except for Special meetings, shall be as follows:
- a) Reading and approval of minutes of previous meetings.
  - b) Report of the Chancellor of the University.
  - c) Report of the President of the DMC.
  - d) Report of the Dean.
  - e) Report of the Presiding Officer.
  - f) Report of elections when applicable.
  - g) Reports of Special Committees.
  - h) Report of the Secretary.
  - i) Old business.
  - j) New business. Items of new business may be presented at any meeting of the Faculty Assembly. Unlimited discussion is allowed, but discussion may be terminated by a majority vote. No substantive matters may be brought to an immediate vote. Such matters shall meet the requirements of Item 6 (b) of this section.

A matter shall be deemed substantive if it involves in its development or implementation the expenditure or commitment of human, physical, or fiscal resources. Any other matter may be voted upon without delay by voice vote, and considered passed if approved by a simple majority of those present and voting.

- Item 6. A written secret ballot (or e-mail ballot) shall be used in any of the following circumstances:
- a) For elections.
  - b) For substantive resolutions. Condition A. When a resolution has been discussed by and acted upon by the Committee of the Faculty, it may be brought to the floor of the Faculty Assembly for immediate action upon a motion passed by a majority of members present and voting. If this motion fails, it will be dealt with as in Condition B.
- Condition B. A substantive resolution not previously acted upon by the Committee of the Faculty or failing Condition A, can be voted on only by a circulated secret ballot.
- Item 7. Unless otherwise approved in these By-Laws, the latest edition of Robert's Rules of Order shall govern the conduct of business of the Faculty and Professional Staff Assembly.

#### Article IV

##### STANDING COMMITTEES OF THE FACULTY ASSEMBLY

There shall be two Standing Committees of the Faculty Assembly: The Committee of the Faculty and the Committee on Nominations, Elections, Ballots and By-Laws.

##### SECTION A. COMMITTEE OF THE FACULTY

- Item 1. Membership: The Committee shall consist of all the elected representatives from *the executive committees of each program* in the School of Graduate Studies (including the Program Directors). In addition, the Presiding Officer, Presiding Officer Elect, and Secretary of the Faculty shall be elected as specified in Article VI. The ex

*officio* members, without vote, shall be the President of the DMC and the Dean of the School. The committee members shall take office at *the first regular meeting after their election to the Program Executive Committees takes place.*

Item 2. Officers of the Committee of the Faculty:

- a) Chairman. The Presiding Officer of the Faculty Assembly shall be Chairman. In his absence, the Presiding Officer Elect shall preside. In the event both Presiding and Presiding Officer Elect are absent, the Secretary shall preside at meetings and shall designate a committee member to act as Secretary.
- b) Secretary. The secretary of the Faculty Assembly shall serve as Secretary to the Committee of the Faculty.
- c) Parliamentarian. The Parliamentarian of the Faculty and Professional Staff Assembly shall serve as Parliamentarian of the Committee of the Faculty and Professional Staff.

Item 3. Meetings:

- a) The meetings of the Committee of the Faculty shall be open to all voting members of the Faculty Assembly, unless a closed session is called by a vote of two-thirds of the members of the Committee of the Faculty present and voting.
- b) The meeting of the Committee shall take place prior to each Faculty Assembly meeting and must meet as a separate group at least twice each academic year.
- c) Special meetings may be called by the Chairman of the Committee at any time.
- d) The Secretary of the Committee shall be responsible for the preparation and distribution of the minutes of the meetings of the Committee. Distribution shall be to all members of the Committee of the Faculty, to the Secretary of the Committee of the Faculty of the DMC and to the librarian.
- e) The minutes shall include the time and place of the next scheduled meeting.

Item 4. Functions:

- a) The Committee shall act as representative of the Faculty Assembly in all matters referred to it by its Presiding Officer, by the Faculty Assembly, by the Student Organization of the School or by the Administration of the School.
- b) The Committee shall review the status of Faculty participation in Program and School-wide functions. The Committee shall determine whether such participation is consistent with the Policies of the Board of Trustees of the State University of New York, with the By-Laws of the Medical Center, and with the By-Laws of the School. Recommendations for revisions of Faculty participation shall be made when necessary.
- c) The Committee shall be responsible for the preparation of an agenda for each Faculty Assembly meeting. The Secretary of the Committee shall be responsible for distribution by mail (or e-mail) of the agenda and the announcement of all Faculty Assembly meetings, at least one week in advance of the scheduled meeting.
- d) The Committee shall discuss and deliberate upon those reports and resolutions that are submitted to it as described in Article V, (l) "General Rules", or by its committees. It shall study such reports and resolutions, particularly from the standpoint of their impact on the total operations of the school. The Committee, through the Presiding Officer, shall be prepared to present its recommendations at a meeting of the Faculty Assembly for discussion and action. A minority shall be entitled to submit a report at the time the Committee reports.
- e) The Committee shall ensure that the resolutions of the Faculty Assembly and Committee of the Faculty are communicated to the Dean of the School and to the Committee of the Faculty of the DMC for its consideration and action before referral to the President of the Medical Center.
- f) The Committee shall have authority to recommend the formation of *ad hoc* committees of the Faculty Assembly and to establish sub-committees of the Committee of the Faculty for business which in its judgment is not the responsibility of a regular Standing Sub-Committee of the Faculty.
- g) The Committee shall review the budget annually and shall make recommendations resulting from this review to the Dean. A report of this review and recommendations shall also be made to the Faculty Assembly.
- h) The Committee shall recommend to the Dean Faculty for membership on the Admissions Committee of the School. The School of Graduate Studies Student Admissions Committee shall act with the Student Admissions

Committee of the College of Medicine to review and propose changes in admission policies and academic start dates as these pertain specifically to students enrolled in combined MD/PhD programs.

- i) The Committee shall be authorized to initiate recommendations and resolutions in the interest of the Faculty of the School of Graduate Studies.
- i) The Committee shall be responsible for keeping a permanent file of reports and the texts of adopted resolutions of all other Faculty and Professional Staff Assemblies of the Medical Center.
- j) When situations arise not covered by the grievance mechanism of the bargaining agent under the Taylor Law, the Committee of the Faculty shall hear and investigate the complaint of any Faculty member who has exhausted normal channels of appeal.
  1. Appeals shall be heard within two weeks of the formal application of the aggrieved party or parties. Within two weeks, the Committee of the Faculty shall recommend to the Dean of the Graduate School actions for redress.
  2. Nothing in the above procedures shall be construed to deny an individual of his further rights of appeal under the Statutes of the State of New York or the Statutes of The State University of New York.

#### Item 5. STANDING SUB-COMMITTEES OF THE COMMITTEE OF THE FACULTY

The Executive Committees of the individual Graduate Programs shall be standing subcommittees of the Committee of the Faculty. The functions of the former three Standing Sub-Committees of the Committee of the Faculty as listed below will become the purview of the Executive Committees of the individual Graduate Programs:

1. Educational Policy and Curriculum.
2. Faculty Personnel Policies.
3. Student Admissions, Academic Standards, Student Activities and Faculty-Student Relations.
4. Academic and Professional Qualifications

#### a) EDUCATIONAL POLICY AND CURRICULUM

##### Functions:

- a) The Executive Committees of the Graduate Programs shall study continually the educational policy of the Program and School and, where deemed advisable, make recommendations dealing with matters in this area for action by the Committee of the Faculty.
- b) The Executive Committees of the Programs shall propose and review curriculum changes in the School and make recommendations to the Committee of the Faculty.

#### b) FACULTY PERSONNEL POLICIES

##### Functions:

- a) The Executive Committees of the Graduate Programs shall review periodically all personnel policies pertaining to the Program Faculty.
- b) The individual Program Executive Committees shall develop, recommend, and assist in implementing policies dealing with appointments, work loads, faculty-administration relations, and associated matters in the Graduate Programs of the Graduate School and make its recommendations to the Committee of the Faculty.

#### c) STUDENT ADMISSIONS, ACADEMIC STANDARDS, STUDENT ACTIVITIES AND FACULTY-STUDENT RELATIONS.

##### Functions:



- a) The Program Executive Committees shall study continually the admission policy and academic standards of the School and, where deemed advisable, make recommendations dealing with matters in this area for action by the Committee of the Faculty.
- b) The Program Executive Committees shall initiate and review policies pertaining to evaluation of academic performance of students, examination procedures, awarding of honors, and shall make appropriate recommendations dealing with matters in this area for action by the Committee of the Faculty.
- c) The Program Executive Committee shall initiate and review, in cooperation with the Student Organization, Faculty participation in student activities and make appropriate recommendations to the Committee of the Faculty.
- d) The Program Executive Committee shall review periodically the status of Faculty-Student Relations, and initiate recommendations in this area.

d) ACADEMIC AND PROFESSIONAL QUALIFICATIONS

Functions:

- a) Each Program Executive Committee shall establish procedures of operations for review of credentials of individuals proposed for appointment to its program and develop criteria of qualifications. These procedures and criteria shall be submitted to the Committee of the Faculty who will, in consultation with the Dean, consider them and submit such criteria to the Faculty Assembly for its approval.
- b) Each Program Executive Committee shall review the credentials of individuals proposed for continuing secondary appointment and/or secondary appointment to its program and make recommendations to the Dean for action. The Dean may present a slate of candidates to the appropriate committee.
- c) Each Program Executive Committee shall periodically review the credentials of all individuals holding appointments on the graduate school faculty in its program and shall make recommendations to the Dean for action.

SECTION B. NOMINATIONS, ELECTIONS, BALLOTS AND BY-LAWS COMMITTEE

Membership:

The Nominations, Elections, Ballots and By-Laws Committee shall consist of five members who are to be elected from among candidates nominated from the floor of the Faculty Assembly at the annual fall meeting preceding the spring in which officers need to be elected. They shall serve for two years.

Functions:

- a) It shall be the responsibility of the Committee to recommend two or more candidates for the Office of Presiding Officer Elect, and Secretary of the Faculty Assembly. If an incumbent for secretary is nominated for re-election, the Committee, at its discretion, may choose not to recommend other candidates.
- b) Nominations of candidates other than those recommended by the Committee may be made from the floor of the Faculty Assembly at the time the Committee presents its recommendations.
- c) At the Spring meeting of the Faculty Assembly, the Committee shall present its list of nominees for all pending vacancies. Within one month subsequent to the Spring meeting of the Faculty Assembly, the Committee shall mail (or e-mail) to each voting member of the Faculty Assembly a ballot listing all nominees (including those nominated from the floor) for the various pending vacancies. From the date of mailing, two weeks shall be allowed for the return of the ballots to the Committee. Immediately, at the expiration of this period, the Committee shall tabulate the vote and report the results to the President of the Center, the Dean, the Secretary of the Faculty Assembly, and the Presiding Officer of the Faculty Assembly and to the School. The names of the newly elected officers and representatives to the DMC Faculty and Professional Staff Assembly Committees shall be announced by the Presiding Officer.
- d) The Nominations, Elections, Ballots and By-Laws Committee shall also:
  - 1. Supervise any special elections.
  - 2. Ensure that specified representation on the various Standing Committees is followed.

3. Ensure that student representatives on various Committees are selected in the manner specified in these By-Laws.
  4. Maintain an up-to-date listing of membership of all Standing Committees of the Committee of the Faculty and make this available in the Library for inspection and use by the Faculty.
  5. Supervise the counting of all mail ballots for elected officers.
  6. Supervise the counting of all mail ballots on resolutions as described in Article III, Section C, Item 6 (b), as well as Article VII, Method of Voting on Amendments (a).
- e) The Committee shall review periodically the By-Laws of the Faculty of the School to determine whether such By-Laws are consistent with the Policies of the Board of Trustees of the State University of New York and By-Laws of the Faculty of the DMC, and make recommendations to the Committee of the Faculty.
- f) The Committee shall initiate and develop necessary amendments or revisions to the By-Laws of the School consistent with the Policies of the Board of Trustees of the State University of New York and the By-Laws of the Faculty of the DMC, and make recommendations to the Committee of the Faculty.

## ARTICLE V

### GENERAL RULES FOR ALL STANDING COMMITTEES

The following general rules shall apply for all Standing Committees unless otherwise stated in these By-Laws.

- a) Except for the Nominations, Elections, Ballots and Bylaws Committee, Committee members shall be elected or appointed for three year terms..
- b) If a member of a Standing Committee of the Faculty cannot serve his full term, the Chairman shall request the Committee of the Faculty to appoint a pro-temp member to serve on the Committee for the remainder of the unexpired term.
- c) The Dean and Presiding Officer of the Faculty Assembly shall be members without vote of each Standing Committee of the Faculty except as otherwise stated in these By-Laws.
- d) Each member of any Committee shall be entitled to one vote at meetings of the Committee.
- e) A quorum shall consist of a majority of members of the Committee.
- f) Unless otherwise specified in these **By-Laws**, each Committee shall annually elect a Chairperson and any such officers as the Committee shall deem necessary from among its members. The officers shall be eligible for reelection.
- g) A committee shall hold its initial meeting as soon as practicable after the beginning of the academic year in the month of September. The Chair of the Committee shall be responsible for calling this initial meeting.
- h) All Committees shall be responsive to inquiries, recommendations, or communications from the School community.
- i) When necessary, the Chairperson of a Standing Committee shall appoint Sub-Committees to assist the Standing Sub-Committee in carrying out its responsibilities. Membership in such Sub-Committees may be from among the voting and non-voting members of the Faculty, Student Body and Administration of the School. When areas of specific interest to individual programs within the school are involved, the Sub-Committee shall have, when possible, at least one representative from the group concerned.
- j) When necessary, Sub-Committees shall conduct publicly announced open hearings, at which time interested parties shall be given an opportunity to express their views. Two weeks prior notice shall be given for such hearings. The administrative office of the School shall be asked to employ all means at its disposal to publicize the hearings within the School.
- k) The Sub-Committees shall be responsible for making full and detailed reports of their findings to the appointing committee via its Chairperson or Secretary.

- l) All Standing Committees of the Faculty Assembly except as stated in these By-Laws, are to report directly to the Committee of the Faculty when the report carries with it a recommendation, resolution or motion. The Committee of the Faculty shall report directly to the Faculty Assembly.

Two weeks prior to the Faculty Assembly meeting at which a report carrying a recommendation and/or resolution is to be presented, a copy of the report shall be sent for study and deliberation to: a) the Chairperson, the Secretary, and members of the Committee of the Faculty, b) the Library for the inspection and use of the Faculty Assembly members and/or by e-mail to the faculty.

- m) A minority shall be entitled to submit a report at the time that a committee makes its report to the Committee of the Faculty. The existence of such a report shall be noted by the Presiding Officer of the Faculty Assembly in his report to the Assembly.

## ARTICLE VI

### ELECTIONS AND APPOINTMENTS

All voting members of the Faculty Assembly shall be eligible for election as, and entitled to cast a mail ballot for, Presiding Officer, Presiding Officer Elect, and Secretary.

Representatives of the Graduate School on the Committee of the Faculty and Professional Staff of the DMC shall be the Presiding Officer, Presiding Officer Elect, Secretary, and two members elected by the Committee of the Faculty of the Graduate School. Representatives of the School of Graduate Studies to other bodies within the State University, where these are not otherwise described, shall be appointed by the Committee of the Faculty of the Graduate School.

The ballot for the above named offices of the Faculty Assembly and Representatives of the School shall be mailed (or e-mailed), deposited and counted as described in Article IV, Section B of these By-Laws. The only exceptions to the mail ballot type of voting for an office shall be those for the Nominations, Elections, Ballots and By-Laws Sub-Committee (see Article IV - Section B).

Every three years, in the spring semester, each graduate program will elect a program director and an executive committee, consisting of five members from the faculty that constitute the program, by mail (or e-mail) ballot. A program director may serve for no more than two consecutive three-year terms. Nominations from each program will be solicited by the Nominations, Elections, Ballots and Bylaws Committee and the election will be conducted as described in Section IV B, d.

## ARTICLE VII

### AMENDMENTS TO THE BY-LAWS

#### Presentation of Amendments:

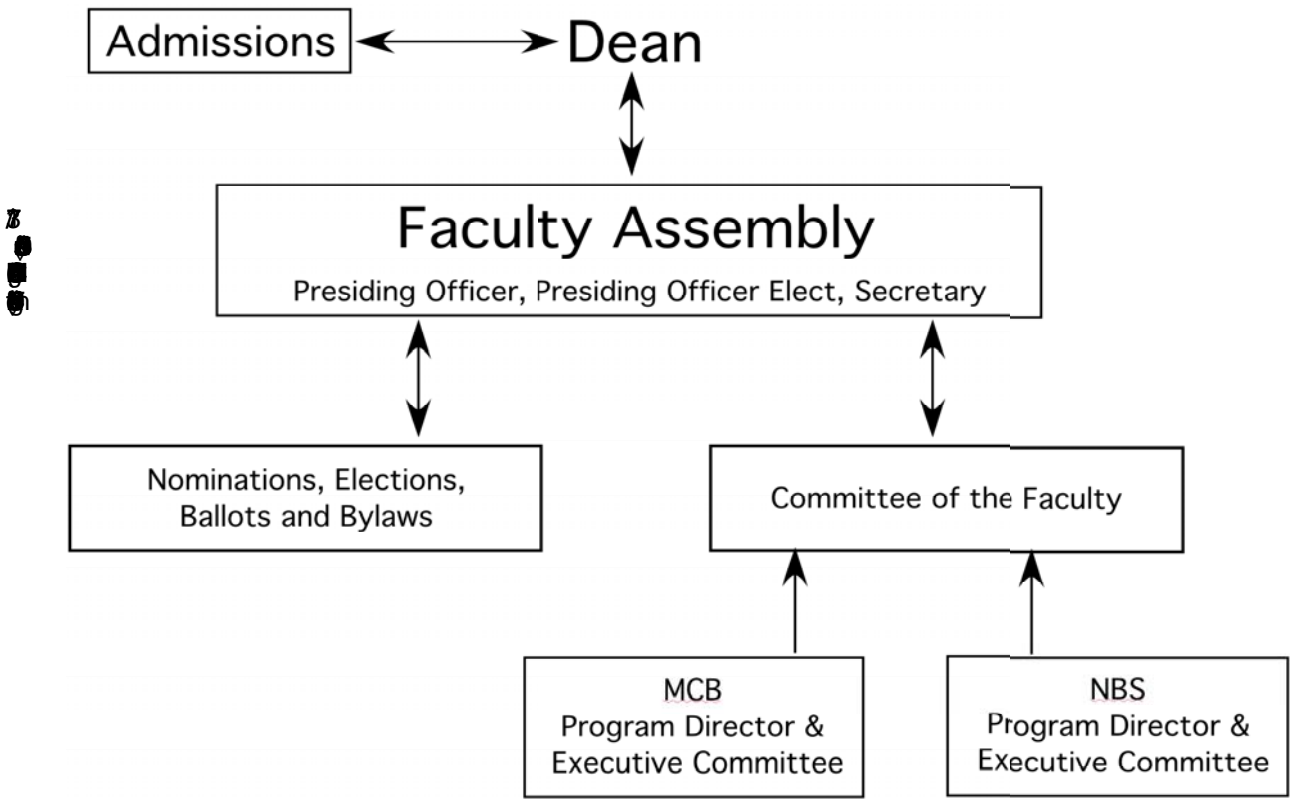
Proposals to amend these By-Laws must be made on the written petition of 10 voting members of the Faculty Assembly to the Presiding Officer of the Faculty Assembly at least 4 weeks before discussion at a Faculty Assembly meeting. The Secretary of the Faculty Assembly shall be responsible for the distribution of the text of the proposed amendment to the Voting Membership at least two weeks before discussion at the Faculty Assembly.

#### Method of Voting on Amendments:

a) Within two weeks of termination of discussion on an amendment, a secret ballot (accompanied by the text of the final proposed amendment and, when appropriate, the text of the existing By-Laws it seeks to supersede) shall be sent by the Secretary of the Faculty Assembly to voting members. The ballots shall be counted by the Nomination, Elections, Ballot and By-Laws Committee and the results of the vote shall be communicated to the membership via e-mail. The results of the vote and the count shall be made available within two weeks of the mailing of the ballot. The text of passed amendments shall be transmitted to the Board of Trustees, Chancellor and Provost of the State University of New York, The University Senate, the President of the Center, the Dean, Associate Deans of the School, and to the By-Laws Committee of the DMC.

b) A proposed amendment shall be considered adopted if approved by two thirds of the membership casting ballots in the election.

c) An amendment to these By-Laws shall go into effect immediately upon its adoption unless the motion to adopt specifies a time for its going into effect or the Faculty Assembly has previously adopted a motion to that effect.



(By-Laws amended 2/6/04)  
(HSCB changed to DMC 2/6/04)  
revised 6/20/04 (MH)