

SUNY PLATTSBURGH CAMPUS HANDBOOK

SECTION V: EMPLOYMENT POLICIES

Absence from Class and Class Coverage Procedures	10
Absences and Extraordinary Weather Condition	4
Attendance Records, Service and Absences	10
Commencement – Attendance of Faculty and Professional Staff	14
Compensatory Time.....	12
Emeriti/Retiree Privileges	17
Employee Identification Cards	14
Evaluation and Promotion of Academic Employees.....	16
Evaluation and Promotion of Professional Employees	17
Extra Service Policy and Procedures for Academic and Professional Staff.....	8
Faculty Emeriti.....	17
Faculty Members Taking Courses.....	9
Family Medical Leave Act	18
Holiday Policy	5
Late Leave Record Policy for Academics	20
Late Leave Record Policy for Professionals.....	21
Leave and Attendance Reporting	12
Leaves Of Absence Other Than Sabbatical	16
Liberal Leave Policy	6
Pets/Animals of Employees In The Workplace	18
Private Instruction and Tutoring	7
Promotion and/or Salary Increase Policy	19
Promotion of Academic Employees	20
Recruitment of Professional Staff and Faculty	18
Release Time Policy for Classified Staff	13
Sabbatical Leaves	14
Search Process	18
Social Security Number Policy.....	21
Standards and Code of Ethics Mandated by New York State Law	1
Suggestions to Faculty Members Who Are Planning To Apply For Sabbatical Leaves In The Future.....	15
Summer Session Employment.....	6
Summer Session Salaries	7

STANDARDS AND CODE OF ETHICS MANDATED BY NEW YORK STATE LAW

<http://www.dos.state.ny.us/ethc/ethics.html>

In 1987, New York's new Ethics in Government Act was passed by the Legislature and signed into law by Governor Cuomo. The sweeping reforms made by the Act are intended to restore the public's trust and confidence in government through the prevention of corruption, favoritism, undue influence and abuses of official position.

The Act imposes restrictions on the business and professional activities of state officers and employees and political party officers, and requires that financial disclosure statements be filed by statewide elected officials and candidates for statewide elected office, certain state officers and employees, members of the Legislature, legislative employees and others.

As a condition of employment, state officers and employees must file with the Secretary of State a statement (known as the Oath of Office) acknowledging that they have received a copy of Sections 73 and 78 of the Public Officers Law (Chapter 1012, Laws of New York 1965, as amended, January, 1989), and that they have read and will conform to their provisions.

Below is a summary of selected provisions most applicable to University employees.

Business or Professional Activities by State Officers and Employees (Section 73)

A state employee may not receive compensation from outside sources in return for services rendered by him/her in relation to matters before a state agency where such compensation is contingent upon the action taken by the agency.

A State employee may not receive compensation in any form for appearance or rendition of services, or transacting business, in matters before the Court of Claims.

Competitive bidding is required where goods or services valued in excess of \$75 are sold to state agencies by firms or associations in which the state employee has specific interests.

Gifts valued at \$75 or more may not be accepted.

Generally, no former state employee may, within two years after termination of his/her employment with the state, appear before his/her former agency or render certain services to any person or firm relating directly to matters he/she participated in while in state service.

Firms or associations, of whom the state officer or employee is a member, may render certain services to state agencies provided the profits resulting there from are not shared by the state employee.

Violation: In addition to any penalty contained in any other provision of law, any person who knowingly and intentionally violates the above provision of Section 73 shall be guilty of a misdemeanor and subject to a civil penalty up to \$10,000.

Section 73-a Financial

State employees in titles which have not been exempted who receive annual compensation equivalent of job rate level of SG24 or hold policy-making positions must file with the State Ethics Commission an annual financial disclosure statement. The schedule for filing is available at: www.dos.state.ny.us/ethc/fdfaq.html#calendar

Section 73-a Ethics

The State Ethics Commission has concluded that State University employees serving in academic titles at the State-operated campuses (with the exception of the librarian series) who earn the equivalent of job rate level of SG24 annually must file abbreviated financial disclosure forms under section 73-a of the Public Officers Law.

Academic employees of SUNY, who earn in excess of the filing rate, will be required to complete the statutorily mandated financial disclosure statement contained in Public Officers Law

§73-a. Electronic filing of the financial disclosure statements will be made available to all required academic filers of SUNY. In addition, individuals who are not engaged in grant activity or any other activity as specified in Executive Law §94(9)(k), may seek an exemption from filing the statutory disclosure statement.

Forms for compliance with both the annual and sponsored funds application disclosure requirements have been developed with the assistance of the Ethics Commission and are available on-line at: www.dos.state.ny.us/ethc/suny.html

Code of Ethics (Section 74)

A State Employee:

May not have direct or indirect interest, financial or otherwise in any transaction or activity, which conflicts with the proper discharge of his/her duties in the public interest.

Shall not accept other employment, which may impair his/her judgment in the exercise of his/her official duties.

Shall not accept other employment, or engage in any business of professional activity, which may require him/her to disclose confidential information, which he/she has gained by reason of his/her state employment.

Shall not disclose confidential information acquired in the course of official duties, or shall such information be used to further the state employee's personal interest.

Shall not use his/her official position to secure unwarranted privileges.

Shall not act as agent of the state with any firm in which he/she has a direct or indirect financial interest, which might tend to conflict with his/her duty in the public interest and his/her private interest.

Shall conduct himself/herself in a manner, which will inspire confidence and trust among the public.

Shall not sell goods or services to any person, firm, association, or corporation which is licensed or whose rates are fixed by the state agency in which he/she is employed. Nor shall any firm or association of which he/she is a member, or a corporation in which the state employee directly or indirectly owns or controls a substantial portion of the stock, be so engaged.

Shall not by conduct, give reasonable basis for the impression that any person can improperly influence his/her or unduly enjoy his/her favor in the performance of his/her official duties, or that he/she is affected by the kinship, rank, position, or influence of any party or person.

Having a direct or indirect financial interest valued at \$10,000 or more in any activity under the jurisdiction of a state regulatory agency, shall file with the Secretary of State a written statement of such interest.

Violation: In addition to any penalty contained in any other provision of law, any such officer, member, or employee who shall knowingly and intentionally violate any of the provisions of Section 74 may be fined, suspended, or removed from office or appointment in the manner provided by law.

ABSENCES AND EXTRAORDINARY WEATHER CONDITIONS

The official College policy on extraordinary weather requires that normal operations be continued as much as possible. Essential services (i.e. heating/plumbing, electrical, grounds, university police, and health services) must be maintained in spite of severe weather. In the event of severe weather College employees working in these areas should remain on duty or report to work to avoid interruption of these essential services, unless directed or permitted to do otherwise by their supervisors.

Except in the most severe cases, all employees are expected to get to work. Employees, who cannot get to work on time or at all, are expected to telephone their department supervisor to advise them of the situation in a timely manner. Should phone lines be tied up, employees should keep trying or leave a voicemail message.

The special telephone line will be maintained to advise employees of the latest conditions at and around the College. Employees are encouraged to call this number to get official updates regarding the weather (or other) emergency. The number for the weather and emergency line is 564-SNOW (7669).

Although only the Governor can close the College, under this policy the College President has the authority to take the following actions:

- 1) Cancel classes - when this decision has been made, absences of non-instructional employees on such days must be charged against compensatory time, vacation accruals or personal leave. Classified (i.e., clerical, maintenance, janitorial and university police) employees are given five personal days annually, to be used for personal business, religious observance or emergency and severe weather situations. Classified employee absences due to emergencies or inclement weather should first be charged against personal leave. Professional employees, librarians and management confidential employees should first charge such absences against vacation or holiday compensatory time.
- 2) Excuse reasonable tardiness - without charge to leave credits when in the opinion of the President extraordinary situations or weather conditions affect the arrival time of a large group of employees. Full day absences, however, can never be excused without charge to leave credits or payroll adjustment.
- 3) Authorize early departure of employees - with appropriate charges to leave accruals or payroll adjustment, when in the opinion of the President the situation warrants it or weather conditions could make transportation dangerous.
- 4) Direct the early departure of employees - without charge to leave accruals or payroll adjustment, when in the opinion of the President and with the prior approval of the Governor's Office of Employee Relations, the situation warrants it or the weather is severe enough to make travel dangerous. This action is used rarely and in only the most extreme circumstances.

Implementation

- 1) The Vice President for Administration and the Facilities Director are responsible for monitoring weather reports and weather conditions for the College. In the performance of these duties, they will consult with the United States Weather Bureau, state, local and

county police, and the Chief of University Police to monitor the effect of storm conditions on transportation to, from and on campus.

2) They will advise the President if reports indicate that weather conditions are likely to severely disrupt transportation and warrant administrative action.

3) The decision, if any, of the President under these circumstances may be one or some combination of the four options already discussed.

4) Communication of the President's decision to the College community will be accomplished as follows:

a) If classes are to be canceled before the beginning of the instructional day, announcements will be made over radio and TV stations. A detailed message will be available on the weather and emergency line - 564-SNOW.

b) If classes are canceled after the beginning of the instructional day, the announcement will be communicated to Supervisors, Directors and Departmental Chairpersons by the appropriate

Vice President and announcements will be made over radio, TV stations, email and voice mail. A detailed message will be available on the weather and emergency line - 564-SNOW.

c) If the President concludes that prevailing weather conditions justify the excuse of reasonable tardiness, employees and supervisors will be notified via email and voice mail.

HOLIDAY POLICY

Approved by Executive Council - Spring 2006

It is the policy of State University of New York College at Plattsburgh to observe paid holidays for New York State employees. These are New Year's Day, Martin Luther King Day, Lincoln's Birthday, President's Day, Memorial Day, Independence Day, Labor Day, Columbus Day, Election Day, Veterans Day, Thanksgiving Day and Christmas Day.

If any of these holidays fall on a Sunday, it is observed as a paid holiday on the following Monday.

Up to two of the holidays listed above may be designated by the State as "floating holidays". This means State offices would remain open and employees required to work would receive compensatory time off. Election Day and Lincoln's Birthday have been designated "floating holidays" and are, therefore, normal business days.

Holidays not observed as "floating" are assumed to be observed by College employees. Many holidays normally fall on days when classes are scheduled, and subsequently the services provided by many offices may be required. On the following holidays, it is expected that every office will be open and have at least minimum coverage: President's Day, Labor Day and Veteran's Day. The extent of such coverage should be determined in advance by the department head and his or her supervisor.

Therefore, campus offices will be closed for business on the following holidays: New Year's Day, Martin Luther King Day, Memorial Day, Independence Day, Columbus Day, Thanksgiving Day, and Christmas Day. These will vary based on the academic calendar - when students are on campus, offices are expected to be open.

LIBERAL LEAVE POLICY

Approved by Executive Council on October 4, 2005

Annually, the College adopts a liberal leave policy for the weeks of Thanksgiving, Christmas and New Years for offices and departments without a specific work commitment at those times.

Encouraging colleagues to take vacation and other appropriate leaves at this time allows the College to shut down and/or cut back operations resulting in cost savings.

We ask that you discuss your holiday and work plans with your supervisor as soon as possible. Under the liberal leave policy, staying out of work is voluntary. If you choose to work, in most cases, you should be able to work at your normal workplace. While the liberal leave policy encourages employees to take time off during this holiday period, it is recognized that some departments use this time to catch up, work on special projects or perform preventive maintenance. It is very important to communicate with your supervisor to minimize conflict between vacation plans and operational needs.

The specific days on which the liberal leave policy will be in effect are as follows:

The day before Thanksgiving

The day after Thanksgiving*

The week of the Christmas Holiday through the New Year Holiday

When Christmas and New Year's Day fall on Sunday, under the provisions of the Law are observed as legal holidays in New York State on the following Monday. However, contract provisions for certain bargaining units provide that when Christmas Day and New Year's Day fall on Sunday, employees for whom that day is a regularly scheduled workday will observe the holiday on Sunday instead of Monday.

*UUP Professionals will observe the day after Thanksgiving as a floating holiday in lieu of the observance of Election Day, in accordance with Article XIII, Title D of the Policies of the Board of Trustees, and therefore, should not charge leave credits for absence from work on the day after Thanksgiving. (Indicate "holiday" on your leave report). Leave credits should be charged by UUP Professionals and 12-month faculty who choose not to work on the liberal leave days listed above.

SUMMER SESSION EMPLOYMENT

Following are the policies and procedures governing the selection of faculty members for summer session appointments.

The policies and procedures result from several considerations. Most important is the purpose of the college to serve the taxpayers of the State of New York by offering within its financial limits the highest quality and more comprehensive program during the summer session.

STEP I The Provost and Vice President for Academic Affairs and Deans, determines the program of courses and special workshops to be offered during the coming summer. This program will be based primarily on the needs of potential students.

STEP II The Deans will recommend to the Provost and Vice President for Academic Affairs summer session faculty. Important factors of competence to be considered in selecting faculty are:

1. Quality of classroom teaching.
2. Teaching experience in terms of the specific courses to be taught.
3. Formal preparation for college teaching including advanced degrees.
4. Capacity to perform necessary services to the college other than classroom teaching.

A limited number of visiting staff members will be appointed each summer with the following considerations being made:

- A. The number of outside staff members appointed shall be held a minimum in order that a maximum number of regular staff members may be given the opportunity for summer assignments.
- B. Visiting staff members shall be selected on the basis of their ability to broaden the instructional program which our graduate students had during their four years of undergraduate study.
- C. When possible, visiting professors shall be well known in order that their presence on campus may add to the prestige of the program.
- D. Whenever possible, the Provost and the Vice President for Academic Affairs and the Dean shall arrange for an equitable exchange of professors, so that visitors to this campus in turn create for our regular staff members summer positions on their campuses.
- E. Recruitment for visiting staff members must comply with affirmative action guidelines.

STEP III Approval by the Provost and Vice President for Academic Affairs who will write the letter of appointment.

STEP IV Personnel forms (CP-1 or CP-3) must be submitted to the Human Resource Center, along with appointment letter, prior to the first day of summer employment.

SUMMER SESSION SALARIES

Individuals who are employed for summer session shall typically be paid per credit hour. Instructors teaching courses with greater or fewer credit hours will receive a pro-rated salary.

Course offerings are contingent on enrollment minimums which are subject to change each semester. Courses not meeting these enrollment minimums are subject to cancellation, but faculty desiring to teach courses not meeting minimums will be paid a pro-rated salary.

PRIVATE INSTRUCTION AND TUTORING

1. It is the general policy of the college that faculty members shall not give private instruction (tutoring) to college students for remuneration in those areas which they teach as members of the college faculty. (This includes mathematics, speech correction, remedial reading and all academic areas as well as the arts).

2. As in all general policies, it may be for the welfare of the college to make certain exceptions, if such exceptions can be honestly made in terms of the faculty member's commitments to the college and in accordance with accepted professional ethics.
3. A faculty member who wishes to accept extra pay for offering private lessons to a college student should carefully describe the situation to the other members of his/her department and explain why it would be a special benefit to the college to make an exception to the general policy. In this explanation, it should be clear that the student cannot get adequate instruction from the private teachers in the area. If applicable, he/she should also explain that the parents are fully aware of the situation, and have made a special request for this kind of help. It should also be clear that such private lessons will in no way diminish the amount of time that the faculty member has for departmental committees, formal class instruction, group lessons, extra demands made on all faculty.
4. If, in the opinion of the department staff, this exception is warranted, the request should go to the dean of the appropriate faculty who will make the decision in terms of the total welfare of the department and the college.

A faculty member is expected to carry as part of his/her regular instructional assignment those students for tutorial study, which may be assigned to him/her by his/her departmental chairperson. There will be no additional compensation for guidance of tutorial study during the regular academic year.

EXTRA SERVICE POLICY AND PROCEDURES FOR ACADEMIC AND PROFESSIONAL STAFF

The following policy is applicable to performance of service beyond that normally required by the professional obligation as defined by the individual's performance program.

Extra service for professional staff of the State University of New York is defined in two ways:

1. Work performed by academic and professional staff in a payroll agency other than the payroll agency to which the employee is regularly assigned. (A campus is a payroll agency, an individual academic unit is not.)
2. Special assignments performed by academic and professional staff at their own campus which are substantially different from or in addition to an individual's professional responsibilities.

Authority for approval of such service has been granted to the Chancellor by the Board of Trustees. Responsibility for action on individual requests for other than M/C employees has been delegated by the Chancellor to the Chief Administrative Officer of each campus. Extra service for M/C employees requires approval of the Chancellor or his designee.

These special assignments may be performed on the home campus but must not interfere with the individual's regular professional responsibilities. Such assignments may include service by those holding positions of other than academic rank (i.e., administrators and other professionals) and outside of regularly assigned working hours. These assignments may involve but are not limited to teaching, research, and public service. It must be clearly demonstrated that such research or other service exceeds that which is normally performed under the regular obligation. Additional compensation for research activities must be consistent with any policies of the Grant Sponsor.

Compensation for extra service may not exceed an amount equal to 20% of base annual salary in any academic or calendar year beginning July 1 or September 1, as appropriate. For example, a professional staff member earning a salary of \$25,000 may not be paid more than \$5,000 for extra service during the course of his or her annual professional obligation. Summer employment of persons having academic year obligations does not constitute extra service. Compensation for such summer employment is covered by other policies and procedures.

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. Additionally, all extra service activities must conform to the ethical Standards mandated by Section 74 of the Public Officer's Law.

Extra service compensation is not to be used in lieu of overtime for a professional employee deemed eligible under the Fair Labor Standards Act.

Written approval for extra service assignments must be obtained prior to the commencement of the service. Service performed in advance of such approval will not be compensated.

Extra Service forms (UP-8 for UUP and UP-6 for M/C) are available in the Human Resource Services Office.

FACULTY MEMBERS TAKING COURSES

1. Auditing Courses

- a) Faculty or staff may attend classes offered by other faculty and should adhere to the rights and responsibilities of any college student.
- b) Instructing faculty should be extended the courtesy of knowing in advance of colleagues wishing to audit the course.

2. Taking Courses for Credit

There are means available by which all faculty and staff can receive some form of tuition assistance or waiver for credit courses. Refer to Human Resources Services Office.

All faculty are expected to maintain a regular schedule of office hours for consultation with students. The number of hours and the particular schedule are determined by the faculty member, both with the condition that they are sufficient enough and convenient enough to assure accessibility to students.

A suggested schedule would be at least one office hour for each class section taught on campus, the time of such hours to be distributed throughout the week as far as possible. Special provisions should be made through appointments for students unable to meet with instructors at announced times. The schedule of office hours should be posted outside instructors' offices and announced in class.

Official campus office hours are 8:00 a.m. to 4:30 p.m.; Monday through Friday.

ABSENCE FROM CLASS AND CLASS COVERAGE PROCEDURES

(Revised 5/21/2009)

Faculty are expected to be present for all officially scheduled class times (including during finals week). Time missed from class for any reason should not normally exceed one week of classes over the course of the semester. Arrangements for absences from class, including absences for anticipated medical reasons, should be planned well in advance, and approved by the department chair and dean.

Absences due to illness require notification of the chair and departmental secretary before scheduled class time so that class can be officially canceled or substitute instructional activities arranged.

All scheduled class and exam times must be met in order for students to receive credit for classes. It is the responsibility of the faculty member to arrange for appropriate coverage ahead of time to meet class obligations. Coverage usually involves a lecture or exam covered by a colleague, an in-class video administered by a colleague, required attendance at a special event on campus, a library project, or an on-line assignment. The instructor needs to show how the video, special event, or special assignment is relevant to class. Library faculty are available for advice on library assignments or other projects, but the faculty member is responsible for overseeing the students' work on the project. The make-up assignment must be included as a component of the final course grade.

If an instructor must cancel a class on short notice due to illness, students must make up the missing material. Make-up classes may be scheduled, but any student who cannot attend must not be penalized. It is the responsibility of the faculty member to meet in small groups or individually with any student who cannot attend a make-up class, or provide the student with another reasonable option for coverage of the missed material. Missed classes may also be made up with independent appointments with students to review papers or class material as appropriate. The make-up assignment must be included as a component of the final course grade.

All absences require completion of a Report of Absence from Classes and Coverage of Instructional Responsibilities form, ahead of time for anticipated absences. Faculty should complete the form no more than THREE (3) days after an absence due to illness. Absences due to illness or other medical reasons must be charged against sick leave credits and be reported on the monthly timesheet that is submitted to the Payroll Office. Department chairs are responsible for monitoring faculty absence from class. Report of Absence from Classes and Coverage of Instructional Responsibilities form

ATTENDANCE RECORDS, SERVICE AND ABSENCES

(STATE/UUP AGREEMENT, ARTICLE 23.9 AND POLICIES OF THE BOARD OF TRUSTEES, ARTICLE XIII.)

When a faculty or professional staff member is unable to fulfill his/her assignments it is important that the exact length of such absence be officially recorded. In the case of illness where the length of absence cannot be determined, a substitute will be retained as required.

Employees shall be required to certify their presence and record any absences on forms to be provided by the Payroll Office. Employees shall also be required to record on such forms

charges to or accruals of vacation or sick leave credits. Such forms shall be certified by the immediate supervisor and submitted to the Payroll Office for review on a monthly basis.

Failure to submit monthly attendance records may delay distribution of payroll checks.

Sick Leave Accruals - Full-time faculty hired prior to July 1, 1982 accrue 1.75 days per month of service up to a maximum of 200 days.

Full-time faculty and professionals hired on or after July 1, 1982 accrue sick leave at the following rate:

Years of Completed Service	Accrual Rate
From Initial Date of Employment to 2nd Year Anniversary Date	1.25 days/month
From 2nd Year Anniversary Date to 3rd Year Anniversary Date	1.33 days/month
From 3rd Year Anniversary Date to 6th Year Anniversary Date	1.50 days/month
From 6th Year Anniversary Date to 7th Year Anniversary Date	1.66 days/month
From 7th Year Anniversary Date and after	1.75 days/month

Part-time faculty accrue sick leave at the following rate:

Number of Courses Taught	Sick Leave Accrual Rate
1	.25 day/month
2	.50 day/month
3	1.00 day/month

Part-time professional staff accrue sick leave and annual leave credits subject to maximum accrual limits based upon the following schedule:

Annual Salary (effective 7/1/06)	Accrual Rate
up to \$11,224	.25 of a day/month
\$11,225 to \$16,837	.50 of a day/month
\$16,838 to \$22,449	1.00 day/month
\$22,450 or higher	1.25 days/month

Faculty and professional staff who return to State service following a break in service of less than one year will have their sick leave balance restored. Employees that return following a break in service of more than one year will accrue leave at the rate of their combined years of State service.

A staff member required to work a legal state holiday occurring Monday through Friday is credited with a day of leave termed a "compensatory day." Compensatory days off shall be

scheduled at times mutually convenient to all parties. Absences for part of a workday should be reported rounded to the nearest 1/4 day.

COMPENSATORY TIME

The first type of compensatory time is accorded under Subdivisions 23.5 b, c, and d of the State-UUP Agreement. An employee who is eligible to observe holidays is entitled to a compensatory day off when the holiday falls on a Saturday, Sunday or a pass day or when he or she must work on the holiday.

Compensatory days off are scheduled within three months, at times mutually convenient to the employee and University. There has been some concern regarding the loss of compensatory time not actually used within three months. Compensatory time should not be lost if it is used after three months, provided that it is scheduled within three months. Every effort is made to ensure that employees are afforded the opportunity to schedule compensatory time within the three-month period.

A second type of compensatory time is accorded to those managerial and professional employees whose service exceeds their normal professional obligation. It should be noted that this situation arises when that work does not fall within the definition of extra service. Such additional efforts may be recognized by compensatory time off at a later date. Such non-holiday time is not described as an hour-for-hour exchange, rather, it should be accrued and used through informal arrangement between the employee and his/her supervisor and not reported on the monthly attendance reporting form. Non-holiday compensatory time should be used soon (within a few weeks) after it is earned. This type of compensatory time has been in place within the University since June 21, 1972 and is continued unchanged for employees who are exempt from the Fair Labor Standards Act.

Employee status under the Fair Labor Standards Act determines the manner of compensation. Those individuals who have been designated non-exempt under the Act are entitled to compensatory time off at a rate of time-and-one-half. Normally, overtime must be authorized in advance by a designated administrator. Compensatory time may then be used with approval of the appropriate campus supervisor.

Questions concerning compensatory time off and the impact of the Fair Labor Standards Act should be directed to the Human Resource Services Office, extension 5062.

LEAVE AND ATTENDANCE REPORTING

The procedure to be used in completing leave records is as follows:

1. Everyone must complete his/her own leave record. The only exception to this is when a supervisor must indicate a person's absence.
2. Leave records must be signed. The employee's signature indicates certification of the official record of absence. The supervisor must also sign the leave record to certify acceptance and approval of this official record.
3. Medical documentation is requested for the use of four or more consecutive sick days. This should be provided to Human Resource Services as soon as possible.
4. Returning leave records on time (the fifth of the month) will help to ensure the accuracy of pay and leave accruals.

5. A copy should be retained for the employee's records.
6. In the event that an error is discovered on the leave record after it has been turned in, please contact Payroll or Human Resource Services to take the steps necessary to facilitate a correction.
7. Employees are eligible to accrue leave credits for each month or major fraction thereof during the term of their professional obligation.

RELEASE TIME POLICY FOR CLASSIFIED STAFF

Approved by Executive Council on April 25, 2006

Release Time is defined as time off from normal work hours, not required to be charged to leave credits, for attendance at a college event/function for which such time has been authorized by the college President or designee.

An employee's use of Release Time is not automatic. Permission must be sought from the supervisor to attend the event/function if that attendance is during work hours. Permission to attend may be denied by the supervisor if such attendance would significantly disrupt operations.

While permission to grant Release Time may not be automatic, neither should it be routinely denied. Every effort should be made by the supervisor to make adjustments within a department or office to accommodate attendance at an authorized event/function.

Release Time will be considered for educational purposes when those events are sponsored by the college, offered under negotiated programs or considered job-related or career-related.

Employees utilizing their SUNY tuition waiver, CSEA LEAP voucher, or other waivers are not automatically eligible for Release Time. However, the employee and supervisor may reach a Flex Time* agreement, Voluntary Reduction in Work Schedule (VRWS)* agreement, or the employee may elect to charge leave accruals to attend a course during normal work hours.

Course work must meet one of the following criteria to be approved as job-related:

It is specifically required by New York State, or by law or regulation, to maintain salary, status, or job; or

It directly supports or improves skills required for current job assignments, duties, or responsibilities.

Course work must meet one of the following criteria to be approved as career-related:

It directly prepares employees for advancement within the employee's current title series or occupation;

It directly develops the administrative or management capacity of employee's; or

For non-degreed employees, it is course work necessary to obtain an undergraduate degree to qualify them for job opportunities within State service at the paraprofessional or professional level.

Based on current Federal guidelines, even if course work meets these conditions, it does not sufficiently meet the test of job-relatedness if:

It is required to meet the minimum educational requirements to qualify employees for permanent status in present job assignments; or

It is part of a program of study that can qualify employees for a new occupation or profession, even if there are no plans to enter that occupation or profession.

*See Flex Time Work Scheduling and Voluntary Reduction in Work Schedule (VRWS) agreements for further details.

COMMENCEMENT - ATTENDANCE OF FACULTY AND PROFESSIONAL STAFF

The policy in regard to faculty attendance at the spring commencement is as follows:

All academic and professional staff members are obligated to be present at Spring Commencement unless an application for absence is approved in writing by the departmental chairperson and dean. Requests should be made at least two weeks in advance of the Commencement date. Please complete application forms, which are available in the office of each dean. Copies of approved applications should be forwarded to the Provost and Vice President for Academic Affairs at least ten days in advance of Commencement.

EMPLOYEE IDENTIFICATION CARDS

ID cards may be obtained by completing the necessary forms at the Human Resource Services Office and then taking those forms to Clinton Dining Hall where your photograph will be taken for the ID. This card also serves as your library card and as access to other campus services.

SABBATICAL LEAVES

The policy on sabbatical leaves with pay is defined in Article XIII of the Policies of the Board of Trustees and Article 23.6 of the Agreement between UUP, Inc. and the State of New York.

The Policies and Article 23.6 of the Agreement state that "sabbatical leaves may be granted for planned travel, study, formal education, research, writing or other experiences of professional value."

Eligibility

Academic employees having continuing appointments who have completed at least six (6) consecutive years of service within the University or who, if they previously have had a sabbatical leave, have completed at least six (6) years of service within the University from the date of return from their last sabbatical leave, shall be eligible for sabbatical leave.

The following campus policy applies:

1. Approval of an application for sabbatical leave shall be dependent upon a qualitative review of the proposed activity based on all of the following criteria:

- a) The potential of the contribution that the proposed leave will make to
 - 1) the college,
 - 2) thought and knowledge within the disciplinary field,
 - 3) the individual's professional development, and
 - 4) the department;
- b) The quality of the applicant's work within his/her field and the extent to which this work offers promise for a productive use of the sabbatical;
- c) The overall quality of the conception, definition, organization, and description of the proposed activity; and
- d) The likelihood that the proposed activity will be accomplished.

2. Requests for leaves will also be reviewed by the Department Chairs and Deans to ascertain the impact of the leave on both the departments involved (if more than one is affected) and the effect of such leaves on the total instructional program of the College.

Within one semester of return from sabbatical leave, a report reiterating the proposed objectives of the leave and detailing the accomplishments of the leave must be submitted to the College Provost with copies to the appropriate Dean and the Chairperson for their review. The report will also be reviewed by the President and sent to SUNY Central for review by the Chancellor's Office. It is essential that the report be carefully prepared to include substantive and complete information.

3. It is strongly recommended that each individual discuss with his/her chairperson his/her plans for sabbatical leave at least one (1) year in advance. Sabbatical leave applications are available from the offices of the Deans and Provost.

Half-year, full pay sabbatical leaves and full year, half-pay sabbatical leaves shall not adversely affect the teaching/learning environment for students or other reasonable academic services provided to them and are available for all academic employees who otherwise meet the criteria of the Board of Trustees Policies and the Agreement, and whose sabbatical leave proposals are approved.

A specific plan to assure coverage of the classroom seats of the academic employee going on leave will be prepared by the Departmental Chair/Center Director in consultation with the applicant and appropriate Dean(s) and attached to the leave application at the time the leave request is made. This plan must assure total coverage of the teaching capacity of the academic employee who goes on sabbatical leave.

Note that the Trustees' Policies and the Agreement permit academic employees to submit an application to the President of the college up to six (6) months in advance of the effective date of the leave, but in no event later than six months in advance of such date unless such requirement is expressly waived by the chief administrative officer. The College President may approve such sabbatical leave as the College President deems appropriate and such leave shall be reported to the Chancellor.

SUGGESTIONS TO FACULTY MEMBERS WHO ARE PLANNING TO APPLY FOR SABBATIC LEAVES IN THE FUTURE

The following points should not be in any way construed as an effort to curtail sabbatical leaves. On the contrary, it is hoped that the high ceiling of college teaching and the need for constantly renewing knowledge of subject disciplines may inspire more staff to take

advantage of this opportunity offered by State University and the good offices of faculty colleagues.

1. The important consideration in supporting or denying support for sabbatical leaves is found in Title E, Section I of the Policies of the Board of Trustees in the following words: "The objective of such leave is to increase an employee's value to the University".

2. The College is in agreement with the American Federation of Teacher's Higher Education Program and Policy Councils statement on First Principles: "Research, scholarship and creative activity are essential to the success of American Higher Education. For ideas to flow between students and teachers, and reach society at large, knowledge must be continually expanded as well as transmitted. Colleges and universities differ greatly in their research activity, but good teaching always draws on new scholarship, and vice versa".

3. All sabbatical leaves should be planned well in advance so that one's chairperson, colleagues, and Dean have the opportunity to discuss the proposed project (usually 12 months in advance).

4. Academic employees are encouraged to seek external funding in support of their sabbatical activities. In the "idea" and initial preparation stages for these sabbatical projects where external support may be appropriate, academic employees need to consult with Sponsored Research and Programs, Kehoe 815, for assistance in locating possible additional funding sources. Furthermore, all academic employees may wish to consult with Sponsored Research to ascertain the viability of external support for their proposed activities.

LEAVES OF ABSENCE OTHER THAN SABBATICAL

The policies governing "other" leaves for academic employees and leaves of Absence for professional employees may be found in the Policies of the Board of Trustees, Article XIII and the UUP Agreement, Article 23.7 a & b and state: "Other leaves for academic employees and professionals, for the purpose of professional development, acceptance of assignments of limited duration with other universities and colleges, governmental agencies, foreign nations, private foundations, corporations and similar agencies, as a faculty member, expert, consultant or in a similar capacity, or for other appropriate purposes consistent with the needs and interests of the University. Leave of absence without salary may also be granted under appropriate circumstances for the purpose of childcare. Leaves of absence at full or reduced salary pursuant to provisions of this Section shall be subject to the approval of the Chancellor".

The approval request form or letter is available in the Dean's or Provost's Office, a copy of the President's letter of approval and a personnel change notice must be sent to the Human Resource Services Office to implement a leave. A personnel change notice is required to return an employee to full payroll status.

EVALUATION AND PROMOTION OF ACADEMIC EMPLOYEES

Please refer to the policies of the Board of Trustees, the NYS-UUP Contract, and the "Performance Reviews of Academic Employees: Policies and Procedures (an agreement between SUNY Plattsburgh and United University Professions, Inc). Copies are available in the Provost, Dean, and Human Resource Services Offices.

EVALUATION AND PROMOTION OF PROFESSIONAL EMPLOYEES

Please refer to the Policies of the Board of Trustees, the NYS-UUP Contract, and the "Performance Reviews of Professional Employees: Policies and Procedures (an agreement between SUNY Plattsburgh and United University Professions, Inc). Copies are available in the Provost, Dean, and Human Resource Services Offices.

FACULTY EMERITI

SUNY Plattsburgh acknowledges the work of its employees in carrying out the mission of the organization. In recognition of the hard work and dedication of those employees who have spent their careers (or a substantial portion thereof) in loyal service to the college, its students, and the taxpayers of the State, and retire in good standing from their employment with the college, the following shall apply.

As specified in Article XV, Title D of the Board of Trustees Policies, all members of the University faculty who retire in good standing shall be entitled to append the term "Emeritus" to their academic or administrative title. All academic and administrative Emeriti, and all other retirees not covered by Article XV, but who nonetheless retire in good standing, shall be entitled to the privileges and benefits enumerated in the Employee Policy and Procedure Covering Retirees/Emeriti.

EMERITI/RETIREE PRIVILEGES

Approved by Executive Council on January 4, 2005

1. Retiree Lounge/Common Office: The college will provide a central facility on campus where emeriti/retirees can gather and do work. This facility will be equipped with lounge furniture, some office furniture, and some computing facilities and will be open during the college's regular business hours.
2. Laboratories and Studios: In most circumstances, emeriti/retirees will not be able to retain these facilities in retirement. The exceptions will be when emeriti are actively engaged in research, production, and scholarship that requires access to a laboratory or studio facility, and when those limited facilities are actually available. Assignments will be made on a semester-to-semester basis.
3. Storage Space: The college will try to assist emeriti/retirees with storage of office belongings, within reason, for a period of 1 year in retirement. After that, it will be the responsibility of emeriti/retirees to move the items off campus or to make arrangements for their disposal by the college.
4. Mail: Emeriti/retirees should make every attempt to have their professional mail directed to their home addresses in retirement. It is important that emeriti/retirees notify the college of changes in their home address in a timely manner.
5. Library: Emeriti/retirees will be able to retain library privileges in retirement.
6. Email: Emeriti/retirees will be able to retain email accounts in retirement.
7. Directory: Emeriti/retirees will be listed yearly in the campus directory.
8. Adjunct Employment: Emeriti/retirees serving as adjunct employees will have the same privileges and receive the same services as any other adjunct employee.

9. Fitness Center and Other Recreational Facilities: Emeriti/retirees are eligible to enroll at the same rates as non-retired members of the college community.

10. Parking: Emeriti/Retirees are entitled to free parking, but must purchase a hang tag through University Police.

PETS/ANIMALS OF EMPLOYEES IN THE WORKPLACE

Approved by Executive Council on July 19, 2004

The establishment of College policy is intended to facilitate the effective and efficient delivery of education and related services to our students, parents, and members of the community.

In order to accomplish this objective, it is necessary to treat every employee of the College in a fair and consistent manner; to establish, to the best of our ability, safe, clean working conditions; and provide a workplace, equipment and materials appropriate for the task at hand.

It is acknowledged that the campus, in great part, is made up of public spaces. For this reason it is often difficult to differentiate between the truly public areas and those spaces which are work spaces.

Nevertheless the workplace is intended to be devoted to the principles described above and in those work spaces the presence of animals not devoted to accomplishing these objectives is disruptive, non-hygienic and potentially unsafe.

Therefore, it is the policy of SUNY Plattsburgh, to prohibit employees from bringing personal pets or other animals into the workplace. This applies to all campus buildings and all State vehicles at all times.

The only exceptions to this general rule would be for animals used as working/aid animals such as guide dogs, animals used in clinics or as part of an academic program, animals used by law enforcement, and animals used in authorized artistic performances on campus.

FAMILY MEDICAL LEAVE ACT

Please contact the Human Resources Services Office or visit the following website for information:

<http://www.plattsburgh.edu/offices/admin/hr/fmla/php>

RECRUITMENT OF PROFESSIONAL STAFF AND FACULTY

To obtain a copy of the most current recruitment/search procedures, contact Human Resource Services.

SEARCH PROCESS

Summary of the Search Process

1. Need for the position is identified and approved by vice-president.
2. Search committee is assembled by department chair/unit supervisor/director, and hiring authority (HA) in consultation with Affirmative Action Office (AAO) and Vice President (VP).

- a. Search committee meets with Human Resource Services (HRS) for orientation and review of procedures.
 - b. Search committee, with department chair/unit supervisor/director and HA, refines position description and advertising copy.
 - c. Recruitment plan is developed.
 - d. Authorization to Recruit (ATR) is prepared and required signatures obtained.
3. Ads are placed through Human Resource Services, and Search Committee engages in active and affirmative recruitment efforts as outlined by recruitment plan.
4. Applications are received by HRS, logged, and made available to search committee.
- a. HRS requests gender/ethnicity information from applicants.
 - b. AAO reviews size and ethnic/gender diversity of the pool.
5. Search Committee reviews files according to requirements and position description.
- a. Special considerations
 - b. Candidates not meeting minimum qualifications are identified; list and reasons sent to Affirmative Action Officer and HA and HRS (all three!).
 - i. AAO compares cuts with gender/ethnicity information (not available to committee).
 - ii. AAO & HA give permission to proceed to next stage.
 - iii. Letters are sent to unqualified candidates.
 - c. Candidates are identified for phone interviews; list and reasons for including and excluding are sent to AAO & HA & HRS,
 - i. AAO compares cuts with gender/ethnicity information.
 - ii. AAO & HA give permission to proceed to phone interviews.
 - iii. References listed by candidate are verified by the search committee.
 - iv. Formal application forms are sent to candidate; after submitted by candidate, anyone can be contacted for references.
 - d. Phone interviews are conducted.
 - e. Candidates are identified for on-campus interviews; list and reasons for including and excluding are sent to AAO & HA & HRS.
 - i. AAO compares cuts with gender/ethnicity information (not available to committee).
 - ii. AAO & HA give permission to invite candidates to campus.
 - f. On-campus interviews are conducted.
 - g. Strengths & weakness of interviewees sent to AAO & HA & HRS.
 - i. AAO compares cuts with gender/ethnicity information (not available to committee).
6. After consulting with Department Chair/Unit Supervisor/Director and AAO, HA makes offer to top candidate.
- a. Candidate accepts!
7. Search Committee Chair completes Applicant Flow Log and mails non-selection letters.
8. CP1 form is submitted with Applicant Flow Log and Checklist for Search Committee Chairs; official hire is made.
9. New employee is welcomed and assisted in moving to area and adjusting to job.

PROMOTION and/or SALARY INCREASE POLICY

Professional employees may apply, and upon such application shall receive consideration, for promotion to vacant professional employee positions in the Professional Service

Negotiating Unit which are to be filled, or for promotion in their present positions; provided, however, that nothing contained herein shall affect or operate to invalidate any promotion or appointment, not shall anything contained herein be construed to require promotions or appointments to vacant positions in the Professional Services Negotiating Unit to be made from among professional employees presently employed by the university.

Prior to making promotions, or recommendations to the chancellor for promotion, of professional employees, the chief administrative officer shall review the supervisory evaluation and recommendations relating to such employees, together with the recommendations, if any, of the appropriate professional staff committees established for such purpose.

Reference to Plan for Internal Professional Promotions

<http://www.plattsburgh.edu/offices/admin/hr/internalprofessionalplan.php>

PROMOTION OF ACADEMIC EMPLOYEES

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 officer may deem appropriate to the operating requirements of the college.

LATE LEAVE RECORD POLICY FOR ACADEMICS

Approved by Executive Council on 9/11/07

Monthly leave records will be emailed to your campus email address by the 1st of each month for the prior month. In order to accommodate for obligations that tend to end before the actual end of the month, they will be sent at the beginning of the month.

The months of December and May will be sent out prior to the end of the month. Leave records should be printed, completed and given to your supervisor for approval. Leave records should be returned to the Payroll Office no later than the 10th of each month. Those received after the 10th will be considered late.

The following example will show how many times leave records will be requested:

We are requesting the month of January;

1st email-February 1st considered late if received after the 10th;

2nd email-February 15th;

3rd email-March 1st now also emailing February leave record;

4th request-March 15th now requesting January & February

If the leave records have not been received by the end of our four attempts, the next available paycheck will be held in the Payroll Office until all outstanding leave records are received.

All leave records for the fall obligation must be received by payroll by Jan 10th, and the spring obligation by June 10th, or the last check for each semester will be held until all leave records are on file. If you have direct deposit, the privilege will be stopped and the

actual check held until all the leave records are current. If a direct deposit privilege has to be cancelled, the employee must have two months of timely leave records before the direct deposit privilege will be reactivated. The respective Executive Council member will also be notified of the situation.

LATE LEAVE RECORD POLICY FOR PROFESSIONALS

Approved by Executive Council 9/11/07

Monthly leave records will be emailed to your campus email address each month by the 1st of each month for the prior month.

Leave records should be printed out, completed and given to your supervisor for approval. Leave records should be returned to the Payroll Office no later than the 10th of each month.

Those received after the 10th will be considered late.

The following example will show how many times leave records will be requested:

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 1st email-February 1st considered late if received after the 10th;
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If you have direct deposit, this privilege will be stopped and the actual check held until all the leave records are current. If the direct deposit privilege has to be cancelled, the employee must have two months of timely leave records before the direct deposit privilege will be reactivated. The respective Executive Council member will also be notified of the situation.

SOCIAL SECURITY NUMBER POLICY

(Approved by Executive Council 9/9/08)

PURPOSE

To ensure that policies and procedures relating to the collection, maintenance and dissemination of social security numbers are implemented and maintained at SUNY Plattsburgh in accordance with state and federal regulations.

PERSONS AFFECTED

All SUNY Plattsburgh faculty, staff, and business associates in connection with the collection, maintenance and dissemination of Social Security numbers (SSNs).

POLICY

Social Security Numbers will not be used as a means of identifying an individual on any campus form or report, print or electronic media, except where required by federal or state law.

Federal Privacy Act of 1974

"It shall be unlawful for any Federal, State or local government agency to deny to any individual any right, benefit, or privilege provided by law because of such individual's refusal to disclose his social security account number."

Exceptions:

To comply with another Federal law

For a computer system in place prior to 1975 In addition, all government agencies must provide a disclosure statement every time they ask for a Social Security Number. That is, whenever a Social Security Number is requested, the electronic or physical form used to collect the number must be clearly marked as to

Whether the request is voluntary or mandatory.

By what authority or legal statute the number is solicited

What uses will be made of the Social Security Number

The consequences, if any, of failure to provide the information

Family Educational Rights and Privacy Act (FERPA)

A student's social security number is, by definition, "personally identifiable information" under FERPA. Social Security Numbers (or portions) may not be disclosed without consent with the exception of legal obligations (i.e. processing loans, employment, etc.).

NY State Law: Chapter 16, Article I, Title 1, Section 2b

"Institutions shall not display student Social Security Numbers on public listing of grades, class rosters, student ID cards, student directories, or anything else unless specifically authorized or required by law."

Departments using the SSN will:

Show institutional need

Receive approval from the Information Security Committee (ISC)

Audit their systems on a yearly basis to ensure safe SSN handling

Forms requesting a SSN will include a statement that addresses the need for the SSN and the law requiring the information.

Offices that offer window service will ask for the individual's Net ID for account access.

Records containing SSNs will not be downloaded or stored on college or personal workstations or other electronic media devices that are not secured against unauthorized access in accordance with Plattsburgh State's Workstation Use and Security Policy.

Paper and electronic records containing SSNs will be collected, maintained and disposed of in a secure manner in accordance with Plattsburgh State's Device and Media Controls Policy.

DEFINITIONS - Refer to Information Security Glossary for Definitions

Access

Department Steward

Electronic media

Sensitive Information

Use

Workstation

RESPONSIBILITIES

All members of Plattsburgh State will comply with this policy.

The ISC will be responsible for conducting an annual review of departments using SSNs.

PROCEDURES

Requesting Social Security Number Access (Form or Report)

Department stewards will complete the Request for Access to Social Security Number Form and submit it to the ISC for approval.

Auditing

Departments using SSNs will be audited on an annual basis to determine continued need for access and review of safe procedures.

DOCUMENTS

Request for Access to Social Security Number

Workstation Use and Security Policy

Device and Media Controls Policy