



Faculty Handbook
Academic Year 2019-20

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INTRODUCTION

This Faculty Handbook is prepared in accordance with Article IX, Title A, Section 3, *Policies of the Board of Trustees, State University of New York*. Nothing in these policies shall be construed to restrict the power of the Board of Trustees at any time to alter, amend, revise or repeal the provision of these policies in whole or in part.

The purpose of this Faculty Handbook is to provide an overview of those policies and practices important to facilitating the adjustment of new faculty to our College community as well as to provide an initial reference source to all faculty members.

Policies and guidelines contained within are current only at the time of publication (see above). This Handbook is designed to be used in conjunction with the Course Catalog, Student Handbook, SUNY Policies, administrative manuals and various other College publications available through the Office of Academic Affairs and on the College Website. It is not meant to be all inclusive. Faculty members should not base important decisions solely upon the contents of this Handbook, but should consult with the president, dean for academic affairs, directors, department chairpersons or the Faculty Executive Committee for up-to-date information.

MISSION STATEMENT

(Approved by the President and the College Council, September 2018)

The State University of New York College of Optometry advances visual health and patient care through leadership in education, research and service.

STRATEGIC PLAN

The college adopted a five-year strategic plan from 2018-2023 focusing on the following five areas with corresponding goals:

Student-Centered Experience

Goal 1: Enhance the student experience through programs that promote student and alumni success.

Academic Excellence

Goal 2: Deliver a dynamic curriculum that engages students and advances contemporary optometry.

Goal 3: Grow the graduate and research program's to increase institutional impact on the advancement of knowledge and to produce leaders in vision research (basic, translational, and clinical).

Service to our Patients and Community

Goal 4: Deliver unparalleled care to our University Eye Center patients.

Goal 5: Provide service to the greater community.

Community and People

Goal 6: Cultivate an institutional culture that encourages a sense of community, inclusion, institutional pride, collective purpose and shared responsibility.

Goal 7: Promote the growth and development of all members of the College community.

Effective Foundational Support

Goal 8: Attract the brightest and most motivated students with demonstrated leadership potential.

Goal 9: Provide the financial foundation, administrative support and environment to achieve the College's mission.

BRIEF HISTORY

The State University of New York College of Optometry is dedicated to the education of optometrists, to the advancement of eye and vision care through research and graduate education and to the care of communities through the provision of comprehensive visual health services. The College is the only institution of its kind in New York State and the surrounding region.

The College of Optometry was established as an integral unit of the State University of New York through passage of legislation in 1970 and 1971. In 1971, the University entered into a contract of affiliation with the Optometric Center of New York (OCNY) the largest non-profit, vision care clinic in the country. As the College expanded, the need for clinical and research facilities increased, and the clinical programs of the Optometric Center of New York (OCNY) became fully integrated with the College by legislative act in 1975. At that time, the OCNY became known as the University Optometric Center. The Optometric Center of New York, also in 1975, changed its charter to become an affiliated foundation dedicated to the support of the College of Optometry.

ACCREDITATION

The State University of New York College of Optometry is accredited by the Board of Regents of the University of the State of New York of the New York State Education Department, the Middle States Commission on Higher Education, and the Accreditation Council on Optometric Education of the American Optometric Association.

GOVERNANCE AND ADMINISTRATION

COMPOSITION

The State University of New York was established in 1948 by an act of the State Legislature. It comprises 64 individual campuses, which are decentralized in location and administration and diversified in curricula. The public institutions of higher education in New York are the State University of New York and the City University of New York.

GOVERNANCE

Board of Trustees

The overall direction of the State University is the responsibility of a 16-member Board of Trustees appointed by the governor (and confirmed by the State Senate) who also designates the chairperson and vice-chairperson. A student member of the board serves ex officio.

System Administration

A System Administration staff, headed by the chancellor of the university, functions under the Board of Trustees and is located in the University's system offices in Albany. Each unit of the State University is headed by its own chief administrative officer and functions under the direction and leadership of the System Policy Administration staff. The chancellor also has offices in New York City located at 116 East 55th Street.

College Council

In addition to the Board of Trustees, which is charged with the responsibility for overall policy direction of the University, the governor appoints a College Council for each campus. The College Council consists of ten members, nine of whom are appointed by the governor and one who is elected by and from among the students of the institution. In accordance with statutes and policies established by the State University of New York Board of Trustees, this Council advises the president on the operations and affairs of the campus. They also serve an essential role in the selection of the College president. The members of this Council receive no compensation for their services.

Faculty Senate

SUNY Board of Trustees Policies, Article VII

The Faculty Senate of the State University of New York is the official unit through which the University faculty engages in the governance of the University. The Senate works to promote effective educational policies and other professional matters within the University. The Senate is composed of the chancellor of the University, two University representatives having University-wide responsibilities and one to four representatives from each campus of the University, depending upon the number of full-time professional staff. The professional staff of each unit elects its own representatives and alternates from a slate of two or more candidates nominated by secret ballot, by majority vote, or by an elected Faculty Nominating Committee. The term in office for each unit representative is three years.

The Faculty Senate has the following standing committees:

Executive Committee
Student Life Committee
Graduate Academic Programs & Research
Undergraduate Programs & Policies
University Programs and Awards

Ad Hoc Committees are established as necessary.

Regular meetings of the Faculty Senate are held at least three times a year at a time and place designated by the Executive Committee. Special meetings are called as necessary

CAMPUS GOVERNANCE

For detailed information about the governance and structure of the SUNY College of Optometry including organization charts go to: <http://www.sunyopt.edu/about/governance>

FACULTY BY-LAWS

Updated and approved: May 7, 2019

I. OVERVIEW

A. Construction

The by-laws, together with the policies of the Trustees, State University of New York, shall comprise the rules of conduct of the Faculty of the State College of Optometry, State University of New York. As stated in Article X of SUNY Policies of the Board of Trustees “by-laws shall be consistent with and subject to the Policies of the Board of Trustees of State University of New York, the laws of the State of New York, and the provisions of agreements between the State of New York and the certified employee organization established pursuant to Article 14 of the Civil Service Law. Provision of bylaws concerning consultation with the faculty shall be subject to the approval of the President of the college. All actions under bylaws shall be advisory upon the chancellor and president of the college.”

B. Definitions

1. **The College** shall mean the State College of Optometry, State University of New York.
2. **The Trustees** shall refer to the trustees of the State University of New York.
3. **Council** shall refer to the College Council (as described in The Policies of the Board of Trustees, State University of New York, Article II, Section G).
4. **President**: the chief administrative officer; the president of the State University of New York, State College of Optometry.
5. **Dean**: the chief academic officer; the vice president/dean for Academic Affairs.
6. **Associate Dean**: the associate dean for Graduate Studies and Research.
7. **Faculty** shall refer to the academic staff as defined in Article II, Section I, Paragraphs (i) and (j) of the Policies of the Board of Trustees, State University of New York.
8. **Voting Faculty**: voting members of the faculty shall consist of:
 - The chancellor
 - The president
 - Persons holding appointment of 1) (a) academic rank, or (b) clinical or research qualified academic ranks having regular teaching, clinical, research, library or administrative duties at the College, and 2) term or continuing appointments.
 - Visiting and adjunct faculty shall not be voting members.

On October 1, of each calendar year, the director of human resources, through the Office of Academic Affairs, shall provide to the faculty presiding officer a list of voting faculty as of September 1. The total number on this list will be used to determine the number of voting faculty for the following year.

C. Amendments to the Faculty By-Laws

Amendments can be passed at a faculty meeting only if the following conditions are satisfied: (1) Written notice (distributed to the faculty and posted electronically and on appropriate bulletin boards) of the proposed amendment must be made at least two weeks prior to the meeting; (2) 40 members of the voting faculty will constitute a quorum for purposes of voting on the proposed amendment; (3) a

2/3 vote, by secret ballot, of those present at the meeting is needed for the proposed amendment to pass.

If (a) three consecutive faculty meetings without the appropriate quorum OR (b) a period of two months from the first faculty meeting (whichever is less) have passed, then within two weeks of that time there will be held a mail or electronic vote. This vote will require a (2/3) vote of the responding voting faculty for passage, with a response of 40 faculty votes being considered a quorum to make the vote official.

If done by actual mailing, it will be conducted by the dean's office, to the faculty member's home address, and will include a copy of the proposed amendment, a summary of the discussion at the previous faculty meeting(s) relating to the amendment (prepared by the faculty secretary), any position papers submitted (limited to 1/2 page in length and submitted at least one week before mailing out the ballots), a ballot, and two envelopes (one large and one small). Thirty days from the initial mailing of the ballots will be allowed before tabulation of the votes. Votes will be sent to the faculty presiding officer in a sealed small envelope enclosed in a second larger envelope with the faculty members name on it. The faculty presiding officer will keep track of responding faculty, but the tabulation of votes will be done by the Executive Committee with only the sealed unsigned envelopes containing the ballots being available.

If conducted by electronic vote, all materials identified in the preceding paragraph will be made web accessible and systems that insure the integrity of the vote and confidentiality will be employed.

II. ORGANIZATION OF THE FACULTY

A. Human Resource Policies

Appointments, retention, rank, salary, tenure and other such human resources matters are governed by the policies of the Board of Trustees and the negotiated agreement between the State and the union representing the faculty.

B. Officers

1. The **Presiding Officer** of the faculty will call and conduct faculty meetings.
2. The **Presiding Officer-Elect** will act in the absence of the presiding officer. The presiding officer elect will succeed the presiding officer of the faculty, and each will serve two year terms in office.
3. The **Immediate Past Presiding Officer** will remain on the Faculty Executive Committee for a two year term.
4. The **Secretary** will take attendance at all faculty meetings, and record and maintain minutes of the meetings. If not present at a meeting, an acting secretary shall be appointed from those in attendance by the presiding officer. The secretary will serve for two years, and incumbents may succeed themselves one time only.
5. The **Faculty Senator** will represent the faculty on the University Faculty Senate, and will render reports to the faculty on University Faculty Senate affairs. An elected **Alternate**

Senator shall serve in his/her absence. The senator and alternate will serve terms of three years, and may succeed themselves one time only.

6. The **Representative of the Professional Program** (also representing the Residency Programs and the Continuing Professional Education Program) and the **Representative of the Graduate Program** will represent their respective constituencies on the Executive Committee. Each will serve for two years, and incumbents may succeed themselves one time only. Responsibilities shall include, but not be limited to:
 - o Monitor the functioning of the respective elected and appointed committees, reporting on a regular basis to the Executive Committee.
 - o Facilitate communication and coordination of activities among the president, dean, vice presidents, the faculty, and the faculty of the respective programs; assist the faculty presiding officer to coordinate faculty meetings with respect to the business of these programs; and to convene meetings of the faculty of these programs.
7. No person may simultaneously hold more than one office.

C. Elections

1. The presiding officer elect, secretary, senator, alternate senator and College-wide Elected Committee members will be elected by the faculty prior to expiration of their term of office. Elected officers will assume office on July 1 of the year in which they are elected, except for the senator and alternate senator who will assume office in the fall of the year in which they are elected.
2. A nominating committee will prepare a slate of candidates. This committee will consist of the presiding officer, the immediate past presiding officer and the presiding officer elect (who will chair the committee). The nominating committee will consult with each representative (Professional Program and Graduate Program) to get nominations for representatives.
3. Representatives and the members of the elected committees of the various programs will be elected by a vote of the faculty of their respective constituencies. An individual may represent a department or the UEC on a committee to which they have either a primary or a secondary appointment. An individual is able to run in a single intradepartmental or UEC election for each committee per election cycle even if they are eligible to represent more than one department and/or UEC. If they are not elected as a department or UEC representative, they then are eligible to run as an “at large” candidate if such a position is available.
4. Voting will be done by secret ballot if more than one person is running for an office.

D. Faculty Executive Committee

1. **General Purpose:** The Faculty Executive Committee will facilitate communication and coordination of activities among the president, dean, vice presidents and the faculty.
2. **Reporting Link:** The Faculty Executive Committee will report to and consult with the vice president for Academic Affairs. The Faculty Executive Committee may also seek consultation with the president at any time.
3. **Specific Responsibilities:** The Faculty Executive Committee will:

- Call and conduct quarterly meetings of the faculty. Additional meetings may be held at the call of the faculty presiding officer, or at the request of 10 or more members of the voting faculty. All requests must be made in writing and presented to the faculty presiding officer.
- Meet regularly to discuss and conduct faculty business.
- Monitor the functioning of the faculty elected committees, and include reports of these committees on the agenda of faculty meetings.
- Will serve as representatives to the Faculty Student Association.
- Will work with the vice president for Academic Affairs to assure the Faculty Handbook is updated annually.
- Facilitate the conduct of elections of faculty-elected committees in accordance with each committee's membership as described in the appendices.

4. **Membership:**

a. The Faculty Executive Committee shall have eight members:

- i. The Presiding Officer,
- ii. Presiding Officer Elect,
- iii. Immediate Past Presiding Officer
- iv. Secretary,
- v. Faculty Senator,
- vi. Faculty Senator Alternate,
- vii. One representative of the Professional Program, and
- viii. One representative of the Graduate Program.

b. Roles of membership

- i. The presiding officer will call and conduct faculty meetings.
- ii. The presiding officer elect will act in the absence of the presiding officer. The presiding officer elect will succeed the presiding officer of the faculty.
- iii. The immediate past presiding officer will help provide continuity to deliberations and discussions of the Executive Committee.
- iv. The secretary will record and maintain minutes of faculty meetings. If not present at a meeting, an acting secretary shall be appointed from those in attendance by the presiding officer.
- v. The faculty senator will represent the faculty on the University Faculty Senate, and will render reports to the faculty on University Faculty Senate affairs.
- vi. The alternate senator shall serve in the absence of the faculty senator.

vii. The Representative of the Professional Program (also representing Residency Programs and Continuing Professional Education) and the representative of the Graduate Program will represent their respective constituencies on the Executive Committee.

c. Terms of Office:

i. The two-year terms for presiding officer, presiding officer elect and past presiding officer occur in succession. The secretary and representatives of the professional and graduate programs shall serve two-year terms, and incumbents may succeed themselves in a given position only once.

ii. In accordance with the bylaws of the University Faculty Senate, the faculty senator and the alternate faculty senator will serve a three-year term, with a two-term limit. After an intervening term, one may seek additional terms.

d. Election Process:

i. The presiding officer elect, secretary, senator and alternate senator will be elected by the faculty during the spring quarter prior to expiration of their term of office.

ii. The representatives of the Professional Program and Graduate Program will be elected by their constituencies prior to expiration of their term of office.

iii. Elected officers will assume office on July 1 of the year in which they are elected.

e. Decision Making:

Five members of the Faculty Executive Committee shall constitute a quorum. Decisions of the Faculty Executive Committee shall be made by majority vote.

E. Records

The Harold Kohn Vision Science Library is the official depository for official faculty documents and the minutes of the faculty meetings.

F. Conduct of Faculty Meetings

1. Robert's Rules of Order will apply. An official parliamentarian will be appointed at each meeting by the faculty presiding officer.
2. Twenty of the voting faculty shall constitute a quorum for a faculty meeting or a meeting of the faculty of the Professional Program.
3. First order of business at faculty meetings will be the report of the chancellor or her/his designated representative followed by reports of the president and the vice president and dean for Academic Affairs.

4. Minutes of faculty meetings will be taken by the secretary, or an individual designated by the officer presiding, in the case of faculty meetings of specific programs. These minutes will be distributed by this individual to all faculty members within two (2) weeks of the meeting date, and a copy will be placed on record in the library (see Section IIE of the Bylaws).

G. Additional Meetings

In addition to faculty meetings, the representatives of the Professional and Graduate Programs may call and preside at meetings of their respective constituencies regarding issues of their respective programs. Meetings will be held at the call of the president, the program representative, or at the request of five members of the voting faculty. All requests must be made in writing and presented to the program representative.

All meetings shall be announced by a public notice, and may be attended by any faculty member. If the meeting is a meeting of the faculty of a specific program, other faculty members may attend as non-voting participants.

H. Types of Committees

1. Elected Committees:

- a. Election procedures of these committees are discussed below in the “Committee Overview” section.
- b. Reporting procedures for these committees are discussed below in the “Committee Overview” section.

2. Appointed Committees

- a. These committees will be appointed by the president upon recommendation of the dean for Academic Affairs. In preparing these recommendations, the dean will consult with the Executive Committee of the Faculty to discuss the appointed committees and receive recommendations concerning their composition. Faculty appointments to these committees will be reviewed, and recommendations for changes will be made annually. Administratively appointed committees are subject to revision and not part of the by-laws. They are listed below, and in the appendices of the Faculty Handbook, for informational purposes.
- b. Committees appointed within the graduate or professional degree programs noted below will be comprised of at least three members of the faculty of that program. No more than one Faculty member of each committee (not including ex officio members, who do not vote) may be appointed who is not a current member of the faculty of that program. This individual (1) cannot represent more than 25% of the committee's membership, and (2) will be considered a member of the Faculty of that Program during his/her term of office.

c. Administration will provide a timely written response to all written recommendations made by the committees. Responses shall be sent to the committee, with a copy to the Executive Committee.

3. *Ad hoc* Committees:

a. *Ad hoc* committees may be appointed at any time by the President or the vice president and dean for Academic Affairs as deemed necessary and after consulting with and receiving the recommendations of the Executive Committee. The Executive Committee may also appoint *ad hoc* committees. Committees will be comprised of at least three faculty members.

b. Committees appointed within either the graduate or professional degree programs will be comprised of at least three members of the faculty of that program. No more than one member of each committee may be appointed who is not a current member of the faculty of that program. This individual (1) cannot represent more than 25% of the committee's membership, and (2) will be considered a member of the faculty of that program during his/her term of office.

c. Administration will provide a timely written response to all written recommendations made by the committees. Responses shall be sent to the committee, with a copy to the Executive Committee.

4. College-wide Committees:

Committees that address issues on a College-wide basis.

a. Elected Committees:

(part of the faculty by-laws)

- i. Faculty Executive Committee (See section II.D)
- ii. Committee on Professional Qualifications
- iii. Committee on Faculty Development
- iv. Judicial Committee

b. Appointed Committees:

(listed for informational purposes only, see Appendix A)

- i. Institutional Research and Planning Committee (President)
- ii. Committee on Learning Resources
- iii. Institutional Review Board

- iv. Institutional Animal Care and Use Committee
- v. Fraud in Science Investigation Committee
- vi. Internal Control Committee
- vii. Committee on Health, Safety & Energy Conservation
- viii. Committee on Affirmative Action & Diversity

I. Professional Degree Program

1. The Professional Program refers to the College's educational program leading toward the degree of OD
2. The faculty of the Professional Program will include all faculty who (a) teach a course in the Professional Program, or (b) are involved in the clinical education and/or supervision of students in the Professional Program, or have participated in either of the above within the prior three years. Serving on any committee listed in Section B, below, will also make one a member of the faculty of this program during his/her term in office.
3. It shall be the responsibility of the dean to keep a current list of members of the faculty of the Professional Program, and to provide such a list, on request, to the president or to any member of the faculty.
4. Committees of the Professional Degree Program.
 - a. Elected Committees
(part of the faculty by-laws)
 - i. Committee on Educational Policy
 - ii. Curriculum Committee
 - iii. Committee on Course and Standing
 - b. Appointed Committees
(listed for informational purposes only, see Appendix A)
 - i. Committee on Admissions
 - ii. Committee on Scholarships, Award & Financial Aid

J. Graduate Program

1. The Graduate Program refers to the College's educational research programs leading toward the degrees of MS and PhD in Vision Science.
2. The Faculty of the Graduate Program refers to members of the faculty who are designated by the dean, after review and recommendation by both the associate dean and the Graduate Qualifications Committee, to
 - a. teach a course in the Graduate Program during the current academic year;
 - b. be the advisor of a MS or PhD student depending on qualifications;
 - c. serve as a member, other than chair, of a doctoral candidate's specialty area committee or dissertation committee (having been recommended by the graduate student's advisor); or
 - d. have participated in any of the above activities within the prior three years; or
 - e. who are serving on any committee listed in Section B, below, during his/her term in office.
3. Qualification for each of the above categories (a-e) of participation in the Graduate Program shall lapse after three consecutive years of inactivity in that category. Qualification may be reinstated only after review of the Graduate Qualifications Committee.

A Faculty member, whether or not teaching in the Graduate Program, who has not advised a graduate student at the Masters or Doctoral level (as in "b" or "c" above) in the last three years, may request Inactive Advisor status. This status may be granted, upon review and recommendation of the Graduate Qualifications Committee and designation by the Dean. Inactive advisor status must be renewed every three years. A list of all Faculty eligible to advise and the level of qualification will be made available to all graduate students.

It shall be the responsibility of the associate dean to keep a current list of members of the faculty of the Graduate Program and any inactive members, and to provide such a list, on request, to the president, dean, or to any member of the faculty.

4. Graduate Committees (See "Committee Overview" section below, which is considered a part of the Faculty Bylaws)

a. Elected Committees
(part of the faculty By-Laws)

- i. Committee on Graduate Faculty Qualifications
- ii. Committee on Graduate Program, Policy, Admissions, and Standing

b. Appointed Committees

(listed for informational purposes only, see Appendix A)

- i. None

COMMITTEES OVERVIEW

FACULTY EXECUTIVE COMMITTEE

A. General Purpose: The Faculty Executive Committee will facilitate communication and coordination of activities among the president, dean, vice presidents and the faculty.

B. Reporting Link: The Faculty Executive Committee will report to and consult with the vice president and dean for Academic Affairs (the dean). The Faculty Executive Committee may also seek consultation with the president at any time.

C. Specific Responsibilities:

The Faculty Executive Committee will:

- Call and conduct quarterly meetings of the faculty. Additional meetings may be held at the call of the faculty presiding officer, or at the request of 10 or more members of the voting faculty. All requests must be made in writing and presented to the faculty presiding officer.
- Meet regularly to discuss and conduct faculty business.
- Monitor the functioning of the faculty elected committees, and include reports of these committees on the agenda of faculty meetings.
- Will serve as representatives to the Faculty Student Association.
- Will work with the vice president for Academic Affairs to assure the Faculty Handbook is updated annually.
- Facilitate the conduct of elections of the faculty-elected committees in accordance with each committee's membership.

D. Membership:

- The Faculty Executive Committee shall have eight members:
 - The Presiding Officer
 - Presiding Officer Elect,
 - Immediate Past Presiding Officer
 - Secretary,
 - Faculty Senator,
 - Faculty Senator Alternate,
 - One representative of the Professional Program, and
 - One representative of the Graduate Program.
- Roles of membership
 - The Presiding Officer will call and conduct faculty meetings.
 - The Presiding Officer Elect will act in the absence of the presiding officer. The presiding officer elect will succeed the presiding officer of the faculty.
 - The secretary will record and maintain minutes of faculty meetings. If not present at a meeting, an acting secretary shall be appointed from those in attendance by the presiding officer.
 - The faculty senator will represent the faculty on the University Faculty Senate, and will render reports to the faculty on University Faculty Senate affairs.

- The alternate senator shall serve in the absence of the faculty senator.
- The representative of the Professional Program (also representing Residency Programs and Continuing Professional Education) and the representative of the Graduate Program will represent their respective constituencies on the Executive Committee.
- Terms of Office:
 - The two-year terms for presiding officer, presiding officer elect, and past presiding officer, occur in succession. The secretary and representatives of the professional and graduate programs shall serve two-year terms, and incumbents may succeed themselves in a given position only once.
 - In accordance with the bylaws of the University Faculty Senate, the faculty senator and the alternate faculty senator will serve a three year term, with a two term limit. After an intervening term, one may seek additional terms.
- Election Process:
 - The presiding officer elect, secretary, senator and alternate senator will be elected by the faculty prior to expiration of their term of office.
 - The representatives of the Professional Program and Graduate Program will be elected by their constituencies at a faculty meeting prior to expiration of their term of office.
 - Elected officers will assume office on July 1 of the year in which they are elected.

E. Decision Making: Five members of the Faculty Executive Committee shall constitute a quorum. Decisions of the Faculty Executive Committee shall be made by majority vote.

CURRICULUM COMMITTEE **(Professional degree program)**

A. General Purpose

As written in the Board of Trustees Policies, Article X, “The faculty of each college shall have the obligation to participate significantly in the initiation, development and implementation of the doctor of optometry educational program.” The Professional Curriculum Committee will be responsible for overseeing these activities.

B. Reporting Link

The Curriculum Committee will report to and consult with both the vice president and dean for Academic Affairs (the dean) and the Faculty Executive Committee.

C. Specific Responsibilities

- The Committee will evaluate and review the curriculum periodically.
- Changes in the curriculum may be proposed by any member the professional program, a department, a department chair or the dean of Academic Affairs. The Committee will communicate proposed change(s) to the faculty of the professional program for discussion and feedback at least two weeks before any formal voting by the Committee members.
- The committee chair will make regular reports to the faculty of the professional program and the Faculty Executive Committee concerning its activities. During faculty meetings, any

member of the faculty may open a discussion concerning curricular issues, whether or not they are currently being considered by the Curriculum Committee.

D. Membership

This committee will be comprised of 14 members (nine voting):

- Eight faculty members from the professional degree program,
 - Two elected as at-large by the faculty who teach in the professional program.
 - Two representatives from each of the two departments who are elected by the faculty members of their respective departments and two representatives from the UEC who are elected by UEC faculty members.
- 4 students with one student member from each of the four professional program classes, elected by Student Council. The students collectively shall have one vote. Student members must be in good academic standing.
- One representative from the Office of Student Affairs who shall serve ex officio (non-voting)
- One representative from Library/Information Resources who shall serve ex officio (non-voting)
- Terms shall be 4 years in length (including students when possible).
- All members will be limited to two consecutive terms. The chair of the Committee must be a voting member and shall be determined by the elected committee members.

E. Decision Making: Decisions shall be made by majority vote. Voting may be conducted during scheduled Committee meetings, or by other means such as electronic voting.

COMMITTEE ON EDUCATIONAL POLICY **(Professional Degree Program)**

A. General Purpose: The Committee on Educational Policy shall consider changes in the Professional Educational Policy Document contained within the Faculty Handbook and the Student Handbook, and make recommendations concerning such changes to the faculty and subsequently to the vice president and dean for Academic Affairs.

B. Reporting Link: The Committee will report to and consult with both the vice president and dean for Academic Affairs (the dean) and the Faculty Executive Committee.

C. Specific Responsibilities: The function of the Committee on Educational Policy shall be to consider changes in the Professional Educational Policy Document contained within the Faculty Handbook and the Student Handbook, and to make recommendations concerning such changes to the faculty. The educational policies of the Professional Program shall address matters of instructional policies and procedures. This shall include but not be limited to policies and procedures relative to course credits, classroom responsibilities, attendance, examinations, grades, and academic standing.

- Changes in the Professional Educational Policy Manual may be proposed by the dean, by any committee of the professional program, or by any member of the faculty of the professional

program. The Educational Policy Committee may evaluate proposed changes in the Professional Educational Policy Manual using whatever means it deems appropriate, including calling meetings of the faculty of the Professional Program, and soliciting information and opinions from both inside and outside the College.

- The Committee will make a recommendation concerning the proposed change, and submit this to the faculty of the professional program for discussion and a vote. Upon a majority vote of the faculty, these changes will be adopted. These approved changes to the Educational Policy Document will be forwarded to the dean, who will maintain a current version of the policy and distribute it to all members of the faculty of the professional program and students enrolled in the professional program.
- The committee chair will make regular reports to the faculty of the professional program and the Faculty Executive Committee concerning its activities. During faculty meetings, any member of the faculty may open a discussion concerning educational policy issues, whether or not they are currently being considered by the Educational Policy Committee.

D. Membership: This committee will be comprised of 5 members:

1. One representative from each of the two departments who are elected by the faculty members of their respective departments and one representative from the UEC who is elected by UEC faculty members.
 - Two at-large member elected by the entire Faculty at a general faculty meeting.
 - Members shall have three year terms, with no term limits.
 - There shall be a non-voting student representative of each professional class on this Committee, appointed by the Student Council. (Student members must be in good academic standing)
- A representative from the Office of Student Affairs (with the concurrence of the vice president and dean for Academic Affairs) who shall serve ex officio.
 - The Committee will elect the faculty member to serve as chair.

E. Decision Making: Decisions shall be made by majority vote.

COURSE AND STANDING COMMITTEE
(Professional Degree Program)

A. General Purpose: This committee is responsible for making recommendations to the vice president and dean for Academic Affairs (the Dean) on the academic standing of each student.

B. Reporting Link: vice president and dean for Academic Affairs

C. Specific Responsibilities:

- The Committee shall meet at the conclusion of each term and at other times if called into session by the chair, or by the vice president and dean of Academic Affairs
- The committee will make recommendations to the dean concerning the academic standing of specific students including academic probation, suspension, dismissal, expulsion and/or other remedial measures.
 - Recommendations by the faculty of each professional class as well as that of department chairs and the Office of Student Affairs will be considered in the evaluation of student performance.

D. Membership: The Course and Standing Committee will

- be comprised of 8 members:
 - Two at-large members elected by the faculty of the professional program,
- Two representatives from each of the two departments who are elected by the faculty members of their respective departments and one representative from the UEC who is elected by UEC faculty members.
 - a representative from the Office of Student Affairs who shall serve ex officio.
 - Members shall have three year terms, with no term limits.
 - The Committee will elect the faculty member to serve as Chair.

E. Decision Making: Decisions shall be made by majority vote of those present. In order to vote, a minimum of 4 voting members must be present. However, the committee may, at their discretion, present alternative views to the dean when considering changes to a student's status more serious than probation.

COMMITTEE ON PROFESSIONAL QUALIFICATIONS
(Appointment, Promotion & Tenure)

A. General Purpose:

This standing Committee of the faculty will evaluate, on a regularly scheduled basis, all faculty members with regard to promotion and continuing appointment (tenure). It will make recommendations to the vice president and dean for Academic Affairs (the dean) with respect to promotion and tenure of the faculty.

B. Reporting Link: vice president and dean for Academic Affairs (the dean).

C. Specific Responsibilities:

- This Committee will abide by all existing and future policies of the Board of Trustees that are pertinent to the purpose of this Committee. The document entitled "Committee on Professional Qualifications (CPQ) Policy Document" as adopted by the faculty of the SUNY College of Optometry will act as a further procedural guideline.

- CPQ shall review and evaluate all faculty who are being considered for promotion or tenure. Review shall not be made more than once a year. During the initial review, CPQ will solicit evaluations and recommendations from faculty, students and the appropriate department chairpersons. Candidates for promotion and tenure will be required to suggest at least three persons outside of the institution from whom the CPQ Committee might solicit evaluations. The CPQ Committee may seek evaluations from any other persons whom they feel may contribute to evaluation of a faculty member. Following evaluation, the CPQ shall make recommendations to the vice president and dean for Academic Affairs.
- At the request of the dean or the president, CPQ may be asked to review and evaluate faculty members being considered for reappointment or any candidate being considered for initial appointment (to either tenure or non-tenure track positions).
- CPQ will maintain careful records of the evaluation procedure for each faculty member during deliberations. All records are deemed confidential except to the CPQ, the dean, the president and the candidate. Following conclusion of deliberations all records will be secured and kept in the Office of the dean for Academic Affairs.
- CPQ may serve in an advisory role to any faculty member requesting clarification or considering initiating the review process for promotion and tenure. CPQ may collaborate with the Faculty Development Committee, to achieve this objective.
- CPQ will review the Committee on Professional Qualifications (CPQ) Policy Document yearly. Any suggested modifications of the Policy Document must be approved by a majority vote of the faculty at a scheduled faculty meeting. The Policy Document is part of the faculty handbook.

D. Membership: Membership will consist of five tenured faculty members, excluding department chairs and College officers.

- Two representatives from each of the two departments who are elected by the faculty members of their respective departments and one representative from the UEC who is elected by UEC faculty members.
- The entire voting faculty will elect two at-large members
- Members will serve for three years. Re-election for one three year term is permissible.
- For the sake of continuity, election of members shall be staggered to the extent possible, so that ideally no more than two members of CPQ are elected in any given year.
- Due to the highly confidential nature of the committee's deliberations, the Office of the Vice President and Dean for Academic Affairs will provide staff support for the committee.
- The Committee will elect the faculty member to serve as chair.

E. Decision-making: Majority vote reported to the dean for action as defined in the policy document. Minority and dissenting views may be included in the report.

COMMITTEE ON FACULTY DEVELOPMENT

A. General Purpose:

The goal of the Faculty Development Committee is to assist faculty members in achieving excellence in teaching, scholarship and other areas of professional development.

B. Reporting link: vice president and dean for Academic Affairs, and the Faculty Executive Committee

C. Specific Responsibilities: The committee will

- In collaboration with the vice president and dean for Academic Affairs, create and implement faculty development programs that address all aspects of professional development.
- Advise and assist in the development of both internal and external resources to support faculty development.
- Provide a series of core programs that utilize and build upon the knowledge, expertise and experiences of the faculty at the SUNY State College of Optometry.
- Sponsor programs and workshops featuring experts and guest speakers.
- Promote the use of resources provided by SUNY Central Administration and collaborate with other SUNY campuses to increase faculty participation in developmental activities.

D. Membership: The Committee will consist of five members.

- All members will be elected by the faculty.
- One representative from each of the two departments who are elected by the faculty members of their respective departments and 1 representative from the UEC who is elected by UEC faculty members.
- Two members will be elected by the faculty as at-large members.
- The Committee will elect the person to serve as Chair.
- Term of office shall be two years, with no term limits.

E. Decision Making: Decisions shall be made by majority vote.

GRADUATE QUALIFICATIONS COMMITTEE
(MS and PhD in Vision Science Programs)

A. General Purpose: The function of this committee shall be to evaluate, and make recommendations concerning, the qualifications of members of the faculty to participate in the Graduate Program.

B. Reporting Link: Associate dean for Graduate Studies and Research (as designated by the vice president and dean for Academic Affairs)

C. Specific Responsibilities:

- The Committee shall evaluate faculty qualifications for appointment to the faculty of the graduate program. Appointment may be made for participation at the following levels:

- Teaching graduate courses. Candidates shall be evaluated for possessing the appropriate type and extent of expertise to teach courses in the Graduate Program.
 - Graduate Advisor for students who are currently working toward the MS degree. Candidates must in general possess an earned MS degree in an appropriate discipline and must have on-going research activities appropriate to undertaking such a role. The degree requirement may be waived for individuals who are judged to have attained equivalent qualifications.
 - Graduate Advisor for students who have been admitted to the PhD program. Candidates for appointment must in general possess an earned PhD degree in an appropriate discipline and must have on-going research activities appropriate to undertaking such a role. The degree requirement may be waived for individuals who are judged to have attained equivalent qualification. Individuals who are recommended as being qualified for this type of participation in the Graduate Program shall automatically be recommended as being qualified for the other types of participation listed above in sections i, ii, and iii.
 - Dissertation Committee Member: Serves on a graduate student's specialty area or dissertation committee. Candidates shall be evaluated for possessing the appropriate type and extent of expertise to serve on such committees.
- Conduct of Reviews:
 - Meetings of the Graduate Qualifications Committee shall be closed and all proceedings of the Committee shall be held in strict confidence. Results shall be reported to the dean for Academic Affairs and associate dean for Graduate Studies and Research.
 - Records and files of the Committee shall be maintained by the associate dean for graduate studies and research.
 - Requests to evaluate the qualifications of a Faculty member for participation in the Graduate Program may come from the dean, the associate dean, the representative of the Graduate Program, or from the faculty member him/herself.
 - A member may be de-qualified for any or all of the categories listed above (Section #B, #1-4) upon recommendation for de-qualification by the Graduate Qualifications Committee with concurrence of the associate dean to the dean of Academic Affairs.
 - To assist in its deliberations, the Committee may
 - Request candidates to furnish written materials such as a curriculum vitae and copies of publications and grant applications.
 - Invite members of the College community to its meetings to discuss a candidate's qualifications.
 - Solicit letters of recommendation from outside the College community.
 - Invite the candidate to meet with the Committee. Alternatively, the candidate, if he or she wishes, may request a meeting with the Committee.

D. Membership: The Graduate Qualifications Committee shall

- consist of three members of the faculty of the Graduate Program elected by the faculty of the Graduate Program

- Terms shall be three years in length. The terms shall be staggered so that one member is elected each year.
- The member in his/her third year will serve as chair of the committee.

E. Decision Making: The committee shall make its recommendations to the dean and associate dean in a confidential letter stating the pertinent facts of the case and the committee's evaluation of them. The letter shall include the vote of the committee on the question of whether or not the candidate is qualified to perform the function under consideration. A copy of the letter shall be sent to the candidate.

***COMMITTEE ON GRADUATE PROGRAM, POLICY, ADMISSIONS, AND STANDING
(MS and PhD in Vision Science Programs)***

A. General Purpose: The Committee on Graduate Policy and Admissions shall review the Graduate Policy Document and recommend changes to the policy; review and make recommendations concerning the graduate program curriculum; make recommendations to the associate dean for Graduate Studies and Research concerning the recruitment, acceptance and retention of graduate students.

B. Reporting link: Associate dean for Graduate Studies and Research.

C. Specific Responsibilities:

- Graduate Policy – The Committee will consider changes to the Graduate Policy Document contained within the Faculty Handbook. Changes in the Graduate Policy Document may be proposed by members of the Graduate Policy Committee, the dean of Academic Affairs, the associate dean for Graduate Studies and Research, or any member of the faculty of the graduate program.
 - The Committee may evaluate proposed changes using whatever means it deems appropriate, including calling meetings of the Faculty of the Graduate Program, holding public hearings, and soliciting information and opinions from both inside and outside the College.
 - The Committee will make a recommendation concerning the proposed change, and submit this to the faculty of the graduate program for discussion and a vote.
 - Changes to the Graduate Policy Document will be adopted if a majority of the votes from the graduate faculty who are present are in favor of the changes. The total number of faculty voting must be equal to at least 40 percent of the total number of graduate faculty.
 - Changes approved by the graduate faculty to the Graduate Policy Document will be forwarded to the associate dean for Graduate Studies and Research for action. The associate dean will maintain a current version of the policy and distribute it to all members of the faculty of the graduate program and graduate students.
- Graduate curriculum –

- The Committee will develop criteria for evaluation of the graduate curriculum and review the curriculum periodically. Course sequencing and course credit should be considered as part of the review process.
- Changes in the curriculum may be proposed by members of the Graduate Policy and Admissions Committee, the dean for Academic Affairs, the associate dean for Graduate Studies and Research, or any member of the faculty of the graduate program. The Committee will investigate and assess any proposed changes to the curriculum using whatever means it deems appropriate, including calling meetings of the faculty of the Graduate Program, holding public hearings, and soliciting information and opinions from both inside and outside the College.
- The Committee will make a recommendation concerning the proposed change, and submit this to the faculty of the graduate program for discussion and a vote.
- Changes to the curriculum will be adopted if 2/3 of the votes from the graduate faculty who are present are in favor of the changes. The total number of faculty voting must be equal to at least 40% of the total number of graduate faculty.
- The Committee will review courses taken by graduate students at other institutions and make recommendations to the associate dean concerning acceptance of these graduate credits.
- Graduate Course and Standing –
 - The Committee will review graduate student applications and conduct interviews of applicants as needed. The Committee will then make recommendations to the associate dean concerning acceptance or rejection of these applicants into the graduate program.
 - The Committee will carry out periodic evaluations of the activities and progress of all students in the graduate program and make recommendations to the associate dean concerning retention, academic probation, or dismissal, assignment of awards and assignment of teaching and research assistantships. The Committee will make recommendations to the associate dean regarding appointment of members to the Comprehensive Examination Committee.
 - The Committee shall meet with the associate dean and others as appropriate to discuss the assignment or change of assignment of qualified faculty members as advisors to graduate students.
- The Committee Chair will report to the faculty of the graduate program and the Faculty Executive Committee concerning its activities as needed.

D. Membership:

- Will consist of five members, elected by the faculty of the graduate program.
- Members will have three year terms, with no term limits.
- The Committee will elect the person to serve as chair.
- A non-voting graduate student representative, recommended by the Student Council, will be appointed to this Committee. The graduate student representative may only be present at and participate in discussions concerning policy. (The student representative must be in good academic standing.)

E. Decision Making - Decisions will be made by majority vote.

LEARNING RESOURCES COMMITTEE

A. General Purpose: The Learning Resources Committee will make recommendations and advise the vice president and dean for Academic Affairs (the dean) concerning policy and budgeting in the College's various learning resources areas. "Learning Resources" shall refer to the personnel and the facilities (including physical space, equipment, software solutions, services, and supplies) that are available to faculty, students and staff for the purpose of making possible or enhancing the learning process. This learning process is broadly construed to include all of the College's educational programs (Professional, Graduate, Residency, and Continuing Professional Education Programs) as well as the scholarly activities of its faculty and students.

B. Reporting Link: Vice president and dean for Academic Affairs.

C. Specific Responsibilities:

- To consult with faculty, students, staff, and administration concerning ways to maximize effective use of the College's learning resources.
- To evaluate and communicate to the College administration the need for additional resources.
- To promote the active involvement of the College Community in the evaluation of resources (such as the usefulness of certain journal subscriptions), as well as the use of new programs and services offered by the Library, Media Center, and/or Information Technology.
- In conjunction with the library director, media resources manager and director of Information Technology, to assure the integration of appropriate learning resources into the physical classrooms and other facilities.
- To promote the use of appropriate resources in all of the College's educational programs.
- The Learning Resources Committee will prepare a yearly report for the dean concerning the Committee's activities. The Committee may issue other reports or memoranda as needed. These documents will be shared with the Faculty Executive Committee.

D. Membership: The Committee will be comprised of 8 members.

- Three members will be elected by the entire faculty, and shall include a representative from faculty involved in didactic, clinical and research programs.
- The media resources manager, the director of Information Technology and the library director will be appointed to the Committee. The library director will serve as chair.
- Two students will be elected to the Committee by the Student Council. (Student members must be in good academic standing.)
- Elected members shall serve three year terms (including the students if possible) and there will be no term limits.

E. Decision Making: The Committee functions in a supportive and advisory capacity, thus recommendations will be by consensus.

JUDICIAL COMMITTEE

Purpose: The Judicial Committee serves to investigate and make recommendations on a course of action when a student is charged with a violation of the College’s “Expectations of a Health Professional” or other unethical or unprofessional conduct. “Unprofessional or unethical conduct” is considered to be any action to or against a fellow student, faculty, staff or patient, that is generally deemed socially, ethically or professionally inappropriate.

Reporting Link: vice president for Student Affairs and vice president and dean for Academic Affairs

Specific Responsibilities: The Committee

- Will assist in the review and development of the general processes and policies for the investigation of unprofessional conduct on a periodic basis, in consultation with University counsel. (Changes in the investigative process and/or policies will require the concurrence of the committee and the vice president for Student Affairs.)
- Will investigate charges of unprofessional conduct, or violations of professional ethics made against students. To the best of its ability, the Committee will ascertain the facts of the matter, and
- In cases where a student is found guilty, the Committee shall make recommendations for a course of action to the vice president and dean for Academic Affairs. Students may appeal the decision of the dean to the president.
- The Committee’s rules and procedures are described in the Student Handbook.

Membership: The Committee membership will include

- Four members of the faculty, one representative from each of the two departments who are elected by the faculty members of their respective departments and 1 representative from the UEC who is elected by UEC faculty members.
- 1 member will be elected by the faculty as an at-large member.
- One student member and one alternate member will be nominated by the Student Council (the student must be in good academic standing).
- The four faculty members will choose one to serve as the chair. In the event that the Committee conducts more than one investigation over the course of its term, the chair shall be rotated.
- Any member of the Committee who is directly involved in a case brought before the Committee, or who believes that a conflict of interest exists, shall withdraw from consideration of the case. Should a member remove themselves the Chair with the concurrence of the vice president for Student Affairs may appoint a replacement for the duration of the case.
- All nominations/elections are for two-year terms.
- The vice president for Student Affairs shall attend all meetings related to the review and modification of general policies and procedures. The vice president for Student Affairs will not participate in the investigative process.

Decision-Making: The Committee is advisory in nature. Conclusions and recommendations will be made on a majority vote of three faculty members and one student member. The chair shall only vote in the event of a tie.

COMMITTEE ON PROFESSIONAL QUALIFICATIONS (CPQ) POLICY DOCUMENT

Approved by the Faculty: 17 June 2010

Endorsed by the College Council: 8 June 2010

Approved by the President: 28 June 2010

Effective: 1 July 2010

Updated by Faculty: 20 December 2016

This CPQ Policy Document has been developed in accordance with the Policies of the Board of Trustees and the contract between United University Professions and the State of New York. Subsequent changes to either of those documents will take precedence over this CPQ Policy Document.

Confidentiality of Proceedings

Proceedings of the Committee are highly confidential. All documents should be carefully secured in the Office for Academic Affairs and all conversations, deliberations and interviews are to be strictly held as confidential by all members of the Committee. Under no circumstances may individual committee members divulge, relate or reveal discussions, voting patterns or recommendations to anyone outside the

Committee. Reports and recommendations to the president and vice president and dean of Academic Affairs (hereafter referred to as “Dean” or “VPAA”) shall be made solely by the Chair in writing.

Secretarial and Clerical Support

The Dean’s and/or President’s Office shall provide secretarial and clerical support to CPQ. Support functions may include contacting references, scheduling of meetings and preparing candidate portfolios to send out for review.

General Criteria for Promotion and Awarding of Tenure

The criteria for promotion and awarding of tenure shall be scholarship, teaching, and service. All faculty members, whether tenured/tenure earning or non-tenure earning, full-time or part-time, will be evaluated based on these criteria. The expectations for each, however, may vary according to the department to which the faculty member is assigned and the specific negotiated written responsibilities of the faculty member.

External letters of recommendations are required for promotion and tenure reviews. While past achievements and potential for continuing productivity both are considerations for promotion in rank and the granting of tenure, the potential for continuing productivity is of particular importance in considerations of tenure.

Initial Appointment

A faculty member shall be hired in a tenured/tenure earning or non-tenure earning (qualified rank) position.

Subsequent transfer, after initial hire, from a tenured/tenure earning position to a qualified rank position or from a qualified rank position to a tenured/tenure earning position requires written approval of the president upon recommendation of the dean. Only in exceptional cases will a faculty in a tenured/tenure earning position, who is denied tenure, be subsequently offered a qualified position. Whenever such transfers are allowed from a tenure-track position to a qualified rank position or vice versa, individual ranks will be renegotiated between the president, dean and the faculty. For example, a change from Clinical Associate Professor does not necessarily translate to a rank of Associate Professor.

Standards to be Applied in Considerations of Promotion and Tenure

The expectations for performance in the areas of scholarship, teaching and service will be negotiated in writing at the time of hire and will reflect the expectations for promotion as described in the CPQ policies. The expectations may be changed at a later point upon written approval of the primary supervisor and dean. It is expected that a faculty member's academic assignments and responsibilities will reflect the negotiated emphasis and the expectations for promotion as defined by CPQ policy.

Continuing Appointment (Tenure)

The SUNY chancellor, after considering the recommendation of the President, may grant continuing appointment. The awarding of continuing appointment (tenure) is governed by the SUNY Policies of the Board of Trustees (Article XI, Appointment of Employees). At SUNY State College of Optometry, full-time faculty members holding non-qualified ranks of associate professor and professor may be considered for continuing appointment. Promotion to associate professor and the granting of tenure may occur concurrently. Only in exceptional cases will a faculty member be awarded tenure at initial appointment, and in such cases the candidate will be reviewed by CPQ prior to the awarding of tenure according to the criteria set forth in this document.

Faculty members are generally considered for promotion from assistant professor to associate professor after five years of service. A full-time faculty member may hold an appointment of assistant professor for no more than seven years, and further employment at SUNY State College of Optometry must be at the rank of associate professor (with or without tenure). Employment as professor or associate professor at SUNY State College of Optometry after the third consecutive year of employment at such rank must be on the basis of continuing appointment. While a non-tenured associate professor must be reviewed for tenure and/or promotion after one year in service at such rank, a tenured associate professor will generally be reviewed for promotion to professor after five years at such rank.

Leaves of Absence

For those faculty members who are on a tenure track and whose time in a rank is limited by Board of Trustee Policies, an official leave of absence, approved by the president, shall "stop the clock" during the duration of the leave of absence. The duration of the leave shall be specified in the approval letter. Such leave of absence may be requested per College policy in relation to personal or family illness, pregnancy, childcare, or other circumstances. Leaves may be requested for full or part-time faculty.

Initiating the Review Process

The time-line for the review of tenure-track and tenured faculty is discussed above under Continuing

Appointment (Tenure). Faculty members holding qualified academic ranks (clinical instructor, assistant clinical professor, associate clinical professor and clinical professor or research instructor, assistant research professor, associate research professor and research professor) may be considered for promotion after completion of five years at his/her current rank and only in exceptional circumstances may be considered earlier. After consultation with his/her primary supervisor, the candidate may request, in writing, a formal review by CPQ. A candidate may initiate a review without the support of their primary supervisor. This request, which the candidate is to send to the chair of CPQ with copies to his/her primary supervisor and the dean, should state the rank/status the candidate is seeking. *To be considered for a change in rank/status to be effective July 1 of the following year, a written request for review must be received by CPQ no later than September 1.*

A faculty member may be reviewed only once during an academic/fiscal year (July 1–June 30). In the circumstance where continuation in a current rank will not be permissible as dictated by the policies of the Board of Trustees, the dean shall contact CPQ to initiate a review in time sufficient for issuance of a terminal contract in the event such a contract is warranted. For continuing appointment, the review process should be initiated by the administration prior to the sixth year of service for an assistant professor and prior to the second year of service for professor and associate professors.

After receiving a request for review and determining that the faculty member is eligible for review, CPQ will request additional information from the candidate (see Portfolio to be Prepared by the Candidate). CPQ will request information from the primary supervisor regarding the candidate's assignments (e.g. workload distribution, job description) and the expectations that should be applied to each review criteria. The primary and secondary supervisors will be asked to write a letter assessing the candidate's qualifications for promotion in the areas of teaching, scholarship and service and will be interviewed by CPQ.

Portfolio to be Prepared by the Candidate

It is incumbent upon the candidate to present a compelling case for promotion/tenure. For each of the three principal criteria (scholarship/research, teaching and service), the candidate shall prepare a narrative describing his/her goals and accomplishments. These narratives must cite supporting documents (e.g., papers, grants, teaching materials, etc.) that are included in the candidate's portfolio. A candidate may also submit additional supporting materials of which relevance will be made by CPQ. A copy of the candidate's most recent curriculum vitae must be included with the portfolio. *Completed portfolios are due no later than November 1.*

Conflict of Interest

If a member of CPQ does not believe that he/she can conduct an impartial review of a candidate's qualifications for promotion and/or tenure, he/she shall inform the chair of CPQ and the dean and recuse themselves from the review of the candidate. If a candidate believes that a member of CPQ cannot impartially review his/her qualifications for promotion and/or tenure, he/she should notify the dean prior to requesting a formal review by CPQ. Due to potential conflicts of interest, only committee members at or above the rank being applied for should do the review. Members below rank should be recused and replaced by *ad hoc* members selected by the committee. In the event that more than one member of CPQ cannot participate due to a conflict of interest, the dean and CPQ will collaboratively select one or more alternate members to review the candidacy under consideration. Any alternative members must meet the eligibility requirements for CPQ as given in the Faculty Bylaws. Committee

members with direct relationships with the applicant should divulge any conflict of interest for the record, and recuse themselves if the Committee feels it is necessary.

Letters of Reference

All considerations of promotion and tenure require external review by individuals who are not members of the faculty or staff at SUNY Optometry. The candidate shall nominate directly to CPQ potential references who can speak to their qualifications for tenure/promotion. Faculty members with tenured/tenure-earning appointments shall nominate to CPQ at least five individuals all of whom are at a faculty rank equal to or higher than that aspired to by the candidate.

Non-tenure track faculty members shall nominate to CPQ at least three individuals. At least two of these nominated individuals must hold faculty rank with one of these holding a rank equal to or higher than aspired to by the candidate.

CPQ will solicit letters of reference from at least three individuals taking into account the candidates recommendations, but shall not be bound by the candidate's recommendations. Reviewers will be given the candidates *Curriculum Vitae*, self-assessment narrative, other relevant information and the CPQ criteria for promotion.

All letters of references shall be sent directly to the chair of CPQ and included in the recommendation to the dean. CPQ may, at its discretion, request additional information from, confer and/or meet with references or other qualified individuals to assess a candidate's qualifications for promotion and/or tenure. A list of those interviewed, their rank, and relationship to the applicant shall be included in the confidential record. Funds, reasonable to this purpose, shall be made available by the Office for Academic Affairs to carry forth this function.

In addition to the letters of reference that shall be solicited by CPQ, the candidate may request that individuals send letters of recommendations directly to CPQ. It is the candidate's responsibility to ensure that all these letters of recommendation are received by CPQ in a timely manner. At the time the candidate submits recommendations for letters of reference, he/she may also suggest individuals, both internal and external to SUNY Optometry, with whom he/she would like the committee to meet. CPQ may meet with these individuals at its discretion.

Recommendations Made by CPQ

CPQ will make a written recommendation directly to the dean. This recommendation will take the form of a letter that addresses the candidate's performance in each of three review criteria and will be accompanied by all supporting documents. Performance in each area will be rated as excellent, good, acceptable or not satisfactory. Voting by CPQ shall be by closed ballot. In its recommendation, which shall be signed by each of the committee members, the vote tally shall be included.

CPQ's letter to the dean, but not letters of reference/recommendation, shall be shared with the candidate. The Dean is not bound by the recommendations of CPQ and has a duty to perform an independent analysis of the candidate's credentials and potential for future success. The Dean makes his own recommendation to the President and forwards both recommendations to the President for

consideration. The President has unfettered discretion in his review to accept or reject recommendations.

CPQ shall meet at least annually with the dean and president to present its recommendations and/or discuss policy issues.

Department of Biological and Vision Sciences: Criteria for Promotion and Tenure

The Department of Biological and Vision Sciences shall be constituted of faculty members with both tenured/tenure earning and non-tenure earning appointments. The ranks for the tenured/tenure earning positions are assistant professor, associate professor and professor. For non-tenure earning positions, the ranks are research instructor, assistant research professor, associate research professor and research professor.

Promotion and the awarding of tenure within the Departments of Biological and Vision Sciences requires excellent performance in teaching and scholarship and at least good performance in service unless otherwise agreed to in writing by the primary supervisor and dean. Scholarship for these departments shall be defined as the quality and quantity of original research (basic or clinical). The expectations for scholarship shall increase as the amount of a faculty member's effort assigned to this area increases.

Promotion to the rank of professor requires demonstration of national and/or international leadership.

Supporting Documentation: Department of Biological and Vision Sciences

Scholarship

Narrative that describes the candidate's research/scholarly interests and activities, discusses her/his contributions and their impact and cites, as appropriate, accompanying supporting documents including, but not limited to:

- Evidence of substantial and sustainable external funding to support individual research program
- Quality of research publications as indicated by impact factor and prestige of journals in which publications appear and number of citations
- Quality of traditionally published research monographs and chapters
- Quantity of research publications
- Invited talks
- Quality of scientific work as assessed by outside, independent reviews
- Recognition in the form of national and international awards and honors
- Securing patents that lead to production

Teaching

Self-assessment that includes teaching philosophy and objectives and cites, as appropriate, accompanying supporting documents including, but not limited to:

- Quality of course materials (including syllabi, handouts and examinations within the professional OD program, the MS degree program and/or the PhD program)
- Supervision of PhD/ MS students and post-doctoral fellows
- Placement of graduate students and post-doctoral fellows
- Peer-evaluation of teaching

- Quality and impact of traditionally published textbooks and textbook chapters
- Student performance on standardized examinations (e.g., NBEO)
- Quality and effectiveness of innovations in teaching and creative teaching methods
- Awards/honors for teaching/educational leadership
- Student feedback (e.g., student surveys)

Service (Professional, Public and University)

Self-assessment in which the candidate distinguishes between active service that demonstrates self-initiative, active participation and tangible outcomes and passive service and cites, as appropriate, accompanying supporting documents including, but not limited to:

- Leadership roles
- Committee service
- Departmental service
- Membership on grant reviewing study sections
- Service as journal referee
- Service as journal editor
- Service to professional organizations and associations (international, national, state, local)
- Service on the National Board of Examiners in Optometry
- Awards/honors

Department of Clinical Education: Criteria for Promotion and Tenure

The Department of Clinical Education shall be constituted of faculty members with both tenured/tenure earning and non-tenure earning appointments. The ranks for the tenured/tenure earning positions are assistant professor, associate professor and professor. For non-tenure earning appointments, the ranks are clinical instructor, assistant clinical professor, associate clinical professor and clinical professor. While scholarship, teaching and service shall be the criteria for promotion for all faculty members in the Department of Clinical Education, scholarship will typically be more heavily emphasized for faculty members who hold tenured/tenure earning appointments. Teaching shall be defined as educational activities that occur in the classroom, laboratory and clinic within professional, graduate, residency and continuing education programs.

Promotion and the awarding of tenure within the tenured/tenure earning ranks requires excellent performance in teaching and scholarship and at least good performance in service unless otherwise agreed to in writing by the primary supervisor and dean. Evidence of excellence in scholarship in the Department of Clinical Education may include a record of publications in Index Medicus journals as principal investigator/author (including review papers and case reports), external funding for research or research training (e.g., NIH scientist-clinician training grants awarded to the candidate) and the traditional publication of books and book chapters. While external grant support is not required for tenure and promotion within the Department of Clinical Education, it is looked upon favorably, particularly when it substantially supports an independent research program. In all cases, the relative weighting given to each area will take into consideration the faculty's past assignments and allocation of time.

Promotion to the rank of professor requires demonstration of national and/or international leadership.

Promotion within the non-tenure earning ranks requires excellent performance in either teaching or service, with good performance in the other category, and acceptable performance in research as agreed to in writing with the primary supervisor and dean. Promotion to the rank of clinical professor requires demonstration of national and/or international leadership in either teaching or service.

Supporting Documentation: Department of Clinical Education

Scholarship

Narrative that describes the candidate's research/scholarly interests and activities, discusses her/his contributions and their impact and cites, as appropriate, accompanying supporting documents including, but not limited to:

- Original contributions to the professional literature
- Development of new approaches to the diagnosis and treatment of ocular conditions and diseases as evidence by publication and/or a broad adoption of the approach by the profession.
- Development and dissemination of new or modification of diagnostic and treatment tools, measures, equipment etc. as evidenced by publication and/or use by the profession.
- Quality of Index Medicus publications (original research, review papers and case reports) as indicated by impact factor and prestige of journals in which publications appear and number of citations.
- Evidence of external funding (governmental, industrial, private) to support individual research program and research training (e.g., clinician-scientist training grants)
- Quantity of publications
- Traditionally published books and book chapters
- Invited talks
- Presentations at scientific/professional meetings
- Reputation as a scholar as assessed by outside, independent reviews
- Recognition in the form of national and international awards and honors
- Evidence of consistent involvement and contribution to clinical research projects through the Clinical Vision Research Center including being PI of a project, participation in data collection, subject recruitment and patient referrals.

Teaching

Self-assessment that includes teaching philosophy and objectives and cites, as appropriate, accompanying supporting documents including, but not limited to:

- Quality of course materials (including syllabi, handouts and examinations) for the OD, MS, PhD, and residency programs
- Peer-evaluation of teaching
- Student performance on standardized examinations (e.g., NBEO)
- Quality and effectiveness of innovations in teaching and creative teaching methods
- Awards/honors for teaching/educational leadership
- Quality of continuing education courses given
- Supervision of research of OD, PhD and MS students and residents
- Student feedback (e.g., student surveys)

Service (Professional, Public and University)

Self-assessment in which the candidate distinguishes between active service that demonstrates self-initiative, active participation and tangible outcomes and passive service and cites, as appropriate, accompanying supporting documents including, but not limited to:

- Leadership roles
- Committee service
- Departmental service
- Administrative service
- National and international service (e.g. AAO, AOA, COVD, APHA, SVOSH)
- Service as journal referee
- Service as journal editor
- Service as grant reviewer
- Service in local and state optometric and health organizations
- Service on the National Board of Examiners in Optometry
- Service to professional organizations and associations (international, national, state, local)
- Awards/honor

Promotion/Tenure for Librarians

Librarians are faculty members who may hold the rank of Assistant Librarian, Senior Assistant Librarian, Associate Librarian or Librarian and are engaged in supporting the teaching, service and research mission of the College and its Faculty. The promotion criteria of scholarship, teaching and service shall reflect daily activities that include performing research for library users, providing service directly to students and to faculty, and developing publications which make the use of the library easier for its users.

The basic considerations in regard to the library faculty are competence in librarianship, service to the College, service to the library profession and to the community, initiative and creativity in developing library programs or problem solving and potential for continuing professional growth. Specifically the following should be considered:

- Communication, interpersonal and teamwork skills
- Administration and committee work within the College.
- Client-oriented library service -This criterion should be heavily weighed and well documented to public service librarians.
- Community Service - Participation in local and regional library association activities constitute a form of community service.
- Membership in professional organizations.
- Publications and presentations -Bibliographies, poster sessions, library guides, electronic products (e.g., Web sites) and instructional materials constitute a form of publication.
- Research - Research done in conjunction with faculty and student requests constitute a form of research.
- Teaching -Public service librarians engaged in teaching on a one-to-one basis constitute a form of teaching.

Additional Criteria for Promotion to Senior Assistant Librarian

In addition to the above, the individual must demonstrate that he/she:

- Knowledgeable and competent in the professional practice of librarianship
- Open to the suggestions of peers (faculty within the library, as well as beyond.
- Works well with colleagues
- Works well with the public
- Is productive
- Gives evidence of ability to solve problems and demonstrates original thinking continues to develop through participation in continuing education and related development activities
- Participates in meaningful college service
- Publishes and presents relevant to his/her responsibilities
- Consistently makes sound decisions relevant to his/her responsibilities

Additional Criteria for Promotion for Associate Librarian

In addition to the above, the individual has demonstrated leadership qualities. As an example, the individual has:

- Identified problems and achieved solutions that are creative, practical and workable.
- Introduced new technology, or new ways to use existing technology which is beneficial to the institution and/or the user.
- Demonstrated the ability to identify a need, design a project and complete it within a reasonable time frame, i.e. created a publication to assist users, created a course to assist users, created a manual for student assistants and/or clerical support staff.
- Demonstrated effective time management and organizational skills.
- Demonstrated the ability to meet deadlines (their own or those of the organization).
- Demonstrated continued professional growth.
- Demonstrated service to their own profession as well as to the profession of Optometry.
- Demonstrated effective supervisory and management skills (if appropriate).

Additional Criteria for Promotion to Librarian

The candidate has demonstrated a level of leadership, expertise, accomplishments, organizational skills and service that is outstanding over time.

Continuing Appointment

Appointees are generally considered for promotion to associate librarian after five years of service. Employment of an appointee who has completed a total of seven years in the position of assistant librarian or senior assistant librarian must be on the basis of continuing appointment.

Criteria for Continuing Appointment are similar to the criteria for promotion to associate librarian. While past achievements and potential for continuing productivity both are considerations for promotion in rank and the granting of continuing appointment, the potential for continuing productivity is of particular importance in considerations of continuing appointment. In rare instances, an individual may achieve Continuing Appointment before he/she has sufficient accomplishments to be promoted to associate librarian. However, an individual recommended for Continuing Appointment must demonstrate sufficient initiative and leadership qualities to give the CPQ reason to believe that the candidate will qualify for promotion to the rank of associate librarian at a later date.

Adjunct, Temporary, and Non-Salaried Faculty Appointments

All adjunct, temporary and non-salaried faculty hold qualified appointments and service in these positions is not creditable toward the requirements of continuing appointment. Rank at initial appointment, which must be qualified, shall be determined by the dean following consultation with the relevant primary supervisor. Promotion in rank for adjunct faculty shall be made by the dean in consultation with the appropriate primary supervisor. Written policies, which are made available to CPQ, shall govern the assignment of rank at initial appointment and any subsequent adjustments in rank.

Emeritus Status

Faculty who retire in good standing shall be entitled to append the term “Emeritus” to the title of their academic or administrative post after the time of retirement. Specific privileges for each individual holding emeritus status shall be determined by the president in consultation with the dean.

Appeals

Appeals related to promotion and tenure shall be made in writing directly to the president no later than one month following a decision.

EDUCATIONAL POLICIES: THE PROFESSIONAL OD PROGRAM

(Updated May, 2019)

Faculty Responsibilities

Prior to the commencement of all courses, the instructor of record (IOR) must provide a course syllabus, placed on an electronic course management system, (referred to below in its current form, as *Moodle*) that includes the following:

1. Course title and description
2. Statement of goal(s) and learning objectives
3. Required and recommended readings
(A copy of this listing should be sent to the library)
4. Statement of the grading policy including a listing of examinations with dates, criteria for the assignment of grades, and method for determination of the final grade
5. Course outline listing topics to be covered with the planned dates
6. Statement of attendance requirements
7. Instructor contact information including office hours

Faculty Office Hours

All faculty members are expected to be available for conferences with students by appointment or during stated office hours when students/faculty are not otherwise assigned (i.e. lecture, lab, clinic or research activities.) Conferences may be requested either by instructors or students.

Curriculum

All new courses (including electives) or any major modifications proposed to the curriculum must be submitted through the Curriculum Committee. Current curriculum information and course descriptions are published annually in the College Catalog and presented on the college website.

Course Credits

Credits will be computed as follows:

(based on a 16-week semester for years 1-3, or a 12-week quarter for year 4)

One lecture hour = one credit.

Two laboratory hours = one credit.

Three clinic hours = one credit.

Class Scheduling

Class scheduling is the responsibility of the registrar and the Office of Academic Affairs. Schedules will be distributed to chairpersons, clinic chiefs, students and faculty prior to the beginning of the term.

Schedules will not be changed without written approval by both the department chairs and the dean for academic affairs. If it becomes necessary to change a lecture or laboratory schedule (lengthening, shortening, adding, canceling or rescheduling), the proposed changes must be made at least five working days prior to the lecture or laboratory and cleared by the registrar to avoid conflicts with other courses. It is the responsibility of the IOR to communicate directly with the students regarding any modifications of class schedule, time or location. Permanent changes, after being approved by the Office of Academic Affairs, will be communicated by the registrar.

If it becomes necessary to cover course material because of scheduling conflicts, occasional exchanges of scheduled class times between courses may be done with the permission of the department chairs. Care must be taken because there are some classes that do not have the full roster of students in attendance.

The SUNY College of Optometry respects the rights of individuals to observe their religious beliefs. Faculty, staff or students will be excused from classes and UEC clinics for religious observances in accordance with New York State Education Law, Article 5 Section 224-a (see below).

Excused absence from clinic for religious observances requires advance notice to the appropriate UEC Service Chief at the beginning of the term or four weeks prior to the holiday (whichever comes first) to facilitate coverage and rescheduling. For academic courses, faculty must notify their Department Chair and students must notify the Instructor of Record at the beginning of the term so that examinations and other assignments will not be scheduled on religious holidays if possible. Students are always responsible for any missed material, requirements, labs or clinics and must ensure that any missed examinations or assignments are excused and made up. Faculty and Service Chiefs must make reasonable and equitable accommodations to students when assignments are made up. Faculty must take vacation leave for missed days.

Elective Courses

Elective courses will be offered to students from a catalog of courses approved by the Curriculum Committee and maintained by the Office of Academic Affairs and registrar. Courses will be opened for registration prior to the term and filled on a first-come-first-serve basis until limits are reached.

Elective courses will be graded on an "honors-pass-fail" basis. The instructor shall provide the student with a statement of the criteria for awarding grades in the course syllabus.

If a student withdraws from an elective course within one week of the first meeting, no notice shall appear on the transcript. If a student withdraws after this period, a "W" shall appear on the transcript indicating withdrawal.

Guest Lectures

IORs may retain the services of guest lecturers with specific expertise on a particular topic. Guest lecturers may not work for or represent industry in the delivery of specific material without permission of the department chairs and dean for academic affairs. Funds for payment for guest lecturers come

from departmental budgets and must be requested and approved by the department chair prior to the term the course is taught.

Attendance in Courses and Clinic

Policies regarding attendance in courses are determined by the IOR. A clear statement of the policy and its use in grading will be articulated to the students in the course syllabus and at the beginning of class. Unless explicitly stated, attendance in classes, seminars or laboratories, is at the discretion of the student, who is responsible for all requirements, including those requiring participation, all materials and assignments covered in the course. Students missing any class, seminar, lab, or clinic may not expect special accommodations without prior specific requests to, and approval by, the IOR, who has full discretion on such matters.

Attendance in clinic assignments is always mandatory. Procedures for dealing with anticipated absence or disciplinary action for failure to follow these procedures are established and communicated to the students by the Department of Clinical Education.

Student Leave from Courses and Clinic

Students wishing to obtain leave from scheduled classes and clinics for ***EXTRACURRICULAR ACTIVITIES*** (*See below*), must request an excused absence for the activities they will be missing. Students must make the **request in writing at least four weeks in advance** to the Instructor of Record (IOR) and/or respective Service Chief(s) (for internal clinics), or primary clinic supervisor (for external clinics). Students with excused absences are responsible for any missed material or assignments and may be required to switch sections to make up a missed lab or clinic.

Any excused absence will be granted at the discretion of the IOR, service chief or, in the case from students at external rotations, by the external site supervisor, with approval by the director of externships, and may be denied if it coincides with a written test, quiz, or practical assessment, or if the student's course performance is unsatisfactory. Any change in class or testing schedule to accommodate an excused absence is at the discretion of the IOR. The IOR must notify the Office of Academic Affairs when students are taking exams at times other than when originally scheduled.

If a large percentage of the class seeks permission to attend an activity at the same time, the instructor may elect to reschedule or hold class at his or her discretion. Students are responsible for making up any examinations or assessments that may be missed during their absence.

Notes on student leave requests:

- While it is recognized that there are many legitimate reasons for requesting leave, including several excellent extracurricular professional opportunities, students must also recognize that meeting requirements for completion of the professional degree program is their highest priority.
- Some considerations for granting leave will be the reason for leave, the number of leave requests the student has requested, and the student's academic standing in the program. Accordingly, students should consider their priorities and anticipate their reasons for

requesting leave well in advance, e.g. not requesting leave if a student will be participating in residency interviews.

- With regard to mission trips, the college supports volunteerism and encourages community engagement. While it will make every effort to accommodate a request for mission trips, the college's priority is the student's successful completion of the professional degree program.
- Service chiefs may require the intern to obtain coverage in the clinic to lessen the impact on patient care in the UEC.
- Switches for clinic leave are limited to two per quarter/semester (one initiated by the intern and one at the request of another intern).
- Students are encouraged to consider and plan all activities involving leave at the beginning of each academic year. The department chairs are available for guidance, and to answer any questions.
- The number of students requesting leave for a particular activity may also be a factor. If a large number of students are requesting the same days out (for example to attend a professional meeting), then the number of leave requests that are approved may be capped.

N.B. Extracurricular activities= Any activities such as but not limited to mission trips, scientific conferences, organized optometric advocacy trips, optometry meetings, residency interviews, and other professional activities.

*** Students may appeal a decision relating to this policy in writing to the dean.

Leave of Absence

Upon petition in writing to the dean for academic affairs, a student in good standing may be granted up to a one-year leave of absence for extenuating circumstances.

Course Exemption

The requirements for exemption are at the discretion of the IOR. The basis of the determination is typically either (a) evidence of prior satisfactory completion of equivalent coursework or (b) the passing of a prerequisite examination. Upon the granting of an exemption, the instructor should forward a written statement to the registrar indicating the basis of the exemption. Such students will receive the letter "X" on the transcript in place of a grade for the course.

Auditing Courses

Permission to audit is on a space-available basis, in compliance with appropriate state statutes, and is at the discretion of the IOR. The auditor shall attend without formal recognition (i.e. transcript credit.)

Requests to audit are handled by the Office of Student Affairs, which shall communicate with the appropriate department chair and IOR of the course being requested for audit.

Examinations

The SUNY College of Optometry Policy on Examinations is designed to minimize conflicts between examinations and other assessments of students during a given semester. For this policy, an examination is defined as a written assessment that requires a full class session for completion. A quiz is considered to be a single short written or oral assessment used to contribute not more than 10% to a final grade and that does not require a full class session for completion. A lab practical/assessment is essentially a non-written assessment of laboratory concepts that takes place during the laboratory portion of the course using materials or procedures taught in the laboratory. Written assessments of laboratory concepts, whether they are in the laboratory or classroom, are considered to be examinations or quizzes, depending on scope, and will be administered according to the following policy statements:

- All procedures for student assessment and the determination of the final grade for each course must be clearly defined in the course syllabus.
- All course syllabi must be posted on *Moodle* prior to the beginning of the semester and communicated to the students on the first day of class.
- The dates and times of all examinations and lab practicals, and whether there is a midterm or final examination, must be clearly stated in the syllabus. Defined dates for quizzes are recommended but not required.
- All examination and lab practical dates are fixed and registered in a master calendar at the beginning of the semester and may not be changed without a written request from the IOR/course coordinator and approval from the Office of Academic Affairs.
- The dates and times of all midterms and finals are determined by the registrar and, once finalized, are not subject to change. Midterms and Finals weeks are posted on the Academic Calendar, which is available prior to the Academic Year.
- With the exception of lab practicals, no examinations or quizzes are permitted the weeks before or after midterms week, or the week before finals week. If a course has a midterm and/or final, it must be scheduled during midterm or final weeks.
- In order to ensure that the overall schedule of assessments during any given semester is as reasonably balanced as possible, the Office of Academic Affairs will examine the schedule of assessments at the beginning of the semester and may initiate discussions with instructors regarding the timing of assessments. It is understood, however, that there may be days when scheduling more than one assessment, or scheduling assessments on back-to-back days, is unavoidable.
- For security, all examination grades must only be posted electronically via *Moodle*. (Final course grades will be posted through the student portal on *my.sunyopt.edu*.)

Instructor Responsibility Regarding Cheating and Unethical Behavior

The instructor has the responsibility of providing testing and assessment conditions that are conducive to ethical and professional behavior. (Refer to sections of the Student Handbook for judicial policies and procedures relating to suspected unethical and/or unprofessional student conduct.)

Retention of Examinations and Clinical Evaluation Forms

Policies and procedures regarding student review or retention of assessment material are at the discretion of the IOR. If an instructor permits students to retain exams, a copy should also be placed in the library.

Written records of course assignments and assessments will be retained by the IOR for a period of at least 12 months following the completion of the class. After that period, the examinations should be discarded in a secure manner.

Grading

In each course, including laboratories and clinical internships, there will be established criteria for the assignment of grades. Faculty will provide timely, informative feedback from assignments, exams and other assessments as soon as possible and before the final, summative grade is issued. In addition, the IOR in collaboration with the Committee on Course & Standing and the Office of Academic Affairs, will identify and communicate with students considered by course instructors of record to be at risk after the midterm period.

Student course performance shall be reported on transcripts as:

- A Superior or Excellent
- B Very Good (above average)
- C Average (minimally competent)
- D Below Average (marginally competent)
- F Failure
- X Credit by exemption (not used in calculating GPA)
- NC No Credit (not used in calculating GPA)
- W Withdrew voluntarily (no credit, not used in calculating GPA)
- U Unsatisfactory/Failure (no credit, not used in calculating GPA)
- P Pass (credit, not used in calculating GPA)
- H Pass with honors (credit, not used in calculating GPA)
- J In Progress (temporary grade assigned when a course extends across terms and is replaced by a permanent grade at completion of the entire course)
- I Incomplete (student failed to complete the requirements of the course in the required time)

Grade Posting

Student grades are posted in accordance with the policy on examinations described above, and in a manner that will maintain confidentiality. There shall be no unauthorized disclosure of grades.

Grade Submission

Final grades must be delivered and posted electronically as instructed by the registrar. All final exam and course grades must be posted within one week of the last final exam of the designated final exam period, but not before the day after the last final exam of the exam period.

Grade Changes

Grade changes for supplemental grades such as for the completion of "I" grades or for "F" grades and corrections of grades must be submitted by the instructor to the registrar on the "Grade Change Form" available from The Office of Student Affairs, and signed by the appropriate department chair and dean for academic affairs.

Final grades may be changed by the course IOR only in the event that the original grade issued was in error. The reason for the grade change must be documented in detail.

Grades may not be changed for any other reason, including (but not limited to the following reasons):

- Preventing a student from being placed on academic probation, being dismissed or remaining on probation.
- Enabling a student to graduate.
- Enabling a student to maintain academic eligibility/status for financial aid.
- Personal issues unrelated to academics.

Grade Appeals

A student may appeal a grade if they believe it is in error. The initial appeal must be made to the IOR within one week of receiving that grade. This period may be extended by appeal to the dean for academic affairs in extraordinary circumstances.

No grade appeal, under any circumstance, will be accepted from a third party, including the students' parents. This policy conforms to the privacy requirements outlined in the Family Educational Rights and Privacy Act of 1974 (FERPA).

In the event that the IOR is unavailable to change a grade, or if a student wishes to appeal a decision by the IOR not to change the final grade, the student must contact the appropriate department chair in writing, who will review the case and make a decision. The student may appeal a grade decision of the department chair by applying in writing to the dean for academic affairs who will review the case and make a final decision.

All official communications about grade appeals will be sent to students by electronic mail (with delivery confirmation) so that a record of delivery exists, and appropriate faculty members will be similarly notified.

Didactic Course Remediation

Students may not proceed in the program with grades of F, U and I in required didactic courses. These grades may be remediated in a manner determined by the instructor of record within two weeks following the end of the academic term (defined as the date all grades for the term are posted by the registrar). Grades of F, U or I in courses in the Fall semester must be remediated within two weeks following the start of the Spring semester, or before. Remediation dates will be strictly enforced unless otherwise arranged through the Course and Standing Committee and the office of Academic Affairs.

For grades of F, U or I, it is the student's responsibility to contact the instructor to arrange for the possibility of make-up course work, including the scheduling of an appropriate examination for credit and a final grade for the course. If there are difficulties because the IOR is unavailable, the student must contact the appropriate department chair. If the student is unable to comply with this requirement in a clinical sequence because of problems of clinic scheduling, he/she may petition the instructor for an extension with the concurrence of the appropriate department chair and dean for academic affairs.

The new grade will appear on the student's transcript with an indication of the original grade. All grades for any repeated portion of the professional curriculum will remain on the transcript. The repeated grade will appear next to the original grade for the same semester when the failing grade occurred [e.g., History II (4 credits): F/B]. No additional credit points will be added for the make-up grade. The original and make-up grades will be averaged to calculate the grade point average (GPA) for that semester, except in the circumstances that the student repeats a portion of the professional curriculum, resulting in his/her anticipated date of graduation being delayed by a year. In this case, the grade(s) in the repeated course(s) and not the original grade(s) will be used to calculate the grade point average. Under such, circumstances, the student will be ineligible for college scholarships that are based on GPA. Any grade received during and after the repeated portion of the professional curriculum will remain on the transcript and will be calculated in the GPA and all policies regarding academic eligibility and course and standing will apply.

Failure of Clinics

Failure of a third- or fourth-year optometric clinic places a student on probation automatically and puts them under review by the Committee on Course and Standing. Remediating a clinic failure usually requires repeating the entire clinic, which will delay graduation. Failing two consecutive optometric clinics makes the student ineligible to advance and subject to all policies and procedures described below under Academic Advancement.

Student Grievances

Students who have an academic grievance for any reason should proceed as follows:

1. Students should first attempt to resolve disputes concerning grading, course work, clinic or other academic policies at the level at which the dispute occurred (IOR, Clinic Supervisor, Service Chief, etc.)
2. For disputes involving clinic, the student is encouraged to seek the assistance of the appropriate faculty (IOR for Third Year Clinic, IOR for Fourth Year Clinic, Director Externships).

3. If a satisfactory result or a final decision cannot be reached, the student may bring the issue to the attention of the appropriate department chair (Biological and Vision Sciences or Clinical Education).
4. The student has the right to appeal a decision of the department chair by applying in writing to the dean for academic affairs who will review the case and make a final decision.

Academic Advancement

Students must achieve passing grades in all courses and required optometric clinics before advancing to the next academic year. If other than a passing grade is received ("F", "U" or "I"), it must be remediated as described above or in a manner determined by the Committee on Course and Standing and the dean for academic affairs. These decisions may be modified on an individual basis by appeal upon recommendation of the chairperson and with the final approval of the dean for academic affairs.

Evaluation of Student Academic Performance

Evaluation of student academic performance is done through the Office of Academic Affairs, the registrar, and the Committee on Course and Standing. The Committee on Course and Standing meets with the dean for academic affairs at the conclusion of each semester to review student academic performance. When a student's performance is less than satisfactory as defined by criteria below, the committee may recommend the issuance of a letter of concern, probation, retaking course work or dismissal. In cases where a student is ineligible to advance (see below), the committee may recommend special requirements for retention.

When a student is on probation or in a special academic program, the committee will review the student's performance and may recommend removal of probation or dismissal on academic grounds if performance indicates. Students having academic difficulties are considered individually by the committee and recommendations are made to the dean for academic affairs. The dean will make final decisions after considering the recommendations of the faculty and the committee and will then communicate decisions to the student and the committee.

For students on academic probation with special programs, the dean for academic affairs, in conjunction with the Course and Standing Committee, may mandate specific criteria (such as a specified GPA or minimum course grades) for the student to advance following the repeated portion of the academic program.

Students who are on academic probation will not be permitted to hold class or student leadership positions.

Students for whom action other than advancement has been recommended shall have the opportunity to communicate information directly to the Course and Standing Committee in person or by written statement when the committee is considering such action and before a recommendation is made. See below for more information.

Academic Probation

The dean for academic affairs, in consultation with the Committee on Course and Standing, may place a student on academic probation if the student's current level of achievement is deemed seriously deficient.* Academic probation is mandatory; however, when:

1. The term GPA falls below 2.00; or,
2. The cumulative GPA falls below 2.00; or,
3. A grade of "F" is earned for any clinic (third- or fourth-year clinics), whether on or off campus; or,
4. Two grades of "F" are earned in an academic term; or,
5. Three grades of "D" or below are earned in an academic term.

*If a student fails any course that has a clinical laboratory component, consideration of academic probation is mandatory.

Placement on probation will appear on the academic transcript.

Ineligibility to Advance

The dean for academic affairs, in consultation with the Committee on Course and Standing, may determine that a student is ineligible to advance in the Professional OD Program** when he/she is deemed incapable of fulfilling institutional or academic requirements in a timely manner. Ineligibility to advance in the professional program, however, is automatic when:

1. Two grades of "F" are earned in the same course, regardless of whether the course was remediated or retaken; or
2. Two consecutive grades of "F" are earned in clinic (third- and fourth-year clinics), whether on or off campus; or
3. The term or cumulative GPA is less than 2.00 after having been on probation for three consecutive quarters/two semesters; or
4. The term G.P.A. is 1.00 or less

**A student who is ineligible to advance in the professional program is subject to academic dismissal or may be required to satisfactorily repeat portions of the curriculum.

Academic Dismissal

Dismissal is reserved for those situations where the student is deemed incapable of fulfilling institutional or academic requirements in a timely manner. When the Committee on Course and Standing is considering a student for academic dismissal, the student shall be notified in writing by the Office for Academic Affairs that such a recommendation is to be considered. The student shall, at his/her option, have the opportunity to (a) voluntarily withdraw from the program, (b) submit a written statement of mitigating circumstances to the committee for its consideration, or (c) appear personally to explain any mitigating circumstance before the Committee on Course & Standing makes its

recommendation to the dean for academic affairs. The student will have the opportunity to meet with the dean for academic affairs to review his/her case.

Appeal of Academic Dismissal

A student who wishes to appeal the decision of academic dismissal may do so to the president of the College within one week following his/her verbal or written notification of dismissal by the dean for academic affairs, whichever is earlier. The president will consider such appeal, which shall be presented in writing by the student.

Readmitted Student

For the student who is separated from the College because of academic problems, or voluntarily leaves and then is readmitted, the following will apply:

1. The student's transcript will contain his/her complete academic record at the College. A notation will appear indicating the date and the reason for separation e.g. leave of absence, withdrawal, dismissal, etc., as well as the notation and date of readmission.
2. Grades for all years attended, including unsuccessful quarters or year(s) will remain on the transcript. All grades, with the exception of the initial grade in repeated courses, will be utilized in calculating the cumulative GPA.
3. If a student is readmitted, the Committee on Admissions or the Committee on Course & Standing may recommend the conditions under which the student is readmitted, e.g. all courses repeated, exemptions granted for course(s) previously passed, etc.

Students Repeating a Year of Study

For the student that is required to repeat a full year(s) of study, the following will apply:

1. A notation will be made on the transcript indicating the year(s) being repeated.
2. All courses that are being repeated will be indicated with a "Y" after the grade received.
3. Grades for all years attended will remain on the transcript. All grades, with the exception of the initial grade in repeated courses, will be utilized in calculating the cumulative GPA.

Disciplinary Action

Students are subject to disciplinary action, including dismissal from the College, for actions deemed inappropriate according to the Student Conduct Code distributed to all students in the Student Handbook.

Class Ranking

The college computes and maintains records of students' class rank. It is placed on student transcripts, which are available as requested by the student.

Class rank, to be a valid barometer of a student's performance, must be computed properly. Therefore, the following guidelines are used:

1. Computation of the GPA shall be rounded to no more than two decimal places (hundredths) for the purpose of determining class rank.
2. Students having the same GPA shall be reported as having identical class ranks representative of their grouped data.
3. If class rank is to be reported to external agencies, it shall first be grouped in deciles and the decile rank shall be reported with an explanation that we have chosen this method to avoid creating distinctions that are not significant.

Dean's List

The Dean's List recognizes those students whose term grade point average is 3.25 or higher. Students on Academic Probation are not eligible. The Office of Academic Affairs will notify students on the Dean's List in writing after each term in which they qualify.

Special Students

Space permitting, non-matriculated students may attend courses for credit on a part-time basis and pay tuition on a per-credit basis.

All requests by individuals for special student status should be referred to the Office of Student Affairs, which will provide an application form. The application form will be sent to the instructor of the particular course(s) who will evaluate it on the basis of: (1) Whether the course can accommodate the student, and (2) Whether the student's background is suitable for the course. The approval of the appropriate department chair and the dean for academic affairs is required subsequent to the instructor's approval.

If the application is approved, the student must register with the Office of Student Affairs and pay all necessary tuition charges.

Requirements for Graduation

A student must receive a passing grade for every required course in the curriculum (including clinics) and at least a 2.0 grade-point average in order to be considered for graduation. A student on probation is ineligible to graduate.

Availability of Academic Records

Students may request copies of their transcripts for themselves or for third parties. Requests must be made in writing and the contact information provided.

At the request of the president or dean, term reports and written instructor comments may be made available.

Transcripts from the SUNY College of Optometry will be provided to members of the Course and Standing Committee. The committee, by vote, may request a student's transcripts from previous institutions attended, standardized test scores, and letters of recommendation. The registrar, or a person designated by the registrar, shall be responsible for distributing and collecting all documents, and copies thereof, which are utilized Committee on Course and Standing meetings. All such documents and copies must be returned to the registrar or designee prior to the end of the meeting.

The chairperson at any meeting where student records are reviewed and discussed must inform all present about the necessity to maintain confidentiality of all student records and of the proceedings of the meeting.

Student academic records, scores and grades may be used for educational research only as part of de-identified group data. Proposals for educational research involving student records must comply with FERPA regulations and will be evaluated by the dean for academic affairs in consultation with the vice president for student affairs and the president of the Student Council.

Proposals for use of student data for educational research must include:

- A statement of the objective of the study.
- The qualifications of the individual or group conducting the study.
- A description of the methodology to be employed.
- A signed statement assuring confidentiality of all data.
- Assurance that data will only be reported as de-identified group data.

Textbooks and Readings

Instructors of Record must include a list of all required readings and textbooks in the course syllabus and make it available prior to the beginning of the term. Required textbooks will be made available in the library reserves. A list of required texts, and any other materials for the course requiring time to acquire, should be provided to the department chairs and a compiled list of all required texts and materials will be provided to the students through the Office of Student Affairs in advance of the term for dissemination to the students.

Procedures for Changing Educational Policy

This document may be modified as specified in the Faculty Bylaws.

NOTE: This document will be maintained by the chairperson of the Educational Policy Committee with the assistance of the dean for academic affairs.

GRADUATE PROGRAM IN VISION SCIENCE:

Graduate Center for Vision Research at the SUNY College of Optometry

(Approved by Graduate Faculty, updated 8/3/15)

I. DEFINITIONS AND PROCEDURES**A. Definitions**

1. "Associate Dean" refers to the associate dean for Graduate Studies and Research
2. "Graduate Program Committee" refers to the Graduate Committee on Policy, Curriculum, Admissions, and Course and Standing.
3. "Graduate Program" refers to the Graduate Program in Vision Science at the Graduate Center for Vision Research, SUNY College of Optometry.
4. "Qualified graduate faculty" refers to a member of the College Faculty who, following the recommendation of the Graduate Qualifications Committee, has been formally designated as qualified for the responsibilities under discussion.
5. "Academic-year semesters" refers to the Fall and Spring semesters.
6. "Dissertation" refers to doctoral program components and requirements.
7. "Thesis" refers to master's program components and requirements.

B. Procedures

1. This Policy Document is subordinate to, and must be interpreted in conformity with, the negotiated agreement with the UUP, the Policies of the Trustees of the State University of New York, and the Faculty Bylaws of the State College of Optometry.
2. This Policy Document shall constitute the Graduate Policy Document referred to in the Faculty Bylaws ("COMMITTEE ON GRADUATE PROGRAM, POLICY, ADMISSIONS & STANDING", Section C).
3. Changes in this Policy Document shall be made in accordance with the procedures described in the Faculty Bylaws ("COMMITTEE ON GRADUATE PROGRAM, POLICY, ADMISSIONS & STANDING", Section C).
4. In the sections that follow, when references are made to recommendations made by the Graduate Program Committee it shall be understood:
 - a. All such recommendations shall be made in writing to the Associate Dean.
 - b. The Associate Dean shall either proceed to implement the recommendation OR shall meet with the Committee to discuss its recommendation OR shall respond in writing to the Committee indicating that its recommendation has been rejected or modified.
5. As indicated in several places below, formal communications from students concerning the Graduate Program shall be made to the Associate Dean. When appropriate, the Associate Dean shall then pass copies of these communications to the appropriate committee for its consideration. Likewise (with the exception of transcripts, which come from the Registrar) formal communication to students concerning the Graduate Program shall come from the Associate Dean's office.
6. The Associate Dean shall be informed of all meetings of the Graduate Program Committee and may attend and participate in these meetings.

7. The academic calendar for the Graduate Program shall be prepared and distributed by the office of the Associate Dean. The calendar shall generally incorporate the dates given in these policies, but under exceptional circumstances any of these dates may, in consultation with the Graduate Program Committee, be altered.
8. Every year, prior to the beginning of the Fall semester, the Qualifications Committee shall prepare a list, in accordance with the Faculty Bylaws, of all members of the Graduate Faculty for the coming academic year. This list shall indicate which functions within the Graduate Program each faculty member has been formally authorized to perform. This list shall be sent to the office of the Associate Dean and be distributed to all members of the Graduate Faculty.

C. Graduate Faculty Responsibilities

As specified in the SUNY College of Optometry Faculty By-laws, the (Section J-2), The Faculty of the Graduate Program refers to members of the Faculty who are designated by the Dean, after review and recommendation by both the Associate Dean and the Qualifications Committee to:

- a. Teach a course in the Graduate Program
- b. Serve as the research advisor of a MS student
- c. Serve as the research advisor of a PhD student
- d. Serve as a member of a Dissertation Committee.

1. Teaching Responsibilities in the Graduate Program:

Responsibilities of Instructors of Record of Graduate Program Courses include:

- a. Providing overall administration and direction of the course
- b. Ensuring quality of content and instruction
- c. Coordinating teaching activities of other faculty participating in the course
- d. Communicating with the Associate Dean on a regular basis about course activities
- e. Submitting grades within the required time period
- f. Submitting a Course Syllabus and Reading List to the Associate Dean prior to the start of the semester the course will be offered. The Course Syllabus should contain:
 1. Course name, number, and credits
 2. Brief summary of the course
 3. Specific Course and learning objectives
 4. List of topics to be covered
 5. Number of contact hours with students
 6. Student requirements
 7. Method of evaluating student performance
 8. List of prerequisites
 9. Reading list (all books and journal articles)

2. Responsibilities of Masters Student Research Advisors

- a. Mentor students on basic intellectual and technical skills called for to complete the thesis research project.

- b. Be available to meet with his/her students on a regular basis. During the first year in the program, meetings must occur at least twice monthly during the academic year and weekly during the summer months, and at least once monthly thereafter.
- c. Ensure that the student's thesis project progresses on a timely basis and is completed prior to graduation from the professional program. Advisors must inform thesis committee members and the Associate Dean of any problems in a student's progress towards completion of his/her thesis research project.
- d. Ensure that students' research projects meet all College, state and federal requirements for research and that students are properly informed about these processes and certified to conduct research with human or non-human subjects as appropriate.

3. Responsibilities of Doctoral Student Research Advisors

- a. Mentor students on basic intellectual and technical skills called for to complete the thesis research project.
- b. Be available to meet with his/her students on a regular basis. Meetings (either face-to-face or through electronic media) must occur at least twice monthly during the academic year and summer months.
- c. Ensure that the student's Dissertation research progresses on a timely basis and that student meets all deadlines for degree completion. Advisors must inform dissertation committee members and the Associate Dean of any problems in a student's progress towards completion of his/her thesis research project.
- d. Ensure that students' research projects meet all College, state and federal requirements for research and that students are properly informed about these processes and certified to conduct research with human or non-human subjects as appropriate.

4. Responsibilities of Dissertation Committee Members

- a. Help facilitate discussions to resolve any conflicts that may arise between the student and his/her advisor.
- b. Complete Dissertation Committee Report once a year and determine if the student is making timely and adequate progress in his/her dissertation research.
- c. At the last Progress Report Meeting, the Committee must certify that all aims proposed by the student have been completed and that the student can begin writing the dissertation.
- d. Be available to meet with the student and/or Dissertation Committee when needed.
- e. Give constructive and timely feedback on proposals (i.e., IRB/IACUC, protocols, thesis papers, presentations) and the oral dissertation defense.

5. Responsibilities of M.S. Thesis Committee Members

- a. Help facilitate discussions to resolve any conflicts that may arise between the student and his/her advisor.
- b. Complete Thesis Committee Report once a year and determine if the student is making timely and adequate progress in his/her thesis research.
- c. At the last Progress Report Meeting, the Thesis Committee must certify that all aims proposed by the student have been completed and that the student can begin writing the thesis.

- d. Be available to meet with the student and/or Thesis Committee when needed.
- e. Give constructive and timely feedback on proposals (i.e., IRB/IACUC, protocols, thesis papers, presentations) and the oral thesis defense.

D. Qualification of Graduate Faculty Members

According to the SUNY College of Optometry Faculty By-laws, qualification for each of the following categories of participation in the Graduate Program (teaching a course in the Graduate Program, serving as an advisor of a MS or PhD student, serving as a member of a MS student's Thesis Committee and doctoral candidate's Dissertation Committee) shall lapse after three consecutive years of inactivity in that category. Qualification may be reinstated only after review by the Graduate Qualifications Committee. To make this determination, the Graduate Qualifications Committee will evaluate graduate faculty members every (3) three years. Failure to meet the criteria outlined below may lead to a review of previously qualified faculty by the Graduate Qualifications Committee before the three year review period.

The Graduate Qualifications Committee shall evaluate faculty qualifications for re-appointment to serve in the Graduate Program based on the following criteria:

1. Qualification for Teaching Graduate Courses

- a. Candidates shall be evaluated for possessing the appropriate type and extent of expertise to teach courses in the Graduate Program.
- b. For those who have taught in the Graduate Program in the past, as instructor of record, they will be evaluated by the Graduate Qualifications Committee as to whether they fulfilled their responsibilities. For teaching faculty who have participated in courses, they will be evaluated as to whether they fulfilled their responsibilities as determined by the instructor of record.

2. Qualification for Serving as a Masters Student Research Advisor

- a. Meet the same requirements for teaching graduate courses and have should have participated in graduate teaching in the past three years.
- b. Possess an MS or PhD degree in an appropriate discipline. The degree requirement may be waived for individuals who are judged to have attained equivalent qualifications.
- c. Have a full-time faculty appointment.
- d. Have an active on-going research program, as evidenced by at least two peer-reviewed publications (excluding abstracts) in the past three years.
- e. Have adequate funding to support a MS student's thesis research.
- f. Candidates for qualification who have served as a MS student research advisor in the past must have successfully fulfilled the responsibilities outlined in Section I.C.2.
- g. Be in compliance with all college, federal, state and local research regulations.

3. Qualification for Serving as a PhD Student Research Advisor

- a. Meet the same requirements for teaching graduate courses and have should have participated in graduate teaching in the past three years.

- b. An earned PhD degree in an appropriate discipline.
- c. Have a full-time faculty appointment.
- d. Have an active on-going research program, as evidenced by at least two peer-reviewed publications (excluding abstracts) in the past three years.
- e. Have adequate funding and space to support a PhD student's dissertation research.
- f. Candidates for qualification who have served as a PhD research advisor in the past must have successfully fulfilled the responsibilities of a PhD research advisor as outlined in Section I. C. 3.
- g. Be in compliance with all college, federal, state and local research regulations.

4. Qualification of Doctoral Dissertation Committee Members

- a. Candidates shall be evaluated for possessing the appropriate type and extent of expertise to serve on such committees.
- b. If a candidate has served on a Dissertation Committee in the past, they will be evaluated on how successfully they fulfilled the responsibilities of a Dissertation Committee member as indicated in Section I.C.4.

5. Qualification of Masters Thesis Committee Members

- a. Candidates shall be evaluated for possessing the appropriate type and extent of expertise to serve on such committees.
- b. If a candidate has served on a Thesis Committee in the past, they will be evaluated on how successfully they fulfilled the responsibilities of a Thesis Committee member as indicated in Section I.C.2.

E. Conduct of Reviews by Graduate Qualifications Committee

The Conduct of Reviews by the Graduate Qualifications Committee is specified in the SUNY College of Optometry Faculty By-laws as follows:

1. Meetings of the Graduate Qualifications Committee shall be closed and all proceedings of the Committee shall be held in strict confidence. Results shall be reported to the dean and associate dean for Graduate Studies and Research.
2. Records and files of the Committee shall be maintained by the associate dean for Graduate Studies and Research.
3. Requests to evaluate the qualifications of a Faculty member for participation in the Graduate Program may come from the dean, the associate dean or from the faculty member him/herself.
4. A member may be de-qualified for any or all of the categories listed above (Teaching in the Graduate Program, Serving as an Masters Student Research Advisor, Serving as a Doctoral Student Advisor, Serving on a Doctoral Dissertation or Masters Thesis Committee) upon recommendation for de-qualification by the Graduate Qualifications Committee with concurrence of the associate dean to the dean.
5. To assist in its deliberations, the Committee may:
 - a. Request candidates to furnish written materials such as a curriculum vitae and copies of publications and grant applications.

- b. Invite members of the College community to its meetings to discuss a candidate's qualifications.
- c. Solicit letters of recommendation from outside the College community.
- d. Invite the candidate to meet with the Committee. Alternatively, the candidate, if he or she wishes, may request a meeting with the Committee.

II. ADMISSIONS

A. Admissions Decisions

1. Applications for admission to the Graduate Program shall be made, directly or indirectly, to the associate dean, whose office shall maintain access to all admissions records and shall conduct or authorize all correspondence with applicants.
2. The associate dean's office shall transmit all applications materials to the Graduate Committee, which shall consider them and convey to the associate dean its decisions concerning action to be taken on the application. The Committee may consult other faculty and students as it deems appropriate. It may also interview applicants, when possible, as it deems appropriate. The associate dean's office shall inform applicants of the decisions made by the Graduate Program Committee. (See section III-1, and note that the Graduate Program Committee makes the final decision on admissions, but not on financial support.)
3. Admission to the Graduate Program is to either the MS, OD-MS, or PhD program.

B. Admission Requirements

An applicant for admission must have completed the following requirements within the past ten years:

- a. Baccalaureate degree, or a professional degree in a health science
- b. Graduate Record Examination General Exam or at the discretion of the Graduate Program Committee, the OAT or other similar examination.
- c. Demonstration of ability in both written and spoken English. Foreign applicants from non-English speaking countries must submit scores from the Test of English as a Foreign Language (TOEFL).
- d. Letters of recommendation from three (3) mentors familiar with the applicant.
- e. Official Transcripts of all college and post-graduate work (up to the last recent semester or quarter prior to application deadline).
- f. Under special circumstances, the Graduate Program Committee may recommend waiving some of the requirements for admission.

C. Admissions Timetable

1. PhD and MS program students will normally be admitted to the Fall semester. The OD- MS program will accept MS applications no later than November 30 for acceptance in the Spring. The Graduate Program Committee may, at its discretion, recommend that a student be admitted to any other semester.
2. Completed applications normally must be received not later than January 15 for admission to the Fall semester, but the Graduate Program Committee may, at its discretion, recommend the acceptance of a late application.

3. For PhD and MS applications completed by January 15, notification of acceptance or rejection shall be sent to the applicant not later than April 1.
4. For M.S. applicants to the OD-MS program, notification of acceptance or rejection shall be sent to the applicant not later than the first week in January.

D. Admission with advanced standing

1. A student who has been admitted to the Graduate Program may apply to the associate dean for transfer credit for graduate level work completed at another institution. The Graduate Program Committee shall then assess the work that has been completed and make its recommendation concerning what transfer credit to grant. Transfer credit shall be indicated as such on the student's transcript, and no grade shall be assigned to it, nor shall it be counted in the determination of the student's GPA.

III. FINANCIAL AID, AWARDS, AND ASSISTANTSHIPS

- A. Recommendations concerning granting of financial aid and awards and the assignment of graduate assistantships shall be made by the Graduate Program Committee.
- B. Students shall receive graduate assistantship support only for those semesters during which they are enrolled full-time in the graduate program.

IV. ADVISORS

- A. Every graduate student must have a graduate advisor, whose role shall be to help the student plan her or his course of study, to direct the student's research, and to assist the associate dean and Graduate Program Committee in their periodic assessments of the student's progress.
- B. A student's advisor shall be selected by the student, with the consent of the chosen advisor, from among the appropriately qualified graduate faculty (See Section I.D.).
- C. It shall be the responsibility of the associate dean to inform students concerning available advisors and to inform all qualified faculty of students who are in need of advisors.
- D. For the PhD program, an advisor should be selected no later than the end of the student's third semester in the program. For the MS and OD-MS programs, an advisor should be selected no later than the end of the student's first full semester in the program.
- E. The associate dean, or his or her designee, shall be the interim advisor to students who have not yet selected an advisor.
- F. A student who does not or cannot identify an advisor willing to work with the student may not remain in the program.
- G. A formal event for prospective OD-MS students, with lectures/demonstrations by available advisors, will occur in the Fall semester of the first year of the professional program. Students will then interview with the advisors of their choice.
- H. A student may change to a new advisor with the consent of the associate dean.
- I. A student shall signify her or his choice of advisor, or change in advisor, by a written statement, signed by both the student and the new advisor, filed with the office of the associate dean. In the case of a change of advisor, the office of the associate dean shall immediately notify the previous advisor of the requested change.

V. REGISTRATION AND MAINTENANCE OF MATRICULATION

A. Registration

1. Each semester, a student's registration form must be approved on-line by her or his advisor as specified in the academic calendar.

B. Adding Courses

1. With the approval of the instructor and the approval of the student's advisor, a student may add courses to his or her program using the on-line registration procedure within the first two weeks of the semester.

C. Withdrawal from Courses

1. A student may withdraw from a course using the on-line registration procedure within the first four weeks of the course without the registration or withdrawal being recorded on the transcript.
2. A student withdrawing within the first four weeks must give notice to the instructor of his/her intention to withdraw.

D. Requirements for Active Status

1. To maintain active full-time status, students normally must maintain registration in at least 12 semester-hours of graduate credit in each of the academic-year semesters (Fall, and Spring). With the written approval of her or his advisor, a student may petition the Associate Dean to be granted full-time status for a particular semester while maintaining registration for as few as 9 semester-hours of credit. A recommendation to approve such a petition shall be at the discretion of the Graduate Program Committee. Students enrolled for fewer than 9 credits shall be considered part-time.
2. To maintain active combined program or part-time status, students normally must maintain registration for at least one graduate credit (including research done for graduate credit) per academic-year semester.
3. To maintain active status, students must have an advisor.
4. Failure to maintain active status, without formal leave of absence, for more than one academic-year semester, consecutively, shall result in dismissal from the graduate program.

E. Leaves of Absence

1. A student may request a leave of absence by petitioning in writing to the associate dean. Such requests are generally for medical or emergency reasons.
2. The Graduate Program Committee, following consultation with the student's advisor and other appropriate persons, may recommend granting a leave of absence of up to one year in duration.
3. A request for an extension of a leave of absence may be made and acted upon in the same manner as an original request for a leave of absence.

VI. GRADES, PROBATION, AND DISMISSAL

A. Letter Grades and Credit-only Grades

1. The letter grades are "A", "B", "C", "D", and "F". Of these grades, "A", "B", and "C" are passing grades and receive full graduate credit, while "D" and "F" are failing grades and receive no graduate credit.
2. All graduate courses (with the exception of the Scientific Integrity and Ethics in Research course, Vision Science Journal Club, Research Survival Skills course, and research and independent study) must be taken for letter grades.
3. The credit-only grades are P and U.
4. Research or independent study shall be taken for a credit-only grade.
5. The instructor of each course is responsible for determining the procedures to be used in evaluating performance for the course and is responsible for informing the students of these procedures at the beginning of the course.

B. Incomplete Grades

1. A grade of "I"--incomplete--indicates that the requirements of the course have not been completed by the end of the grading period but that the work that has been done has been at a passing level. A grade of "I" may be given at the discretion of the instructor.
2. An "I" grade must be replaced by a letter grade or credit-only grade no later than the end of the following semester. An "I" grade that has not been replaced by this time will be automatically converted to an "F" or a "U" grade. Under exceptional circumstances the course instructor may grant an extension of one semester to this period. The instructor is to notify the associate dean's office in writing of any extension that is granted. After the "I" grade has been replaced, the student's transcript shall not indicate that the initial grade received in the course was an "I".

C. Submission of Grades

1. Instructors shall submit course grades to the registrar using the on-line procedure within 1 week of end of the final exam period.
2. A grade may be changed by the instructor of the course at any time after the grades for the course have been submitted, but ONLY in the event that the original grade issued was in error. A written statement of such a grade change is to be submitted by the instructor to the registrar and to the associate dean.

D. Notification of Grades

1. Following each semester, students may access their transcripts and view their grades using the on-line procedure. Grades with students' names should not be posted or otherwise made public.

E. Grade Point Average (GPA)

1. In calculating a student's grade point average, the quarter- hour credit assigned to a course is multiplied by the numerical weight of the grade received in the course. The numerical weights of the letter grades are as follows:
 - A - 4
 - B - 3
 - C - 2
 - D - 1
 - F - 0

Credit-only grades are not used in calculating grade point averages.

2. If a student repeats a graduate course for any reason, the student's transcript shall show this and shall show both the first and second grades received. The grades and the credit hours shall each be averaged in calculating the student's cumulative grade point average.
3. Following every academic semester, cumulative GPAs shall be calculated by the registrar and recorded on the students' transcripts.

F. Academic Probation and Dismissal

1. Students are expected to maintain a cumulative graduate grade point average of at least 3.00.
2. Joint-degree students must maintain good standing in the professional program.
3. Starting with the end of a student's second academic semester in the graduate program, a student who, following the end of a semester or evaluation period, has a cumulative graduate GPA of less than 3.00, or who has received a grade of "D" or "F" in any graduate course or a grade of "unsatisfactory" in a research course, in the semester just completed, shall be placed on academic probation by the Associate Dean.
4. A student may also be placed on academic probation by the associate dean if he or she is judged not to be making satisfactory progress by the student's thesis or dissertation committee toward the degree for which he or she is a candidate. In such cases explicit conditions should be specified that the student must meet during the next academic semester to be removed from academic probation.
5. When a student's academic performance does not yet warrant probation but appears to be in danger of doing so, a letter of warning may be sent. The Graduate Program Committee shall recommend to the associate dean that the student and his/her advisor receive written notification that the student is in jeopardy of being placed on probation. In such cases explicit conditions should be specified that the student must meet to avoid being placed on probation.
6. A student whose performance warrants automatic academic probation for two consecutive academic semesters or evaluation periods, or who fails to meet the conditions specified when he or she was placed on probation may be dismissed from the Graduate Program. This action will be based on the recommendation of the Graduate Program Committee to the associate dean, who will make the final determination.
7. Prior to making a recommendation of dismissal, the Graduate Program Committee shall consult with the student's advisor and shall offer the student an opportunity to meet with the Committee.
8. A student shall be informed in writing of academic probation or dismissal by the Associate Dean. A copy of any such communications shall be sent to the student's advisor.
9. Decisions concerning probation and dismissal shall be made and communicated within the first two weeks of the semester following the semester under consideration. A student who is dismissed shall be allowed to complete the semester during which the decision is made. Prior commitments of financial support shall be honored during this period.
10. A student in the PhD program who must leave before completion of the PhD for any reason may submit a written request to the associate dean to be considered for conferral of the MS degree. This "terminal masters" is typically awarded only to students who have completed the PhD Core Curriculum and submitted a paper for publication in a peer-reviewed journal resulting from research conducted in the program.

G. Transcripts and record-keeping

1. The Registrar shall maintain official graduate transcripts for each graduate student. The transcript shall be a chronological record of each course taken, the course's instructor, the credit assigned to the course, the grade received, and the GPA. The transcript shall include an explanation of the program's grading system and an explanation of the course numbering (GP100-level, GM200-level, etc.). Any credit awarded for prior academic work shall also be noted on the transcript.
2. Copies of all records pertinent to each student's admission to and progress through the Graduate program shall be kept by the associate dean and made available to the Graduate Program Committee as requested.

VII. GRADUATE COURSES AND CREDIT**A. Graduate credit for professional courses**

1. Certain courses in the profession curriculum have been designated as courses that may be taken for graduate credit. The Graduate Program Committee may recommend additions to or deletions from this list.
2. The graduate credit assigned to professional level courses shall be computed as one semester-hour of credit for each hour of lecture per week and 0.5 semester-hour of credit for each hour of laboratory or recitation per week.
3. Students who have a passing grades in the courses in the professional program that are required for completion of the MS will retroactively receive credit for these courses when they are accepted into the OD-MS program.

B. Graduate Seminars and Tutorials

1. All graduate seminars/tutorials that can be used to fulfill the MS or PhD course requirement shall be designated as GM200-level courses.
2. Other graduate seminars/tutorials shall be designated as GE300 level courses.
3. Proposals for graduate courses by faculty must be submitted to the associate dean no later than the third week of the semester prior to the semester in which the seminar is proposed to be offered. The Graduate Program Committee shall consider such proposals and shall recommend whether the proposal be accepted, rejected, or modified as to content and amount of meeting time and associated credit.

C. Credit for research and independent study

1. Students may register for and receive credit for independent study. Such credit shall be at the G300-level and may be applied toward the requirements for elective credits in the professional program.
2. Students working toward the PhD degree may register for and receive credit for their research activities. Such credit shall be designated at the GD400-level.
3. To receive graduate credit for research or independent study in a given semester, a student must follow the usual procedures for registration in (or withdrawal from) graduate courses and so must have the consent of the advisor. They must also have the consent of the person supervising the research or independent study, if different from the advisor.
4. In general, it shall be expected that a student do at least two hours of work per week for each one semester-hour of credit for research.

5. Research shall receive credit-only grades.

D. Credit for work to be done at other institutions

1. A student enrolled in the graduate program may, with the written approval of his or her advisor, petition the associate dean to receive graduate credit for courses, seminars, or research to be undertaken at another institution. When the majority of research is being carried out off campus, the Office of the associate dean and the Graduate Program Committee should be notified. Subsequently, the associate dean will determine if credit is given. Petitions must be made no later than the beginning of the semester prior to the semester in which such work is to be done.

VIII. MASTER OF SCIENCE (M.S.) IN VISION SCIENCE

A. Requirements for the MS degree, including the OD-MS degree

1. Completion of the curriculum requirements (see Section VIII-B).
2. Completion of at least 40 semester-hours of graduate credit, at least 25.5 of which must be at the GM200-level or above. Up to 14.5 semester-hours of graduate credit may be earned at another institution (either prior to or following enrollment in this program), but at least 25.5 semester-hours (including research credit) at the GM200-level or above must be completed in this program.
3. A cumulative graduate grade point average of at least 3.00.
4. Completion of the Master's Research requirement and oral defense of the work (see section VIII-E).
5. All requirements for the MS degree must be completed within 5 years of starting the program.
6. MS degrees may be awarded two times a year, near the end of each semester. (Commencement ceremonies are held once a year, near the end of the Spring semester, for all degrees awarded during the past year.)
7. When a student has completed all the requirements for the MS degree, the student may file a written request for the degree with the office of the associate dean. The first day of each semester is the deadline for filing a request to receive a degree near the end of that semester.
8. At the time of filing a request for the MS degree, the student must also indicate whether he or she wishes to be considered for admission to the PhD program.
9. Awarding of the degree shall be subject to verification by the registrar that all requirements have been completed.

B. Masters Program Core Curriculum

1. To qualify for the MS degree, students enrolled in the Master's program must pass the following professional program courses, which are designated as GM100 Level courses:
 - Integrated Optics I
 - Visual Function: Sensory, parts A and B
 - Ocular Anatomy, Biochemistry & Physiology I
 - Ocular Anatomy, Biochemistry & Physiology II
2. Students must also pass the GM201 Introduction to Statistical Methods.

3. Students must pass the GM240 Research Survival Skills course.
4. Students must pass one semester of GM241A Vision Science Journal Club.
5. Students must pass the seminar GM219 Scientific Integrity and Ethics in Research.
6. The published description of each core course shall list any courses or material prerequisite or co-requisite to that course. Students must meet these requirements to the satisfaction of the course instructor.

C. Advanced Topic Seminars

1. To qualify for the MS degree, a student must pass four (4) GM200-level seminars. At least three of these seminars must be Advanced Topic (AT) seminars. There will be an AT seminar offered every Fall and every Spring semester. Students may satisfy the requirement by taking either (a) four AT seminars or (b) with the approval of the student's advisor and the associate dean, three AT seminars and an academic (non-research) course such as independent study or a course in the PhD program. Over the course of two years, AT seminars are generally offered in these four topics:

GM251 Oculomotor Systems

GM252 Sensory Physiology and Perception

GM253 Optics, Refractive Error, and Maturation of the Optical System

GM254 Ocular Bioscience

2. Each of the above seminars shall be a 2-credit course.
3. Seminars in the above areas are expected to be somewhat broad, rather than narrowly specialized, but they are also not expected to cover all of the topic area nor to cover exactly the same material each time offered.
4. A student taking an AT seminar must satisfy any prerequisites and co-requisites for the seminar as specified by the instructor.
5. Each time an AT seminar is to be offered, a proposal concerning the topics to be covered must be submitted to the associate dean no later than the third week of the semester prior to the semester in which the seminar is to be offered. The Graduate Program Committee shall consider the proposal and recommend whether it is appropriate in content and breadth for the AT area or needs to be modified. If necessary, the Graduate Program Committee shall also recommend whether the proposed seminar is sufficiently different in content from a previous seminar in that area so that a student taking both seminars could receive separate graduate credit for each of them.
6. By the end of the semester during which an AT seminar is offered, a complete reading list for the seminar must be requested and received by the associate dean to be put on file.
7. The schedule for AT seminars will be announced two years in advance.

D. Exemptions from required courses

1. A student may, on the basis of previous work, request an exemption either from a required course in the core curriculum or from a required prerequisite or co-requisite to a core curriculum course or to an AT seminar. Such requests shall be made by petition in writing to the instructor of the course seminar.
2. The instructor may use any appropriate evaluative method in deciding on whether to recommend the exemption and shall transmit his or her recommendation in writing to the Associate Dean.

E. Masters Program Research Requirement

1. In consultation with his/her thesis advisor, a Masters student will invite at least two members of the graduate faculty to serve on his/her thesis committee by May 1st of their first year. Since one role of the thesis committee is to resolve any conflicts that may arise between a student and his/her advisor, a member other than the thesis advisor should be named committee chairperson. This committee shall be approved by the associate dean. The thesis committee may, if it desires, make use of consultants not on the committee.
2. By no later than June 15 of their first year, a student will write a brief thesis proposal and meet with the committee members to discuss the project and obtain approval and submit a Masters Thesis Committee Progress Report to the associate dean. As a proposal, it is anticipated that changes may be made as the research project is executed; students should inform committee members of any significant changes in the project as it progresses.
3. Students are expected to meet with their full Thesis Committee at least once per year (usually in the Spring) in order to discuss the project and assess progress. The committee chairperson will provide a progress report to the associate dean after the meeting.
4. Each student must submit a final thesis based upon completion of his/her research activities, which must be approved by the student's thesis committee.
5. In addition to the written Masters thesis, students will be required to present and defend their work orally in the form of a scheduled talk to the College community, including the thesis committee, followed by a question and answer period. A satisfactory oral presentation, as judged by the student's thesis committee, is a requirement of the MS degree.
6. OD-MS students are encouraged to finish the written thesis and oral defense before the beginning of their fourth year of optometry school, particularly if they will be away on externships.

IX. DOCTOR OF PHILOSOPHY (Ph.D.) IN VISION SCIENCE**A. Requirements for the PhD degree**

1. The student must complete at least 80 semester credits (see PhD Curriculum requirements, Section IX-B). Candidates are encouraged, in consultation with their advisors, to take advanced seminars and tutorials and relevant course work.
2. The student must have a cumulative grade point average from course work, including research course work, of 3.00 or higher.
3. All students in the PhD Program are expected to attend at least 75 percent of the SIVR Colloquia and/or VisioNYC, presented each academic year, except during the final semester before submitting their dissertation.
4. All PhD students are expected to give a minimum of one presentation at a national conference per year beginning in Year 3.
5. All PhD students are required to make a yearly oral presentation of their research accomplishments. (see Section IX-D on Oral Presentations.)
6. Students must take and pass a Qualifying exam: (see Section IX-F). After passing this exam, the student will advance to candidacy.
7. Students must write a dissertation and have it approved (see Section IX-H).
8. PhD degrees are awarded two times a year, near the end of the Fall and Spring semester.

Students may attend the commencement ceremony, held once a year, near the end of the Spring semester, irrespective of when their degree was awarded. When a student has completed all the requirements for the PhD degree, the student must file a written request for the degree with the office of the associate dean.

9. Following a written request for the degree, the Office of the Associate Dean and the Office of the Registrar shall examine the student's credentials and, if all the requirements have been completed, shall recommend that the student be awarded the degree of PhD in Vision Science contingent on acceptance of the dissertation after the student's oral defense
10. A student in the PhD program who must leave before completion of the PhD for any reason may submit a written request to the associate dean to be considered for conferral of the MS degree. This "terminal masters" is typically awarded only to students who have completed the PhD Core Curriculum and submitted a paper for publication in a peer-reviewed journal resulting from research conducted in the Program.

B. Doctoral Program Core Curriculum Requirements

1. To qualify for the Ph.D. degree, students must pass the following courses:
 - GM230 Introduction to Vision Science – Part I
 - GM231 Introduction to Vision Science – Part II
2. Students must also pass GM201 Introduction to Statistical Methods.
3. Students must pass the seminar GM219 Scientific Integrity and Ethics in Research.
4. PhD students are required to complete a minimum of two lab rotations during the first year in the program, one during the Fall semester and a second in the Spring semester.
5. The published description of each core course shall list any courses or material prerequisite or co-requisite to that course. Students must meet these requirements to the satisfaction of the course instructor.
6. Students are required to register for Vision Science Journal Club each semester except during the final semester before submitting their dissertation.
7. To qualify for the PhD degree, a student must pass five (5) of the following GM200-level seminars/tutorials from the Options List:
 - GM202 Optics of the Eye
 - GM203 Spatial-temporal Processes
 - GM204 Color Vision
 - GM207 LGN and Cortex
 - GM208 Ocular Motility GM209 Binocular Vision
 - GM210 Visual Perception GM211 Ocular Biochemistry
 - GM213 Ocular Pathology
 - GM214 Accommodation
 - GM216 Visual Physiology of the Eye
 - GM218 Visual Development
 - GM221 Early Visual Processing in the Brain
 - GM222 Retinal Mechanism & Behavior
8. Each of the above seminars/tutorials shall be a 2-credit course.

9. Seminars/tutorials in the above areas are expected to be somewhat broad, rather than narrowly specialized, but they are also not expected to cover all of the topic area nor to cover exactly the same material each time offered. A student may, with the permission of his or her advisor, take more than one seminar in the same topic area for credit; in that case he or she must still take seminars/tutorials in a minimum of four distinct options list areas.
10. A student taking an options list seminar or tutorial must also satisfy the prerequisites and co-requisites for the seminar.
11. Advanced Topics courses in the OD-MS program (Section VIII. C.) may be taken for credit in the PhD program only with the approval of the course instructor, the student's advisor, and the associate dean.
12. By the end of the semester during which an options list seminar/tutorial is offered, a complete reading list for the seminar must be requested and received by the associate dean to be put on file.
13. At least two courses will be offered each semester, to be announced two years in advance.

C. Exemptions from Required Courses

1. A student may, on the basis of previous work, request an exemption either from a required course in the core curriculum or from a required prerequisite or co-requisite to a core curriculum course or to an options list seminar. Such requests shall be made by petition in writing to the instructor of the core course or the options list seminar.
2. The instructor may use any appropriate evaluative method in deciding on whether to recommend the exemption and shall transmit his or her recommendation in writing to the associate dean.

D. Required Oral Presentations

1. Each PhD student is required to make an oral presentation of the work done after each year. The presentation will last 15 minutes, with 5 minutes for questioning by the Graduate Faculty. The Annual Oral Presentations serves to assess students' proficiency in communicating the knowledge they have gained during their lab rotations or thesis research to an audience.
2. All members of the Graduate Faculty attending the presentations will evaluate each student's performance. Based on these evaluations, students' advisors will provide individual feedback to each of their students and submit a grade of Pass or Unsatisfactory, which will be recorded on the official graduate student transcript.

E. Dissertation Committee

1. Each student, in consultation with his/her advisor, will select a Dissertation Research Committee. The Dissertation Committee will consist of (a) the student's advisor, and (b) at least two qualified faculty who have agreed to serve on the Committee. Since one role of the Dissertation Committee is to resolve any conflicts between the student and his/her advisor, the advisor cannot be the chairperson of the committee. The Dissertation Committee must be created prior to the Qualifying Examination. The Dissertation Committee must be approved by the associate dean.

F. Qualifying Examination

1. The Qualifying Exam consists of a Dissertation Proposal, which must be submitted by the end of Year 3. It should be in the form of a grant application, such as the National Institutes of Health National Research Service Award (NRSA) to include:
 - Aims
 - Background and Significance
 - Preliminary Data, Materials and Methods
 - TimetableStudents are encouraged to submit the proposal to the Dissertation Committee by the beginning of Year 3.
2. The student will be required to orally defend of the written dissertation proposal which will be graded by the student's Dissertation Research Committee. The Committee may: (i) pass the proposal indicating that the detailed aims are sufficient for an acceptable doctoral thesis; (ii) conditionally pass the proposal calling for remedial changes; or (iii) fail the proposal. Failure of the Dissertation Proposal may result in a student's termination from the graduate program as decided by the associate dean. A student so terminated may submit a written request to the associate dean for the conferral of a MS degree. (IX. A.12)
3. Appropriate forms will be signed by the Dissertation Committee and filed with the Associate Dean's Office indicating that the proposal has been accepted and that completion of the detailed aims are sufficient for an acceptable doctoral thesis. A copy of this form will be forwarded to the student.

G. Dissertation

1. Doctoral students must meet annually with the Dissertation Committee to give a progress report. The committee will determine whether adequate progress has been made by the student and report this to the associate dean. Any changes in the aims of the project should be provided to and approved by the Dissertation Committee at these meetings. At the last progress report meeting, the committee will certify that all aims proposed by the student have been completed and that the student can begin writing the dissertation. A student may request a meeting of her/his Dissertation Committee at anytime for any reason.
2. An oral dissertation defense will be conducted by the Dissertation Committee, augmented by a member appointed from outside the College by the associate dean. It is expected that in-house members of the Dissertation Committee will have been kept informed of progress on the dissertation during the conduct of research.
3. A portion of the candidate's public dissertation defense will consist of a SIVR Colloquium.
4. Interested members of the graduate faculty may attend the private dissertation defense, which follows the public colloquium, and may participate in the questioning. Only the Dissertation Committee (including its outside member) may vote on approval.
5. Approval of the dissertation must be unanimous. Signatures are required from all members of the Dissertation Committee (including its outside member) indicating approval.
6. Final, approved copies of the dissertation must be submitted to the associate dean not later than five years after advancing to candidacy.

Administrative Policies

Reviewed August, 2019

Employment Policies and Practices

A. General

Appointments, retention, salary, rank, tenure, and other Human Resources matters are governed by the Policies of the Board of Trustees of the State University of New York and the current Agreement between the State and United University Professions. This handbook does not add to or alter basic University policies, but rather explains their application to the faculty of the State College of Optometry.

All policies are subject to change by the SUNY Trustees, collective bargaining Agreements, and other appropriate bodies.

B. Affirmative Action

It is the policy of this institution to provide equal employment and educational opportunities to all. The SUNY College of Optometry is *an affirmative action, equal opportunity employer and does not discriminate on the basis of race, color, national origin, religion, creed, age, disability, sex, gender identity, sexual orientation, familial status, pregnancy, predisposing genetic characteristics, military status, domestic violence victim status, criminal conviction, or retaliation*. Affirmative Action will be taken to ensure that underrepresented, protected classes of employees and students are given an equitable opportunity for progress.

C. Faculty Financial Disclosure

The New York State Joint Commission on Public Integrity (JCOPE) requires that State University employees serving in academic titles (with the exception of the librarian series) who earn annual compensation over a statutory threshold, must file abbreviated Financial Disclosure Statements (FDS) on an annual basis, or must request exemption through the Human Resources Office.

1. Every November 15th all covered faculty (i.e., those earning over the threshold compensation level) must file a Financial Disclosure Statement (FDS).
2. New FDS filers must attend a two-hour comprehensive training within three months of employment or complete the Ethics Orientation, as a precursor to the comprehensive training.

D. Faculty Hiring

Faculty openings are announced throughout the SUNY system, as well as in relevant academic and professional journals. Department chairs and the Chief Medical Officer are responsible for screening candidates and presenting recommendations for prospective faculty to the vice president and dean for Academic Affairs and the vice president for Clinical Administration. In evaluating candidates, department chairs will solicit opinions from current faculty. Whenever possible, candidates will present a talk, lecture, or demonstration on a topic relevant to their area of academic/clinical expertise.

All faculty searches must satisfy affirmative action requirements. For current policies and procedures on hiring, please contact the Office of Academic Affairs.

E. Faculty Appointment

Oath of Office

The Secretary of State is required by law to obtain and file an oath of office for each employee of New York State and a statement that the employee has received, read, and will conform with the provisions of the Code of Ethics.

Initial Appointments

Initial appointments are generally made for a one-year period. In some cases two- or three-year appointments are offered. Under certain circumstances, an initial appointment may be a continuing appointment. Only the chief executive officer can make a final commitment to an appointment or salary through a formal appointment letter.

Faculty appointments may be either full-time or part-time. If full-time, appointments will be:

1. Term. A term appointment shall be an appointment for a specified period, which shall automatically expire at the end of that period unless terminated earlier because of resignation, retirement or termination.
2. Temporary. Temporary appointments are offered in accordance with Article XI, Title F of the Policies of the Board of Trustees. Temporary faculty are not eligible to participate in faculty governance. The conditions for temporary appointments will be consistent with the Policies of the Board of Trustees.
3. Adjunct. Adjunct appointments may be made for certain specified responsibilities including positions at externship sites and will be consistent with the Policies of the Board of Trustees.

The chief executive officer or his/her representative notifies faculty promptly and in writing of all changes in the terms and conditions of their appointments.

Continuing Appointments

A continuing appointment (tenure) shall be an appointment to a position of academic rank that shall not be affected by changes in such rank and shall continue until resignation, retirement or termination.

All full-time term faculty are eligible for consideration for a continuing appointment, except where service has been in a position of qualified academic rank. Service in a part-time, temporary or in a title of qualified academic rank is not creditable for the requirements for continuing appointment.

For assistant professors, service after seven consecutive years will be on a continuing basis. For associate professors and full professors, continuing appointment is possible immediately and mandated after three consecutive years of employment.

Renewal of Term and Continuing Appointments

Article XI of the Policies of the Board of Trustees spell out the timetable for reviewing faculty for extending contracts and awarding continuing appointment.

Notice of Non-Renewal

Articles 32 and 33 of the UUP Agreement elaborate the timetables and procedures for notice of non-renewal of appointment and subsequent appeal and review.

F. Grievance Procedures

A grievance is any dispute concerning the interpretation, application, or claimed violation of a specific term or provision of the UUP Agreement between the State of New York and United University Professions. Article 7 of the UUP Agreement outlines the procedures for processing grievances.

G. Human Resources Files

The college maintains for each employee an official Human Resources file that is available for the employee's examination during normal business hours. However, statements solicited in connection with an employee's appointment, evaluation, reappointment or promotion, with the exception of the written evaluations or recommendations, are not available for employee examination. Designated members of UUP have the right to examine the file in connection with the grievance procedure. The agreement explains the specific situations under which Human Resources files may be examined. (See UUP Agreement, Article 31.)

H. Transfer Rights

Employees who desire to transfer to vacancies in other colleges within the State University of New York will be given consideration for such vacancies. (See UUP Agreement, Articles 34 and 35.)

I. Termination of Service

Temporary appointments may be terminated at will by the chief administrative officer of the college. Prior to the expiration of a term appointment, written notice must be provided in accordance with the current UUP Agreement and the Policies of the Board of Trustees.

J. Retrenchment

Retrenchment is defined as the termination of any academic or professional employee as a result of financial exigency, reorganization of curriculum, reorganization of academic or administrative

structure, programs or functions as the chancellor or his designee deems appropriate. Retrenchment shall be applied in inverse order of appointment. Conditions and procedures for retrenchment and reemployment possibilities are spelled out in the UUP Agreement, Article 35.

K. Benefits

1. Health Insurance (Optional)

The State College of Optometry participates in the New York State Health Insurance Program (NYSHIP) offering eligible employees and their dependents comprehensive health insurance protection. The Program offers two options for eligible employees: the Empire Plan or a choice of Health Maintenance Organizations (HMOs). The two alternatives present a different approach to health insurance protection, but each provides a comprehensive range of benefits.

Employees pay their share of the premiums by payroll deduction, which can be on a pre-tax basis.

- The Empire Plan is available to all employees who qualify for the New York State Health Insurance Program. It pays for covered hospital services, physicians' bills and other covered medical expenses. The Empire Plan provides you and your eligible dependents:

-- Inpatient and outpatient hospital coverage for medical, surgical and maternity care through Blue Cross. Covered inpatient services are paid in full.

-- Medical and surgical coverage administered by United Health Care. Coverage under the Participating Provider network, or the Basic Medical Program if you choose a non-participating provider.

-- Home care services, diabetic supplies, durable medical equipment and certain medical supplies through the Home Care Advocacy Program (HCAP).

-- Physical medicine (chiropractic and physical therapy) coverage administered by Managed Physical Network, Inc. (MPN).

-- Mental health and substance abuse coverage administered by Value Options.

-- Hospital and Medical Benefits Management Program, HealthCare, through Intracorp.

-- Prescription drug coverage, administered by CVS Caremark.

The Human Resources/Affirmative Action Office will provide informational booklets describing each of these options. Employees should read the materials on their specific plan and keep them for future reference.

2. Retirement (Enrollment is mandatory for all full-time employees)

Full-time faculty or professional employees of the State College of Optometry; and those part-time faculty or professional employees with "Term Appointments," are eligible to elect one of three retirement programs:

- New York State Teachers' Retirement System (TRS), defined benefit plan -- State pension based on years of service and final average salary. Vesting period: 10 years of New York State service.
- New York State Employees' Retirement System (ERS), defined benefit plan -- State pension based on years of service and final average salary. Vesting period: 10 years of New York State service.
- The Optional Retirement Program (ORP), a defined contribution plan. Employer contributes 8% of gross calendar year earnings for the first seven years of employment and 10% of gross calendar year earnings thereafter. Vesting period: 366 days.

Part-time employees with other than "Term Appointments," are eligible to join the Employees' Retirement System (ERS) or the Teachers' Retirement System (TRS). These employees are not, however, eligible to join the ORP.

Full-time employees must elect to participate in one of these programs within thirty (30) days of their appointment. If an election is not made within this period, employees will be required to join TRS, and will have no further opportunity to change their program. The Human Resources/Affirmative Action Office will provide informational booklets on each retirement plan and will meet with new employees to discuss the election.

3. Tax Deferred Annuity Programs (Optional)

The Tax Deferred Annuity and Supplemental Retirement Annuity programs for employees of the State College of Optometry permits employees to reduce the current tax burden by setting aside a portion of salary toward the purchase of annuities. The income tax is deferred until benefits are withdrawn, usually at retirement. The amount that may be set aside by a staff member from the annual salary will vary according to his/her salary, years of service, and retirement program.

Employees can choose four different Investment Providers offering *annuity** investment products (TIAA-CREF, VOYA, MetLife, and AIG) and one Investment Provider offering 403(b)(7) *mutual fund*** investment products (Fidelity).

In addition, employees may participate in the New York State Deferred Compensation Program through the Copeland Companies

Employees interested in the tax-deferred annuity programs or the NYS Deferred Compensation Program should contact the Human Resources/Affirmative Action Office for further information.

4. Death Benefits

Generally, death benefits are determined by the Retirement System selected. However, New York State Law provides a Survivor's Benefit regardless of which system is chosen. Further information is available in the Human Resources/Affirmative Action Office.

5. Credit Union

A membership is available to all faculty and professional staff members in the Municipal Credit Union. Municipal Credit Union can be contacted through the SUNY Office of Human Resources.

6. Group Disability Insurance Program

All active full-time professional staff members and certain part-time members will be covered on the first day of the month following one complete year of service with the State College of Optometry within the past five years.

This program assures that in the event of total long-term disability employees will receive a regular monthly income following six consecutive months of total disability.

For more information refer to the booklet, Group Disability Insurance Program for Professional Staff, available in the Human Resources/Affirmative Action Office.

7. Worker's Compensation

Worker's Compensation Insurance protects professional staff members who are disabled or die as a result of an injury arising out of and in the course of their employment. Benefits include reimbursement of specified medical expenses, scheduled payments for permanent disabilities, and weekly benefits during time lost from the job because of an occupational injury. All accidents must be reported to University Police within 24 hours.

8. Tuition Assistance Program

When space is available, employees may enroll in a course on a tuition-free basis, subject to requirements outlined in the UUP Agreement and the State of New York and United University Professions Reference Compendium as follows:

1. The University determines when space is available, recognizing that such determination must be made in sufficient time to permit enrollment by employees;
2. Employees must meet course prerequisites;
3. All fees other than tuition shall be paid by employees;
4. Employees may enroll in a maximum of one course per semester and special session, for example, summer session and intersession;
5. Minimum enrollment requirements established by the University 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; and

6. The program shall continue for the term of the Agreement.

Note: Tuition assistance benefits are not available for members of the employee's family under the program outlined above.

9. United University Professions (UUP) Employee Benefit Fund (Optional)

All employees in positions designated as part of the UUP bargaining unit will have membership dues or the equivalent agency shop fees deducted from their paychecks and are entitled to various benefits. The UUP Benefit Fund provides dental insurance, vision care coverage, and Group Life Insurance for employees who meet the eligibility requirements.

Delta Dental Plan PPO

For eligible employees, it covers preventive and diagnostic services at 100% of the dental plan network allowance with a total annual maximum benefit of \$2,500 per eligible member and/or dependent. Orthodontic services are available for both children and adults.

Or

Delta Dental DHMO (DeltaCare USA)

For eligible employees, dental HMO-type program with no claims forms or maximums. The plan covers most preventive and diagnostic services at 100%. Reduced costs for basic restorative services. Orthodontic services are available for both children and adults.

Vision Care Program

Offers a comprehensive eye exam and one pair of glasses (or the benefit may be applied to contact lenses) once every twelve months for eligible UUP members and dependents.

Group Life Insurance

Is provided for all active UUP members in the Professional Services Negotiating Unit. The maximum benefit is \$6,000.

L. Attendance Records

Faculty must certify their attendance and record absences on monthly forms provided by the Human Resources/Affirmative Action Office. All absences from work require prior approval. Sick leave should be called in to the appropriate department in accordance with department guidelines. Employees who are absent a full or partial day should charge accruals according to the number of sessions missed, i.e., three sessions would equal one and one-half days.

Excessive use of sick leave may result in the employee being required to provide doctor's notes.

M. Leaves**1. Sick Leave and Additional Sick Leave****Sick Leave****Full-Time Employees**

Under the Agreement between the State of New York and United University Professions, full-time employees hired prior to July 1, 1982, are eligible to accrue sick leave credits at the rate of 1 3/4 days a month for each month of their professional obligation.

Employees hired on or after July 1, 1982, are eligible to accrue sick leave benefits for each month during the term of their professional obligation as follows:

<u>Years of Service</u>	<u>Sick Leave Accrual Rate</u>
0 - 1	1 1/4 days a month
2	1 1/3 days a month
3 - 5	1 1/2 days a month
6	1 2/3 days a month
7	1 3/4 days a month

Part-Time Employees

Part-time employees shall be eligible to accrue credits for sick leave as follows:

Academic Employees Who Teach:

1 course
2 courses
3 courses

Receive:

1/4 day per month
1/2 day per month
1 day per month

Professional Employees Who Earn:

up to \$14,622
\$14,623 to \$22,062
\$22,603 to \$29,498
\$29,499 or higher

Receive:

1/4 day per month
1/2 day per month
1 day per month
1 1/4 days per month

Part-time academic employees who do not teach:

.20 to < .40 FTE
.40 to < .60 FTE
.60 to < .80 FTE
.80 to < 1.00 FTE

Receive:

1/4 day per month
1/2 day per month
1 day per month
1 1/4 days per month

Accumulation of sick leave credits shall not exceed 200 days.

Additional Sick Leave

The College president may grant an employee sick leave in addition to that provided by Article 23.4 of the UUP contract

2. Vacation Leave and Holidays

Academic year employees accrue no vacation leave beyond those periods during which they are permitted to be absent by reason of their professional obligation.

Calendar year employees are entitled to accrue vacation leave. The accrual rates are the same as those outlined above in the section on sick leave. Accumulation of vacation leave credits may exceed 40 days, however on January 1st each year an employee's vacation accrual record will be adjusted, if necessary, to reflect a maximum of 40 days. Upon termination, resignation or retirement, or upon change of the professional obligation (e.g. a change in commitment from the calendar year to the academic year), an employee is compensated for vacation credits up to a maximum of 30 days.

Vacation requests should go to department heads. Holidays that fall within a vacation are not charged as leave. College observed state holidays are as follows: New Year's Day, Martin Luther King Day, Lincoln's Birthday, Washington's Birthday, Memorial Day, Independence Day, Labor Day, Columbus Day, Veterans' Day, Election Day, Thanksgiving Day, and Christmas. Traditionally, the day after Thanksgiving has been viewed as a holiday in lieu of Lincoln's Birthday. A calendar-year employee required to work on a holiday will receive an equivalent day off.

For further information on sick leave and vacation leave, refer to the Policies of the Board of Trustees and the UUP Agreement.

3. Sabbatical Leave (Approved by President, 9/1/2009)

Sabbatical leaves are for formal or informal study, research, scholarly-related travel, writing, formal education or other experience of professional benefit. The objective of such leave is to increase a faculty member's value to the College and thereby improve and enrich its programs. (Also see UUP Agreement, Article 23.6, or SUNY Policies of the Board of Trustees, Article XIII - Title E)

Eligibility is restricted to faculty with continuing appointment (tenure) who will have completed six consecutive years or more of University service as well as six consecutive years or more of service since returning from any prior sabbatical. Sabbatical leave may be granted for 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. Academic employees on sabbatical leave may, with the prior approval of the College President, accept fellowships, grants-in-aid, or earned income to assist in accomplishing the purposes of their leaves. In such cases, the College president may adjust the sabbatical leave salaries to reflect such income provided, however, in no case shall sabbatical leave salary be reduced if total earnings are less than full salary.

Application for sabbatical leaves shall be submitted to the College president no later than December 31st of the calendar year for consideration for the following Academic Year. The applications will

then be reviewed by the Committee for Professional Qualifications (CPQ) and their recommendations will be forwarded to the President for his consideration by March 1st. The review process will be completed and notification given to the applicants by March 31st of a given calendar year.

In addition to a review based upon the merits of the proposal, the President may also seek input from the vice president and dean for Academic Affairs (VPAA) regarding the logistics and budget needed to ensure continuation of the College's program activities, and the value of the project to the institution. Applicants for a sabbatical should work with the VPAA during the development of the application to facilitate the planning process.

Each application shall include:

- a. A detailed statement outlining the program to be followed while on sabbatical leave with clearly defined goals;
- b. A statement outlining clearly defined outcomes;
- c. A statement of benefit to the College;
- d. Letters of support from all collaborating institutions (if any);
- e. Letters of support from department chairs, dean, etc. as appropriate;
- f. A declaration of any prospective income during the sabbatical should be provided as well as;
- g. A statement that the applicant will continue as an academic employee for a minimum of one year upon the employee's return.

In addition, upon returning, the applicant will submit to the College president a detailed report of professional activities and accomplishments while on sabbatical leave.

The number of sabbaticals available during a given academic years may be limited by available resources.

4. Military Leave

Any college employee is entitled to leave without pay while serving in the military. Employees who are members of the National Guard or any reserve force called to active duty are entitled to leave with full pay.

5. Employee Organization Leave

Certain officers, delegates and committee members of the United University Professions are granted leaves for performance of specific duties. Article 11 of the UUP Agreement describes the circumstances under which employee organization leave may be taken.

6. Maternity Leave

Maternity and child-care leaves are available to permanent, temporary, and provisional employees; however, such leaves do not extend employment beyond the point that it would otherwise have ended. Leave can be granted with or without pay prior to the medical disability at the discretion of the department and/or University.

The twelve weeks of FMLA Leave is unpaid. However, employees may prefer to use appropriate leave credits, which will run concurrently (together) with FMLA Leave.

Maternity leave covers the period of disability due to pregnancy and childbirth. Sick leave accruals may be used during pregnancy for the period of disability. The period of disability is generally defined to be four weeks prior to the anticipated due date (pregnancy), six weeks following childbirth. A disability period extended past the six weeks; needs a doctor's certification notice addressed or faxed to the Human Resources Department's attention. Once sick leave is exhausted other accruals can be used.

Detailed medical documentation may be required for disability **before** and **after** the six weeks period.

FMLA Child Care Leave may be charged to appropriate leave credits at the employee's option (not sick leave). Maternity leave may be followed by child-care leave without pay at the employee's request. An employee is entitled to a leave without pay of up to seven months from the date of delivery. Leaves without pay beyond that point are at the discretion of the department and/or University.

Child-care leave is available to either parent. Where both are State employees, they may elect to split the seven-month leave into two separate blocks with each parent taking one block of leave, not to exceed a combined total of seven months of leave on a mandatory basis. Other arrangements, such as concurrent leaves, are at the University's discretion. Child-care leave is also available to adoptive parents in connection with the placement and adoption of a child.

For more information refer to your bargaining unit contract located in the Human Resources/Affirmative Action Office.

7. Jury Duty

Employees who are required to serve on a jury will receive their full salary during their absence, after providing appropriate documentation that such service was met. (See UUP Agreement.)

8. Other Leaves

The president may recommend to the chancellor other leaves of absence for employees at full salary or reduced salary, or may grant employees leaves of absence without salary, 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, consultant, expert, or in a similar capacity, or for other appropriate purposes consistent with the needs and interests of the University. Leaves of absence at full or reduced salary shall be subject to the approval of the chancellor, and such leaves granted shall be reported to the Board of Trustees. (See Policies of the Board of Trustees, Article XIII, Title F.)

9. Family and Medical Leave Act (FMLA) of 1993

The Family and Medical Leave Act (FMLA) of 1993 entitles eligible employees with up to 12 weeks of unpaid, job-protected leave in a 12-month period (defined by the State as the typical calendar year) for the following reasons:

- to care for a newborn child or a child that has been placed with the employee for adoption or foster care;
- to care for a seriously ill spouse, child or parent; or
- because the employee is unable to perform the functions of his or her position due to a serious health condition.

Employees eligible for leave under FMLA are those who have completed one year of service and have worked at least 1250 hours during the twelve months prior to the leave period. An employee may elect to use accrued leave as part of the Family Medical Leave before going on unpaid leave.

Health and certain other benefits are continued for an employee on leave, in a paid or unpaid status, under the same terms and conditions offered to the employee prior to the leave.

[Further information is available in the Human Resources/Affirmative Action Office.]

10. Paid Family Leave

Paid Family Leave (PFL) provides job-protected, paid leave for eligible employees to bond with a new child, care for a loved one with a serious health condition, and assist with relieving family pressures when a loved one is called to active military service abroad. The program is funded through contributions taken as payroll deductions.

More information and materials specific to MC13 and UUP-represented employees will become available in the future. In the meantime, for more information about Paid Family Leave, please visit <https://www.ny.gov/paidfamilyleave>.

[Further information is available in the Human Resources/Affirmative Action Office.]

Payroll

The Business Office is responsible for the procedure for picking up checks, etc. A request for the mailing of checks must be addressed to the Business Office in writing prior to the specific payday. It is the employee's responsibility to verify the paycheck stub. Any questions or errors should be reported immediately.

Purchasing

Information on purchasing procedures and appropriate forms are available from Department offices. Current purchasing practices are set forth by the Administration to reflect current University policies.

Meeting Rooms

There are small conference rooms available for meetings, seminars, etc. Arrangements for the use of these rooms may be made through the administrator of the floor.

Public Safety

I. University Police Department (UPD)

The mission of the University Police Department at SUNY College of Optometry is to provide a safe working environment to the College Community that is conducive to educational pursuits.

It is the function of the University Police Department to provide security and ensure public safety on College premises. To accomplish this function, policies and procedures have been developed under the aegis of the Office of Administration and Finance. The Committee on Health, Safety, and Energy Conservation reviews College Security Policies as required by regulations.

Typical services provided by UPD are to:

1. Respond to incidents on campus
2. Respond to emergencies on campus as first responders and coordinate with external agencies responding to the emergencies
3. Conduct crime prevention activities, including trainings and talks
4. Respond to service requests; escorts, lockouts etc
5. Enforce access control procedures; ID checks, intruder deterrence etc

Building hours:

The building is opened Mondays through Saturdays, and the library is open on Sundays to students during regular College academic calendar.

Monday to Fridays - building is open from 7am - 10pm

Saturdays - building is open from 8am - 5pm

Building is closed on all NYS observed holidays.

On Sundays, the Library is open to students from 10am - 6pm (closed during summer months)

A. Crime Prevention & Safety Programs:

University police officers have full law enforcement powers on campus. Police officers have the authority to enforce all applicable laws and regulations and may arrest violators within their jurisdiction.

To Report an Incident:

Employees are encouraged to report any incident of unusual nature to the University Police Department at extension 5566.

Emergencies or crimes in progress must be reported to University Police using extension 5555 or in person at the 42nd or 43rd Street UPD Desk. Please be calm and give clear description of persons involved, type of incident, condition of victim or perpetrator, and any pertinent information that UPD may need.

ID Card Policy

The College Security Policy requires all faculty, staff and students to present their SUNY Optometry ID cards to the UPD Desk officer when they enter the building and to wear their ID cards conspicuously on their outermost garment at all times while in the building.

Lost & Found

University Police Desk at the 42nd Street entrance maintains a central repository of lost and found items for the College. Kindly report all items found or lost in the building to University Police at ext. 5566.

Items in UPD lost and found that is not claimed within 60 days are disbursed according to departmental policy.

Property Control Procedure

All employees taking out state property must have a Property Removal Authorization Form filled out by their Department Chair and the Property Control Manager.

Employees bringing in personal property into the building must register the property at the University Police Desk by completing a Personal Property Control Form.

Operation ID - engraver

University Police Department have engravers available, at the 43rd Street UPD Desk for employees that need to inscribe an identifying mark on their personal property. Employees may pick up an Operation ID flyer to document their property's unique identifying numbers and description.

Panic Alarms

As part of our crime prevention program and critical incident management, UPD has installed panic alarms buttons in all our public access reception areas, so that employees may silently notify UPD of potential or ongoing problems. Please contact University Police for further information about this and on when these devices may be used.

Panic alarms have also been installed in the restrooms on the clinic floors in the event a patient or an employee is in distress in the restroom.

SUNY Lifesaver Program

University Police provides training to volunteers in life saving skills of CPR and the use of Automated External Defibrillators (AED). Trainees will receive a CPR certification, valid for two years, and will become members of the College's Lifesaver Volunteer Team. Trained volunteers are encouraged to provide assistance to victims of sudden cardiac arrest within the building.

Crime Report/Log

Federal and State legislation require that UPD prepare an Annual Security Report and make this report available publicly to members of the College Community. The College's Annual Security Report is available on the UPD website at http://www.sunyopt.edu/offices/university_police/crime_report, printed copies may be requested from the office of the Assistant Chief of Police, room 3M12 or extension 5578.

University Police also maintains a log of all crimes that occur in the College at the 42nd Street UPD Desk. The crime log is a public document available to anyone during business hours by asking the University Police Desk Officer at the 42nd Street main lobby.

B. EMERGENCY RESPONSE PLAN

The College's Emergency Response Plan (ERP) is a comprehensive all hazards emergency management plan which describes procedures to be followed in the event of emergencies affecting College operations. The plan covers a broad range of emergency situations like: Fires, bomb threats, terrorism, violent critical incidents, utility failures, and emergency notification/communication.

Fires

The building has an integrated fire alarm detection and notification system capable of detecting fires and smoke condition and initiating alert signals to the building occupants.

In the event of fire alarm activation, employees should follow the instructions of their floor Fire Wardens and any announcement from the Fire Command Station through the Emergency Notification System.

There are several fire detecting and suppression devices located throughout the building, such as: smoke detectors, sprinkler heads devices, strobe lights, heat sensors, pull stations, fire extinguishers, stand pipe etc. Employees can obtain emergency preparedness guides from the University Police Desk.

Evacuations

In the event of an emergency requiring evacuation from the building, the evacuation gathering areas are:

- Primary location - Grace Plaza at the corner of 43rd Street and 6th Avenue
- Secondary location - Rockefeller Plaza on 6th avenue between 48th and 50th Streets
- Tertiary location - SUNY Global Center on 116 East 55th Street between Park and Lexington Avenues.

Should there be any patient or visitor with a physical disability who will not be able to use the staircase unaided during an evacuation, assigned floor evacuation personnel should relocate such individual(s) into the Handicap Holding Room and inform the Fire Command Station or UPD of the location of such person(s) needing assistance. UPD will respond to assist with the evacuation out of the building safely.

Bomb Threats

Often times there may be a telephone notification or electronic or written communication to convey the threat of an explosive device in a building. Should any member of the College Community receive a threat, they should follow the steps below:

- Keep the caller talking on the phone for as long as possible to be able to obtain answers to 5 critical questions:
 - When will the bomb/explosive detonate?
 - Where is the bomb/explosive located?
 - What kind of bomb is it?
 - What does it look like?
 - Why did you place the bomb?
- Immediately after the caller hangs up the phone, notify UPD at ext. 5555 to initiate a call trace.
- If you are in the area identified as being the floor where the bomb is presumed to be located, **DO NOT USE YOUR CELL PHONE.**
- Notify your supervisor
- Follow directives issued by UPD in response to the threat

Terrorism

The threat of terrorism and terrorism related incidents are realities in today's world. As such our emergency response plan covers threats of chemical explosives, radioactive threats, and the concept of sheltering-in-place.

Whenever the environment outside the College is contaminated and there is an emergency alert advising occupants of our neighborhood to Shelter-in-Place, the following actions will be taken;

- UPD will make an announcement using the Emergency Notification System to relay required course of action.
- For Bio-chemical threats; occupants of the building will be relocated above the ground level to floors: 4th, 3rd, and 3M.
- For radiological or dirty bomb threats; occupants will be relocated below the ground level to the sub-basement, using the C exit staircase.
- Facilities will shut down the air handling system in the building.
- University Police will shut down the elevators and secured the entrances into the building
- Everyone will be sheltered inside the building until an all clear notification is received from local emergency responders to let people back out into the streets.

Violent Critical Incidents

Violent incidents such as Active Shooter incidents, Armed Intruder incidents, Barricaded persons or hostage situations, and violent felony offenses are covered in the College's Emergency Response Plan.

Employees are encouraged to be vigilant and to report suspicious behaviors to University Police Department. The College policy and procedure on sexual harassment, workplace violence prevention, and domestic violence prevention are available in the Human Resources Office on the 9th floor and on the College's website.

Employees should be aware of the existence of the Social Work Services on the 8th and 5th floors, should they need to consult with the social worker about problems they may be dealing with. Another resource available to NYS employees for referrals is the <https://worklife.ny.gov/eap/> (EAP).

Utility Failures

Any incident involving loss of utility must be reported to:

- Facilities Department at extension 5579 or 5944 or 5580
- University Police Department at ext 5566

Emergency Communication & Timely Warnings/Notification

Notification during any emergency affecting the College will be made using the following outlets:

- SUNY Emergency Alert System
- Emergency Notification System
- College web site, <http://www.sunyopt.edu>
- College First Class Electronic Mail Service
- Recorded message on the main college telephone line 212-938-4000
- Word of mouth/Phone tree/ Posted alert messages

Employees should self- register their contact information in the SUNY College of Optometry Emergency Alert System by going online and log in using their First Class user name and password at <https://www.suny.edu/sunyalertsec>.

The SUNY Emergency Alert Notification System has the capability to send text messages, email messages, recorded voice messages to multiple addresses and phone numbers provided to the system. The system will be activated as one of the means of communicating the nature of the emergency and the required course of action employees should take during any life safety emergency on campus.

Information about College closures or canceling of academic and clinical operations will be posted on the Colleges' website, main telephone line **212-938-4000**, First Class Electronic mail, and through the SUNY Emergency Alert System.

II. ENVIRONMENTAL HEALTH & SAFETY (EHS)

The EHS Office is responsible for the overall environmental well being of the college and its occupants. The Office is located in room 3M06A opened Monday through Friday from 9.00am to 5.00pm. The EHS officer can be reached at extension 5581. Some our typical responsibilities are:

- Respond to complaints of environmental concerns
- Provide employees with training on safety and hazards in the workplace
- Provide and or recommend appropriate PPE to employees as needed
- Conduct inspection of the facility and make recommendations to mitigate problems

Some of the EHS programs include but are not limited to the following:

A. HAZARD COMMUNICATION/RIGHT-TO-KNOW

This program will ensure that the hazards associated with all chemicals and commercial products used by employees are evaluated and that this information is transmitted to the affected employee. In general, each employee at the facility will be trained on the substance of the laws, the hazardous properties of the chemicals with which they work, and the measures needed to protect themselves while working with these chemicals.

The Hazard Communication/Right to Know Program includes provisions for container labeling, material safety data sheet gathering, and employee training.

- **Material Safety Data Sheets (MSDS)**

MSDS lists the hazards of chemicals such as physical properties, health effects, special precautions that must be taken when using the chemical such as personal protective equipment and first aid measures. MSDS binders are located in the UPD department by the 43rd street desk and also in the EHS office room 3M06A. MSDS are readily available to all employees upon request.

- **List of Hazardous Chemicals**

The EHS Officer will maintain a list of all hazardous chemicals used in the facility and update the list as new chemicals come into the facility.

- **Training**

Each employee who works with, or is potentially exposed to, hazardous chemicals will receive initial training on the Hazard Communication/Right-to-Know Law. Training will include the safe use of the hazardous chemicals before initial assignment, annually thereafter, and whenever a new hazard is introduced into their work areas.

B. BLOODBORNE PATHOGENS (BBP)

The Occupational Safety and Health Administration (OSHA) has published the Blood borne Pathogens Standard, **29 CFR 1910.1030**, this standard applies to all persons who regularly participate in the care of patients at University Eye Center, including (but not limited to) University Eye Center employees, affiliate employees, students, and volunteers, if their duties involve potential occupational exposure to blood borne pathogens. The primary objective of this standards is to prevent or minimize occupational exposure to blood borne pathogens, and provide appropriate evaluation, treatment, and counseling should an employee be involved in an accident when there is a possibility of exposure.

Bloodborne pathogens: Pathogenic microorganisms that are present in human blood and that can infect and cause disease in persons exposed to the blood. These include Hepatitis B virus (HBV), Human Immunodeficiency virus (HIV), and certain other infections.

Universal Precautions are methods of infection control designed to protect health care workers and patients from exposure to infectious agents especially blood borne pathogens. The concept of

Universal Precautions recognizes that medical history and examination alone cannot reliably identify all persons infected with HIV, HBV or other blood borne pathogens. Therefore certain precautionary measures are indicated for ALL patients (universally) regardless of their diagnosis. All blood and moist body substances are considered to potentially harbor transmissible agents of disease (that is, germs).

Under the umbrella of universal precautions are: hand washing, barrier technique (also referred to as personal protective equipment) and sharps precautions.

Hand washing prevent transferring contaminants (germs) from hands to other areas of the body or surfaces that may be touched. Hand washing and washing of other skin surfaces must be done immediately and thoroughly if contaminated with blood or other body fluids. Hands are also washed routinely before and after patient contact and immediately after gloves are removed. The use of gloves does not preclude the necessity for hand washing.

Gloves reduce the incidence of gross microbial contamination of hands with blood and body substances and other pathogens that may be transmitted by direct contact or the blood borne route.

- Gloves are worn when it may be reasonably anticipated that there will be hand contact with blood or other potentially infectious material, mucous membranes, non-intact skin or when the employee has cuts, abrasions, or dermatitis.

Disposable (single use) gloves shall **not** be washed or decontaminated for reuse and are to be replaced as soon as practical when they become contaminated, or as soon as feasible if they are torn, punctured, or when their ability function as a barrier is compromised.

Sharps Handling and Disposal of Regulated Medical Waste (RMW)

Puncture resistant containers are used to dispose of needles, scalpel blades, lancets, glass and other sharp items.

- Contaminated or non contaminated needles should not be recapped by hand the entire unit must be placed directly in the sharps container.
- Needles should not be bent, broken, reinserted into their original sheaths or removed from disposable syringes or handled unnecessarily.
- Sharps containers must be located as near to the area of use as possible.
- Sharps containers must not be overfilled and must be closed prior to removal or replacement.

When regulated medical waste containers, red bags or sharp containers, are about half full, employees should call the EHS Office at ext. 5581, for removal.

Procedures for Handling Blood Spills, Bodily Fluid Spills, and Minor Cuts

The University Police Department will serve as the main coordinator for all incidents within the College. Employees who have come across an area with blood or bodily fluid spill should:

- Secure the area to prevent others from coming in contact with the site
- Notify UPD at ext. 5566 (UPD will notify the EHS office)
- Notify their supervisor

Employees who have come in contact with potentially infectious blood or bodily fluid should:

- Report incident to UPD to file a work related incident report
- Seek opinions from the Nurse on the 6th floor and the EHS Officer
- Seek immediate medical attention

Hepatitis B Vaccination Policies

The Hepatitis B vaccine is available to all employees involved in patient care, maintenance of patient care areas and public safety. Refer to UEC policy on Hepatitis B vaccines.

C. EXPIRED MEDICATION

All expired medication must be given to the associate director for Administration. The expired medication will then be sent to the EHS office, which ships the medication to an approved disposal facility.

ANNUAL COMPLIANCE TRAINING

In compliance with regulations and SUNY College of Optometry procedure, every employee must attend a New Employee Orientation soon after they start work at the College and complete an online Annual Compliance Training every calendar year thereafter.

Resources

For more information about the University Police and Environmental Health and Safety departments, please go to: <http://www.sunyopt.edu/offices/ehs>

General College Policies Concerning Faculty

Departmental and Service Appointments

All term faculty will be appointed to a department and/or UEC service as appropriate for the assignment of their effort. Often faculty will receive multiple appointments based on assignment. The appointment with the largest allocation of effort (refer below to *Guidelines for Calculation of Faculty Effort*) will typically be the primary appointment and the chair or chief of that department or service will be the faculty's primary supervisor and will be responsible for faculty supervision, evaluation and mentoring (refer to the *Primary Supervisor Policy*). Appointments will be reviewed annually and may be changed as needed or by request to the VPAA or VPCA.

Faculty Travel and Travel Awards

Limited funds are available for faculty travel (see *Faculty Development Award Policy* below and use the *Faculty Development Award Application* available from Academic Affairs). The funds are allocated by the VPAA upon the recommendations from Department Chairs and Service Chiefs after their review of applications for faculty travel awards. ***Faculty must apply at least 30 days prior to travel*** for administratively approved activities through their primary supervisors using the application form provided for faculty travel awards.

Reimbursements must be requested within 60 days of the travel. Reimbursement allowances must conform with all current regulations of the University and the State Comptroller. Travel expenses are reimbursable at rates established by the Rules and Regulations of the Office of the State Controller for actual and necessary expenses incurred while in travel status in the performance of official college duties. Reimbursement policies are made available to department offices by the Business Office and include specific regulations and reimbursement rates. Rates may change and should be consulted through the Business Office before submitting travel requests or vouchers for reimbursement.

In general, travelers may be reimbursed for necessary expenses at the most economical rates available for the most economical mode of transportation. *Per diem* rates for lodging and meals are established for all localities and should be consulted before requesting funds. Where *per diem* rates are not available for a particular destination or where costs will exceed allowances, the Business Office should be consulted prior to making travel arrangements. Whenever lodging or *per diem* allowances are exceeded, faculty should attempt room-sharing arrangements to reduce individual costs or pay the difference.

All receipts should accompany the completed travel voucher when submitted to the Business Office. A supervisor's signature is required before submission. The supervisor's signature is merely an indication that the trip was on official state business and that the expenses will be charged to funds under the supervisor's responsibility. It does not, however, guarantee reimbursement to the extent listed on the travel voucher.

Policies Related to Research

Research Authorization

All research projects at the college must be authorized. Faculty must apply for authorization to the

Associate Dean for Research and Graduate Programs using the Research Authorization Form (RAF) and provide a summary of the project, budget details, and all other required information including conflict of interest disclosure. All research at the college must be in compliance with all institutional, state and federal regulations. For further information the faculty should consult with the Office of the Graduate Center for Vision Research and the Associate Dean for Research and Graduate Programs.

Research Involving Human Subjects

All research or testing involving human subjects at the State College of Optometry must be approved or granted an exemption by the Institutional Review Board (IRB). For clarification on the review process and regulations for the protection of the rights and welfare of human subjects the faculty should contact the Associate Dean for Research and Graduate Programs or the IRB Chair. Approved research authorization is required before IRB will conduct a review.

Research Involving Animals

All research or testing involving animals at the State College of Optometry must be approved by the Institutional Animal Care and Use Committee (IACUC). Faculty should contact the Associate Dean for Research and Graduate Programs or the IACUC Chair for clarification on the process and regulations for the protection of the rights and welfare of animals in research. Approved research authorization is required before IACUC will conduct a review.

Grants

All federally funded research grants are administered according to the guidelines provided by that federal agency. Foundation and industry sponsored research funds, and funds from non-Federal government agencies, are administered under the guidelines provided by the sponsor or by Federal government regulations should the sponsor fail to provide guidelines. In all cases, funds for authorized research are managed by the Research Foundation for the State University of New York (RF).

The RF is a non-profit corporation closely associated with the State University of New York. All gift, grant, and contract funds supporting sponsored research and related programs carried out by college faculty and other State operated units of the University are administered by the RF. The RF does not receive or administer research funds originating as appropriations of the New York State legislature. The RF serves to facilitate the obtaining and administration of grants for research from foundations, government, and industry. Through this mechanism, the RF administers various short and long term research projects that would be difficult to administer through other State channels. In addition, the RF conducts programs to support and promote research in various units of State University.

Research Salary Offset

The College typically funds a minimum of 20% effort for faculty conducting active research programs. Faculty with grants will not be required to fund more than 30% of their base salary from their grants for up to a total of 50% research time, but may elect to fund more. The percentage of faculty assignment for research, teaching, clinic and service will be determined annually by the department chair, the Associate Dean, and the VPAA. See policy below on *Research Salary Offset, F&A Distribution, and Bridge Funding*.

Facilities and Administrative Funds

Faculty who are PIs on grants that generate F&A for more than two years shall receive funds for

discretionary use equaling 5% of the annual F&A to the institution. These funds will be distributed at the end of the fiscal year and may be carried over from year to year. With the approval of the VPAA, faculty paying more than 30% salary offset from grants may receive additional discretionary funds up to 50% of the F&A generated by the additional salary offset for the PI. See policy below on *Research Salary Offset, F&A Distribution, and Bridge Funding*.

Bridge Funding

Faculty PIs with at least three years of continuous prior funding will be eligible for bridge funding during unfunded periods, if the funds are available. An “unfunded period” begins when a research program has no remaining source of extramural funds (including no cost extensions) and all balance awards and discretionary funds have been used. Any bridge funds provided will be used to maintain existing research programs for the development of new grant applications for further funding. Accessing bridge funds is contingent upon at least one grant application each year. If funding has not been procured after two years, bridging funds may be discontinued and faculty assignments will be revised by the department chairs and the Vice President and Dean for Academic Affairs. See policy below on *Research Salary Offset, F&A Distribution, and Bridge Funding*.

Balance Awards

Unexpended funds from an industry sponsored project will be made available to the project PI as a Balance Award for up to 24 months with the following stipulations: (1) The funds can only be used for authorized travel to professional meetings or for other research-related expenses on authorized research projects. (2) Expenditures will be subject to F&A costs based on the rate of the original award. (3) Balance awards for projects with PI salary offset (including applicable fringe benefits) may not exceed the sum of the project PI’s salary offset. See below *Policy on Balance Awards*.

Supplemental Faculty Development Funds for Faculty Working on Research

Faculty working on funded research projects without salary offset may be eligible for supplemental faculty development funds from grants for a maximum of \$3,000/year (see below *Policy on Supplemental Faculty Development Funds for Faculty Working on Funded Research Projects*). Funds will be paid as reimbursements for college authorized activities from eligible grants, the CVRC, or faculty development after approval. PIs of funded research projects are not eligible for these funds, however grant balances and indirect discretionary accounts may be used for the purposes listed above.

Policies Related to Education

Subject Participation in Pre-Clinical Laboratories

All students are required to participate in all pre-clinical laboratories as both doctor and patient. Actual patients may participate in some pre-clinical teaching laboratories. The course IOR must receive authorization from the department chair and use the *Agreement to Participate in Pre-clinical Teaching Laboratories* (see below).

Industry Talks and Workshops

Programs for faculty, staff, and students at the college created, in whole or part, by industry and delivered by speakers serving as *de facto* employees for industry must comply with New York State Public Integrity Reform Act (PIRA) to guide ethical interactions between state employees and such

external agencies and to avoid conflict of interest. All such programs involving faculty and students must comply with the *Policy for Programs Involving Industry* (See below).

Copyright and Statement on Student Use of Educational Materials

All educational materials at the SUNY College of Optometry, including those associated with instructional activity such as lecture capture recordings, electronic course material, course handouts, and any other course-related materials, are the property of the course instructor or the College, as described in the SUNY copyright policy¹, and subject to copyright protection under federal law.

SUNY College of Optometry students are granted permission to use these materials for their personal educational use only and may not make any of the material available to others without the express permission of the instructor or the College, as appropriate¹.

Copyright infringement is against the law. Violations of this policy will be considered unethical and unprofessional behavior. Such violations are grounds for disciplinary action, program dismissal, and possible legal action.

¹ <http://system.suny.edu/academic-affairs/faculty/faculty-ownership/>

Appendix A

Appointed Committees

(listed alphabetically)

Clinic Council
Clinical Education Council
Committee on Admissions
Committee on Affirmative Action & Cultural Diversity
Committee on Health, Safety and Energy Conservation
Committee on Scholarships, Awards & Student Financial Aid
Credentials Committee
Dean's Council
Environmental Safety and Infection Control Committee
Fraud in Science Committee (FISC)
Information Security Committee
Information Technology Committee
Institutional Animal Care and Use Committee (IACUC)
Institutional Research and Planning Committee (IRPC)
Institutional Review Board (IRB)
Internal Control and Enterprise Risk Management
President's Council
Quality Assessment & Improvement
Research Council

Committee descriptions are on the following pages.

CLINIC COUNCIL

This is a University Eye Center Committee
Reviewed May, 2019

Purpose: The Clinic Council will conduct the clinical and administrative business of the University Eye Center (UEC) and serve in an advisory capacity to the Vice President for Clinical Administration. The Clinic Council will represent and act on behalf of the UEC staff, receive and act upon reports from committees, and take all actions necessary to ensure professional and ethical conduct by the UEC staff.

Reporting Link: Vice President for Clinical Administration

Specific Responsibilities:

The Clinic Council shall conduct the clinical business of the University Eye Center, and, in consultation with the Vice President for Clinical Administration, shall have general charge and supervision of the professional conduct of the UEC staff. The Clinic Council shall make recommendations to the Vice President of Clinical Administration for matters regarding the welfare and management of the UEC. It shall ensure that the professional care and treatment of patients is in accordance with the highest standards of optometric care.

The Clinic Council will coordinate the activities and general policies of the three clinical services (i.e., Primary Care, Advanced Care, Vision Rehabilitation). The Clinic Council will receive and act upon committee reports and implement policies of the UEC not otherwise the responsibility of the individual services. The Clinic Council will recommend action to the Chief Medical Officer on matters of a clinical nature and will recommend action to the Vice President for Clinical Administration on matters that are administrative in nature.

Members of the Clinic Council will review reports from the Credentialing Committee, Quality Assessment and Improvement Committee, and the Environmental Safety and Infection Control Committee on a periodic basis. The Clinic Council will take all reasonable steps to ensure professionally ethical conduct and competent clinical performance on the part of all members of the UEC staff.

Membership Composition:

- a) The Vice President for Clinical Administration and/or their designee
- b) The Chief Medical Officer of the UEC (Chairperson)
- c) The Service Chiefs
- d) The Section/Assistant Chiefs
- e) The Director of Clinical Operations
- f) The Director of Patient Financial Services
- g) The Chair of the Department of Clinical Education
- h) The Director of Residency Education
- i) The Director of the Clinical Vision Research Center
- j) The VP of Academic Affairs/Dean (ex officio)
- k) Other individuals who will be invited on an ad-hoc basis

Number of Members: 10-12

Term of Office: No Specific Term Limit

Selection of Chair: Vice President for Clinical Administration

Decision Making: Advisory to the Vice President for Clinical Administration and Executive Director

CLINICAL EDUCATION COUNCIL

Reviewed May, 2019

Purpose: Meets regularly to assess, plan, implement and evaluate operations related to the clinical education of students and residents.

Principle Reporting Link: Vice president for academic affairs and vice president of clinical Administration.

Membership: Appointment are made annually by the vice president and dean for Academic Affairs and the vice president for clinical administration, but is linked to the following appointed positions:

- Chair of the Department of Clinical Education (Chair)
- UEC Chief Medical Officer
- Chief of the Adult and Pediatric Primary Care Service
- Chief of the Advanced Care Service
- Chief of the Visual Rehabilitation Service
- Clinical Education Coordinator
- Director of Externships
- Director of Residency Education
- 3rd Year Clinical Instructor of Record
- 4th Year Clinical Instructor of Record
- UEC Chief Operating Officer (*ex officio*)
- Chair of the Department of Biological and Vision Sciences (*ex officio*)

Specific Functions: The vice presidents will ask the Clinical Education Council to generate ideas, make decisions or provide advice on areas including, but not limited to:

- Long-range planning for clinical education at the College;
- Strategies for the achieving the College's clinical education priorities within the clinical care environment;
- Development and implementation of program assessment;
- Development and implementation of assessment methods for students, residents and clinical preceptors;
- Advise and consult on matters relative to the integration of educational programs into the patient care delivery system of the UEC.

Decision Making: Minutes of all meetings will be kept and made available to the College community. Decisions and recommendations will be based upon a majority vote of those present.

COMMITTEE ON ADMISSIONS

Reviewed May, 2019

Purpose: To select students for admission to the Optometry professional degree program and recommend policy and procedures that will govern the process by which the College will select students for the Optometry program.

Reporting Link: The Committee on Admissions will work with the director of admissions and be responsible to the vice president for Student Affairs.

Membership:

- Members are appointed by the vice president for Student Affairs, faculty members must be approved by the Dean;
- Up to ten faculty members and one student from each of the four professional classes plus the director of admissions (*ex officio*);
- Term of office is one year with the option for renewal;
- Selection of chair is done by the vice president for Student Affairs.

Specific Responsibilities:

- To recommend policies and procedures that will govern the way in which the Committee operates;
- To evaluate and decide upon which candidates for the professional program in optometry are best qualified to enter the program;
- To evaluate and recommend criterion for the selection and retention of affiliate 3/4 Joint Degree programs.

Decision Making:

- Policy and procedure issues – majority
- Applicant decisions – three out of three
- Student members will be involved in discussions and voting only in matters concerning policy.

COMMITTEE ON AFFIRMATIVE ACTION & CULTURAL DIVERSITY

Reviewed May, 2019

Purpose:

- Recommend Equal Opportunity/Affirmative Action policies and procedures;
- Serve in an advisory capacity on matters of affirmative action, including the interpretation of policy;
- Aid in the resolution of grievances related to affirmative action;
- Provide support and advice to the Office of Student Affairs with regard to recruitment and retention of under-represented students; and,
- Raise Awareness of cultural issues involving students, employees, and patients.

Reporting Link: Vice president for Administration and Finance. The director of Human Resources is a member of the Committee (ex officio) and also serves as the College's Affirmative Action Officer.

Membership: Members are appointed by the vice president for Administration and Finance based on nominations from the Committee Chairperson and the Affirmative Action Officer;

- Members represent all major areas of the College (faculty, students, non-teaching professionals, classified staff and management confidential staff);
- Membership must include at least one person from each category specified above;
- Membership must include the Affirmative Action Officer (ex officio);
- Members are appointed annually.

Specific Functions:

- Assist with the development, dissemination and implementation of EEO/AA policies and procedures;
- Sensitize students and employees to the institution's EEO/AA policies and our commitment to equal treatment of all individuals;
- Review and update the Affirmative Action Plan;
- Work closely with the Office of Student Affairs in their endeavor to recruit qualified minority students;
- Develop and implement activities to promote ASCO's Diversity Action Plan to make multiculturalism/diversity a Core Value in the schools and colleges of optometry.

Decision Making: Decisions will be made based upon a majority vote of those present. Minutes of all meetings will be kept and made available to the community at large.

COMMITTEE ON HEALTH, SAFETY AND ENERGY CONSERVATION

Reviewed June, 2019

Purpose: The Committee on Health and Safety and Energy Conservation addresses issues of health and safety within the building and on the property in order to promote the general well-being of the College community, patients and visitors. The Committee also promotes awareness of energy consumption and conservation strategies to the College community as part of its role in the on-going operation of the Optometry Conservation and Sustainability Plan.

Reporting Link: The Committee on Health and Safety and Energy Conservation reports to the Vice President for Administration and Finance.

Specific Responsibilities:

The Committee:

- serves in an advisory capacity to the Administration, the University Police Department and the Facilities Department;
- is charged with bringing matters of concern voiced by the College Community to the attention of these departments;
- conducts safety tours and security and energy audits of the building;
- approves the Annual Safety Report required by SUNY System Administration and Federal regulations;
- initiates and/or reviews institutional policies and procedures related to health and safety, including College's emergency preparedness, and;
- makes recommendations, through an annual report, to the Vice President for Administration and Finance and President, or other administrative officer as appropriate.

Membership:

- At least half of the Committee's members shall be female, and three of whom are ex-officio members who are staff in the University Police and Facilities Departments. Membership may vary on a year-to-year basis.
- Ex-Officio members are non-voting members.
- Committee members are appointed on an annual basis by the Vice President for Administration and Finance at the recommendation of the Committee's chair;
- Members may be re-appointed each year for a number of years.
- Every year, four student representatives are appointed, one coming from the graduate program.
- The Chair is appointed by the Vice President for Administration and Finance.

Decision-Making: Decisions are made by a majority vote by all voting members present.

COMMITTEE ON SCHOLARSHIPS, AWARDS & STUDENT FINANCIAL AID

Reviewed May, 2019

Purpose: To recommend criteria for the distribution of scholarships and awards to students within the College's programs and a process for selection of recipients.

Reporting Link: The Committee will report to the vice president for Student Affairs

Membership:

- Members are appointed
- Up to seven members plus the director of Financial Aid as an *ex officio* member
- Term of Office is one year with the option for renewal
- Selection of the chair is done by the vice president for Student Affairs

Specific Responsibilities:

- Recommend the establishment or elimination of awards and scholarships
- Establish criterion for the awarding of awards and scholarships
- Recommend recipient of awards and scholarships
- Recommend policies and procedures for the utilization of financial aid to our students within the guidelines set by the source of the resources.

Decision Making: All decisions and recommendations are made by majority of those present.

CREDENTIALS COMMITTEE

This is a University Eye Center Committee
Reviewed May, 2019

Purpose: The Credentials Committee will ensure that the clinical privileges granted to University Eye Center (UEC) medical staff members are consistent with the UEC's standards of training, experience and performance. The Credentialing Committee will review new applicants, as well as medical staff members applying for re-credentialing.

Reporting Link: Clinic Council

Specific Responsibilities:

1. Review all credentialing and re-credentialing applications. The Credentials Committee will review all recommendations to ensure that they are consistent with the verified education, training, experience and, if applicable, demonstrated clinical competency, as well as the certified physical and mental competency of the candidate. The committee will coordinate the internal and external verification procedures of credentials of UEC medical staff applicants and review departmental recommendations in the context of the verified credentials.
2. Attend committee meetings.
3. Review and abide by the Policies and Procedures regarding document for Hiring, Credentialing, and Re-Credentialing
4. The Credentials Committee will report its findings and recommended action to the Clinic Council on a periodic basis.

Membership: Appointed

Number of Members: 4-6

Term of Office: No Specific Term Limit

Selection of Chair: Chief Medical Officer

Decision Making: Consensus

DEAN'S COUNCIL

Reviewed, May 2019

Purpose: To advise the chief academic officer on matters related to all facets of the College's educational programs.

Principle Reporting Link: Vice President and Dean for Academic Affairs

Membership: Is by appointment at the discretion of the vice president of Academic Affairs. In general, those with significant management and budgetary responsibilities within Academic Affairs, participate on the Dean's Council.

- Vice President for Academic Affairs (Chair)
- Academic department chairs (2)
- Library Director
- Director of Residency Education
- Associate Dean for Graduate Studies and Research
- Director of Continuing Education
- Director of International Programs
- VP for Clinical Affairs (*ex officio*)

Specific Functions: As the vice president's management group, the Council engages in wide-ranging discussion of issues important to the short and long term future of the college's academic programs. Areas of importance may include, but are not limited to:

- Academic program planning
- Program policy
- Academic Affairs budgets and resources
- Operational policies and procedures for the College
- Program assessment
- Other issues that may arise.

Decision Making: This is a recommending body and, as such, the sense of the group is conveyed to the vice president for Academic Affairs who chairs the meetings. The vice president for Academic Affairs may also convey the sense of the group to the president.

ENVIRONMENTAL SAFETY AND INFECTION CONTROL COMMITTEE

This is a University Eye Center Committee
Reviewed May, 2019

Purpose: The Environmental Safety and Infection Control (ESIC) Committee will ensure that the University Eye Center (UEC) is continually prepared to deal effectively with all possible contingencies arising from safety and infection control-related situations, as well as to prevent potential safety and infection control-related issues within the UEC.

Reporting Link: Clinic Council

Specific Responsibilities:

1. To develop standards and procedures for infection control and environmental safety.
2. To develop programs for the staff to educate them on environmental safety and appropriate infection control techniques.
3. To review general safety issues and recommend applicable action.
4. Will monitor for nosocomial and other infections, and initiate appropriate studies or control measures when an infection danger exists for patients, personnel or visitors.
5. Attend committee meetings.
6. Report its findings and recommended action to the Clinic Council on a periodic basis.
7. Report its findings and recommended action to UEC departments as appropriate.

Membership: Appointed

Number of Members: 6-7

Term of Office: No Specific Term Limit

Selection of Chair: Chief Medical Officer

Decision Making: Consensus

FRAUD IN SCIENCE COMMITTEE (FISC)

Reviewed May, 2019

Purpose: Concurrent with The Office of Research Integrity (ORI) of the US Department of Health and Human Services, an ad hoc committee, to be known as the 'Fraud in Science Committee', will be appointed by the president if a preliminary inquiry into an alleged case of fraud in science recommends an investigation.

Principle Reporting Link: Director of the GCVR/associate dean for Graduate Studies and Research (as designated by the vice president and dean for Academic Affairs).

Membership:

- It shall be an ad hoc committee composed of three tenured faculty members, to be appointed by the president in consultation with the vice president and dean for Academic Affairs, the associate dean, and the Faculty Executive Committee, excluding any members who are party to the allegation.
- The faculty members appointed to the committee shall not be parties to the allegation or have any conflict of interest with regard to membership on the committee.

Specific Functions: The function of this committee is

- to assure that state and federal regulations of ORI are documented, assessed, and evaluated, with notification to all Federal and State Agencies who are appropriate.
- The FISC reports all findings where scientific misconduct is alleged to the ORI and appropriate State agency. The associate dean will provide resources in order for the FISC to operate.

Decision Making: Decisions and recommendation will be made based upon a majority vote of those present. Minutes of all meetings will be kept and made available to the ORI and appropriate State agency.

INFORMATION SECURITY COMMITTEE

Reviewed June, 2019

Purpose: The Information Security Committee (InfoSec Committee) addresses the evolving information security and privacy needs of the College. The InfoSec Committee advises on issues of security and risk reduction. This committee is responsible for implementing information security and privacy policies, evaluating new threats and reducing risk of intrusion, loss of data integrity and compliance violations. It suggests and evaluates resources for approaching security concerns, and generates initiatives to propose major projects that will improve the College's security posture.

The InfoSec Committee will advise regarding assessment activities and will provide advice regarding education and communication that may be needed to support the policy and compliance measures developed. The InfoSec Committee will also suggest resources needed for the campus to manage IT security. These will be balanced with what are considered to be reasonable and acceptable levels of risk to be assumed by the College.

Reporting Link: The Information Security Committee reports to and is appointed by the Vice President for Administration and Finance.

Membership:

- Information Security Officer (serves as Chair)
- Privacy Officer
- Compliance Officer
- Internal Control/Enterprise Risk Management Officer
- University Police representative
- Individual(s) responsible for complying with various information security and privacy standards, including HIPAA, FERPA, GLB and PCI
- Director of Enterprise Systems & Networking
- Additional academic, clinical and administrative representatives as appropriate

Members of the Committee are appointed annually, but there are no term limits.

Responsibilities:

- Serve as a resource on information security and privacy issues;
- Review and champion existing information security and privacy objectives, strategies, policies, procedures and standards and recommend improvements and revisions, as appropriate, to ensure that they meet regulatory and policy requirements;
- Promote and provide support for information security initiatives throughout the College;
- Provide guidance and support in matters of compliance and enforcement when violations of security policies, procedures, and standards are discovered and investigated;
- Evaluate information security and privacy training needs and update as appropriate to ensure regulatory and policy requirements

The InfoSec Committee consults informally and meets as needed. Minutes are maintained and routed to the Committee and interested others.

Decision Making: Decisions and/or recommendations are made by majority vote.

INFORMATION TECHNOLOGY COUNCIL

Reviewed June, 2019

Purpose: The Information Technology Council was created to address the evolving needs of the College related to information technology.

Reporting Link: The Information Technology Council reports to the Vice President for Administration and Finance.

Membership: The Council membership is appointed by the Vice President for Administration and Finance and includes:

- Chief Information Officer (serves as Chair)
- Library Director
- Director of Educational Technology Services
- Director of Enterprise Systems & Networking
- At least two faculty
- Three student representatives
- Additional academic, clinical and administrative representatives as appropriate.

Members of the Council are appointed annually, but there are no term limits, with the exception of the student representatives.

Specific Functions: The goals of the Council are as follows:

- to encourage consultation, coordination and communication among the various councils, committees, departments, units and individuals at the College with an interest in or responsibility for information technology issues;
- to promote and extend the participation of the College in new information technology based initiatives; and
- to provide guidance on matters relating to information technology planning, implementation, budgeting, policies and procedures.

The Council consults informally as needed and meets regularly. Minutes are maintained and routed to the Council, the President, the Dean, the Vice President for Administration and Finance and interested others.

Decision Making: Decisions and/or recommendations are made by majority vote.

Original June 17, 2008

Revised:

September 2, 2014

July 17, 2015

June 6, 2016

Reviewed: July 10, 2017

Revised: September 11, 2018

June 17, 2019

INSTITUTIONAL ANIMAL CARE AND USE COMMITTEE (IACUC)

Reviewed May, 2019

Purpose: Concurrent with an approved Assurance of Compliance with The Office of Laboratory Animal Welfare (OLAW) and the US Department of Agriculture, a board, to be known as an 'Institutional Animal Care and Use Committee', will be appointed with a purpose to review all biomedical and behavioral research, regardless of funding, in which non-human animal subjects are participants to assure that all state and federal guidelines for the protection of animal subjects have been observed. The actions of the IACUC must comply with the requirements of the Assurance of Compliance and the federal Office of Laboratory Animal Protection (OLAW) guidelines.

Principle Reporting Link: Director of the GCVR/associate dean for Graduate Studies and Research (as designated by the vice president and dean for Academic Affairs). The director/associate dean serves as the Institutional Officer for research programs.

Membership:

- Appointed for three-year terms by the president after consultation with the associate director of the GCVR/dean for Graduate Studies and Research, and the vice president and dean for Academic Affairs.
- The chair of the IACUC should be a highly respected individual from within the institution and shall be appointed annually by president in consultations with the associate dean and vice president and dean for Academic Affairs.
- The Committee will consist of at least five members including the chair:
- One member shall be a Doctor of Veterinary Medicine;
- At least one member shall be a practicing scientist;
- One member shall be a non-scientist; and
- At least one member from the community at large who is not a member of the institution and is not part of the immediate family of a person affiliated with the institution.

Specific Functions: The function of this committee is:

- To assure that state and federal regulations (PHS) which govern the care and use of laboratory animals are observed.
- Report all decisions regarding approval, revision, or non-approval of written IACUC proposals to the associate dean for Graduate Studies and Research for oversight and enforcement. The associate dean can provide resources and approval for any IACUC recommended proposal, but cannot do such for any non-approval proposal.
- Maintain records as required by OPHS guidelines.

Decision Making: Decisions will be made based upon a majority vote of those present.

INSTITUTIONAL RESEARCH AND PLANNING COMMITTEE (IRPC)

Reviewed May, 2019

Purpose: The Institutional Research and Planning Committee will provide support and counsel to the President and the director of Institutional Research and Planning on assessment design, implementation and analysis relative to the College's strategic priorities. The Committee will also assist in the development of institutional budgets and the allocation of resources in alignment with the College's Strategic Plan.

Reporting Link: President

Specific Responsibilities: The Committee

- Will assist in the design of an institutional assessment program linked to the College's Strategic Plan
- Will review institutional outcomes data and advise the administration on action steps to achieve the college's strategic goals
- Will recommend methods for communicating the results of institutional research and outcomes assessment to the broader college community
- Will actively consult with the college administration on budget preparation and the allocation of resources in support of the College's strategic priorities

Membership: The Committee will be broadly representative, consisting of nine members in addition to the director of Institutional Research and Planning. All members should have an active interest in and dedication to the concept of institutional assessment and planning.

- The Committee will be staffed and chaired by the director of Institutional Research and Planning
- Four members will be faculty:
 - Two members will be faculty, with one nominated by each of the academic departments
 - One will be a faculty member nominated by the Research Council
 - One will be a faculty member nominated by the Clinic Council
- One Student member nominated by the Student Council (the student must be in good academic standing).
- Three members of the college's staff/faculty as appointed by the president.
- All nominations will be subject to review and appointment by the president.
- All appointments are for one year terms.

Decision-Making: The Committee is advisory in nature and will make recommendations on a consensus basis.

INSTITUTIONAL REVIEW BOARD (IRB)

Reviewed May, 2019

Purpose: Concurrent with an approved Assurance of Compliance with 45CFR46 (Code of Federal Regulations on Protection of Human Subjects) a board, to be known as an 'Institutional Review Board', is appointed with the purpose of reviewing all biomedical and behavioral research, regardless of funding, in which human subjects are participants to assure that all state and federal guidelines for the protection of human subjects have been observed. The actions of the IRB must comply with the requirements of the Assurance of Compliance and the federal Office for the Protection of Human Subjects (OPHS) guidelines.

Principle Reporting Link: Director of the Graduate Center for Vision Research/associate dean for Graduate Studies and Research (as designated by the vice president and dean for Academic Affairs). The director/associate dean serves as the Institutional Officer for research programs.

Membership:

- Appointed for three-year terms¹ by the president after consultation with the director of the GCVR/associate dean for Graduate Studies and Research, and the vice president and dean for Academic Affairs.
- The chair of the IRB should be a highly respected individual from within the institution and shall be appointed annually by President in consultations with the director of the GVCVR/associate dean for Graduate Studies and Research and vice president and dean for Academic Affairs.
- At least one member whose primary concerns are in scientific areas;
- At least one member whose primary concerns are in non-scientific areas;
- At least one member from the community at large who is not a member of the institution and is not part of the immediate family of a person affiliated with the institution;
- Will include both men and women;
- The IRB may invite any individual to participate with special areas of expertise, but they may not vote.
- The IRB can have as many members as needed to perform its duties effectively.

Specific Functions: The IRB will, in accordance with federal regulations from The Office of Human Research Protections (OHRP), will

- Review and make decisions regarding all research at this institution or its satellites, involving the use of human research subjects.
- Report all decisions regarding approval, revision, or non-approval of written IRB proposals to the director of the GCVR/associate dean for Graduate Studies and Research, who serves as the designated Institutional Officer for research, for oversight and enforcement. The Director/Associate Dean can provide resources and approval for any IRB (internal or external) recommended proposal, but cannot do such for any non-approved proposal.
- Maintain records as required by OPHS guidelines.

Decision Making: Decisions will be made based upon a majority vote of those present.

INTERNAL CONTROL AND ENTERPRISE RISK MANAGEMENT

Reviewed May, 2019

Purpose:

The New York State Governmental Accountability, Audit and Internal Control Act, [Act] Chapter 510 of the Laws of 1999, requires that all state agencies institute a formal internal control program. This system of internal controls is designed to assure that the University and its campuses meet their mission, promote performance leading to effective accomplishment of objectives and goals, safeguard assets, check the accuracy and reliability of financial and other key data, promote operational efficiency and economy, and achieve adherence to applicable laws, regulations, guidelines, and prescribed managerial policies, procedures, and practices.

Further, on June 16, 2015, SUNY's **Enterprise Risk Management Program** took effect. This program recognizes that SUNY (and its campuses) is subject to a number of risks including strategic, financial, operational, compliance and reputational and is committed to implementing and utilizing an ERM Program for identifying, assessing and managing risks and opportunities to effectuate the achievement of the University's goals and objectives.

Reporting link:

The Committee reports to the Vice President for Administration and Finance, who is the campus Internal Control Officer and an *ex officio* member. An Assistant Internal Control Officer and the Chair of the IC & ERM Committee are appointed by the Vice President for Administration and Finance.

Membership:

- Members are appointed by the Vice President for Administration and Finance, upon being nominated by the Internal Control Officer, should that be a different individual.
- Members represent all major areas of the College.
- Because of the nature of the Committee's work and the value of experience in implementing internal control procedures, the term of appointment is ongoing

Specific Functions:

As outlined in the Division of the Budget, Budget Policy and Reporting Manual Item B-350, the University is required, among other things, to maintain a program of internal control review. The IC & ERM Committee's purpose is to:

- maintain a structured, continuing and well documented system to identify internal control weaknesses.
- identify actions needed to correct weaknesses, monitor implementation of necessary corrective actions.
- periodically assess the adequacy of campus internal controls.

The President of the College is expected to certify to the SUNY Chancellor (who certifies to the NYS Division of the Budget) each year that the campus is in compliance with the Act and, if not, offer detailed plans for compliance. In addition, annual certification is required under the Office of the State Controller Accounts Payable Advisory 28 as to the adequacy of internal controls over the payment process and one additional area of risk selected annually. Further, in June of 2014, the SUNY Board of Trustees revised

the SUNY Internal Control Program to include the standards of the Committee on Sponsoring Organizations of the Treadway Commission (COSO). COSO standards embody 5 components and 17 principles that provide a framework for an organization's compliance and internal control activities.

Decision-making: Decisions regarding recommendations are made by a majority vote of the members present.

PRESIDENT'S COUNCIL

Reviewed May, 2019

Purpose: The President's Council "acts as an advisory and consultative body to the chief administrative officer of the college and it shall consider such matters as may be presented to it by its' presiding officer"¹.

Reporting Link: President

Membership: The Council is primarily composed of the College's senior administrators and is at the discretion of the President. Membership currently includes:

- President (Chairs all meetings)
- Vice President for Administration & Finance
- Vice President & Dean for Academic Affairs
- Vice President for Clinical Administration
- Vice President for Student Affairs and International Programs
- Vice President for Institutional Advancement
- Director of Institutional Research and Planning
- Director of Communications
- Director of Human Resources
- Director of Health Care Development

The assistant to the president serves as President's Council staff.

Specific Functions: As the president's senior advisory group, the Council engages in wide-ranging discussion of issues important to the short- and long-term future of the college. Areas of importance may include, but are not limited to:

- Institutional planning
- Budgets and resources
- State, federal and external relations
- Operational policies and procedures for the College
- Assessment and Quality Controls
- Other issues that may arise.

Decision Making – Advisory to the president.

Note¹: The President's Council as established is defined by The SUNY Policies of the Board of Trustees 2001. However, in that document it is referred to as the *College Administrative Conference*.

QUALITY ASSESSMENT & IMPROVEMENT

This is a University Eye Center Committee
Reviewed May, 2019

Purpose: The Quality Assessment and Improvement (QA&I) Committee will monitor all issues affecting the quality of care at the University Eye Center (UEC). The QA&I Committee will report the results and recommendations of its activities to the Credentials Committee, as necessary, for consideration in appointment, reappointment and delineation of clinical privileges for all categories of the UEC medical staff as specified in the UEC Bylaws. The QA&I Committee will also report its results to the Vice President for Clinical Administration, the Chief Medical Officer and Services Chiefs, as appropriate.

Reporting Link: Clinic Council

Specific Responsibilities:

1. The QA&I Committee will utilize peer-review to monitor the quality of patient care. The committee will review clinical service data, as well as data on individual providers, to determine that the UEC's standards on quality care are met. Data on individual practitioners will be utilized by the Credentials Committee, as necessary, for consideration in appointment, reappointment and delineation of clinical privileges for the UEC's medical staff.
2. The QA&I Committee will review medical records to determine if the documentation and coding of clinical encounters are appropriate. Both of these functions will be in accordance with acceptable guidelines.
3. The QA&I Committee will use clinical indicators to further assess and monitor the quality of care in the UEC.
4. The QA&I Committee will report findings and recommended action about specific providers to the appropriate service chief.
5. The QA&I Committee will report its findings and recommended action to the Clinic Council on a periodic basis.

Membership: Appointed

Number of Members: 6-8

Term of Office: No Specific Term Limit

Selection of Chair: Chief Medical Officer

Decision Making: Consensus

RESEARCH COUNCIL

Reviewed May, 2019

Purpose: To promote a vigorous research program at the College by recommending initiatives, plans, policies and strategies to the administration, and being an internal resource for other researchers.

Principle Reporting Link: Vice President for Academic Affairs.

Membership: Appointment is made annually by the vice president and dean for Academic Affairs according to the following procedures:

- The chair of the Research Council (RC) will be the director of the Graduate Center for Vision Research/associate dean for Graduate Studies and Research.
- The Research Council will consist of 8 faculty members who are active researchers.
- To the extent possible, the eight faculty members will consist of funded faculty holding an external research grant of over \$100,000 total per annum;
- If more than eight faculty qualify by the funding criterion, then faculty will rotate annually on a first-in first-out basis;
- at least two chairs will be filled by clinical researchers;
- If less than eight faculty qualify for Council, then the vice president will appoint up to two non-funded active researchers, preferably with funding histories.
- The Grants Manager will serve on the Council as a non-voting ex officio member.

Specific Functions:

The vice president will ask Research Council to generate ideas, make decisions or provide advice on areas including, but not limited to:

- Long-range planning for the development of research at the College;
- Strategies for the achieving the College's strategic priorities;
- Campus-based research policies and the allocation of resources
- Funding of research infra-structure and support personnel by internal and external funds, including the Schnurmacher Institute for Vision Research;
- Acting as a resource for internal assessment and evaluation of proposed research;

Decision Making: Advisory to the Dean.

Appendix B

COLLEGE POLICY STATEMENT ON DRUG, SUBSTANCE, AND ALCOHOL ABUSE

I. Policy

The State University of New York, State College of Optometry is committed to the development and maintenance of a drug free environment. In accordance with the Drug-Free Workplace Act of 1988 and the Drug-Free Schools and Communities Act Amendments of 1989, the college will not tolerate the abuse of alcohol, the unlawful possession, distribution and use of controlled substances and alcohol on college premises.

It is the position of the SUNY State College of Optometry that the abuse of alcohol and/or the illegal possession or use of other drugs adversely affects the College community's pursuit of its educational and patient care goals. Furthermore, as a state operated institution, it is the responsibility of the College to uphold both state and federal laws.

II. Guidelines and Procedures

Compliance

Compliance with the College Policy on Drug and Alcohol Abuse shall be a condition of attendance at SUNY College of Optometry.

Violations

Any person convicted of any criminal drug statute violation occurring in or on the property owned or controlled by SUNY State College of Optometry is required to give a signed, written notice of the conviction to the University's Director of Public Safety within five (5) calendar days following the conviction.

Any person who violates the policy may be subject to disciplinary action in accordance with the college code of conduct. Possible disciplinary action includes probation or dismissal from the college. Further, violators may be required as a condition of continued attendance SUNY State College of Optometry to participate in an approved drug or alcohol rehabilitation program.

LEGAL SANCTIONS UNDER FEDERAL AND STATE LAW

FEDERAL LAW

SUNY State College of Optometry shall notify the appropriate federal agency, if applicable, within ten (10) days of notice of a student/employee conviction. In addition to College sanctions, violators may be subject to criminal prosecution under federal and state laws which specify fines or imprisonment

for conviction of drug related offenses. Where appropriate or necessary, the College will cooperate fully with law enforcement agencies.

Articles 220 and 221 set criminal penalties for possession or sale of drugs considered harmful or subject to abuse. The seriousness of the offense and penalty imposed upon conviction depend upon the individual drug and amount held or sold. The appendix A. outlined specific legal sanctions of penalties was derived from those statutes.

Marijuana is placed in Article 221 and is separately dealt with in the Penal Law, as a result of the Marijuana Reform Act of 1977.

Section 220.44--makes a sale of a controlled substance in or near school ground, to a person less than 19 years of age, a Class B felony.

Section 220.45--makes criminal possession of a hypodermic instrument a Class A misdemeanor.

Section 220.46--makes criminal injection of another person with a narcotic drug--with consent of that person, a Class E felony.

Section 220.50--bans possession or sale of drug paraphernalia; deals with things that dilute drugs, like dextrose or mannite; and gelatin capsules, plastic envelopes, etc., considered commercial preparation materials (Class E felony).

Section 220.60--makes criminal possession of certain "precursors" of controlled substances used in their preparation or manufacture, but not the drugs themselves, a Class E felony (for example, ergot, or diethylamide).

It is important to be aware that under the Penal Law, a gift of drugs, including marijuana, is treated as a sale.

Federal penalties and sanctions for the illegal possession of a controlled substance is detailed in the Controlled Substance Act (21 U.S.C. 811, 844, 853) as summarized in Appendix B. For the first conviction imprisonment may be imposed up to a year and fines at least \$1,000. There are special sentencing provisions for the possession of crack cocaine: mandatory at least 5 years in prison and fines up to \$250,000.

STATE LAW

New York Penal Law: defines a misdemeanor as a crime punishable by imprisonment for more than 15 days but not more than one year. A felony is a crime punishable by imprisonment for more than one year.

The amendments to section 65-b and 65-c of the Alcoholic Beverage Control Law (Chapters 225, 586 and 592 of the Laws of 1989) provide:

Effective January 1,1990, persons under the age of 21 are prohibited from possessing any alcoholic beverage with the intent to consume the beverage. Exceptions are provided for the consumption in an institutional setting and in cases where the alcoholic beverage is provided by a parent or guardian.

Violators are subject to a fine of up to \$50 per offense, but are not subject to arrest. Alcoholic beverages involved in the alleged violations of this law may be seized by authorized law enforcement officials including campus public safety officers. Disposal and destruction of the seized alcoholic beverages are also authorized but cannot be carried out until three days after the initial appearance date, unless otherwise ordered by a court.

Effective November 1, 1989, persons under the age of 21 who present falsified or fraudulently altered proofs of age for the purpose of purchasing or attempting to purchase alcoholic beverages are guilty of a violation, punishable by a fine of up to \$100.00 and a community service requirement of up to 30 hours.

Effective October 19, 1989, a person under the age of 21 who presents an altered New York State drivers license for the purpose of illegally purchasing an alcoholic beverage may be subject to a suspension of that driver's license for up to 90 days and may also be required to apply to the Department of Motor Vehicles for a restricted use driver's license following the suspension.

Health Risks

The health risks associated with the abuse of alcohol or engaging in the use of controlled substances are serious. Appendix B. contains a chart which outlines the effect of the use of specific controlled substances.

Alcohol consumption causes a number of marked changes in behavior. Even low doses significantly impair the judgment and coordination required to drive a car safely, increasing the likelihood that the driver will be involved in an accident. Low to moderate doses of alcohol also increase the incidence of a variety of aggressive act, including spouse and child abuse. Moderate to high doses of alcohol cause marked impairments in higher mental functions, severely altering a person's ability to learn and remember information. Very high doses cause respiratory depression and death. If combined with other depressants of the central nervous system, much lower doses of alcohol will produce the effects just described.

Repeated use of alcohol can lead to dependence. Sudden cessation of alcohol intake is likely to produce withdrawal symptoms, including severe anxiety, tremors, hallucinations, and convulsions. Alcohol withdrawal can be life-threatening. Long-term consumption of large quantities of alcohol, particularly when combined with poor nutrition, can also lead to permanent damage to vital organs such as the brain and the liver.

Mothers who drink alcohol during pregnancy may give birth to infants with fetal alcohol syndrome. These infants have irreversible physical abnormalities and mental retardation. In addition, research indicates that children of alcoholic parents are at greater risk than other youngsters of becoming alcoholics.

The college, because of the health risks, legal implications to the student, and disruption to learning and performance is committed to offering programming to respond to students with drug or alcohol problems, and to alcohol and drug abuse prevention.

SUNY State College of Optometry, as a part of its commitment to preventive programming, will offer information programming on the effects of drug and alcohol and the danger signals associated with abuse. Further, the college will provide through the Director of Special Student Programs referral counseling to those in need of assistance, including information on support programs available and accessible to the College. A network of services is also available through the New York State Division of Substance Abuse Services. Persons concerned about substance abuse can seek confidential assistance for their selves, family or friends by calling 1-800-522-5353.

Appendix C

College Alcohol Policy

The service, and consumption of alcoholic beverages at SUNY is governed by the New York State Alcohol Beverage Control law and other laws of the State of New York. Based on such laws, campus policy is as follows:

- 1) No person shall be served alcoholic beverages on campus to consume on campus or elsewhere:
 - a) If that person is, or appears to be, under the legal age of 21;
 - b) If that person is, or seems to be, intoxicated, or is known to the server to be a problem drinker.

The individual group or groups sponsoring an event at which alcoholic beverages are served (the sponsor) shall be responsible to make sure that all New York State laws and regulations and all SUNY rules and regulations regarding the sale, use, service, and consumption of alcoholic beverages are observed at such event. This responsibility shall include, without being limited to, the following:

- 2)
 - a) items of this policy as stated above;
 - b) the sponsor shall notify either the office of student affairs or Human Resources of each event at SUNY at which alcoholic beverages are to be served; and
 - c) the sponsor shall instruct the person or persons actually serving alcoholic beverages at the event not to serve or sell alcoholic beverages to any person who is or appears to be intoxicated or whom such server knows to be a problem drinker, or who is or appears to be under the legal drinking age.

The foregoing policy is applicable to all events at which alcoholic beverages are served at SUNY. In addition, specific policies, procedures, and regulations governing particular facilities or populations will be developed by the persons or offices authorized to do so, in conjunction with the office of student affairs or Human Resources.

Additional College Regulations on Alcohol

1. Locations where alcoholic beverages are permitted to be served, and consumed by persons of legal drinking age on the campus should be identified. A specific listing of such places (e.g. student lounge, faculty office) helps clarify questions that students, faculty, or staff might have about where alcoholic beverages are permitted on campus.
2. Guidelines for public and private social events that involve alcoholic beverages within the institution's jurisdiction should be established. An event that is open to the public should be registered with the appropriate campus office before the event. Such events should be conducted within the following guidelines:

- a) Individuals sponsoring the event should implement precautionary measures to ensure that alcoholic beverages are not accessible or served to persons under the legal drinking age or to persons who appear intoxicated.
 - b) Consumption of alcoholic beverages should be permitted only within the approved area designated for the event.
 - c) Non-alcoholic beverages must be available at the same place as the alcoholic beverages and featured as prominently as the alcoholic beverages.
 - d) A reasonable portion of the budget for the event shall be designated for the purchase of food items.
 - e) No social event shall include any form of "drinking contest" in its activities or promotion.
 - f) Advertisements for any university event where alcoholic beverages are served shall mention the availability of non-alcoholic beverages as prominently as alcohol. Alcohol should not be used as an inducement to participate in a campus event.
 - g) Promotional materials including advertising for any university event shall not make reference to the amount of alcoholic beverages (such as the number of beer kegs) available.
 - h) Institutionally approved security personnel shall be present at all times during the event.
3. A specific statement concerning the use or non-use of alcoholic beverages at membership recruitment functions (e.g., fraternity/sorority rush, departmental clubs, and special interest groups) should be explicitly and officially distributed to the appropriate organizations.
 4. Procedures for adjudicating violations of the alcohol policy should be articulated. Such procedures should include an explicit statement of sanctions.

Appendix D

SUNY College of Optometry Tobacco-Free Policy

Approved by president: February 15, 2017

Purpose:

This tobacco-free policy has been developed to comply with the requirements of federal, state, city, and SUNY's initiative towards healthy living and a healthier NY. In addition, the policy is developed to promote a healthy, productive, respectful, safe, and sustainable environment and to protect all members of the College Community, including visitors and University Eye Center (UEC) patients, from secondhand smoke – an established cause of cancer and respiratory disease.

Policy:

Smoking and the use of tobacco products is prohibited within the building and outside the building within the property line on sidewalks both at the 42nd and 43rd street sides of the building. In addition, as we focus on a tobacco-free environment any product that looks like a cigarette (including electronic cigarettes) or is used to inhale, smoke, or chew tobacco is included in this campus ban. No Smoking/Tobacco signs have been visibly posted at all points of entry into the College and prominent locations within the building.

Compliance:

This policy applies to all members of the College community and all persons coming into the College premises. The effective date is **March 1, 2017**. The success of this policy will depend on the thoughtfulness, consideration, and cooperation of smokers and nonsmokers. All students, faculty, and staff collectively share in the responsibility for adhering to and enforcing this policy. Copies of this policy shall be distributed to all faculty, staff, and students.

Any person who violates this policy may be subject to corrective action through the established College procedure for handling work-related misconduct or Student Code of Conduct violations.

Smoking Cessation Opportunities:

The College encourages all smoking members of the College Community to quit smoking. Smoking cessation information is available from the New York Smokers' Quit Line at 1-866-NY QUIT (1-866-697-8487), New York City 311, and or Manhattan Smoke-Free Partnership (646-619 6694).

Questions:

Any questions with regards to this smoke-free policy should be directed to the Environmental Health & Safety Office at 212 938 5581 or Committee on Health, Safety, & Energy Conservation at 212 938 5578.

DEFINITIONS:

A. "**Electronic Smoking Device**" means any product containing or delivering nicotine or any other substance intended for human consumption that can be used by a person to simulate smoking through inhalation of vapor or aerosol from the product. The term includes any such device, whether manufactured, distributed, marketed, or sold as an e-cigarette, e-cigar, e-pipe, e-hookah, or vape pen,

or under any other product name or descriptor.

B. “**Smoking**” means inhaling, exhaling, burning, or carrying any lighted or heated cigar, cigarette, or pipe, or any other lighted or heated tobacco or plant product intended for inhalation, including hookahs and marijuana, whether natural or synthetic, in any manner or in any form. “Smoking” also includes the use of an electronic smoking device which creates an aerosol or vapor, in any manner or in any form, or the use of any oral smoking device for the purpose of circumventing the prohibition of smoking in this Article.

C. “**Tobacco Product**” means any substance containing tobacco leaf, including but not limited to, cigarettes, cigars, pipe tobacco, hookah tobacco, snuff, chewing tobacco, dipping tobacco, bidis, blunts, clove cigarettes, or any other preparation of tobacco or any product or formulation of matter containing biologically active amounts of nicotine that is manufactured, sold, offered for sale, or otherwise distributed with the expectation that the product or matter will be introduced into the human body by inhalation; it does not include any cessation product specifically approved by the U.S. Food and Drug Administration for use in treating nicotine or tobacco dependence.

Appendix E

Guidelines for Calculation of Faculty Effort

The following are guidelines for the calculation of effort for various faculty assignments.

Teaching:

1 hour lecture per week (w/ 3 hrs prep) = 0.1 (10% effort) per semester

Instructor of Record effort is calculated for the full course contact time
(e.g. A 32 hour course that meets 2 hrs/wk for 16 week semester = 0.2 FTE)

3 hrs of lab or seminar per week = 0.1 per semester

lab organization/prep = 0.1 per semester

Administrative Assignments:

Admin "session" units = 0.1

Academic Admin includes:

- Department Chairs
- Admissions
- Special assignments

Clinical Admin includes:

- Service Chiefs
- Residency Supervisors
- QA & I
- Compliance
- Special assignments

Other:

Clinic (1 session) = 0.1 per semester or quarter

Admissions = 0.1

Research/Scholarship/Special Project "session" unit = 0.1

Faculty Development "session" unit = 0.1

FTE Annualization:

For 12 month contracts

Multiply semester assignments by 0.375

(based on a 9 month academic year calendar)

Multiply quarterly and summer assignments by 0.25

(based on 3 month quarters)

For 10 month contracts

Multiply semester assignments by 0.45

(based on a 9 month academic calendar)

Appendix F

Assignment of Primary Supervisors

Approved by Dean's Council, updated 3 August 2015

One of the most important resources of any college is its faculty. The goal of the primary supervisor policy is to create a structure and process that will help enhance a faculty's career satisfaction while helping the College achieve its mission. A faculty's "primary supervisor" will be responsible for faculty supervision, evaluation, and mentoring to achieve professional goals.

This revision of the Primary Supervisor Policy reflects the reorganization of Academic Affairs into two departments and the UEC into three clinical services under a Chief Medical Officer. It is anticipated that faculty will seek input from their primary supervisor as their "first contact" for issues they are concerned about or when needing guidance. Primary supervisors include the department chairs, the service chiefs, the Chief Medical Officer (CMO), the Vice President of Clinical Affairs (VPCA), and the Vice President and Dean for Academic Affairs (VPAA). Appointments to departments and services, and consequently assignments of primary supervisors, are based on effort allocation calculations (see Guidelines for Calculation of Faculty Effort). Based on effort allocation, some faculty may also have secondary appointments to one or more other departments or services and the respective department chair or service chief will be considered a secondary advisor.

The role of the primary supervisor is central to faculty evaluation, advocacy and development. Primary Supervisors must be fair, open-minded, and well-informed. Their role as a primary supervisor will include, but is not limited to, the following tasks:

- Input on hiring of faculty in their department or service
- New faculty orientation and on-going training
- Input on scheduling and assignments
- Administrative issues (e.g. coordinating assignments, approving leave request, etc.)
- Conducting annual reviews and evaluations based upon specific functions (e.g. teaching, scholarly activities, clinic assignments, service, etc.)
- Guidance and mentoring of individual faculty members, including career development and advancement
- Recommendations on promotions, retention, and discretionary salary increases

The primary supervisor will meet with each assigned faculty at least annually to review the past year accomplishments, establish new goals for the future and identify ways to facilitate these goals, discuss teaching and clinic assignments for the upcoming year, and formulate formal requests for assignment changes. Recommendations for changes will be generated and sent to the VPAA (for all faculty) and, for clinical faculty, to the UEC Administration (VPCA and COM). To facilitate academic and clinical scheduling for the following academic year these reports should be submitted typically by March 1st each year.

If an individual faculty member performs functions in multiple areas within the College, it is the responsibility of the primary supervisor to seek and communicate input from the secondary and other

supervisors who interact with the faculty, either by consultation or through a joint annual meeting with the faculty, so that a comprehensive annual review can occur.

It is the faculty's responsibility to communicate and work with all supervisors (and any other individuals they deem important for their faculty development) to establish professional goals, develop the plans to achieve those objectives, and communicate success or difficulties in achieving those goals. Examples of these interactions include a faculty member working on a research grant who may need guidance from the Associate Dean for Graduate Studies and Research or Director of the Clinical Vision Research Center, or a faculty member who spends only one session in a service who may need guidance or recommendations from a specific clinical service chief, or residency supervisors who regularly interact with the Director of Residency Programs. In these, and similar situations, the faculty should assure that all relevant supervisors are involved in the annual review process.

Department/Service Appointments and Assignment of Primary Supervisors

All term faculty, whether tenured, tenure-track, or non-tenure track, or whether full- or part-time, will be assigned a primary appointment in the department or service where the majority of their effort is allocated (see Guidelines for Calculation of Faculty Effort). The department chair, or service chief, of that department, or service, will be assigned as the faculty's primary supervisor. Many faculty will also have secondary appointments based on effort in those areas, and the Chair, or Service Chief, of that Department, or Service, will also be available to facilitate faculty development and planning as needed. The Associate Dean for Graduate Programs and Research will also be available to supervise or assist faculty with graduate faculty appointments as needed. The Director of Residency Programs and the Director of the Clinical Vision Research Center will be available to assist residency supervisors and CVRC doctors respectively.

Once appointed to a department or service, the faculty will remain with that department or service and primary supervisor assignment unless a change in the allocation of their effort occurs, or a request by the faculty is made to the VPAA or VPCA for reassignment. Faculty have the right to make such requests at any time but are required to provide an alternate plan and rationale for the change, which must be approved by the VPAA and VPCA. It should be noted that there might be circumstances where a faculty's primary supervisor is not clearly defined. In these instances, the VPAA and the VPCA will determine that faculty's primary supervisor after consulting with her/him. Finally, Departmental and Service appointments, whether primary or secondary, are not permanent. They will be reviewed annually and may change with changing assignments and plans.

Additional Considerations:

1. Clinical Faculty with the majority of the assignment in the UEC will be assigned to the service where they spend the majority of time annualized.
2. Clinical Faculty with assigned academic effort for lecture or lab (not including Integrative Seminar in the third-year primary care pods) will have either a primary or secondary appointment to the Department containing the course where the majority of their teaching effort takes place.

3. Faculty with effort assigned for clinical research in the CVRC will have either a primary or secondary appointment in the Department of Clinical Education.
4. Faculty with effort assigned to research and an appointment as graduate faculty in the GCVR will have the Associate Dean for Graduate Programs and Research as a secondary supervisor.
5. Clinical faculty with the majority of their time in external clinics or assigned to clinical administrative responsibilities (including Service Chiefs) will have the Director of External Programs or the CMO respectively as their primary supervisor.
6. The Department Chairs, Director of Library Services, Director of Continuing Education, Director of International Programs, and Director of Residency Programs will have the VPAA as primary supervisor.
7. The Director of the Clinical Vision Research Program will report to the Associate Dean of Graduate Programs and Research.

Appendix G

Faculty Development Award Policy

Updated January 2019

Funds for internal college faculty development are available annually for administratively approved activities such as attending conferences (e.g. Academy, AOA, ARVO, COVD, SECO, Society for Neuroscience, VSS), participation in meetings, courses and workshops for faculty development, and the purchase of such things as books or software that have clear value for the faculty's development.

Faculty must request funds using the *Faculty Development Fund Application* submitted to their primary supervisor. The primary supervisor will use the form to recommend awards to the vice president and dean for academic affairs. All applications must include supporting information and justifications as appropriate for the request.

Applications for travel must be submitted at least 30 days prior to travel. Travel expenses, which may include registration fees, lodging, per diem and transportation costs, will be paid by reimbursement using the state Travel Voucher Form after the travel is complete. Requests for travel reimbursement must provide all receipts, and a copy of the approved Faculty Development Fund Application to the Office of Academic Affairs within 60 days of the travel.

Any available discretionary funds (such as faculty start-up funds, discretionary funds, balance awards) and alternative funding sources (such as grants and awards including the UUP Individual Development Award) should be used first if available, and the Faculty Development Award may be used to supplement.

Faculty Development Awards will usually be \$1500 per full time internal faculty. The amount will be reviewed annually. Pro-rated funds for part time faculty will be considered if funds are available.

Appendix H

Policy on Research Salary Offset, F&A Distribution, and Bridge Funding

Approved by President's Council July 2009, updated 3 August 2015

This policy statement replaces any prior policies concerning salary offsets, use of Facilities & Administrative Indirect Cost Recovery (F&A) and access to bridge funding for faculty on state lines who receive grant funding that provides salary offset and F&A funds. The policy is designed to (1) assist funded researchers with their research programs by making resources available for additional support personnel, development of new lines of investigation and grant applications; (2) work toward a philosophy of equitable salary support for faculty performing funded research; (3) provide greater incentives for faculty to obtain and maintain extramural funding for their research; and (4) acknowledge and reward funded investigators, particularly during periods of reduced funding. The amounts derived by this policy will be calculated annually at the end of the fiscal year based on the grant activity that year. Distribution is at the discretion of the administration and may be altered, with notice, if economic conditions prevent implementation or do not permit full implementation. The policy will be reviewed annually.

Research Salary Offsets

All graduate faculty are expected to develop research programs. The college will typically fund a minimum of 20% effort for research by each graduate faculty. Faculty with funding will not be required to fund more than 30% of their base salary from their grants, which provides up to 50% release time for research. Faculty with grants may elect to offset more time for research. The percentage of effort devoted to research, teaching, clinic and service will be determined annually by negotiation with the department chair, the associate dean for graduate studies and research, and the vice president and dean for academic affairs (VPAA).

Facility and Administrative Funds

Faculty holding grants (as the Principle Investigator) that generate F&A for more than two years shall receive funds for discretionary use equaling 5% of the annual F&A from that grant that are made available to the institution after the Research Foundation assessment. These funds will be distributed at the end of the fiscal year and may be carried over from year to year. With the approval of the Vice President and Dean for Academic Affairs, faculty paying more than 30% salary offset from grants may receive additional discretionary funds equal to up to 50% of the F&A generated by the additional salary offset for the PI.

Policy for Bridge Funding

Faculty who are PIs with a history of at least 3 years of continuous prior research grants that generate F&A will be eligible for bridge funding during unfunded periods. An "unfunded period" begins when a research program has no remaining source of extramural funds (including any no cost extension) and all balance awards and discretionary funds have been used. Bridging funds are designed to maintain existing research programs for the development of new grant applications for further funding. Accessing bridging funds is contingent upon at least one grant application each year. If funding has not been procured after two years, bridging funds may be discontinued and faculty work assignments may be renegotiated with the department chairs and the Vice President and Dean for Academic Affairs.

Elements of Bridge Funds:

- (1) The college will maintain an investigator's percent effort on research at prior grant levels for a period typically not to exceed two years.
- (2) Laboratory consumables necessary to maintain productivity and development of pilot data for grant applications will be maintained during the bridge funding period.
- (3) Essential laboratory personnel, as determined by the faculty, Associate Dean, and VPAA, will be supported if possible for a period not to exceed two years if F&A reserves allow.
- (4) New instrumentation and capital equipment cannot be purchased using bridge funds.

The amount of bridge funding will be determined by negotiation with the individual faculty, the Associate Dean, and the VPAA. The amount of bridge funding shall take into account the funding and duration of the faculty's past grant activity, the size of the research program being supported, any remaining discretionary funds, and the state of the F&A reserve fund.

Appendix I

Policy on Balance Award Accounts

Approved by Dean's Council 8 February 2016

A balance award account will be created for the principal investigator (PI) of an industry-sponsored research program (with salary offset) for unexpended funds remaining after the program is reconciled and closed.

Balance awards for projects with PI salary offset (including applicable fringe benefits) may not exceed the sum of the project PI's annualized salary offset. For example, for a PI with an annual salary of \$100,000, a 6-month project with budgeted 10% PI salary and applicable fringe benefit offset will have an allowable balance award that may not exceed \$5000.

Balance award funds will be placed into a designated RF account after F&A costs are assessed. The funds will be available to the PI for 24 months. Funds may be used for authorized travel to professional meetings or for other research-related expenses on authorized research projects. Funds from multiple balance awards may be pooled or supplemented for authorized research projects.

After 24 months, any remaining funds will be transferred to the research operating account of the College. PIs may request an extension beyond the 24-month period to have access to funds for specific research-related purposes by applying in writing to the Associate Dean of Graduate Studies and Research at least one month before the end of the 24-month period.

Appendix J

Agreement to Participate in Pre-Clinical Teaching Laboratories

Approved by Dean's Council 22 October 2014

The SUNY College of Optometry is a four-year doctoral program committed to excellence in clinical education. To learn many clinical procedures and techniques it is important that our students work with actual patients. This is done through clinical care in the University Eye Center and affiliated external clinics, as well as in teaching laboratories. During the first two years of training students begin applying their education to patient care in pre-clinical teaching laboratories, first on each other, and then on participating patients with particular conditions. These examinations provide an important opportunity for students to receive feedback from supervising clinical instructors and patients helping to prepare them for direct clinical care.

You have been invited to participate in the SUNY College of Optometry's pre-clinical teaching program. The laboratory you have been invited to participate in is designed to provide students with first-hand experience on eyes like yours. Your participation is voluntary, is not a replacement for, and will not affect, your regular care. Please read this agreement carefully before agreeing to participate.

Should you elect to participate, you will receive details about your involvement from the faculty supervisor. You are encouraged to ask questions about how the laboratory works and you are free to change your mind at anytime. You will be asked to attend one or more laboratory teaching sessions. Laboratory sessions typically run from 90 mins to 3 hrs. You will be compensated for your time. You will need to bring your corrections and wear any contact lenses and/or ocular prosthetic device. During the time of your participation, students will examine you under the supervision of clinical faculty. This may require the instillation of a topical drug or dye, in a manner no different than would be used if you were being examined in our clinic. Students will also be given the opportunity to ask questions about your condition and/or general eye health history, which is considered under Federal Privacy Law to be part of your protected health information (PHI). Such information will not be recorded or shared in any manner with anyone outside of the teaching laboratory. *In signing this agreement, you are indicating your consent to utilize your PHI as described above.*

In return for your participation, you will be reimbursed at \$_____ per hour. You will need to do certain necessary paperwork and agree to the conditions for reimbursement from New York State.

Although there is minimal risk associated with participation in these laboratories, unexpected serious eye injury could occur. If any injury requiring treatment should occur, you will be directed to either your eye care provider or to the University Eye Center for treatment. If you have insurance, this treatment will be billed to your medical plan and you will be responsible for the payment of any applicable deductibles or co-pays and for the payment of any non-covered services. If you do not have health insurance, you will be billed for these visits. The College shall not be responsible for paying for the cost of medical care or other damages resulting from your participation in these laboratories.

In signing this agreement you agree to assume all the risks and responsibilities of participation in the College's pre-clinical teaching laboratory and release the State of New York and the SUNY College of Optometry, their employees and students from any and all claims and any and all liability arising from

or incurred as a result of your participation in this program.

I acknowledge that I have read this agreement, understand it, and sign it voluntarily, that no other arrangements or inducements, apart from this written agreement, have been made. I also understand that I may ask questions and I am free to withdraw from the program at any time.

Printed Name of Subject

Signature of Subject

Date

For internal Use:
Course(s) and dates in which this subject will be participating:

Signature and date of the responsible faculty supervisor(s):

This form must be returned to the Office of Academic Affairs with additional details provided to the subject. Copies must be filed in the relevant academic departments.

Appendix K

Policy for Programs Involving Industry

Approved by Dean's Council 9 April 2013

Purpose:

This policy provides guidance on the use of programs for faculty, staff, and students at the college when they are created, in whole or part, by industry and delivered by speakers serving as *de facto* employees for industry. The State of New York through the passage of the Public Integrity Reform Act (PIRA) has established policies to guide ethical interactions between state employees and such external agencies and to avoid conflict of interest. These guidelines impact the circumstances under which college employees participate in these events, at which they may receive benefits, (gifts, food, beverages, etc.). This policy is designed to assure compliance with these state regulations. It is also designed to guide program development particularly where presentations are aimed at students or where students are present.

In all cases, if the event will provide a meal as part of the program, the following rules regarding faculty participation must be adhered to:

If the cost of the meal is less than \$15/person there is no stipulation as to the number of faculty that may attend;

If the cost of the meal is more than \$15/person, faculty may partake in the meal as long as there are 25 or more non-employees also in attendance.

Policy for Academic Programs:

All academic programs, including didactic residency programs, are under the authority of Academic Affairs. Academic Programs refer to any conference, class, lab, or workshop, specifically for optometry students or open to optometry students and relating to their academic training. These programs are not usually considered to be part of the regular optometry curriculum although Instructors of Record may use them as optional supplements or to bring guest lecturers into their courses, after approval is granted. Academic Programs do not include programs developed by any student organization or other extracurricular programs such as for career development, which are overseen by Student Affairs.

The Dean's Council will review all requests for permission to conduct academic programs, including the use of industry employees as guest lecturers in courses. Proposals normally must be submitted for review and approval at least 45 days prior to the proposed date of the event, but may be considered under a shorter time frame if justified. A faculty sponsor, who will work with the industry representative and be responsible for the program content, must submit the proposal. The proposal must include the following:

- a. Program title
- b. Name of company or companies involved in the delivery of the program
- c. Name of speaker(s) and affiliation(s) to the company/companies involved
- d. Name of the faculty sponsor(s) who will be responsible for the event and assure the educational value
- e. Requested date
- f. Requested space
- g. Intended audience
- h. Educational value
- i. Requests for any additional special arrangements (meals, displays, clinic involvement, etc.)

Industry will recognize that these programs, which may be promotional if clearly stated, must also have educational value for our students, residents and faculty. A member of the faculty must be attendance to evaluate the content of the event.

Policy for Continuing Educational Programs:

A continuing educational program shall mean a program that provides continuing education credits or certification to attendees. These programs are under the authority of Continuing Professional Education.

By definition, to qualify as a continuing educational program the program must carry continuing education credit. Under these circumstances the program will be reviewed by and conducted under the aegis of the Office of Continuing Professional Education and comply with both State regulations and generally accepted principles for the conduct of continuing education, which prevents an undue influence on content by industry. Students may be permitted to attend without additional oversight, but if the program is a requirement for any academic purpose it shall also be reviewed as an Academic Program (see above).

Policy for Professional Programs:

Professional programs are meetings, seminars, teleconferences, videoconferences or webinars that provide information for faculty, residents and other employees on a broad range of services or products, or trends in industry that would benefit the administration or operation of the institution or help the employees perform their duties more effectively. CE is not provided for these programs.

All Professional Programs at the college must comply with the New York State Public Integrity Reform Act. The appropriate administrative division of the college whose employees are the target audience will be responsible for the program. Students may be permitted to attend Professional

Programs without additional oversight, but if the program is a requirement for any academic purpose it shall also be reviewed as an Academic Program (see above).

Appendix L

New York State Education Law, Article 5

Section 224-a. Students unable because of religious beliefs to register or attend classes on certain days.

- 1 No person shall be expelled from or be refused admission as a student to an institution of higher education for the reason that he or she is unable, because of his or her religious beliefs, to register or attend classes or to participate in any examination, study or work requirements on a particular day or days.
- 2 Any student in an institution of higher education who is unable, because of his or her religious beliefs, to attend classes on a particular day or days shall, because of such absence on the particular day or days, be excused from any examination or any study or work requirements.
- 3 It shall be the responsibility of the faculty and of the administrative officials of each institution of higher education to make available to each student who is absent from school, because of his or her religious beliefs, an equivalent opportunity to register for classes or make up any examination, study or work requirements which he or she may have missed because of such absence on any particular day or days. No fees of any kind shall be charged by the institution for making available to the said student such equivalent opportunity.
- 4 If registration, classes, examinations, study or work requirements are held on Friday after four o'clock post meridian or on Saturday, similar or make up classes, examinations, study or work requirements or opportunity to register shall be made available on other days, where it is possible and practicable to do so. No special fees shall be charged to the student for these classes, examinations, study or work requirements or registration held on other days.
- 5 In effectuating the provisions of this section, it shall be the duty of the faculty and of the administrative officials of each institution of higher education to exercise the fullest measure of good faith. No adverse or prejudicial effects shall result to any student because of his or her availing himself or herself of the provisions of this section.
- 6 Any student, who is aggrieved by the alleged failure of any faculty or administrative officials to comply in good faith with the provisions of this section, shall be entitled to maintain an action or proceeding in the supreme court of the county in which such institution of higher education is located for the enforcement of his or her rights under this section.
6-a. It shall be the responsibility of the administrative officials of each institution of higher education to give written notice to students of their rights under this section, informing them that each student who is absent from school, because of his or her religious beliefs, must be given an equivalent opportunity to register for classes or make up any examination, study or work requirements which he or she may have missed because of such absence on any particular day or days. No fees of any kind shall be charged by the institution for making available to such student such equivalent opportunity.
- 7 As used in this section, the term "institution of higher education" shall mean any institution of higher education, recognized and approved by the regents of the university of the state of New York, which provides a course of study leading to the granting of a post-secondary degree or diploma. Such term shall not include any institution which is operated, supervised or controlled by a church or by a religious or denominational organization whose educational programs are principally designed for the purpose of training ministers or other religious functionaries or for the purpose of propagating religious doctrines. As used in this section, the term "religious belief" shall mean beliefs associated with any corporation organized and operated exclusively

for religious purposes, which is not disqualified for tax exemption under section 501 of the United States Code.

Appendix M

Institutional Assessment Plan

Approved November 16, 2018

Overview

Planning and assessment are woven into the fabric of College operations. On a five-year cycle, the entire College community participates in a year-long strategic planning process that culminates in a faculty retreat and published five-year strategic plan. Day-to-day College operations are driven by the mission, goals and objectives included in this plan.

Various assessment strategies are used to track implementation of the strategic plan and monitor College operations. The primary motivation is to identify, obtain, analyze and utilize outcomes data for meaningful programmatic improvement. When available and appropriate, national data serve as benchmarks for assessing performance. Key performance indicators are widely distributed and generally published on the College's webpage. Analysis of data may lead to corrective actions when they are not consistent with expected outcomes.

College assessment processes are designed to meet or exceed accreditation standards published by the Middle States Commission on Higher Education (MSCHE) and Accreditation Council on Optometric Education (ACOE) and to conform to the policies of the State University of New York. Institutional operations and student learning in each of College's educational programs are assessed through multiple mechanisms.

Office of Institutional Research and Planning

Planning and assessment are coordinated by the director of institutional planning and research, who reports directly to the College president. The Committee on Institutional Research and Planning (IRPC) provides counsel and support to the director and president on matters related to planning and assessment by

- coordinating the College's strategic planning processes
- assisting in the design of an institutional assessment program linked to the College's strategic plan
- reviewing institutional outcomes data and advising the administration on action steps to achieve the College's strategic goals
- recommending methods for communicating the results of institutional research and outcomes assessment to the broader College community
- actively consulting with the College administration on the allocation of resources in support of the College's strategic priorities
- supporting the College's accreditation processes

The committee is chaired by the director of institutional planning and research and supported by the coordinator for institutional research. It consists of 9 members (in addition to the director and coordinator). All nominations are subject to review and appointment by the president, and appointments are for 1-year terms (renewable). The composition of the committee is as follows:

- 5 faculty members
 - 1 nominated by each of the 3 academic departments
 - 1 nominated by Research Council

- 1 UEC faculty member nominated by Clinic Council
- 1 student member nominated by Student Council (the student must be in good academic standing).
- 3 members of the College's staff as appointed by the president

Institutional Assessment

Institutional assessment is ongoing and may be conceptualized as a cyclical process that starts with the establishment of strategic goals and outcomes measures for these goals. Institutional key performance indicators are assembled by the Office of Institutional Research and Planning, generally published on the College's website (<http://www.sunyopt.edu/offices/institutional-research/>) and updated annually. These and other data are utilized by the College vice presidents to analyze progress in their respective areas. The analyses are discussed with the IRPC and senior management team at Annual Implementation Meetings (AIM) and published on the College's website. When analyses reveal shortcomings in attaining institutional goals, corrective actions are initiated by the appropriate administrative unit. The following diagram summarizes the planning and assessment cycle:



Mission, Goals and Objectives

College operations derive from its mission, goals and objectives. These are

- reviewed (mission) and formulated (goals and objectives) every 5 years during a year-long process that includes the entire College community and culminates in a published five-year strategic plan
- modified as necessary
- aligned with the SUNY strategic plan
- the basis for annual institutional goals established for each administrative area
- used to establish outcome measures

Organization by Functional Unit

The College is organized into the following five functional units:

- Academic Affairs
- Finance and Administration
- Institutional Advancement
- Student Affairs
- University Eye Center (UEC)

Each unit is led by a vice president who is responsible for the implementation of the College's mission, goals and objectives in his/her area. The five vice presidents and president constitute the College's senior management team. This team, along with the directors of institutional research and planning, communications and health care development, form President's Council.

The assessment processes employed by each functional unit are similar and consist of the following elements:

- Data Collection
 - Key performance indicators are established for each unit.¹ These are:
 - quantitative measures of College performance in key areas
 - provided to the Office of Institutional Research and Planning on an annual basis
 - intended to provide a longitudinal assessment of progress in meeting the College's mission and goals
 - generally published on the College's website as graphs and charts (<http://www.sunyopt.edu/offices/institutional-research/factbook/>)
 - widely disseminated, particularly to individuals and administrative units that can shape relevant policies
 - when available and appropriate, compared to national data, which serve as benchmarks for assessing performance
 - Results of exit and alumni surveys (provided by the Office of Institutional Research and Planning)
 - Additional quantitative and qualitative outcome measures that the unit believes will be useful. These data are collected on an annual basis and made available to the IRPC and President's Council as needed
- Structured Analysis
 - Key performance indicators and other information (both quantitative and qualitative) are analyzed by each of the five functional units relative to the strategic plan
- Closing the Loop
 - When a substantive lack of progress in reaching a strategic goal is indicated, potential solutions are formulated and implemented

Key Performance Indicators for Functional Units and Analysis/Utilization of Data

- ***Academic Affairs***
 - Key performance indicators²
 - Faculty

¹ Key performance indicators are subject to change based on their utility in assessing performance.

² Not included here are key performance indicators for student learning; these are listed under individual programs in the *Assessment of Student Learning* section of the assessment plan.

- headcount by department and service*
- professional and graduate degrees*
- faculty employment status*
- FTE by department*
- FTE for full- and part-time appointments*
- faculty salary benchmarking
- Faculty demographics*
- student assessments of courses and teaching
- faculty development workshops and attendance
- funds expended for faculty development*
- Library
 - interlibrary activities and document delivery*
 - library expenditures by year*
 - patron assistance*
 - utilization of electronic resources*
 - student satisfaction (survey results)
- Research
 - total grant activity/expenditures*
 - number of grants*
 - publications and presentations*
 - referrals to the Clinical Vision Research Center (CVRC)*
 - grant activity by category: basic, clinical and translational*
 - development of Translational Research Center (sq ft and FTE)*
- Externship Program
 - number of affiliates*
 - number of affiliates visited
 - sites added/removed*
 - number of patients seen by students per site*
 - student assessments of sites
 - externship development activities
- Structured Analysis and Closing the Loop
 - The administrative units and offices within Academic Affairs that are responsible for (1) analyzing outcomes data to determine if progress on strategic goals is satisfactory and (2) formulating and implementing policy are
 - Dean's Council
 - Clinical Education Council
 - Research Council
 - Associate Dean for Graduate Studies and Research
- **Administration and Finance**
 - Key Performance Indicators
 - annual operating budget*
 - revenues by source*
 - revenues by year*

* Performance indicators denoted with an asterisk are generally published on the College's website in *FactBook*.

- fund balance*
 - capital projects*
 - renovation of UEC facilities – expenditures and square footage*
 - employee demographics*
 - results of employment climate surveys
 - employee retention data
 - employee longevity data
- Structured Analysis and Closing the Loop
 - The administrative units within Administration and Finance that are responsible for (1) analyzing outcomes data to determine if progress on strategic goals is satisfactory and (2) formulating and implementing policy are the offices of
 - Business Affairs
 - Personnel and Payroll
 - Facilities Operations and Capital Projects
 - University Police
 - Environmental Health and Safety
 - Information Technology
 - Internal Control and Institutional Services
- ***Institutional Advancement***
 - Key Performance Indicators
 - total fundraising year-over-year*
 - fundraising year-over-year by constituency
 - total donors year-over-year
 - alumni giving *
 - alumni giving (percentage)*
 - faculty and staff giving*
 - alumni engagement
 - number of active alumni on SUNY EyeNetwork*
 - overall number of alumni volunteers
 - number of alumni speakers at student focused events
 - number of alumni admissions ambassadors
 - number of job postings by alumni
 - number of scholarship awards (from donations)*
 - active ad placement
 - number of followers on social media
 - number of clicks on digital ads
 - number of clicks and length of time on website
 - Structured Analysis and Closing the Loop
 - The administrative units within Institutional Advancement that are responsible for (1) analyzing outcomes data to determine if progress on strategic goals is satisfactory and (2) formulating and implementing policy are the offices of the
 - Associate Vice President for Alumni and Government Relations
 - Associate Director of Annual Fund
 - Associate Director of Development

- Director of Communications
- **Student Affairs**
 - Key Performance Indicators
 - Admissions and Enrollment (OD Program)
 - applications, admissions and enrollment by year*
 - NYS applications, admissions and enrollment by year*
 - entering GPA and science GPA*
 - entering GPAs by school per year*
 - entering OAT TS by school per year*
 - geographical distribution of entering students*
 - under-represented minorities*
 - yield by school per year*
 - first-year enrollment by ethnic-racial category*
 - historic enrollment*
 - Upstate applications*
 - advanced standing applications and enrollment by year
 - Graduate Admissions and Enrollment
 - applicants, acceptances and enrolled (OD-MS Program)*
 - applications, acceptances and enrolled (PhD Program) *
 - first-year and total OD-MS enrollment by year*
 - first-year and total PhD enrollment by year*
 - Residency Program Admissions and Enrollment
 - programs, applications, positions and filled*
 - Completions
 - degrees awarded*
 - demographics of entering and graduating OD classes*
 - percentage of entering students who graduate (OD program)*
 - Time to degree for PhD students*
 - residency certificates awarded*
 - Student Services
 - CDC activities*
 - community service hours*
 - CSTEP program: applicants, acceptances & enrollment in OD program*
 - Student counseling activities
 - results of student climate survey
 - Student Expenses and Financial Aid
 - first-year direct expenses for in-state students*
 - direct expenses for out-of-state students*
 - total costs for in-state students*
 - total costs for out-of-state students*
 - percent of students receiving aid per year*
 - indebtedness by school per year*
 - average indebtedness*
 - categories of student financial aid*
 - default rate
 - total scholarship dollars (including discounts, if applicable)*

- total number of scholarships by source*
- Structured Analysis and Closing the Loop
 - The administrative units within Student Affairs that are responsible for (1) analyzing outcomes data to determine if progress on strategic goals is satisfactory and (2) formulating and implementing policy are the offices of the
 - Registrar
 - Director of Financial Aid
 - Director of Admissions and Marketing
 - Director of Career Development and Minority Enrichment
- **Patient Care**
 - Key Performance Indicators
 - UEC
 - active referring providers*
 - age distribution of patients*
 - charitable care*
 - revenues by service location*
 - new referring providers*
 - patient residency*
 - payer mix*
 - public service by year - events*
 - public service by year – participants*
 - referral visits and unique patients*
 - total patient encounters by year*
 - total revenues by year*
 - new UEC patients by year*
 - new vs established patients*
 - encounters by service*
 - number enrolled in patient portal
 - staff development programs and attendance
 - Satellite (Contract) Clinics
 - Revenues*
 - number of patients seen*
 - number of students rotating through clinics*
 - number of residents rotating through clinics*
 - Structured Analysis and Closing the Loop
 - The administrative units within the University Eye Center Clinical Administration that are responsible for (1) analyzing UEC outcomes data to determine if progress on strategic goals is satisfactory and (2) formulating and implementing UEC policy are
 - Clinic Council
 - Offices of the Service Chiefs
 - Office of the Chief Medical Officer
 - Office of the Director of Clinical Operations
 - Office of the Director of Patient Financial Services

- The Office for Health Care development working in collaboration with the Offices of the President, VP for Academic Affairs, VP of Administration & Finance, along with the Directors of Externship Program and Residency Programs, is responsible for analyzing the annual data and the continual improvement program quality.

Assessment at the Institutional Level

In addition to assessment at the unit level, assessment occurs at the institutional level. The key performance indicators listed previously as well as other relevant quantitative and qualitative information are employed in this process. The goals of institutional level assessment are to (1) analyze outcomes to determine if progress on institutional strategic goals is satisfactory and (2) formulate and implement policy when the analysis reveals a substantive lack of progress in meeting institutional strategic goals. The mechanisms employed in this process and closing of the loop include:

- Dissemination of analyses and opportunity for feedback
- Discussions at meetings of President's Council and Round Table
- Annual Implementation Meetings (AIM) in which each vice president presents a data-driven analysis to the Committee on Institutional Research and Planning and senior management team that addresses progress on the strategic plan in the vice president's area of responsibility. These reports are published on the College's website (<http://www.sunyopt.edu/offices/institutional-research/annual-implementation-meetings/>)
- Annual presidential evaluations of progress in each vice president's area of responsibility
- Establishment by the president and each unit vice-president of annual goals for the unit that are derivative of institutional strategic goals. These annual institutional goals
 - are linked to the College's strategic plan
 - reorient each unit with the College's strategic goals
 - provide an opportunity to utilize assessment results and analyses to develop and implement policies to ensure that strategic goals are met
 - are published on the College's website (<http://www.sunyopt.edu/offices/institutional-research/annual-institutional-goals/>)
- Linkage to Resource Allocation
 - Resource allocation is driven by the College's mission, goals and objectives. When submitting annual budget requests, vice-presidents are required to justify each request by linking it to a specific component of the strategic plan.

Assessment of Student Learning

Doctor of Optometry (OD) Program

Curricular Learning Objectives

Curricular learning objectives for the OD program are aligned with College's mission and relevant institutional goals and objectives. They are defined and published in *Competencies and Attributes for Optometrists Graduating from SUNY College of Optometry*. This document

- states entry level competencies and attributes
- is published on the College's website
- is periodically reviewed by Clinical Education Council and Dean's Council
- serves as the basis for course learning objectives

- serves as basis for clinical learning objectives that are developed by Clinical Education Council and published in the *Table of Intern Clinical Competencies*

Student Learning at the Course and Clinic Level

Student learning with respect to course and clinic learning objectives is assessed with multiple mechanisms, including

- Course level
 - written examinations
 - pre-clinical practical examinations
 - papers, oral presentations and class participation
 - student course surveys
- Clinical patient care level
 - evaluations by clinical instructors who supervise the student
 - evaluation by 3rd year Clinical Instructor of Record
 - evaluation by 4th year Clinical Instructor of Record
 - evaluation by Clinical Education Council

Student Learning at the Program Level

Assessment of student learning at the program level occurs through multiple mechanisms including

- key performance Indicators
 - performance on national licensing examination (NBEO)*
 - Part 1: Applied Basic Science
 - Part 2: Patient Assessment and Management
 - Part 3: Clinical Skills
 - The percentage of students who have taken all 3 parts of the NBEO passing all 3 parts*
 - percentage of graduates who enter a residency program*
 - retention/attrition rates*
 - percentage of matriculating students who have graduated passed all three parts of the NBEO licensing exam (or who are actively practicing in another country) six years after enrolling*c
- other sources of information
 - quantity and quality of each student's patient-care experiences
 - annual exit surveys
 - annual alumni surveys

Closing the Loop

Data collected for the OD program are analyzed to determine if students are meeting the program's educational learning objectives. When data suggest substantive shortcomings, potential solutions are formulated and implemented. While the analysis and formulation of potential solutions may be initiated at various administrative levels related to the OD program, the forums/offices best suited for analysis, planning and implementation are:

- Curriculum Committee
- Dean's Council
- Clinical Education Council
- Department Chairs

External Review

The OD program undergoes external evaluation by the Accreditation Council on Optometric Education (ACOE), which is recognized by both the US Department of Education and Council on Higher Education Accreditation, on an 8-year cycle. The eight accreditation standards evaluated by the ACOE are

- Mission, Goals and Objectives
- Curriculum
- Research and Scholarly Activity
- Governance, Regional Accreditation, Administration and Finance
- Faculty
- Students
- Facilities, Equipment and Resources
- Clinic Management and Patient Care Policies

A complete list of the ACOE accreditation standards and sub-standards may be found in the *Accreditation Manual: Professional Optometric Degree Programs* at <https://www.aoa.org/optometrists/for-educators/accreditation-council-on-optometric-education/accreditation-resources-and-guidance/optometric-degree-programs->.

Combined OD-MS Program (Vision Science)

Curricular Learning Objectives

Curricular learning objectives for the combined OD-MS program are

- aligned with College mission and relevant strategic plan goals/objectives
- published on the College's website
- reviewed regularly by Dean's Council, the associate dean for graduate studies and research and the graduate faculty Committee on Graduate Programs, Policy, Admissions and Standing
- the basis for learning objectives that are established for each course

Student Learning at the Course Level

Student learning at the course level is assessed through multiple mechanisms, including

- written examinations
- assigned papers
- oral presentations at seminar courses
- class participation in seminar courses
- graduate advisor's assessment of student progress
- thesis committee's review of required research paper

Student Learning at the Program Level

Assessment of student learning at the program level occurs through multiple mechanisms, including

- key performance indicators
 - primary place of employment of graduates*
 - primary positions of graduates*

- teaching and work effort of graduates*
- Other sources of information
 - review of MS thesis papers by thesis examination committee
 - annual compilation and review of published papers and abstracts by the associate dean for graduate studies and research and graduate faculty
 - assessments by Committee on Graduate Program, Policy, Admissions, and Standing
 - exit and alumni surveys

Closing the Loop

Data collected for the combined OD-MS program are analyzed to determine if students are meeting its educational learning objectives. When data suggest substantive shortcomings, potential solutions are formulated and implemented. While the analysis and formulation of potential solutions may be initiated at various administrative levels level related to the combined OD-MS program, the forums/offices best suited for analysis, planning and implementation are:

- Committee on Graduate Program, Policy, Admissions, and Standing
- Dean's Council
- Associate Dean for Graduate Studies and Research

External Review

External reviews are performed as needed and in accordance with SUNY policy

PhD Program (Vision Science)

Curricular Learning Objectives

Curricular learning objectives for the PhD program are

- aligned with College mission and relevant strategic plan goals/objectives
- published on the College's website
- reviewed regularly
- the basis for the learning objectives that are established for each course

Student Learning at the Course Level

Student learning at the course level is assessed through multiple mechanisms, including

- written course examinations
- assigned papers
- oral presentations at seminar courses
- class participation in seminar courses
- faculty review of performance in research laboratories
- annual oral research presentations to faculty
- graduate advisors' assessments of student progress
- specialty examinations
- dissertation committees' reviews of research proposals
- public PhD defenses
- dissertation committees' reviews of required research paper

Student Learning at the Program Level

Assessment of student learning at the program level occurs through multiple mechanisms and data sources, including

- key performance indicators
 - primary place of employment of graduates*
 - primary positions of graduates*
 - teaching and work effort of graduates*
 - time to degree completion*
- other sources of information
 - review of PhD thesis and papers by the thesis examination committee with oversight by the graduate faculty Committee on Graduate Program, Policy, Admissions and Standing
 - annual compilation and review of published papers and abstracts by the associate dean for graduate studies and research
 - assessments by Committee on Graduate Program, Policy, Admissions, and Standing
 - exit and alumni surveys

Closing the Loop

Data collected for the PhD program are analyzed to determine if students are meeting its educational leaning objectives. When data suggest substantive shortcomings, potential solutions are formulated and implemented. While the analysis and formulation of potential solutions may be initiated at various administrative levels related to the PhD program, the forums/offices best suited for analysis, planning and implementation are:

- Committee on Graduate Program, Policy, Admissions, and Standing
- Dean's Council
- Office of the Associate Dean for Graduate Studies and Research

External Review

External reviews are performed as needed and in accordance with SUNY policy

Residency Programs (Post-Doctoral Clinical Education)Curricular Learning Objectives

Curricular learning objectives for each residency program are

- aligned with College mission and relevant strategic plan goals/objectives
- published on the College's website
- reviewed regularly

Student Learning at the Program Level

Assessment of student learning at the program level occurs through multiple mechanisms and data sources, including

- key performance indicators
 - ACOE accreditation
 - number of applicants for each residency program*
 - number and percentage of programs that develop and integrate advanced competency statements*
- other sources of information
 - evaluations by clinic supervisors
 - quantity and quality of each resident's patient-care experiences

- program evaluations completed by residents
- review of oral presentations
- review of research papers
- annual exit survey
- alumni surveys

Closing the Loop

Data collected for each residency program are analyzed to determine if residents are meeting its educational learning objectives. When data suggest substantive shortcomings, potential solutions are formulated and implemented. While the analysis and formulation of potential solutions may be initiated at various administrative levels related to the residency program, the offices best suited for analysis, planning and implementation are the:

- Individual Residency Supervisors
- Director of Residency programs

External Review

Each residency program undergoes external evaluation by the Accreditation Council on Optometric Education (ACOE), which is recognized by both the US Department of Education and Council on Higher Education Accreditation, on an approximately 8-year cycle. The 6 standards evaluated by the ACOE are

- Mission, Goals, Objectives, Outcomes, and Program Improvement
- Curriculum
- Administration
- Faculty
- Residents
- Resources and Facilities

A complete list of the ACOE residency program accreditation standards and sub-standards may be found in the *Accreditation Manual: Optometric Residency Programs* at <https://www.aoa.org/optometrists/for-educators/accreditation-council-on-optometric-education/accreditation-resources-and-guidance/optometric-residency-programs>.

Continuing Professional Education for Practicing Optometrists

Program Goals

The program goals for the continuing professional education program are

- aligned with College mission and relevant strategic plan goals/objectives
- published on the College's website
- reviewed regularly
- the basis for the learning objectives that are established for each continuing education course

Student Learning

Assessment of student learning occurs through multiple mechanisms and data sources, including

- key performance indicator published on College's website
 - Envision attendance*
 - CME course attendance*

- number of participants in all webinars
- attendance at continuing education events other than Envision
- other sources of information
 - completion of written examinations (certain courses)
 - surveys completed by course attendees
 - observation of courses by the director of continuing professional education

Closing the Loop

Data collected for each continuing education course are analyzed to determine if it is meeting its educational learning objectives. When data suggest substantive shortcomings, potential solutions are formulated and implemented through the Office of Continuing Professional Education.

External Review

All continuing professional education courses are submitted for approval to the Council on Optometric Practitioner Education (COPE), a national clearing house for optometric continuing education.

Assessment of the College's Assessment Process

The College's assessment program is effective to the extent that the following three conditions are met:

- outcomes data are identified, routinely collected and made available to appropriate individuals and governing councils
- data are analyzed with respect to College's strategic plan
- when data suggest substantive shortcomings
 - potential solutions are formulated and effective corrective actions are implemented and/or
 - strategic priorities are reassessed

The Committee on Institutional Research and Planning and President's Council monitor the effectiveness of the College's assessment process. As part of the College's strategic planning process, extant outcome measures are reviewed with the goal of ensuring that relevant and actionable data are employed to assess the new strategic plan. Outcome measures for the new strategic plan are developed during the strategic planning process taking into account the effectiveness of extant measures in leading to programmatic improvement.

Appendix N

from the 2019 Student Handbook

Student Conduct Code

The primary purpose of this document, the ***Student Conduct Code*** (also referred to as the ***Code***), is to articulate the values of the SUNY College of Optometry community and to outline behaviors in which students are prohibited from conducting.

As a result of complaint cases, the College, through designated committees appointed by the president, will assure that steps are taken to prevent the reoccurrence of similar complaints. To the extent possible, the root cause of the complaint will be identified, policies and procedures will be reexamined and, when appropriate, changed to remedy the occurrence of complaints of similar nature.

The ***Procedures for Enforcing the Student Conduct Code***, which follows this ***Code***, outlines the procedures used by the College to enforce the ***Code***.

(a) Campus Community Values

The College is committed to maintaining a safe and healthy living and learning environment for students, faculty, and staff. Each member of the campus community will, ideally, choose actions that contribute to this end. Optometry students, and graduate students in Vision Science, are expected to be ethical citizens and to enact responsible behaviors that reflect well upon the College and the professions of optometry and vision science.

SUNY College of Optometry has articulated its community values as ***Excellence; Leadership; Inquiry; Innovation; Service to Diverse Communities, and Professionalism*** (more information is provided: http://www.sunyopt.edu/2013_strategic_plan/#/4/)

Grounded in the community value of ***Professionalism***, the following ethical guidelines have served as time-honored expectations for the behavior by SUNY College of Optometry students:

- To exhibit the behaviors of a health care professional at all times;
- To treat fellow students, faculty, patients, and staff with the respect and dignity that is the right of every human being;
- To put the needs of others before one's own, in the classroom, laboratory, clinic, and community;
- To honor and adhere to the qualities of honesty and integrity as they interact in the classroom, laboratory, clinic, and community;
- To respect the College's resources and physical property as assets, shared by the community, to achieve the institutional mission;
- To hold in professional privacy or confidence all information concerning a patient and to use such data only for the benefit of the patient;
- To conduct themselves as exemplary citizens and always represent the College and the profession in a manner consistent with the ethics and ideals of a learned profession; and
- To promote and maintain honest and unselfish relationships with fellow students, faculty, professional colleagues, and patients.

(b) Grounds for Student Discipline

This section of the document outlines particular acts that are forbidden under this ***Student Conduct Code***.

Note: The ***Student Conduct Code*** and the accompanying ***Procedures for Enforcing the Student Conduct Code*** differentiate between ***non-academic misconduct*** and ***academic misconduct***. Prohibited behaviors in each of the two general categories are handled differently.

Student behavior that is not consistent with the ***Code*** is addressed through an educational process that is designed to promote safety and good citizenship and, when necessary, impose appropriate consequences. The following are the grounds upon which student discipline can be based:

- (1) Dishonesty, including:
 - (A) **Academic Misconduct:** Cheating, plagiarism, or other forms of academic misconduct that are intended to gain unfair academic advantage. These include, but are not limited to, engaging in any action that undermines equity in student assessment and reduces the objectivity of evaluation of student work; appropriating an exam or exam materials without authorization; missing an exam in order to gain an advantage; engaging in collusion with other students or gaining unauthorized assistance on take-home examinations or other assignments; and withholding, removing, or destroying materials needed by other students.
Note: Cases of alleged academic misconduct may be handled by the instructor of record of the course, clinic, or lab, under the advisement and with the approval of the department chair and the student's consent. Cases handled within an academic department shall not result in the accused student receiving a sanction more severe than failing the respective assignment or the entire course, clinic, or laboratory in which the conduct allegedly occurred. **This is outlined further in Section (e) of *Procedures for Enforcing the Student Conduct Code*.**
 - (B) Furnishing false information to a College official, faculty member, or campus office
 - (C) Forgery, alteration, or misuse of a College document, key, or identification instrument, including patient records
 - (D) Misrepresenting one's self to be an authorized agent of the College or one of its auxiliaries
- (2) Unauthorized entry into, presence in, use of, or misuse of College property
- (3) Willful, material and substantial disruption or obstruction of a College related activity
- (4) Participating in an activity that substantially and materially disrupts the normal operations of the College, or infringes on the rights of members of the College community Willful, material and substantial obstruction of the free flow of pedestrian or other traffic, on or leading to campus property or an off-campus College related activity
- (5) Disorderly, lewd, indecent, or obscene behavior at a College related activity, or directed toward a member of the College community
- (6) Conduct that threatens or endangers the health or safety of any person within or related to the College community, including physical abuse, intimidation, harassment, or sexual misconduct.

(7) Hazing, or conspiracy to haze

Note: By law, SUNY provides a description of hazing that is governed by this **Code**.

Hazing is defined as any method of initiation or pre-initiation into a student organization or student body, whether or not the organization or body is officially recognized by an educational institution, which is likely to cause serious bodily injury to any former, current, or prospective student of any school, community college, college, university, or other educational institution and in addition, any act likely to cause physical harm, personal degradation, or disgrace resulting in physical or mental harm, to any former, current, or prospective student of any school, community college, college, university or other educational institution. The term “hazing” does not include customary College sanctioned events. Neither the expressed or implied consent of a victim of hazing, nor the lack of active participation in a particular hazing incident, is a defense. Apathy or acquiescence in the presence of hazing is not a neutral act, and is also a violation of this section.

(8) Illegal use, possession, manufacture, or distribution of illegal drugs or drug-related paraphernalia, (except as expressly permitted by law and College regulations) or the misuse of legal pharmaceutical drugs

(9) Use, possession, manufacture, or distribution of alcoholic beverages (except as expressly permitted by law and College regulations), or public intoxication while on campus or at a College related activity

(10) Theft of property or services from the College community, or misappropriation of College resources

(11) Unauthorized destruction, or damage to College property or other property in the College community

(12) Possession or misuse of firearms or guns, replicas, ammunition, explosives, fireworks, knives, other weapons, or dangerous chemicals (without the prior authorization of the campus president) on campus or at a College related activity

(13) Unauthorized recording, dissemination, or publication of any academic materials (including presentations and handwritten notes) to individuals outside the College community or for a commercial purpose

(14) Misuse of computer facilities or resources, including:

(A) Unauthorized entry into a computer or file, for any purpose

(B) Unauthorized transfer of a file

(C) Use of another user’s identification or password

(D) Use of computing facilities, campus network, or other resources to interfere with the work of another member of the College community

(E) Use of computing facilities and resources to send obscene or intimidating and abusive messages

(F) Use of computing facilities and resources to interfere with normal College operations

(G) Use of computing facilities and resources in violation of copyright laws

(H) Violation of a campus computer use policy

(15) Violation of any published College policy, rule, regulation or presidential order

(16) Failure to comply with directions of, or interference with, any College official or any public safety officer

while acting in the performance of his/her duties

(17) Any act chargeable as a violation of a federal, state, or local law that poses a substantial threat to the safety or well-being of members of the College community, to property within the College community or poses a significant threat of disruption or interference with College operations

(18) Obstructing this **Code** or the **Procedures for Enforcing the Student Conduct Code**, by engagement of any of the following:

- (A) Falsification, distortion, or misrepresentation of information related to a student discipline matter
- (B) Disruption or interference with the orderly progress of a student discipline proceeding
- (C) Engagement in any student discipline proceeding in bad faith
- (D) Attempting to discourage another from participating in the reporting, investigation, or resolution of any student discipline matter
- (E) Attempting to influence the impartiality of any participant in a student discipline matter
- (F) Verbal or physical harassment or intimidation of any participant in a student discipline matter
- (G) Failure to comply with the sanction(s) imposed under a student discipline proceeding
- (H) Retaliation against an individual participating in the procedures

(19) Encouraging, permitting, or assisting another to conduct any act that might subject him or her to discipline

(20) Violation of any other written policies and/or procedures, which have been authorized and disseminated to students, of the College, the University Eye Center (UEC), and/or an affiliated site of the College or of the UEC.

(c) Interim Suspension Policy

The health and safety of the College community is of the utmost importance. When an student (who has **not been formally charged** or who **has been formally charged** with a misconduct violation) presents a continuing threat to the health and safety of the College community, the College may suspend the student immediately and for an indefinite period of time necessary to attain and review medical or psychological evaluation, or pending the outcome of a conduct process, at the discretion of the vice president for student affairs. (VPSA).

SUNY College of Optometry's **Interim Suspension Policy** may be applied at any time and the application of this policy may supersede the application of other College policies and procedures.

A respondent may request a prompt review of the interim suspension by contacting the vice president for academic affairs (VPAA) and may submit evidence in support of that request. The process to be followed, and the acceptable grounds for appealing an interim suspension, is outlined in the **Procedures for Enforcing the Student Conduct Code** document.

(d) Procedures for Enforcing This Code

The SUNY Board of Trustees, as per **Section 6450 of the New York Education Law**, requires that each SUNY campus, under the direction of the campus president, adopt procedures to ensure students are afforded appropriate notice and an opportunity to be heard, informally or formally, before the College imposes any sanction for a violation of the **Student Conduct Code**.

(e) Application of this Code

Sanctions for the conduct listed in the *Procedures for Enforcing the Student Conduct Code* (this document follows the *Code*) can be imposed on enrolled students, students between academic terms, graduates awaiting degrees, and students who withdraw from the College while a disciplinary matter is pending.

Conduct that threatens the safety or security of the campus community, or substantially disrupts the functions or operation of the College is within the jurisdiction of this *Code* regardless of whether it occurs on or off campus. Nothing in this *Code* may conflict with *Section 6450 of the New York Education Law*; no action can be taken against students based on behaviors protected by the First Amendment. Free speech is a right of each student; however, time, place, and manner requirements for the utterance of speech is also dictated by the College.

Procedures for Enforcing the Student Conduct Code

This document, *Procedures for Enforcing the Student Conduct Code* (also referred to herein, as *Procedures*), is used by the College to identify, prevent, investigate, and resolve alleged violations by students of the *Student Conduct Code* (also referred to as *Code*). The *Procedures* are internal to the College and are intended to be non-adversarial and educational in their design and application.

(a) Definitions

The following words and definitions are to be used in relation to procedures, herein:

(1) “Complainant” shall mean an individual who alleges a formal complaint against a student in violation of the standards of student conduct.

(2) “College” and “Institution” shall mean the SUNY College of Optometry and all of its programs and affiliated program sites.

(3) “Faculty Member” or “Professor” or “Instructor” or “Adjunct” or “Guest Lecturer” shall mean any person hired, or otherwise retained, by the College to conduct classroom or teaching activities or who is otherwise considered to be a member of the faculty. The individual responsible for assigning final grades for an academic course is referred to as the “Instructor of Record”.

(4) “Preponderance of the Evidence” shall mean a measure of proof that a reasonable person would accept as “more likely than not” that a fact is true or an incident occurred. The preponderance of the evidence is the standard of proof during a student conduct hearing to determine the hearing outcome.

(5) “Respondent” or “accused student” shall mean the student accused of violating the standards for student conduct.

(6) “Student” shall mean any person who is taking or auditing courses at the College or is matriculating in any College program.

(7) “Working Days” shall mean regular working days: Monday to Friday, excluding official College holidays and College Closures.

(8) Affirmative consent is a knowing, voluntary, and mutual decision among all participants to engage in sexual activity. Consent can be given by words or actions, as long as those words or actions create clear permission regarding willingness to engage in the sexual activity. Silence or lack of resistance, in and of itself, does not demonstrate consent. The definition of consent does not vary based upon a participant's sex, sexual orientation, gender identity, or gender expression.

(b) Administrative Roles

All administrative officials acting to resolve alleged violations of student conduct shall receive appropriate training and be apprised of applicable state and federal laws, including ***Title IX of the Education Amendments of 1972 (Title IX); Clery Act, VAWA, and FERPA.***

Even SUNY College of Optometry offices and employees who cannot guarantee confidentiality will maintain your privacy to the greatest extent possible. The information you provide to a non-confidential resource will be relayed only as necessary for the Title IX Coordinator to investigate and/or seek a resolution.

Note: For matters related to alleged violations of Title IX, the College Discrimination Complaint Procedure and Process will be followed to resolve such cases, in accordance with its respective time lines, administrative roles, and procedures.

College officials shall act in the various administrative roles to intake, process, investigate, and resolve complaints from members of the College community regarding a student's alleged violation(s) of the **Code** or any alleged obstructions to the **Procedures** used to ensure fairness and impartiality in adjudicating student conduct cases.

You have the right to make a report to university police or campus security, local law enforcement, and/or state police or choose not to report; to report the incident to your institution; to be protected by the institution from retaliation for reporting an incident; and to receive assistance and resources from your institution.

The various administrative roles for adjudicating violations of the ***Student Conduct Code*** are described below:

(1) **Student conduct officer (SCO)** is a member of the College administration whose responsibilities are to perform duties as prescribed in the **Procedures** and has been appointed by the President. The primary student conduct officer shall be the vice president for student affairs (VPSA). In his absence, or if he finds it necessary to recuse himself from a particular case, the senior director of financial aid will serve as the SCO.

(2) **Hearing officers:** Hearing officers shall consist of the faculty members and students who serve on the College judicial committee, as prescribed by college faculty. Hearing officers shall be free of any conflicts of interest that have the potential to influence the hearing officer's decisions or conduct and that may impact the resolution of the complaint.

The College judicial committee shall preside over the hearing, weigh the evidence, decide the outcome, and reach consensus on disciplinary sanctions to be imposed against the respondent.

Note: More information about the format of a formal hearing is located in Section (8) of this **Procedures**

document.

The Standard Operating Procedure for Conducting a Formal Hearing, adopted by the College judicial committee, 1) provides a detailed outline of the hearing process; describes the composition of the judicial committee and the term length of its members; and provides the format that the hearing officers use to write their final report.

The judicial committee's final decisions shall be reported to the VPAA and copied to the VPSAIP.

(3) **Title IX coordinator**: The Title IX coordinator at SUNY College of Optometry is the director of human resources. In his absence, or if he finds it necessary to recuse himself from a particular case, the assistant director of human resources will serve as the Title IX coordinator.

The Title IX coordinator, has been appointed by the College president to coordinate compliance with Title IX of the Education Amendments of 1972 (also referred to, herein, as Title IX) and to ensure compliance with corresponding laws and acts (listed in the note below) that pertain to alleged violations of discrimination and/or retaliation based on gender, and include sex discrimination, sexual harassment, sexual violence, domestic violence, dating violence, and stalking behaviors.

Note: These laws and acts include the following: The Violence Against Women Reauthorization Act of 2013 (which amends the Jeanne Clery Disclosure of Campus Security and Campus Crimes Statistics Act); (20 U.S.C. 1092(f)) (VAWA); and the Campus Sexual Violence Elimination Act provision, Campus SAVE Act.

The ***SUNY Optometry Sexual Violence Response Policy and Procedure*** and the ***SUNY College of Optometry***

Students' Bill of Rights, also located in the Student Handbook, provide detailed information about the rights of complainants who report the types of violations listed under Section (3) of the ***Procedures***.

All students have the right to: 1. Make a report to local law enforcement and/or state police; 2. Have disclosures of domestic violence, dating violence, stalking, and sexual assault treated seriously; 3. Make a decision about whether or not to disclose a crime or violation and participate in the judicial or conduct process and/or criminal justice process free from pressure by the institution; 4. Participate in a process that is fair, impartial, and provides adequate notice and a meaningful opportunity to be heard; 5. Be treated with dignity and to receive from the institution courteous, fair, and respectful health care and counseling services, where available; 6. Be free from any suggestion that the reporting individual is at fault when these crimes and violations are committed, or should have acted in a different manner to avoid such crimes or violations; 7. Describe the incident to as few institution representatives as practicable and not be required to unnecessarily repeat a description of the incident; 8. Be protected from retaliation by the institution, any student, the accused and/or the respondent, and/or their friends, family and acquaintances within the jurisdiction of the institution; 9. Access to at least one level of appeal of a determination; 10. Be accompanied by an advisor of choice who may assist and advise a reporting individual, accused, or respondent throughout the judicial or conduct process including during all meetings and hearings related to such process; and 11. Exercise civil rights and practice of religion without interference the investigative, criminal justice, or judicial or conduct process of the institution.

(4) University Police Department: The University Police Department shall be consulted when appropriate at the discretion of the SCO to protect the health and safety of the College community and when required by law. College officials will cooperate with University Police and outside police investigators as necessary or as required by law.

(c) General Provisions

(1) Advisors: Complainants and respondents have the right to seek advice from an advisor (attorney, clergy, parent, faculty member, or whomever they choose). One advisor, upon request, may be present during a hearing, but may not represent or speak on behalf of the respondent or complainant. Should a respondent or complainant request an advisor to be present at a hearing, a written notice indicating the advisor's name, relationship to the respondent or complainant and contact information must be submitted to the SCO at least **10 working days** prior to the hearing. Failure or inability of an advisor to be present at a hearing will **not** delay the hearing or preclude the hearing from proceeding. Advisors must be approved by the SCO. During the hearing, advisors may be asked to leave a hearing by the hearing officer(s) if the advisor is deemed to disrupt or interfere with the hearing process.

(2) Confidentiality: Information provided to College officials during this process shall be considered **private** and will only be shared with other College officials and the University Police Department on a "need to know" basis. The College officials will make all attempts to honor a complainant's request for **confidentiality**; however, College officials must weigh the request for confidentiality with concern for the health and safety of the College community and its members. Confidentiality in all cases, therefore, cannot be ensured.

Note: Distinctions between privacy and confidentiality are provided in the **SUNY College of Optometry Options for Confidentially Disclosing Sexual Violence**, located in the **Student Handbook**.

(3) Retaliation/Intimidation/Harassment: Retaliation, intimidation, or harassment against any complainant, witness or individual involved with the **Procedures** is strictly prohibited. Attempts to retaliate, intimidate, or harass through verbal, written, or physical means may result in disciplinary action.

(4) Conduct Violations and Amnesty for Alcohol and Drug Use Violations: The health and safety of every student at the College is of utmost importance. The College recognizes that students who have been drinking and/or using drugs (whether such use is voluntary or involuntary) at the time that violence (including but not limited to domestic violence, dating violence, stalking, or sexual assault) occurs may be hesitant to report such incidents due to fear of potential consequences for their own conduct.

The College strongly encourages students to report domestic violence, dating violence, stalking or sexual assault to institution officials. A bystander acting in good faith, or a reporting individual acting in good faith that discloses any incident of domestic violence, dating violence, stalking, or sexual assault to the College or to law enforcement will not be subjected to the College's **Student Conduct Code** process for violations of alcohol and/or drug use, behaviors occurring at or near the time of the commission of the domestic violence, dating violence, stalking, and/or sexual assault.

(5) Parallel Jurisdiction:

Student Conduct Code proceedings are independent from court or other administrative proceedings. Discipline may be instituted against a student also charged in civil or criminal courts based on the same facts that constitute the alleged violation of the **Code**. The College may proceed before, simultaneously with, or after any judicial or other

administrative proceedings, except in cases involving discrimination, harassment or retaliation (including sex discrimination, sexual harassment, sexual violence, domestic violence, dating violence, and stalking). In such cases, the College shall proceed without delay pursuant to SUNY policies, as well as to state and federal policies.

The health and safety of every student at the SUNY College of Optometry is of utmost importance. SUNY College of Optometry recognizes that students who have been drinking and/or using drugs (whether such use is voluntary or involuntary) at the time that violence, including but not limited to domestic violence, dating violence, stalking, or sexual assault occurs may be hesitant to report such incidents due to fear of potential consequences for their own conduct. SUNY College of Optometry strongly encourages students to report domestic violence, dating violence, stalking or sexual assault to institution officials. A bystander acting in good faith or a reporting individual acting in good faith that discloses any incident of domestic violence, dating violence, stalking, or sexual assault to SUNY College of Optometry officials or law enforcement will not be subject to SUNY College of Optometry's code of conduct action for violations of alcohol and/or drug use policies occurring at or near the time of the commission of the domestic violence, dating violence, stalking, or sexual assault.

(d) Proceedings

(1) Complaint

A College community member may file a complaint against a student whom he or she believes is in violation of the **Code**. Complaints must be filed according to the requirements set forth in this section.

The student conduct officer (SCO) will not pursue non-written complaints except as required by state and federal law or as deemed appropriate by the SCO and other College officials to protect the health and safety of the College community members.

A written paper complaint (email complaint is insufficient) must be filed with the SCO and include:

- A. The name of the student in alleged violation of **Student Conduct Code**
- B. The name of the person making the complaint
- C. The nature of the complaint and the alleged violation of the **Code**
- D. Details of the complaint, including the dates and times that the alleged violations occurred (dates and times are critical)
- E. Signature of the complainant
- F. Date when the complaint is filed

A complaint shall be filed within **90 working days** of the alleged **Student Conduct Code** violation to ensure proper fact finding and investigation. Failure to file a complaint within the 90 working days may result in termination of any further processing of the complaint at the discretion of the SCO. The timeline to file a written complaint for **Title IX** violations is **180 days** from the date of the alleged.

Note: Complaints of **Title IX** violations filed after the 180-day period will be tracked and investigated to the extent possible consistent with the College **Title IX** obligations, including the **Title IX** coordinator's duties to identify patterns and address systemic issues.

(2) Investigation

The SCO will investigate complaints within **30 working days** and decide whether to dispose of the complaint, charge a student(s) with the alleged **Code** violation, and/or impose interim actions to include but not limited to: 1) interim suspension of the alleged student; 2) revoked right of the student from being physically present at the College; 3) issuance of no contact orders with the complainant or other College community members; or 4) other interim remedies to protect the health and safety of the College community and its members.

(3) Appeal of Interim Suspension

A respondent may request a prompt review of the interim suspension by contacting the vice president for academic Affairs (VPAA) and may submit evidence in support of that request.

A respondent suspended on an interim basis shall be given the opportunity to promptly appear personally before the VPAA in order to discuss the following issues only:

- A. The reliability of the information concerning the student's conduct, including the matter of his or her identity; and
- B. Whether the conduct and surrounding circumstances reasonably indicate that the continued presence of the student in the College building, or in the University Eye Center (UEC), or on the premises of a College affiliate location, poses a substantial and immediate threat to College community

(4) Notice of Investigation within **10 working days** of receiving the complaint, the student conduct officer (SCO) will notify, in writing, the student(s) in alleged violation of the **Student Conduct Code** that an investigation is underway or will be initiated against him/her.

(5) Notice of Conclusion of Investigation/Potential Charge

Notice will be provided to the student(s) in alleged violation of the **Code** and the complainant within **10 working days** of the conclusion of the investigation by the SCO, stating whether the student(s) will be charged with an alleged violation of the **Code** or whether the complaint was disposed. A student who will be charged with an alleged violation shall receive a written letter with the following information:

- A. The student's name
- B. The specific sections of the **Code** or **Procedures** that were alleged to be violated
- C. The allegation details that were reported and discovered during the investigation to support the violation
- D. Range of possible sanctions to be imposed
- E. Notice of the right to be accompanied by an advisor to the hearing
- F. Date, time, and location of the scheduled conference or hearing

(6) Notice to Witnesses

Witnesses will be given notice within 10 working days of the conclusion of the investigation asking for their cooperation and appearance at the scheduled conference or hearing.

(7) Informal Resolution

As an educational institution, SUNY College of Optometry contends that students charged with alleged violations of the **Student Conduct Code**, under normal circumstances, can learn from the disciplinary process and correct their misbehaviors. Accordingly, and at the discretion of the Student Conduct Officer (SCO) and with the formal written consent of the respondent, a written complaint may be mediated and resolved by the SCO in lieu of a formal adjudicated hearing by **official** informal resolution.

- A. However, if at any point, prior to resolution of the case, the SCO deems the evidence against the respondent to be so egregious that removing the accused student from the community may be necessary (via suspension or expulsion), the SCO shall terminate the informal hearing process and prepare the case for a formal hearing before the College judicial committee.
- B. Upon written consent for an informal resolution, a student waives his or her right to a formal adjudicated hearing; moreover, informal resolutions are final and cannot be appealed.
- C. Informal resolution cannot be used to resolve a case of alleged misconduct if prohibited by law under Title IX, VAWA, or other state or federal statutes, or when the alleged misconduct violation is severe enough to warrant possible sanctions of suspension or expulsion from the College (as stated in part A of this section)
- D. In cases of alleged academic misconduct, the SCO will confer with the respective department chair before exercising his discretion in the disposition of the case.

Note: Cases of alleged academic misconduct that occur within the context of a particular course, clinic, or lab may be resolved by the faculty member. **This is outlined in Section (e) of the *Procedures*.**

(8) Hearing

A hearing is the formal adjudicating mechanism to resolve an allegation of misconduct by a student. The hearing, intended to be educational in nature, is more prescribed than the informal resolution process and is subject to appeal.

The College judicial committee shall preside over the hearing, weigh the evidence, decide the outcome and reach consensus on disciplinary sanctions to be imposed against the respondent.

Hearings will be closed except to the SCO, the respondent, the complainant (which may be the College) and his or her advisor and witnesses during their testimony. At the discretion of the SCO or the judicial board chair, a UPD officer may be present during the hearing.

The hearing will be recorded or transcribed. Recording will be the property of the College and not distributed except as required by law. No other recordings will be permitted.

Accommodations will be made, at the discretion of the SCO, in consultation with the hearing officers, to allow witnesses to videoconference their testimony.

The student conduct officer will present the evidence discovered during the investigation process that includes, but is not limited to, calling witnesses and reading statements by witnesses who are not present at the hearing.

The respondent will have an opportunity to ask questions of witnesses and, later, present his or her own arguments and evidence.

Evidence will be weighed by the preponderance of the evidence standard to determine the outcome of the hearing.

Legal rules of evidence are not applicable during the hearing. Hearing officers may ask follow up questions or follow up with new lines of questioning.

If a respondent fails to appear, the hearing will proceed without the respondent.

Note: The *Standard Operating Procedure for Conducting a Formal Hearing*, adopted by the College judicial committee 1) provides a detailed outline of the hearing process; 2) describes the composition of the judicial committee and the term length of its members; and 3) outlines key sections of the written decision report that is written by the judicial committee.

(9) Decisions

The judicial committee shall issue a written decision report to the VPAA and issue a copy to the VPAIP (SCO), within 30 working days after the hearing. The report shall include the rationale for the decision along with any sanctions to be imposed against the respondent. Suspension from the College and/or expulsion from the College for academic misconduct may be placed on the student's transcript, at the discretion of the judicial committee.

(10) Notice of Decision to the Respondent

The Vice President for Academic Affairs (VPAA) shall review the written decision report and send notification, within 10 working days of receiving it from the judicial committee, via certified mail, to the respondent's address on file with the college registrar.

(11) Case Appeals

The respondent may seek an appeal within **15 working days** of delivery of the written decision via certified mail. The appeal must be in writing and submitted to the VPAA who will consider granting an appeal in his/ her discretion based on the following:

- A. New compelling evidence not discovered prior to the hearing
- B. The decision was not supported by the evidence
- C. Other compelling reason presented by the respondent seeking the appeal
 Note: Refer to *SUNY Optometry Sexual Violence Response Policy and Procedure* and to the *SUNY College of Optometry Students' Bill of Rights for appeal procedures related to cases involving sexual assault, domestic violence, dating violence and stalking*. Both documents are located in the *Student Handbook* and provide detailed information about the rights of complainants who report alleged violations of sexual and interpersonal violence.

Sanctions imposed at the conclusion of an initial hearing may not be increased or made more severe, but may only be lowered or made less severe, at the conclusion of an appeal.

The respondent has no further right to appeal. However, the College president, in his review of a case, may choose to reopen it for a second level of appeal for the same three reasons listed under Section 11 of the *Procedures*.

(e) **Cases of Alleged Academic Misconduct Resolved at the Department Level**

- (1) Cases Submitted Directly to SCO. Written charges of alleged academic misconduct that occur within the

context of a particular course, clinic, or laboratory may be brought by a complainant directly to the Student Conduct Officer (SCO), who will initiate the student conduct process, as outlined in Section (d) of these **Procedures** to resolve alleged violations by students of the **Student Conduct Code**. In cases of alleged academic misconduct, the SCO will confer with the respective department chair before exercising his discretion in the disposition of the case.

(2) Cases Handled within Academic Department. Cases of alleged academic misconduct may be handled by the instructor or record of the course, clinic, or lab, under the advisement and with the approval of the department chair, but only with the written consent of the student. Cases handled within an academic department shall not result in the accused student receiving a sanction more severe than failing the respective assignment or the entire course, clinic, or laboratory in which the conduct allegedly occurred.

- A. The **Student Conduct Code** and these **Procedures** afford the accused student with due process rights, including the right to an investigation, the right to an informal or formal review of the evidence, the right of appeal, and right to appropriate notifications. When the respondent accepts responsibility for academic misconduct at the department level, and/or sanctions for the alleged academic misconduct to be imposed by the department, the student waives his or her right to any further adjudication of the case and will not be granted an appeal.
- B. Alleged misconduct reviewed by the instructor of record and the department chair that is deemed to be so egregious that the misconduct cannot be resolved by the sanctions available to the department (failure of the respective assignment or the entire course, clinic or laboratory) shall be submitted promptly to the SCO. The SCO will review the evidence and prepare the case for a formal hearing.
- C. If the accused student does not consent to adjudication at the department level, or if he or she does not consent to the sanctions to be imposed at the department level, the instructor or record or the department chair may submit the complaint to the SCO as outlined in Section (d) 1 of these **Procedures**.

(4) Once a resolution between the accused student and instructor or record is reached and approved by the department chair, the department chair shall write a **Letter of Academic Misconduct Resolution**, which includes the following information:

- A. Name of the student respondent
- B. Date the letter is written and signed
- C. Name of the faculty member who alleged that academic misconduct occurred
- D. Name and section number of the course or lab
- E. Description of the alleged academic misconduct (as written in Section 1.1.A. of the **Code**), including the dates and times that the alleged misconduct occurred
- F. Brief description of the evidence weighed to determine that misconduct occurred
- G. Sanctions imposed by the academic department and accepted by the student
- H. Statement of student's waiver of rights to further adjudication of the case, including waiver of appeal
- I. Signatures of the department chair, the faculty member, and the student respondent.

The **Code** and **Procedures**, together, provide the College with a mechanism to consider an accused student's entire set of circumstances, including whether the reported instance of academic misconduct is part of a pattern of misconduct. Accordingly:

(5) After a resolution between the accused student and the instructor of record is reached and approved by the department chair, the department chair shall promptly send the original **Letter of Academic Misconduct Resolution** to

the Office of the VPAA, and send copies to the SCO, to the respondent, and to the instructor of record.

(6) When the **Letter Academic Misconduct Resolution** is received by the Student Conduct Officer, the respondent shall be placed on disciplinary probation, as defined in Section (f) of the **Procedures** with the condition that any further violation of the **Student Conduct Code** or the **Procedures** will likely result in more severe disciplinary sanctions.

(f) Possible Sanctions

The following sanctions, as well as others that are not listed here, may be imposed for violation of the **Student Conduct Code**:

Academic Departmental Sanctions. Alleged student conduct violations that are handled by an academic department result in sanctions that include failure of a respective assignment, or failure of the entire course, clinic or laboratory, but do not include suspension or expulsion from the College.

Educational and Remedial Sanctions. Assignments, such as work, research, essays, service to the College or the community, training, counseling, or other remedies intended to discourage a repeat of the misconduct or as deemed appropriate based upon the nature of the violation.

Restitution. Compensation for loss, damages or injury. This may include appropriate service and/or monetary material replacement.

Loss of Financial Aid. Scholarships, loans, grants, fellowships, and any other types of state financial aid given or guaranteed for the purposes of academic assistance can be conditioned, limited, cancelled or denied.

Denial of Access to Campus or Persons. A designated period of time during which the student is not permitted: (i) on College property or specified areas of Campus or (ii) to have contact (physical or otherwise) with the complainant, witnesses or other specified persons.

Disciplinary Probation. A designated period of time during which privileges of continuing in student status are conditioned upon future behavior. Conditions may include the potential loss of specified privileges to which a current student would otherwise be entitled, or the probability of more severe disciplinary sanctions if the student is found to violate any College policy during the probationary period. Disciplinary probation shall be tracked by the student conduct officer.

Suspension. Temporary separation of the student from active student status or student status.

Expulsion. Permanent separation of the student from student status from the College. Expulsion shall be entered on the student's transcript permanently without exception; this requirement shall not be waived in connection with a settlement agreement.

Multiple Sanctions. More than one sanction may be imposed for a single violation.