

Baruch College

Office of the Provost

Useful Compliance Notes for Department Chairs

July 19, 2016

This document provides summary information and links to additional information on various compliance activities that involve chairs and faculty. This document does not supersede the collective bargaining agreement between the Professional Staff Congress (“PSC”) and the City University of New York (“CUNY”). This document may be changed, modified, or revoked at the discretion of the College.

I. WORKPLACE AND ETHICS

| Compliance Type | Link | Contact | Frequency |
|--|---|--|------------------|
| Workplace Violence | http://www.baruch.cuny.edu/psafety/documents/Baruch_Workplace_Violence_Prevention_Program-2012.pdf | Office of Public Safety and Workplace Violence Advisory Team | As needed |
| Sexual Harassment and Sexual Violence | http://www.baruch.cuny.edu/bpi/sexualharassment.htm | Chief Diversity Officer (CDO) (Public Safety) | As needed |
| Disabilities/Accommodations | http://www.baruch.cuny.edu/bpi/disabilityaccomodations.htm | CDO (faculty and staff) Office of Services for Students with Disabilities (students) | As needed |
| Employment Equity, Affirmative Action, and Non-discrimination | http://www.baruch.cuny.edu/bpi/affirmativeactionanddiversity.htm | CDO | Ongoing |
| Ethics/ Public Integrity (Financial Disclosure, Outside Activities/Conflict of Interest, etc.) | http://www.baruch.cuny.edu/bpi/ethicspublicintegrity.htm | Legal Counsel and Labor Designee | Annual |
| Multiple Positions (including | I.Policy | Legal Counsel and Labor | Report Form: |

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| outside work/consulting) | http://www.baruch.cuny.edu/bpi/multiplepositions.htm (non-faculty) http://policy.cuny.edu/manual_of_general_policy/article_v/policy_5.14/#Navigation_Location (faculty) II. Multiple Position Report Form http://www.cuny.edu/about/administration/offices/ohrm/reports-forms/MultiplePositionForm.pdf | Designee | Each semester |
| Records Retention | http://www.baruch.cuny.edu/bpi/records.htm | Legal Counsel and Labor Designee | Ongoing |
| Title IX Reporting Protocol for Reporting of Allegations of Sexual Harassment, Sexual Assault, Stalking, or Domestic and Intimate Partner Violence against Students | http://www.baruch.cuny.edu/president/affirmativeaction.html (Scroll toward bottom of page) | The Baruch College Title IX Coordinator and Chief Diversity Officer | Ongoing |
| Travel (work-related) | http://www.baruch.cuny.edu/adminfin/NewYorkStateTravelInformation.htm | Office of the Vice President for Administration and Finance | Ongoing |
| Use of College Funds | http://www.baruch.cuny.edu/bpi/useofcollegefunds.htm | Office of the Vice President for Administration and Finance | Ongoing |

II. RESEARCH

| Compliance Type | Link | Contact | Frequency |
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| Conflict of Interest | http://www.cuny.edu/research/compliance/conflictinterestpolicy.html | Office of the Provost | Ongoing |
| Human Subjects (IRB) | http://www.baruch.cuny.edu/hrpp/ http://www.baruch.cuny.edu/hrpp/trainingvideos.htm | Keisha Peterson, HRPP, Office of the Provost | Ongoing |

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| Research Integrity | http://www.baruch.cuny.edu/rio/decisiontree.htm | Research Integrity Officer, Office of the Provost | Ongoing |
| Responsible Conduct of Research | http://www.baruch.cuny.edu/rio/rcr_training_plan.htm | Research Integrity Officer, Office of the Provost | Ongoing |

III. PERSONNEL ACTIONS

| Compliance Type | Link | Contact | Frequency |
|--|--|---|-----------------------------|
| Faculty Searches | <p>“Faculty Resources,” “Searches”: http://www.baruch.cuny.edu/provost/resources.htm</p> <p>(Scroll toward bottom of page)</p> | Offices of the Provost, of Human Resources, and of Diversity, Compliance, and Equity Initiatives (CDO) | Annual |
| Reappointment, Tenure, Promotion, and Certification | <p>Procedures and timeline: Link from Provost’s website, under “Faculty Resources,” in “Handbook on Reappointment, Tenure, Promotion, and Certification,” http://www.baruch.cuny.edu/provost/resources.htm</p> <p>Binders: http://www.baruch.cuny.edu/facultyhandbook/review.htm</p> | Offices of the School Dean and of the Provost | Annual (Fall and Spring) |
| Teaching Observations of Untenured/Non-CCE’d Faculty | <p>Procedures and timeline: Procedures and timeline: Link from Provost’s website, under “Faculty Resources,” in “Handbook on Reappointment, Tenure, Promotion, and Certification,” “Handbook for Chairs,” http://www.baruch.cuny.edu/provost/resources.htm and http://www.baruch.cuny.edu/facultyhandbook/observations.htm</p> | Offices of the School Dean and of the Provost | Every Semester |
| Faculty Evaluations | <p>Procedures and timeline: Procedures and timeline: Link from Provost’s website, under “Faculty Resources,” in “Handbook on Reappointment, Tenure, Promotion, and Certification,” “Handbook for Chairs,” http://www.baruch.cuny.edu/provost/resources.htm</p> | Offices of the School Dean and of the Provost | Annual |
| Chair’s Evaluation of Untenured/Non-CCE’d Faculty | <p>Procedures and timeline: Procedures and timeline: Link from Provost’s website, under “Faculty Resources,” in “Handbook on Reappointment, Tenure, Promotion, and Certification,” “Handbook</p> | Offices of the School Dean and of the Provost | Annual (Spring) |

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| | for Chairs,” http://www.baruch.cuny.edu/provost/resources.htm | | |
| Chair’s Report of Untenured/Non-CCE’d Faculty | Procedures and timeline: Procedures and timeline: Link from Provost’s website, under “Faculty Resources,” in “Handbook on Reappointment, Tenure, Promotion, and Certification,” “Handbook for Chairs,” http://www.baruch.cuny.edu/provost/resources.htm | Offices of the School Dean and of the Provost | Annual (Fall, prior to reappointment) |
| Third-year Dean’s Review | Procedures and timeline: Procedures and timeline: Link from Provost’s website, under “Faculty Resources,” in “Handbook on Reappointment, Tenure, Promotion, and Certification,” “Handbook for Chairs,” http://www.baruch.cuny.edu/provost/resources.htm | Offices of the School Dean and of the Provost | Once in 3rd year of appointment |
| Digital Measures | http://www.baruch.cuny.edu/facultyhandbook/DigitalMeasures.htm | Office of the Provost | Ongoing (recommended) but at least annual (Spring) |
| Staff Evaluations | http://www.baruch.cuny.edu/hr/forms.htm , see under “Evaluations-for use by supervisors” | Office of Human Resources | Annual (Spring) |
| Faculty Workload | http://www.baruch.cuny.edu/facultyhandbook/workload.htm and http://www.psc-cuny.org/contract/article-15-workload | Office of the Provost, Academic Administration | Every Semester |

IV. CLASSROOM AND STUDENTS

| Compliance Type | Link | Contact | Frequency |
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| Academic Integrity | http://www.baruch.cuny.edu/bpi/academicintegrity.htm | Dean of Students | Ongoing |
| Syllabus (recommendations) | http://www.baruch.cuny.edu/facultyhandbook/syllabus_items.htm | Office of the Provost | Every |

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| but not requirements) | | | Semester |
| Higher Education Opportunity Act: Textbook Reporting | http://www.baruch.cuny.edu/bctc/booklist.htm | Dean of the Library | Every Semester (Prior to or when book orders are due) |
| Exams: Creating and Proctoring | http://www.baruch.cuny.edu/facultyhandbook/ProctoringExams.htm | Office of the Provost | Every Semester |
| Exams: Administration of Final Exams during Exam Period | http://www.highered.nysed.gov/ocue/50.1.htm [See section "o" at this link] | Office of the Provost | Every semester |
| Certifying Attendance Rosters (NOTE: vital for TAP fund audit) | http://www.baruch.cuny.edu/registrar/roster.htm | Registrar's Office | Every Semester |
| Education Records Policy (FERPA) | http://www.baruch.cuny.edu/bpi/educationrecords.htm | Legal Counsel and Labor Designee | Ongoing |
| Records Retention | http://www.baruch.cuny.edu/bpi/records.htm | Legal Counsel and Labor Designee | Ongoing |
| Sexual Harassment and Sexual Violence (involving students) | http://www.baruch.cuny.edu/bpi/sexualharassment.htm | Chief Diversity Officer (CDO) | Ongoing |
| Disabilities/ Accommodations (Students) | http://www.baruch.cuny.edu/bpi/disabilityaccomodations.htm | Office of Services for Students with Disabilities (students) | Ongoing |

V. OTHER USEFUL COMPLIANCE RESOURCES

| Compliance Type | Link |
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| Baruch College Faculty Handbook | http://www.baruch.cuny.edu/facultyhandbook/index.htm |
| Baruch Policies Index | http://www.baruch.cuny.edu/bpi/ |
| Office of Human Resources | http://www.baruch.cuny.edu/hr/ |

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| Office of the Provost | http://www.baruch.cuny.edu/provost/ |
| Handbook for Chairs | http://www.baruch.cuny.edu/provost/resources.htm |
| Handbook on Reappointment, Tenure, Promotion, and CCE | http://www.baruch.cuny.edu/provost/resources.htm |
| CUNY Manual of General Policy | http://policy.cuny.edu/manual_of_general_policy/text/#Navigation_Location |
| PSC CUNY Contract | http://www.psc-cuny.org/our-contracts/psc-cuny-2007-10-contract |