

Sotheby's

INSTITUTE OF ART

FACULTY HANDBOOK 2018-19

MASTER'S DEGREES | GRADUATE CERTIFICATE PROGRAMS

ART BUSINESS | FINE AND DECORATIVE ART AND DESIGN | CONTEMPORARY ART

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INTRODUCTION

This Faculty Handbook contains policies and procedures that define and support the role and responsibilities of the Faculty of the Institute. It is intended to be a valuable resource and guide for understanding the Institute, its operational protocols and resources and the unique and vital role played by Faculty members.

The Handbook should be read in conjunction with your Letter of Appointment which contains important information concerning the Institute and its academic programs and policies. The terms and conditions of employment outlined in the Handbook are contractual. However, where an individual Letter of Appointment diverges from the general policies outlined herein, the provisions of the Letter of Appointment shall prevail.

You should also familiarize yourself with the current edition of the Institute's Student Handbook so that you are aware of the information we have shared with the students and the rules that govern their relationship with the Institute and the Faculty.

The Faculty Handbook will be made available on the Faculty Center Portal. It will be updated on an annual basis; Faculty will be notified in a timely manner of any substantive changes that occur between annual updates.

Your comments about the Handbook and suggestions for its improvement are always welcome.

Best wishes,



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INSTITUTIONAL INFORMATION

ABOUT THE INSTITUTE

For over forty-five years, Sotheby's Institute of Art has been preparing students for careers in the art world. Students get a rare inside look at the business of art while exploring both the scholarly and practical sides of the art world, including the skills and professional connections necessary for successful entry into many art business fields. We have over 6,000 alumni worldwide, many of whom are working in a variety of art-related careers.

HISTORY

Originally a training program at Sotheby's auction house in London, the Institute has always aimed to bring a true understanding of fine and decorative arts to a global audience, thereby enhancing individual appreciation and knowledge of an essential part of civilization. Over the years, it increased its portfolio of courses and as the popularity of the courses grew, the result was a demand for degree granting authority. In 1995 the University of Manchester granted Sotheby's Institute of Art – London the status of an Affiliated Institution of its Department of Art History and Archaeology. It was the first education department of an auction house to be so closely associated with a university. Sotheby's Institute of Art – New York has been an accredited member of the National Association of Art and Design since 1989; in 2010 the New York Institute received degree-granting authority from the Regents of the State of New York. In 2013, the Institute teamed with Claremont Graduate University in Los Angeles to offer a MA in Art Business through CGU. In 2015, the Institute partnered with Tsinghua University; students take 12 credits from the Tsinghua faculty and finish their MA studies with 19 credits of classroom work and 6 credits of the thesis under the direction of the Institute's faculty.

In 2003, Sotheby's auction house transferred ownership of its London Institute and in 2005, its New York Institute to Cambridge Information Group (CIG), a US-based information and educational services firm. The Sotheby's name has been retained and strong ties are maintained, with auction house representatives serving on the London advisory board, acting as lecturers and specialists on all three campuses, and providing unrivalled access to internships, auctions and exhibitions at Sotheby's.

An important aspect of the Institute's teaching approach is the ability to work directly with art objects so that students can develop a discerning and critical eye. This is a key differentiator in the Institute's educational approach. This "hands-on" philosophy means that students learn through actual examination of works of art, design and craftsmanship in galleries, museums and private collections. Married to this academic study is the learning of business and professional skills specific to the art world.

The Institute Faculty are noted academics in their fields and many are also practicing art professionals, engaged in scholarly research, writing art criticism, curating exhibitions and offering professional advice in such specialized areas as art law.

At each of its locations, London, New York and Los Angeles, students find programs that draw on the art-rich environments of their cities and incorporate them into their curricula. Study visits to the galleries, museums, auction houses, and artists' studios form an essential part of a student's studies as do talks and discussions by invited artists and art professionals.

MISSION STATEMENT

Sotheby's Institute of Art is the pioneer in the study of art and its markets. Our academically innovative and professionally-focused curriculum enables students to acquire specialized knowledge of art's objects, histories, and markets to impact art and related industries. The Institute is committed to fostering future generations of art business leaders and cultural stewards.

ACCREDITATION AND AUTHORIZATION

Sotheby's Institute of Art - New York is accredited by the National Association of Schools of Art and Design (NASAD) and is authorized to grant degrees by the New York State Education Department.

ORGANIZATIONAL STRUCTURE

The Institute has the benefit of both a dedicated administrative and academic staff and the resources of its corporate parent, Cambridge Information Group. The Institute is governed by a Board of Directors, managed by its Faculty and administration and supported by CIG's executive team.

The Institute's Board of Directors is responsible for assuring that the institution fulfills its mission and goals. The Board is responsible for the sound management of the Institute and for establishing general, educational and financial policies. The Director is the Chief Administrative and Academic Officer of the Institute. The Director of the Institute, to whom the Faculty and administration report, also serves, along with the Director of the London campus, as CEO of all Sotheby's Institutes. She reports to the CEO of CIG Education Group.

Current Board Members are:

Robert N. Snyder, Chairman, Cambridge Information Group
Andrew M. Snyder, President, Cambridge Information Group
Michael Chung, Chief Executive Officer, CIG Education Group

Maria Conelli, Founding Dean of the School of Visual, Media and Performing Arts at Brooklyn College, formerly Executive Director, American Folk Art Museum. Dr. Conelli has held various leadership positions with such academic institutions as the Fashion Institute of Technology and Parsons School of Design.

John J. Regazzi, Dean Emeritus of the College of Information and Computer Science and retired Professor of the College of Education, Information and Technology, Long Island University, retired executive of a publisher and information services company, Managing Director, Akoya Capital Partners.

Elizabeth Smith, Executive Director of the Helen Frankenthaler Foundation, an artist-endowed foundation that supports the arts through loans to exhibitions, grants to organizations, and scholarly research, publishing and programs.

ADMINISTRATION

The Director is the Chief Administrative and Academic Officer; she reports to the CEO, CIG Education Group, and is responsible for and authorized to manage all operational and educational matters. She also oversees non-academic departments and functions including general administration, budget preparation and tracking, vendor contracts, employment contracts, facilities management and security.

Program Directors head each of the three academic programs and report to the Director. They are responsible for all administrative and academic functions of their program areas, including the maintenance of academic standards, curriculum development and ongoing review, as well as Faculty recruitment, supervision and evaluation. Program Directors work with members of the Faculty and the Director to establish admissions criteria and participate in the interviewing of applicants. They assign Faculty as thesis advisors and appoint thesis review committees.

The Program Managers are responsible for a wide range of duties that ensure the smooth operation of the academic programs; the role involves both student services and administrative functions and includes substantial responsibility for the planning and implementation of site visits and study trips.

The Office of Admissions is comprised of Admissions, Registrar, Financial Aid and Alumni Services. The staff works collaboratively to manage the recruitment, enrollment, transition, registration, records and graduation of the student body and to promote success and excellence of students and graduates. The office also manages all alumni outreach. Included are the Director of Global Admissions, Associate Director of Admissions, Admissions Advisor, Admissions and Alumni Relations Advisor and Registrar.

The Associate Director, Student and Academic Services is the Institute's primary student affairs officer who also provides leadership and guidance for the Program Managers. She is responsible for developing and overseeing policies and processes that reflect the needs of the Institute's student community. The

Assistant Director, Student Services is responsible for providing direct student support services and developing/overseeing student related policies and processes that reflect the needs of the Institute community related to student affairs. This role also provides support for program-related special events both on and off campus. Both serve as international student advisors with recognition from the Department of Homeland Security.

The Director of Career Services provides programming, coaching and support for students and alumni, assisted by the Assistant Director, Student Services. She also maintains the Institute's relationships with employers (including Sotheby's Auction House) and the online jobs database that provides invaluable resources to eligible students.

The Head Librarian develops and maintains library policies and resources to support the academic programs, manages the library budget and facilities, liaises with Faculty about collection development and course resources and works closely with students to assist in the development of the necessary information literacy skills to conduct independent research at a high level.

The Reference/Cataloging Librarian provides reference, copy cataloging, instruction and access services for the Institute; he assists in building and cataloging print-based and online collections, providing on-site library services and library research education in support of the academic programs.

The Office and Facilities Manager is responsible for the management of office support services and functions including supervision of the receptionists, coordination of meeting schedules and calendars, oversight of special events and for providing support in expense tracking and billing.

The two IT Support Analysts are responsible for assisting with all IT troubleshooting and technology system maintenance.

The Finance and Accounting Manager works closely and collaboratively with the Director to manage the accounting and financial operations of the Institute, ensuring that accounting policies comply with relevant accounting standards and recommending changes that will improve the Institute's financial performance and financial controls. She also serves as a Bursar, managing the billing and receiving for all student tuition payments, as well as financial aid.

The Departments of Online and Summer Study are responsible for designing, managing and delivering the Institute's non-degree summer studies programs in NY and eLearning globally. In addition, online staff provide teaching and learning technology support for New York programming and support the learning management system (Canvas).

CAMBRIDGE INFORMATION GROUP MANAGEMENT SERVICES

CIG provides the Institute with expertise and services from its senior management team:

Michael Chung, CEO, CIG Education Group

Josh Weiss, Vice President, Finance

Barbara Inkellis, Senior VP and General Counsel, CIG Education Group

Delores Snowden, VP, Human Resources

In addition, the Institute relies on CIG for certain shared services: marketing, IT and online course development. These departments work in an agency model to provide services to SIA-NY as well as other educational affiliates of CIG.

ACADEMIC INFORMATION

ACADEMIC CALENDAR

Summer 2018	
June 4 – August 3	Summer Study
August 6-17	[TSINGHUA NY Module]
Fall 2018	
August TBD	Faculty Orientation
August 30	New Student Orientation (All Students)
September 3	Labor Day (School Closed)
September 4	Semester I begins
September 13	Last day to Drop/Add
September 25	Evening Open House
October 1	Last day to withdraw with “W” grade
October 2	Evening Open House
October 1-12	[TSINGHUA London Module]
October 15	Spring 2019 Course/Electives Due
October 19	MID POINT GRADES DUE
October 20 - 27	1 st Semester Field Study – MACA: Mexico City; MAFDAD: Shanghai
November 10	Saturday Open House
November 12	Spring 2019 registration Town Hall Meeting
November 13-26	Spring 2019 Registration
November 22-23	Thanksgiving Break (Student Break 21-23)
December 4-9	1 st Semester Field Study – MAAB: Miami
December 7	Last day of Semester I classes
December 10-12	Study Break/Make up week (snow days and holidays)
December 13-17	Exams & Presentations
December 17	Semester I ends
December 24 – January 1	Office Closed [Holiday - Winter Break]
January 7, 2019	FINAL GRADES DUE
Spring 2019	
January 7-18	[TSINGHUA NY & LA Modules]
January 11	Due date for submission of “Change of Status” request forms
January 21	MLK Day (School Closed)
January 23	Evening Open House
January 28	First day of Semester II classes
February 4	Last day to Drop/Add class
February 18	Presidents’ Day (School Closed)
February 25	Last day to withdraw with “W” grade
March 9	Saturday Open House
March 15	Fall 2019 Course/Electives Due
March 16-24	2 nd Semester Field Study – MAAB: Maastricht; MACA: Havana; MAFDAD: Paris
March 22	MID POINT GRADES DUE

March 25-31	Spring Break
March 29	Graduation (<i>class of 2017-2018</i>)
April 4	Fall 2019 Registration Town Hall Meeting
April 8-19	Fall 2019 registration Weeks
April 26-27	Global Open House
May 10	Last day of Semester II classes
May 13-15	Study Break/Make up week (Snow days and Holidays)
May 16-20	Exams & Presentations
May 20	Semester II ends
May 31	FINAL GRADES DUE
Summer 2019	
June 3	Summer Study Begins

ACADEMIC PROGRAMS

The Institute offers graduate certificates and master's degrees in three areas of study: Art Business, Contemporary Art and Fine and Decorative Art and Design. MA students are required to complete two semesters of coursework plus a third semester comprised of a capstone project (a requirement which, for highly qualified students, can occasionally be satisfied by a substantial research paper). MA students also have the option of completing a third semester with a capstone project and additional coursework in order to further specialize in an area of Art Business, Contemporary Art, and/or Fine and Decorative Art and Design. Students who opt for the Graduate Certificate complete two semesters of coursework only.

CREDITS

Meaning of a credit hour

Unless otherwise indicated, courses run for one semester of 15 weeks. All courses in the Institute's graduate level programs are designed to include a combination of lecture and discussion/seminar sessions as well as substantial required site visits and study trips. One hour of credit represents one hour each week of the term in class and approximately 2-3 hours of work outside the class.

Credit hour assignments for courses, programs and other academic activities are proposed by Program Directors in advance of the offering of the course; they are subject to review by the Registrar and approval by the Institute Director.

Course Substitutions

Each student must complete the full number of credits required by each program. Students who can demonstrate advanced competency of the subject matter in any of the required courses may discuss course substitutions with their Program Director prior to registration and no later than the end of the add/drop period. Matriculated students may substitute a maximum of two courses towards their degree requirements. Substitutions do not reduce the number of credits required.

Transfer of Credit

Due to the unique character and scope of the Institute's MA programs and the intensity of the three-semester format, credits are not accepted for transfer from other institutions with the exception of the Institute's partner institutions, Sotheby's Institute of Art – London, Sotheby's Institute of Art – Los Angeles and Tsinghua University.

Veterans' Credit for Previous Education or Training

Students who may be eligible for VA education benefits must report all previous education and training. The

Institute may evaluate and grant credit, if appropriate, with the training time shortened, the tuition adjusted proportionately, and the VA and student notified.

THIRD SEMESTER STUDY IN LONDON OR LOS ANGELES

Students in good academic standing are eligible to enroll at either the London or LA campuses for their third semester study. Permission will be based on a review of the student's curriculum of choice in the context of coursework completed during the student's first two semesters of study, to ensure that the proposed program adequately fulfills all necessary degree and departmental requirements.

THE MASTER'S PROJECT

Description

In addition to and concurrent with program-based course work, students in the three semester MA program will be enrolled in a seminar devoted to the development and successful completion of capstone projects required for the Master of Arts degree. Projects may take multiple forms concerning various topics, each demonstrating a serious commitment to exploration, original thinking, research and organization of materials, culminating in rigorous and concise works. Projects may include, for example, a business plan, curatorial project or journal article. The project should serve as a bridge to "real-world" engagement, with an emphasis on practical applications of the highest professional measure.

Seminar

The seminar will begin with informal presentations of student project proposals. Next, specific materials will be introduced relating as broadly as possible to the multiplicity of projects. These might include discussion of enterprise plans, exhibition strategies and procedures, and curatorial models, each stressing both the theoretical and methodological bases. Guest lecturers and/or local visits may be included. The entirety of the course is dedicated to individual project development. Prior to submission of final projects, students will be required to make detailed formal presentations that include visual and textual information. These will receive close scrutiny and feedback from peers and Faculty.

Eligibility

Only students who successfully complete their two semesters of coursework and are approved by the Program Director will qualify to participate in the Third Semester and proceed to the MA degree.

Supervision of Projects

All Master's Projects (as well as Master's Theses) are supervised by an advisor. Advisors meet with students in -person, by email, and by phone for a total of four (4) sessions or the equivalent of 8 hours maximum. Advisors help students complete their projects by offering feedback and assessment.

Assessment Criteria

The Master's Project will be graded according to the following criteria:

- A clear statement of the intent of the study or enterprise, the set of problems or issues undertaken, the methods or criteria used, the extent of research, the strength of independent argument and conclusions drawn
- Innovative, analytical and critical thinking demonstrating rigor and insight, originality of approach, and an illuminating use of materials
- Clarity of written and/or other relevant materials presented both orally as well as in the final submitted work

Master's Projects will be assessed according to the Institute's typical alpha/numerical scale. In-class presentations, both initial proposals as well as the final proposal, along with attendance and general participation, will also contribute to the final course grade.

THE MASTER'S THESIS

Description

Eligible students may complete a Master's thesis in lieu of a Master's Project during their third semester. The thesis must demonstrate a student's ability to explore, develop and organize materials relating to a specific topic or problem at a graduate level in the field of study. In contrast to the practice-based Master's Project, its goal is to pursue and document research that adds to the body of knowledge in its discipline, and to write an extended scholarly statement clearly and effectively.

The thesis becomes a visible and permanent record of the quality of the work that a graduate student has accomplished at the Institute. Every manuscript should represent the highest academic and professional standards.

Eligibility

Only students who successfully complete their two semesters of coursework and have demonstrated both superior writing and research skills will be approved by the Program Director to write a thesis in place of the practice-based Master's Project.

Supervision of Theses

Faculty members play a critical role as Thesis Advisors; advisees are assigned by the Program Directors and advising is included as part of the Faculty member's teaching assignment and annual workload agreement. Guidelines for Thesis Advisors can be found in the *Master's Thesis Advisors and Readers Handbook*.

Assessment Criteria

Theses will be graded according to the following requirements and criteria:

- Innovative, analytical and critical thinking demonstrating rigorous and insightful judgment, thoroughly original approaches and an illuminating use of primary source material
- A clear statement of the details of the study or task, the methods or criteria used, the extent of research, the strength of independent argument and conclusions and the supporting data
- Clarity of writing and expression
- Organizational structure and identification of issues
- Presentation

NON-DEGREE COURSES AND PROGRAMS

The Institute also offers a broad range of non-credit, non-degree online and summer courses in art, art history and related subjects. There are no special admissions requirements to participate in these courses; they are offered to the general public.

Faculty who are invited to teach in these courses are appointed separately.

ACADEMIC POLICIES & PROCEDURES

STUDENT ATTENDANCE

The Institute promotes strict adherence to the attendance policy because full participation is essential to the successful completion of coursework, especially in courses where individual presentations for group work is integral. Students have a responsibility to attend all scheduled class meetings and be on time. Faculty are responsible for clearly stating their expectations for performance and attendance at the beginning of the semester through the course syllabus, specifying whether any portion of a student's grade is based on attendance and/or class participation, as well as the consequences for violating the standards for attendance, which may include:

- withdrawal from a course if habitual absenteeism or tardiness creates a negative impact or disruption to the instructor or to other students in the class
- receipt of a failing grade for any student who is absent for more than three class sessions
- a penalty deduction from the final grade for students are repeatedly or chronically late or who repeatedly or chronically depart early, or recording as an absence those sessions where the student arrives late or leaves early (at the discretion of the instructor)
- denial of admission to the classroom of latecomers to lectures, and recording as an absence (at the discretion of the instructor)
- a penalty deduction from the final grade or failure of the course for students who fail to sit for scheduled examinations or presentations or to submit assignments when due (at the discretion of the instructor)

Faculty should inform students that they (students) are expected to attend all site visits and to participate fully in all group travel. Failure to meet this requirement is a serious matter, will count as an absence and may jeopardize academic standing in the program.

Faculty should also inform students that they (faculty) are not expected to review the reasons for absences, to determine whether an absence is excused or not, nor to make additional efforts to provide make-up information for students who are absent (with the exception of religious absences, described below).

Faculty need to make students aware that assignments that are faxed or emailed will *not* be accepted unless the instructor has agreed to this in advance of submission.

Students who miss a class are responsible for making up any missed work and must comply with deadlines as scheduled. Students who anticipate a potentially lengthy absence must contact the Student Services office immediately in writing explaining the extenuating circumstances and including any relevant documentation. In the event that an extended absence would compromise the student's ability to meet course requirements and/or academic standards, the student may be asked to withdraw or may be advised to take a leave of absence.

Faculty (including seminar and workshop leaders) are *required* to take attendance for every class session and return signed rosters to the Program Managers who will then record all absences through the CAMS student information system.

Religious Absences

Any student who is absent from classes because of his or her religious beliefs will be given the opportunity to make up any examination or course requirements which may have been missed due to such absence on any specific day or days. It is the student's responsibility to provide advance notice of his/her absence to the faculty and Program Manager.

Outside Student Employment

The Institute programs are full-time and intensive; attendance and participation are mandatory, including for site visits and study trips. While involvement in outside employment or internships may be necessary and can be valuable, students are advised that outside employment may not be used as a reason for missing classes, course failures, extension requests, etc.

GRADING AND ASSESSMENT CRITERIA

Assessing students' original work, examinations and participation in a course is one of the most important responsibilities a Faculty member has. Devising a fair and accurate grading system can be a considerable challenge, particularly for a new teacher. There are many helpful resources, including *Tools for Teaching* by Barbara Gross Davis.

Maintaining value and consistency in grading across the curriculum requires continual monitoring; a grade should be a Faculty member's estimate of a student's work with reference to the standards of a particular course, not in relation to the presumed intellectual or academic capacity of any individual student. A grade should accurately represent its face value, as defined below. The grades awarded in a class should be within a normal distribution range, differentiating among levels of achievement appropriately.

Program Directors will regularly review all grades submitted as part of the overall review of each student's academic progress and to ensure consistency and compliance with Institute policies.

Grade Descriptions

The Institute's grading system, described below, is used to evaluate students' work and participation and to compute grade point averages (GPAs). No grades other than those listed below will be accepted as part of students' permanent records.

The grades used by the Institute are as follows:

LETTER	GPA	DESCRIPTION
A	4.0	Work of exceptional quality
A-	3.7	Work of high quality
B+	3.3	Very good work
B	3.0	Good work; satisfies course requirements
<i>Satisfactory completion of course is considered to be a grade of B or higher.</i>		
B-	2.7	Below average work
C	2.0	Insufficient work; lowest possible passing grade
P	0.0	Pass (credits count toward degree)
F	0.0	Failure
WF	0.0	Withdrawal, Failure: assigned administratively for withdrawal after the deadline or for

Note: the grade of "D" is not used in the Institute's graduate level programs.

Additional grades not calculated in the grade point average

SP Satisfactory Progress

Indicates requirements for a non-credit course have been met.

W Withdrawal

This is a student-initiated grade, which may be requested from the fourth through the tenth week of the semester, according to deadlines published in the academic calendar. There is no academic penalty for this grade. Under no circumstances can a student withdraw and receive a "W" grade after the tenth week of the semester without the written acknowledgement of the Faculty member and approval by the Program Director and the Registrar. Repeated absence does not constitute official withdrawal and may result in a failing grade.

I Incomplete

Occasionally a student is unable to complete required work for a course in the allotted time and requests an extension. Granting a student extra time necessarily gives him/her an advantage over others, and therefore Faculty members should extend this privilege sparingly and should formalize the agreement by assigning a grade of I (Incomplete) in the official record. It is the student's responsibility to formally request an Incomplete, and to provide an explanation for needing additional time; Faculty may determine whether or not to grant the Incomplete.

- If an Incomplete is granted, the Faculty member will establish a deadline for submission of the outstanding work, normally no more than four weeks after the end of the semester in which the course was taken; this deadline and the student's agreement to the terms for a grade of Incomplete should be documented with a copy for the Registrar.
- Work must be completed no later than the seventh week of the following term.
- Grades of "I" not revised in the prescribed time will be recorded as a final grade of "WF" by the Registrar.

Before granting a grade of Incomplete Faculty should consider the following:

- What is the nature of the delay (medical problem, personal problems, other exceptional circumstances, etc.)?
- Is the student otherwise in good standing in the course?

- Is this student likely to complete the assignment or exam within the allotted time?
- Has the student been informed that if the issue is not resolved by the deadline, the grade will be changed to a "WF"?
- Is the student an international student? If so, he/she must consult the International Student Advisor about possible visa implications.

If the Faculty member agrees that the circumstances warrant a grade of Incomplete, he/she will sign the completed Request for Incomplete form and submit it to the Program Director for approval and filing with the Registrar.

Should the gravity of the issues or the amount of class time missed or work to be submitted prevent the student from participating in the core activities that are fundamental to the program, the student will be advised to consider a Leave of Absence or Withdrawal. This decision will be made in consultation with the Program Director and Associate Director of Student and Academic Services.

Failed Courses

Students who fail a course will receive no credit for that course. They may be permitted to make up an equivalent amount of credit to satisfy requirements for the degree/certificate in a subsequent semester. The Program Director will determine, in each case, whether the particular course must be repeated or if an alternative course may be taken at the Institute or at another institution in order to earn the missing credit.

Mid-semester Grades

At or about the 7th week of the semester, Faculty should submit a mid-point grade for all students to provide them with feedback on their performance to date. The mid-semester assessment allows the Institute to measure each student's progress and offer academic assistance before a final grade results in failure. In addition, as an institution that receives Title IV Federal Funds for students, the US Department of Education requires the Institute to closely monitor the academic progress of students receiving aid. If students do not remain in good academic standing, they are in jeopardy of losing some or all of their funding to pay for tuition and fees.

Mid-term grading does not require an exam, but may be the grade for a single assignment. As part of this process, Faculty should identify students whose attendance or performance is unsatisfactory and schedule a meeting with them within a week of the release of mid-point grades. These students should be encouraged to develop a plan for improvement and to take advantage of the Institute's resources for assistance. Faculty should retain notes from the meeting.

Grade Reporting

Faculty members determine the grades that each student will receive for work done under their instruction. Grades must be recorded for all registered students. It is the responsibility of the Faculty member to post grades in the standard format and by the date indicated on the academic calendar, typically one week after the last day of the semester. Seminar Leaders and TAs who participate in the assessment process do so under the supervision of and within guidelines established by the Faculty member.

Grade Changes

Final grades are subject to revision by the Faculty with the review and approval of the Program Director within thirty days of submission. Once the review has been completed and the final grade is submitted to the Registrar, it then becomes a permanent part of the student's academic record and no further changes are permitted.

SATISFACTORY ACADEMIC PROGRESS (SAP)

Students are expected to maintain satisfactory academic progress (SAP); a minimum 3.0 semester and cumulative GPA are required to remain in good academic standing. Student academic progress is first evaluated at mid-term during the fall semester. If a student is found not be meeting the minimum standards at the time of this evaluation, the student will be issued a warning and will be provided with the opportunity for advising and academic support. Students who have received an academic warning will continue to be eligible for financial assistance. Students who do not meet the minimum quantitative standards by the end of the warning period may be subject to further review, academic probation and/or academic dismissal.

At the end of each semester, a comprehensive review of students' academic progress is conducted by the Program Director, the Associate Director of Student and Academic Services and the Registrar. The review determines the conditions under which students may continue their program of study. Students who fail to demonstrate satisfactory academic progress may be deemed ineligible for continued enrollment.

Satisfactory Academic Progress is defined as follows:

For students in the Master's Degree program

- Students who achieve a 3.0 cumulative GPA remain in good academic standing and are eligible to receive the MA degree.
- Students with less than a 3.0 GPA in their first term will be issued an academic warning and placed on probation.

- Students who earn more than one grade of C or who fail a course may be issued an academic warning, regardless of GPA.
- Students with a cumulative GPA below 3.0 at the end of the second semester may be subject to additional review to determine eligibility for continued enrollment and program completion.
- Students whose GPA falls below 2.0 or who fail more than one course in any semester may be considered for immediate dismissal if it is determined that the student is not prepared for progression to the next level of study.
- Students must meet the attendance requirements of the Institute.
- Students must meet the conditions set forth in their acceptance letters.

For students in the Graduate Certificate program

- The above criteria apply equally to Certificate students.
- The Graduate Certificate *may* be awarded, following Academic Review, if the GPA is between 2.5 and 3.0 and all course and program requirements have been satisfactorily completed.

WRITING ASSESSMENT AND ASSISTANCE

The Institute provides tutorial assistance through the services of a faculty member who specializes in ESL tutoring and an outside Writing Consultant. They are the only tutors authorized to work with Institute students on required course assignments. The Institute provides the first three sessions free of charge.

Students who need assistance may on their own request tutoring from the Student Services staff. In addition, Faculty may be able to identify problems as the semester progresses. It is essential that Faculty recognize, recommend resources for and report any students who will require additional assistance with their writing. This process needs to begin with the first written assignment and continue throughout at least the first semester.

Faculty members who identify a student who needs assistance should refer the student to a member of the Student Services staff. Faculty should notify their Program Director when a referral has been made.

STUDENTS WITH DISABILITIES

The Institute is committed to supporting its disabled student population and every attempt is made to ensure that disabled students receive the full educational benefits of their attendance at the Institute.

It is the student's responsibility to inform the Institute of any illness, medical condition or disability which may affect academic performance and to provide medical certification, if necessary, *prior* to the academic year. Sotheby's Institute of Art provides accommodations based on a student's documented disability. Typical accommodations may include alternate testing arrangements, extended time or tutoring services.

Providing equal educational opportunity for students with disabilities is an important and shared responsibility. Faculty play a critical role in the accommodation process and should be familiar with the following procedures, responsibilities and rights:

Students' Responsibilities

- Students are informed of their rights and responsibilities relative to disabilities in their admission materials and in the Student Handbook. Prior to their arrival, students are advised to notify Student Services to request accommodations.
- Students are required to provide documentation to the Associate Director of Student and Academic Services confirming that a qualifying disability has been verified by appropriate professionals (i.e. physician report).
- Student Services staff will review documentation and determine whether accommodation is indicated. Accommodations are made on a case-by-case basis and may include but are not limited to the following:
 - Extra time on exams
 - Interpreter
 - Books and reading in an alternate format
 - Recording device / note taker
- After Student Services evaluates the documentation, determines that the student has a disability and identifies the appropriate accommodations, Student Services will present the student with a Letter of Accommodation detailing the extent of the student's needs and how they are to be met, for the student to present to his/her Faculty members.

Faculty Responsibilities

- If a student approaches a Faculty member without a Letter of Accommodation from Student Services, the student should be referred to a Student Services staff member BEFORE any accommodations are provided.
- Faculty may not make accommodation decisions or modify noted accommodations independently.

- Faculty may not inquire about a student's specific disabilities or suspected disabilities, discuss disability-related accommodations, or suggest to the student that he or she see Student Services staff unless the student introduces the topic of disability and accommodation. Students may choose to disclose information to the Faculty but are not required to do so.
- Faculty are required to treat all disability-related information as highly confidential and should discuss disability related matters with a student privately.
- Faculty should keep Student Services staff informed of issues as they arise.

Faculty Rights

- At the beginning of the term (or shortly thereafter), the student is to provide his/her Faculty a Letter of Accommodation detailing the scope and extent of the student's needs, and how these are to be met.
- At any time throughout the semester, Faculty may contact Student Services staff to discuss implementation of approved academic accommodations.
- At any time throughout the semester, Faculty may consult with Student Services staff regarding any specific accommodation if that accommodation would fundamentally alter the academic integrity of the course or program.
- The Faculty should hold all students to the same academic standards set by the Institute.

All students are expected to maintain satisfactory academic progress; therefore, academic requirements may be accommodated, but they cannot be waived. With the student's written permission, the Associate Director of Student and Academic Services will prepare a verification memo by which the student can notify Faculty of his/her need for accommodation. It is the student's responsibility to meet with Faculty within the first two weeks of each semester to discuss the course format and syllabus and, if necessary, to reach an understanding of how the disability may affect meeting course requirements.

For information about the Americans with Disabilities Act, please see the section on "Americans with Disabilities Act Compliance," in Institutional Policies.

STUDENT CODE OF CONDUCT

This Section (through page 32) appears in the Institute's Student Handbook and all enrolled students are required to read, understand and comply with its standards. It is included here so that faculty members are informed about the expectations that have been outlined for Institute students.

NON-ACADEMIC CODE OF CONDUCT

Students are reminded that they are in a professional environment and always need to act accordingly. If students exhibit unacceptable conduct or behavior either on the Institute premises or at an off-site location used for Institute purposes (field study visits, trips abroad, etc.) that is detrimental to the Institute, faculty, staff or other students, faculty may issue formal written warnings, or report the breach of discipline to the Program Director and the Associate Director of Student and Academic Services for further action. Students who continue to exhibit unacceptable behavior may face dismissal. Students who are dismissed from the Institute will not be reimbursed tuition or travel fees.

Harassment

The Institute is committed to creating an academic environment that is free of harassment and which the dignity of students, faculty and staff, irrespective of their gender, sexual orientation, gender identity, racial or ethnic background, religion or disabled status is acknowledged. Harassment is indicative of a lack of respect for the person harassed, undermines his or her position and may have a negative impact on health, job performance, course work, examinations and a sense of personal security. The Institute regards any form of harassment as an extremely serious matter. Formal complaints will be thoroughly investigated in such a way as to protect (to the maximum extent possible) those who complain and those who are the subject of complaint. In cases where the complaint is substantiated the individual responsible may be subject to action under the appropriate disciplinary procedure.

Any students who have been subjected to harassment should inform a member of the Student Services staff, who will be able to offer help and support.

Maintaining a Safe and Healthy Environment

The Institute endeavors to create an environment which promotes the safety and well being of all members of the community. In accordance with New York State law, smoking is not permitted in the Institute's facilities, in the 570 Lexington Avenue building, or directly in front of 570 Lexington Avenue (the latter as mandated by the building management).

The Institute strictly prohibits the illicit use, possession or dispensation of controlled substances whether on the Institute's premises or on Institute sponsored visits and travel. In addition, for the safety and comfort of the community, the Institute strictly prohibits the use or possession of weapons on the premises or on Institute sponsored visits. The Institute does not tolerate damage to property on campus and/or site visits. Violation of these policies will result in automatic dismissal from the Institute.

Interference with the Institute's normal operations is not tolerated. Students who are deemed harmful to themselves or others and/or are hindering the activities of students, faculty and staff will be suspended or

dismissed from the Institute immediately.

Policies and Procedures Concerning Sexual Assault, Stalking and Domestic and Intimate Partner Violence Against Students

The Institute seeks to create and maintain a safe environment in which all members of the community—students, faculty and staff—can learn and work free from the fear of sexual assault and other forms of violence. This policy is specifically directed towards sexual assault, domestic and intimate partner violence and stalking committed against students on and off-campus.

The Institute wants any victim of sexual assault, stalking and domestic and intimate partner violence to know that the Institute has access to professionals and law enforcement officers who are trained in the field to assist in obtaining help, including immediate medical care, counseling and other essential services. If the alleged perpetrator is also a member of the Institute community, the Institute will take prompt action to investigate, and, where appropriate, to discipline and sanction the alleged perpetrator. The Institute urges all victims to seek immediate help in accordance with the guidelines set forth in this policy with the assurance that all information received from a complaint will be handled as confidentially as possible. In accordance with Title IX law, even institution employees who cannot guarantee confidentiality will maintain your privacy to the greatest extent possible. The information students provide to a non-confidential resource will be relayed only as necessary for investigation and/or to seek a resolution. Students are encouraged to review the Institute's complete Sexual Misconduct Policy, accessible under the "Health and Wellness" tab on the New York campus page of the Student Portal, as well as the Students' Bill of Rights and Emergency and Non-Emergency Resources on pages 47 and 54, respectively, of the Student Handbook.

The health and safety of every student at Sotheby's Institute of Art is of utmost importance. The Institute 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 Institute 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 the incident of domestic violence, dating violence, stalking or sexual assault to Sotheby's Institute of Art officials or law enforcement will not be subject to the Sotheby's Institute of Art Code of Conduct for violation of alcohol and/or drug use policies occurring at the time of the commission of domestic violence, dating violence, stalking or sexual assault.

Guidelines for Visiting Collections, Galleries and Museums

The Institute's programs afford students the opportunity to attend on-site lectures at several of the world's most prominent collections, galleries and museums. All such visits by students are strictly for academic

purposes and are directly related to coursework. During such visits, students are reminded that they are representatives of the Institute and as such are expected to conduct themselves accordingly and are not permitted under any circumstances to:

- Utilize visits for personal business dealings or contacts
- Write about the visits for publication (including public blog postings)
- Interview subjects for any purpose other than for scholarly research for work produced at or for Sotheby's Institute of Art
- Discuss any site visit with a member of the press or media

Students must adhere to a strict code of conduct during academic lectures conducted outside the Institute:

- No use of mobile phones (including text messaging) for the duration of all visits
- No gum chewing or food or drink of any kind
- No smoking
- No sound or video recording
- No side conversations while lectures and tours are in progress
- Appropriate attire at all times
- Take notes in pencil to avoid any mishaps or accidents with the works being examined and discussed
- Adherence to all rules and regulations published, posted or communicated by the host institution

Students are required to sign and return a copy of the Guidelines for Visiting Collections, Galleries and Museums at Orientation.

General Internet Policies

The Institute's computer workstations, wireless internet access, online database systems, online academic access systems (Canvas and the CAMS operating system) and the student email system are all integral to the student and academic experience. All users of such resources are expected to behave in an ethical, responsible and legal manner. For example, electronic communications or any websites accessed by a student should not contain anything that would reasonably be considered offensive or disruptive. Offensive content includes, but is not limited to, racial slurs, sexual content or images, or any comments that would offend someone based on age, gender, sexual orientation, gender identity, religious beliefs, political beliefs, race, national origin or disability status.

Authorized Institute staff members monitor computing access to ensure security. Internal communication systems, electronic messages, files and data and all hardware and software are and remain the property of the Institute at all times. The Institute has the right to retrieve and review any messages or file composed, sent or received utilizing its technologies or equipment. Although access to Institute networks allows for the usage of passwords for security, confidentiality should not be assumed and ultimate privacy should not be expected. Accounts are issued for the sole usage of students and each user is responsible for all actions on the account issued.

A violation of the Institute's Internet Policies may result in disciplinary action, including dismissal.

The computer and online environment at large is dynamic and constantly evolving. Therefore, the abovementioned policies may change accordingly. It is the responsibility of all students to remain informed of current policy.

Laptop, Internet Usage & Distracted Attendance

Computer usage is monitored while in the classrooms. Students are permitted only to have Word (or some other word-processing program) open during lectures for the purposes of note taking, unless otherwise given specific instructions. Surfing the web, shopping, emailing, playing games or similar computer usage during lectures will not be tolerated. Additionally, cell phones and smartphones are to be turned off during all teaching sessions (both on campus and while on official site visits or study trips) and when in the Library. The use of MP3 players, headphones or other communication devices is strictly prohibited during class hours. Any violation of this policy will lead to students being required to leave the classroom; this will result in the recording of an absence. More than one violation will result in laptop privileges being rescinded for the remainder of the semester.

Recording of Lectures

The recording of lectures by students is strictly prohibited, except as an approved accommodation for a

disability or other special conditions approved by the Associate Director of Student and Academic Services. Students granted permission to record lectures due to a documented disability are required to complete a permission form.

VIOLATIONS OF NON-ACADEMIC CODE OF CONDUCT

Suspension and Dismissal

Any student or staff or faculty member may bring to the attention of the appropriate Program Director or the Associate Director of Student and Academic Services an allegation that a student has violated the Non-Academic Code of Conduct. After a review of/investigation into the situation by the Program Director and the Associate Director of Student and Academic Services, a student may be subject to suspension and/or dismissal from the Institute when, in their judgment, the student has violated the Institute's Non-Academic Code of Conduct and said violation warrants suspension or dismissal. In other instances of violation the Program Director or the Associate Director of Student and Academic Services may just have a meeting with the student reminding him/her of the requirements of the Non-Academic Code of Conduct.

The student will be notified of suspension or dismissal in writing via e-mail (and verbally when possible) by the Associate Director of Student and Academic Services or the Program Director as soon as possible following a determination by them that suspension or dismissal is warranted. In the event of a suspension, the e-mail will include the terms of the suspension and may outline the stipulations for re-entry, if relevant. In either event, the student may request a meeting for further discussion by emailing the Associate Director of Academic and Student Services within two business days of receipt of the issuance of the suspension or dismissal notice. Once the documented request has been received, the Associate Director of Academic and Student Services will schedule a meeting to be conducted as soon as possible but not exceeding two weeks after receipt.

Three impartial members of the faculty or staff will attend the meeting. One impartial member will chair the meeting. The Associate Director of Academic and Student Services will also attend. The student may bring a fellow student if he/she so chooses. The purpose of the meeting is to afford the student suspended or dismissed the opportunity to explain his/her perspective as to the behavior of which he/she has been accused. After the meeting, the impartial members of the faculty or staff will together make a determination upholding or overturning the suspension or dismissal, or altering the re-entry requirements, if relevant, and the chair of the meeting will so inform the student within one business day via email.

The student may further appeal in writing within 5 business days of receipt of the decision directly to the Director of the Institute. The suspension or dismissal may be upheld or overturned by the Director, who will inform the student via email of her decision within 2 business days of receipt of the appeal. The Director's decision is final.

ACADEMIC INTEGRITY CODE

Academic integrity is the cornerstone of any institution of higher education; the Institute endeavors to create an environment in which a commitment to honesty and integrity is fundamental to all members of the Institute community.

While there are numerous violations of academic integrity that are obvious (such as cheating during an exam or copying from the internet), other forms are more subtle but just as serious. Aiding someone else - either deliberately or through willful omission - is also a violation.

Students are responsible for being aware of and utilizing the proper procedures for writing papers, presenting their work, sitting for examinations and conducting independent research. Instructors will inform their students of their expectations as they relate to the limits within which students may collaborate with or seek assistance from others on specific assignments. Students must understand that there are legal and ethical restrictions relating to creative property and consequences to dishonesty in the professional world. All students are required to sign an *Academic Integrity Statement* declaring that they understand the policy, agree to comply with the policy and understand the penalties for violating the Academic Integrity Code.

Academic dishonesty includes (but is not limited to):

- 1) Cheating on examinations; copying another student's work or utilizing unauthorized material.
Examples of cheating include, but are not limited to:
 - a) using notes, books, electronic media, or electronic communications in an exam without prior permission
 - b) talking with fellow students or looking at another student's work during an examination
 - c) submitting substantially the same work in multiple courses without the explicit prior permission of the instructors
 - d) submitting work previously created for another course without the instructor's knowledge or permission
 - e) fabricating a citation or using a false citation
- 2) Any act of plagiarism; the fraudulent presentation of the work of others as original. Examples of plagiarism include, but are not limited to:
 - a) including a sequence of words quoted without quotation marks
 - b) including a paraphrased passage from another writer's work
 - c) including ideas, sound recordings, computer data, or images composed or created by someone else
 - d) purchasing a paper, or hiring someone else to write a paper

- e) allowing another student to present one's work as his/her own
 - f) altering or forging academic documents, including but not limited to admissions materials and medical documentation
 - g) unauthorized collaboration on work that was assigned to be done individually
- 3) Theft of another student's work and presenting it as one's own
 - 4) Submitting the same work for more than one course
 - 5) Aiding or abetting an act of academic dishonesty
 - 6) Any attempt to improve academic performance by presenting misleading information and/or making deceptive statements or falsifying documents

Students must consult with and receive prior permission from their instructors to submit the same or substantially overlapping material for two assignments. Submission of the same work for two different assignments without prior approval of the instructor is plagiarism and will be subject to the relevant penalty.

Procedures for Investigating Alleged Violations of the Academic Integrity Code

Any violation of the Academic Integrity Code is a serious matter and will result in disciplinary action. The following procedures will be followed in cases of suspected violations of the Academic Integrity Code:

Initial Meeting: An instructor who suspects that a student has committed a violation should as soon as reasonably possible meet with the student to present evidence of the alleged violation and give the student an opportunity to explain the origin of the work. Written notification of this meeting will be sent to the student's Program Director. The meeting can be conducted in person, over the phone or via email. If the alleged violation is discovered after the semester has ended, the faculty member should enter a grade of incomplete ("I") until the issue is resolved. The work in question may be run through a software program such as "TurnItIn."

Follow-Up Meeting: If the issue is not resolved at the initial meeting, the instructor should schedule a follow-up meeting with the student to discuss the accusation fully following the student's review of the Academic Integrity Code. If possible, this meeting should be scheduled within one week of the initial meeting and should include a member of the Student Services staff and an impartial third party (faculty or staff member) as well as the instructor and the student.

The student must be instructed to present the work in question, along with any supporting drafts, original research, digital files or other documentation. The instructor should request that the student reconstruct the process involved in creating the assignment.

On the basis of the results of the follow-up meeting, the instructor, in consultation with the Program Director and other members of the academic staff will assess the case, taking into consideration the

student's intent to deceive and the degree of the violation involved as it relates to the assignment in order to determine whether a major or minor infraction has occurred.

Penalties: If it is determined that a minor infraction has occurred, the instructor may counsel the student about the standards of academic honesty, explain the consequences and require that the student resubmit the assignment in the appropriate format. The instructor may also assign a diminished grade for the assignment or assign a failing grade ("F") for the assignment.

If it is determined that a major infraction has occurred, the instructor should fail the assignment and submit a report to the Program Director and the Associate Director of Student and Academic Services and the Registrar. The Registrar will place the report in the student's permanent file and it will become part of the student's permanent academic record. The Associate Director of Student and Academic Services will issue a formal letter to the student, with a copy to the instructor and the Program Director, documenting the case and any sanctions. A copy will be retained by the Registrar, and this will be placed in the student's permanent file. Sanctions may include failure ("F") of the assignment, failure ("F") of the course and/or suspension or dismissal from the Institute. A student may file an appeal following the procedure outlined.

DISMISSAL

Students who are to be dismissed for failure to maintain satisfactory academic progress will be notified in writing before the subsequent semester classes begin.

A dismissal status supersedes any Leave of Absence or Withdrawal status, unless an appeal has been submitted and approved.

APPEALS

Students who wish to contest or seek additional information about an assessment, grade or penalty for insufficient academic performance or breach of the academic integrity code, as well as students who are dismissed from their program due to failure to maintain good academic standing or for other offenses, may initiate a formal appeal in accordance with the following guidelines. The appeals procedure may not be used simply because a student is dissatisfied with the outcome of her or his assessment, or other decision concerning his/her academic position or progress.

Grade Appeal Procedure

Students may appeal a grade granted for an individual assignment or course up to two weeks after the

grade is issued. Before deciding to pursue an appeal, the student must request an informal explanation of the basis of the grade from the instructor. If after this explanation the student is not satisfied, the student may pursue the matter as follows:

- The student must submit a letter outlining any questions and/or objections directly to the instructor, with a copy to the Program Director and to the Associate Director of Student and Academic Services.
- The instructor submits a written response to the student's letter within one week of receipt, with a copy to the Program Director and to the Associate Director of Student and Academic Services.
- If the student is not satisfied by the faculty member's written response, the student may appeal further by sending an appeals request to the Associate Director of Student and Academic Services within two weeks of the faculty member's response.
- The Associate Director of Student and Academic Services will convene a meeting of the Academic Review Committee to review the file, clarify any outstanding issues and make a determination. The Committee's decision is final; no further appeal will be allowed after this ruling.

Academic Integrity Appeals

Students will have the right to appeal the decision of the instructor in the case of a breach of the academic integrity code. The appeal should address one or more of the following:

1. Did the student have an adequate opportunity to prepare and present his/her case?
2. Was the evidence presented substantial enough to merit a decision?
3. Is there any evidence that the faculty member acted in a prejudicial manner?

The appeal procedure is as follows:

- The student must submit a letter addressing the points above and outlining any questions and/or objections to the Associate Director of Student and Academic Services. The appeal must be received within two weeks of notification of the academic integrity code violation.
- The Associate Director of Student and Academic Services will convene a meeting of the Academic Review Committee who will review the file, clarify any outstanding issues and render a decision within two weeks of the meeting. The Committee's decision is final; no further appeal will be allowed after this ruling.

Dismissal Appeal Procedure

Students who are dismissed from their program due to failure to maintain good academic standing may appeal for a reversal of the decision as follows:

- The student must submit a formal request in writing to the Associate Director of Student and Academic Services, with supporting documentation, within two weeks of receipt of the notice of

academic dismissal. Appeals received after two weeks will not be eligible for review and the dismissal will stand.

- The appeal request should include: an explanation for the poor performance and/or failure to complete the required coursework, a description of the plan to improve academic performance and/or to complete outstanding coursework and any other relevant information that may have adversely affected the student's academic performance.
- The Associate Director of Student and Academic Services will convene the Academic Review Committee to review the student's academic record and consider the appeal and any relevant documentation.
- The student will be informed of a decision no later than four weeks after the submission of the appeal. The decision of the Academic Review Committee is final; no further appeal will be allowed after this ruling.

Third Semester or Thesis Failure Appeal Procedure

Students who fail to fulfill the academic requirements for third semester completion or receive a failing grade on the thesis may appeal for a reversal of the decision as follows:

- The student must submit a formal request in writing to the Associate Director of Student and Academic Services, with supporting documentation, within two weeks of receipt of the failing grade(s). Appeals received after two weeks will not be eligible for review and the failure will stand.
- The appeal request should include: an explanation for the poor performance and/or failure to complete the required course work, a description of the plan to improve academic performance and/or to complete outstanding coursework and any other relevant information that may have adversely affected the student's academic performance.
- The Associate Director of Student and Academic Services will convene the Academic Review Committee to review the student's academic record and consider the appeal and any relevant documentation.
- The student will be informed of a decision no later than six weeks after the submission of the appeal. The decision of the Academic Review Committee is final; no further appeal will be allowed after this ruling.

ACADEMIC REVIEW COMMITTEE

An Academic Review Committee (ARC) is convened to oversee the adjudication of all grade, academic integrity, dismissal and thesis or third semester appeals filed as a result of the review process described above. The ARC is chaired by the Associate Director of Student and Academic Services and is comprised of staff and faculty members selected by the Director. No faculty member who has been directly involved in the grade or negative action will serve on the ARC. Students should seek the guidance of a Student Services team member for more information regarding the appeals process. The findings and recommendation of the ARC are reviewed and confirmed by the Institute Director and the student is notified of the decision within two to six weeks depending on the nature of the appeal.

CAMPUS RESOURCES

INFORMATION TECHNOLOGY

General Internet Policies

As explained above with regard to students, the Institute's computer workstations, wireless internet access, online database systems, online academic access systems (Canvas and the CAMS Student Information System) and the email system are all integral to the academic experience. All users of such resources are expected to behave in an ethical, responsible and legal manner. For example, electronic communications or any websites accessed by a student, faculty or staff member should not contain anything that would reasonably be considered offensive or disruptive. Offensive content includes, but is not limited to, racial slurs, sexual content or images, or any comments that would offend someone based on age, gender, sexual orientation, gender identity, religious beliefs, political beliefs, race, national origin or disability status.

Authorized Institute staff members monitor computing access to ensure security. Internal communication systems, electronic messages, files and data and all hardware and software are and remain the property of the Institute at all times. The Institute has the right to retrieve and review any messages or file composed, sent or received utilizing its technologies or equipment. Although access to Institute networks allows for the use of passwords for security, confidentiality should not be assumed and ultimate privacy should not be expected. Accounts are issued for the sole use of students, faculty and staff and each user is responsible for all actions on the account issued.

A violation of the Institute's internet Policies may result in disciplinary action, including dismissal.

The computer and online environment at large is dynamic and constantly evolving. Therefore, the abovementioned policies may change accordingly. It is the responsibility of all members of the Institute community to remain informed of current policy.

Internet Access

All Faculty members will connect their personal computer or mobile devices to the SIA Student or Guest WiFi with a password or access key provided by IT. Institute-issued devices and computers in the Faculty Center are automatically connected to the staff network. Upon request, IT can issue a security certificate which will allow a faculty member's personal computer to access the staff network.

Email

All Faculty members are issued a Sotheby's Institute email address with the @sothebysinstitute.com domain. This email address is the primary email address all staff and Faculty use to communicate regarding official Institute business. Faculty will also be issued an alternate email address on the sia.edu domain for convenience; email sent to this alternate address will be forwarded to the primary sothebysinstitute.com address. For assistance in setting up this account, or linking it to another account, Faculty should contact the IT Dept. via email (see below).

Services Accessible via the SIA Login:

SIA Login

SIA login credentials will be issued to all Faculty members. These network credentials must be used to access all Institute systems. Faculty may login at <https://sso.sothebysinstitute.com>. Upon login there will be a menu with links to the most frequently used systems. Faculty are strongly recommended to change their initial password and to keep it secure. For assistance with login issues please contact the IT Dept. via email (see below).

Faculty and Staff Homepage

The Faculty homepage contains links to administrative information and documents (e.g. Expense Forms, Human Resources and benefits information, room reservations, master Calendar, IT Support, etc.).

CAMS Faculty Portal

CAMS is the comprehensive Student Information System used at the Institute to manage everything from student grades and attendance to transcripts and tuition statements. From first contact with a prospective student through graduation, the CAMS software manages the full student lifecycle. The Faculty will use CAMS primarily for submitting grades. Instructions for submitting grades will be provided by the Registrar. For technical assistance please contact the IT Dept. via email (see below).

Canvas learning management systems (LMS)

Canvas provides a virtual classroom environment to support teaching and learning at the Institute. Faculty are required to upload to Canvas before the start of their classes all syllabi, readings, assignments and other relevant materials and update them on a regular basis. Faculty will be given access to the Canvas LMS (<https://online.sothebysinstitute.com>) during the month before a semester begins to allow them to upload their course materials.

Course communication between faculty/staff and students will take place within Canvas in the form of announcements, messages, discussions, and pages. Training and support on the Canvas system are available from eLearning support staff (SIA-eLearning@sothebysinstitute.com). Faculty may also set up an

appointment with the eLearning team to explore Canvas one-on-one.

Technical support

Currently, the Institute offers the following technical support for Faculty:

- Help with online databases and libraries
- Help accessing all Institute IT Systems (Webmail, Canvas LMS, CAMS Portal)
- Help with using digital projectors and support for presentations
- Help with connecting to and printing via network printers
- Help with wireless internet connectivity issues

All IT support requests should be made via the support portal or sent via email to:

lthelp@sothebysinstitute.com.

LIBRARY SERVICES

Faculty and the Library

Faculty are strongly encouraged to meet with the Head Librarian before each semester to discuss any specific course and research needs. Among other services, the Library can order course materials, create online course guides, provide tailored in-class research instruction and arrange for tours of local libraries.

Library Information

Faculty should consult the Library website for all Library information including staff contacts, hours and access to all Library resources. The address is: <http://nylibrary.sia.edu>.

Collection

The Institute's library holds approximately 10,000 volumes and subscriptions to over 70 periodical titles. Most of the library collection is circulating and Faculty may check material out once they have received their Institute ID cards. All books are catalogued in the online library catalogue maintained by library staff, using Library of Congress classification.

Library Catalog

The Library's online catalog is shared with the London Institute's Library. Access is available on the Library website.

Subscription Databases

The Library subscribes to over 45 databases including ebrary's Academic Complete ebooks collection (100,000+ titles), ProQuest Research Library, ArtSource, ArtBibliographies Modern, LexisNexis, ProQuest

Dissertations and Theses and ArtNet. The Summon discovery service allows for many of the subscription resources to be searched at once through a single search interface. All resources are available offsite through the library proxy server. A full list with descriptions can be viewed or downloaded on the Library website under e-resources.

Purchase Suggestions

Faculty are welcome to suggest titles for Library collection purchase in all formats (book, DVD, periodical, etc.) to the Head Librarian. Whether the title is purchased or not depends on a number of factors including price, Library budget, relevance to taught courses and approval by the Program Directors.

Course Reserves

The Library has a reserve shelf for each course. A copy of each book containing assigned reading is non-circulating during the semester, placed on the appropriate reserve shelf and is always available for consultation. To ensure the Library holds copies of all assigned readings, Faculty should send a copy of their syllabi or an annotated listing of required readings, reference and reserve materials for each course to the Librarians (nylibrary@sothebysinstitute.com) at least four weeks before the start of each semester. Faculty can also arrange with the Librarians to place additional material (i.e. personal copies of books, past student projects, etc.) on their reserve shelves during the semester.

Course Readings and Copyright

The Institute follows the guidelines below for course readings:

- No more than 20% of a book may be posted for one course
- No more than one article per issue of a journal or magazine may be posted for one course
- The Library must own a copy of every book with assigned readings
- Scanned readings may only be made available to students registered in the course in a password-protected environment
- Scanned readings must not be available after the end of the course

The full Institute Library Copyright policy is available in the Documents section of the Faculty Portal and in the Library.

Scanning Readings and Uploading to Course Pages

Faculty are responsible for scanning and uploading all assigned readings on their respective course pages. Previously scanned assigned readings are archived on a shared drive in a folder called "Scanned Readings" and are accessible (on campus only) to Faculty.

All course readings are to be scanned and loaded to the Course Documents section for each course.

Students access the scanned readings by course through the student portal.

In the Documents section of the Faculty Portal and in the Library there are instructions for scanning using the copiers and scan station. In the four weeks prior to each semester Faculty can coordinate with the library staff for scanning assistance.

FACULTY EMPLOYMENT INFORMATION

FACULTY APPOINTMENTS

The Faculty is the expert professional body charged with devising, developing and evaluating the academic programs under the leadership of the Program Directors and the Institute Director and within the framework of the Institute's educational mission. The Faculty help to determine the means by which achievement of objectives is measured, evaluate whether curricular objectives have been met and provide academic expertise and professional guidance to students.

The hiring of Faculty is the joint responsibility of the Institute Director and, by delegation, the Program Directors, who may request assistance from the relevant full-time faculty. The Director will identify and authorize positions to be filled, oversee recruitment, interview final candidates based on the recommendations of the Program Directors and make appointments. The Program Directors will develop job descriptions and recruitment strategies, review and interview candidates and forward recommendations to the Director for final review and approval.

All Faculty are responsible for adhering to the Institute's academic policies and administrative procedures and for maintaining professionalism and collegiality in all of their activities and relationships at the Institute or when representing the Institute.

The Institute appoints teaching staff to one of the following categories and defines each category as follows:

Full-time Faculty

A full-time appointment is comprised of the following components:

- Teaching: 60% of full-time commitment, or the equivalent of three days per week during the academic year is dedicated to teaching and related activities;

- Institutional service: 20% of full-time commitment, or the equivalent of one day per week during the academic year is required, including work on program-wide and Institute-wide initiatives and activities;
- Professional Activity and Research: 20% of full-time commitment, or the equivalent of one day per week during the academic year and during the summer is the average commitment to individual academic and/or professional activity.

The specific amounts and proportions of these components will differ for each type of appointment; they may also vary by individual and by program type.

As a matter of Institute policy, full-time Faculty members are expected to teach only at the Institute during the period of their regular teaching assignments. Taking on a regular teaching assignment at another educational institution during this period is therefore discouraged; any outside teaching assignment must be approved in advance by the Program Director and the Institute Director. Guest or occasional lecturing at another institution is acceptable and encouraged.

Appointment Calendar

Full-time Faculty are typically employed for a period of twelve months commencing on September 1 through August 31 of the following year. Faculty appointments are reviewed annually to determine if they will be renewed or altered. Renewal is at the discretion of the Institute and is not guaranteed.

Full-time Faculty members must be available for meetings and consultation at least two weeks prior to the start of the fall semester, one week prior to the spring semester and four weeks following the last day of spring classes. They are also expected to make all reasonable efforts to be available if circumstances require their presence at other times.

Full-time Faculty who are invited to teach in summer programs will be assigned and compensated separately. These assignments will affect neither a Faculty member's workload and responsibilities nor their compensation for the academic year, unless this accommodation is agreed to by both parties.

Workload

A full-time appointment typically presumes a full-time commitment during the academic year.

Full-time Faculty normally teach 5 courses per year; thesis supervision for students is currently considered equivalent to one course and requires engagement with advisees (an average of 8-10 each year), as detailed

in the *Master's Thesis Advisors and Readers Handbook* (available on the Faculty Portal).

Participation in study trips is part of the teaching workload; this will normally average 5-10 days per year.

Faculty may be invited to lecture in another Faculty member's course as part of their institutional service responsibilities.

Teaching assignments in non-degree programs may be substituted for degree courses if necessary to fulfill the courseload during the academic year; total contact hours will be taken into account in establishing equivalencies.

Compensation

Full-time Faculty are engaged as employees of the Institute and are subject to appropriate payroll deductions.

Full-time Faculty members are paid an annual salary and are entitled to full benefits (described fully on the Human Resources tab on the Faculty Portal).

Salaries are established at the time of employment; factors including educational achievement, prior experience, prevailing salaries in the individual's specialty at comparable institutions, and the resources available within the program and the Institute will be considered. Salaries will be reviewed annually.

Proportional Full-time Faculty

Some Faculty appointments are a "proportion of full-time" appointments; Faculty in this category are required to meet all of the responsibilities described above, but in proportionally reduced amounts.

Faculty with proportional appointments will be paid an annual salary based on the percentage of workload assigned, and as employees are subject to appropriate payroll deductions; those with appointments of at least one-half of full-time are eligible for benefits.

Adjunct Faculty

Some Faculty in degree programs and most Faculty in non-degree programs are engaged as Adjunct Faculty members.

An adjunct appointment requires only the teaching component of the above-described Faculty responsibilities. Adjunct Faculty teaching full semester-long courses are required to hold a minimum of two

office hours per week for each course taught, but have no additional non-teaching responsibilities; they are invited and encouraged to attend Institute events and meetings but are not required to do so.

Appointment Calendar

Adjunct Faculty are engaged on per course (or part of course), per semester basis; any additional work (e.g. thesis advising, study travel, participation in student reviews outside of the faculty member's own course) may be separately assigned and paid by stipend. Normally, adjunct appointments are confirmed by letter during the month of July preceding the academic year for the fall semester and no later than November 15th for the spring semester. Adjunct appointments are dependent upon sufficient enrollment in the specific class.

Workload

Adjunct faculty are normally assigned less than half-time teaching load.

Compensation

Adjunct Faculty are engaged as employees of the Institute and are subject to appropriate payroll deductions. Compensation is based on an hourly or per course basis and is confirmed via letter of appointment.

Additional Adjunct Faculty Categories

In addition to regular Adjunct Faculty who teach full courses and are responsible for all aspects of the course planning and management (e.g. syllabus, grading, supervision and coordination of additional staff), there are several additional types of academic appointments that are made on an as-appropriate basis:

- *Visiting Faculty* are distinguished academics and professionals who contribute a portion of a course's content (more than a Guest Lecturer), and participate in course development and planning in collaboration with the Course Leader, but do not have responsibility for exams, grading or advising/office hours.
- *Instructors* are Faculty who have teaching, grading and advising responsibilities for a course, but are not responsible for the development of the course syllabus; their teaching is managed by the Course Leader, normally a member of the full-time Faculty or a Program Director.
- *Teaching Assistants (TAs)* are junior members of the teaching staff who support the work of Faculty with administrative, clerical and logistical help. They may assist with grading, break-out seminars and student advising under the direct supervision of the Faculty member of record. TA appointments for any course are at the discretion of the Program Director and are determined by factors including class size and format, budget, Faculty course load and other responsibilities. Faculty who are assigned a TA are responsible for providing a job description including a complete list of responsibilities and estimate of the amount of time required. Once approved, Faculty are responsible for supervising and evaluating their TA's.

Course Leaders

Faculty (full-time or adjunct) may be designated as Course Leaders if they supervise other Faculty members who are providing significant portions of the course content.

Thesis Advisors

Some Faculty members serve as Thesis Advisors; advisees are assigned by the Program Director and are included as part of the Faculty member's teaching assignment and annual workload agreement. Guidelines for Thesis Advisors can be found in the *Master's Thesis Advisors and Readers Handbook*, available on the Faculty Portal.

PROGRAM DIRECTORS

Program Directors serve as the direct supervisors of the Institute's Faculty and are responsible for recruiting Faculty, making teaching assignments, assessing Faculty performance, conducting regular and rigorous curriculum review, managing the program budget and ensuring that the Institute's standards and integrity are maintained and that its policies and procedures are followed. Program Directors are members of the full-time faculty with significant academic management responsibilities.

FACULTY RESPONSIBILITIES

TEACHING

Teaching is the primary activity of the Institute. The quality of its teaching is the chief determinant of the Institute's success or failure in fulfilling its mission. Faculty members shall show respect for students as individuals and adhere to their role as intellectual guides and advisors. They shall formally define the objectives of their courses and devote their teaching to the realization of those objectives.

Faculty members shall make every reasonable effort to foster honest academic conduct and to ensure that their evaluations reflect the true merit of their students' performance. Faculty members shall avoid any exploitation of students for private advantage and acknowledge any significant assistance from them.

Faculty members also have a responsibility to the whole person and should be sensitive to concerns in students' lives outside the classroom. They are not expected to solve these matters, but they should be prepared to refer students to the appropriate staff members should issues arise.

Teaching duties and responsibilities normally include:

- Development and timely submission of course syllabi as requested by the Program Director
- Designation of course texts and reading matter, instructional equipment, library books, and non-print resource materials required for courses
- Punctual attendance at assigned course hours
- Careful preparation and planning for assigned courses in accordance with course objectives

- Planning and participating in relevant study trips, including teaching and managing student groups on-site, as assigned by the Program Director or his/her designee
- Regular and on-going evaluation and revision of course objectives and content, instructional strategies, and methods of evaluating student learning, in consultation with Program Directors
- Participation in program development in collaboration with colleagues
- Prompt assessment of examinations and other student work assignments
- Regular scheduling of student conferences to review individual student work assignments and overall academic progress
- Advisement for students in their courses; a minimum of two hours per course per week should be made available for student advising; hours must be posted and communicated to classes during the first week of the semester
- Thesis advising for students, as assigned

Attendance

Faculty are required to be present for every class session as outlined in their appointment documents, regardless of whether a Guest Lecturer is present. Any temporary absence, including medical or personal emergency or professional obligation, must be discussed with and approved by the Program Director in advance. Faculty may not reschedule or relocate courses or field trips without prior approval of the Program Director.

Syllabus

Faculty must submit a complete syllabus for each course to the Program Director for review and approval and to Program Managers for scheduling purposes within three weeks prior to the semester in which the course will be taught. The purpose of writing a syllabus is two-fold:

1. To define the content and format of a course for review by the Program Director and to ensure its integration into the curriculum
2. To define student expectations clearly, in writing, at the beginning of every course

A well-designed syllabus provides specific information about what is expected of students and what students can expect from the course. This includes but is not limited to:

- What students can expect to learn from the course (learning outcomes)
- The work required and when it is due (requirements and course outline)
- Policies (e.g. attendance)
- Calendar (e.g. site visits)

- Grading Criteria (the participation, effort and quality of work expected in order to receive a particular grade)

Guest Lecturers / Artist Studio Visits

Faculty members' professional networks provide an invaluable resource to the Institute. Faculty are encouraged to enhance their courses and the Institute's programming by engaging Guest Lecturers and class visitors and/or arranging artist studio visits throughout the academic year. In order to help develop institutional relationships and to ensure efficient administration of room scheduling, compensation and building access, Faculty should adhere to the following procedures:

Request and Approval of Visitors

- Requests/recommendations for speakers or artist studio visits within a Faculty member's course(s) should be included in the course syllabus and the Guest Lecturer Request Form must be submitted to the Program Manager for review and approval by the Program Director. If you are planning to have more than two (2) guest lecturers or studio visits per course, please discuss with the Program Director or Institute Director before working them into your syllabus. If subsequent opportunities arise to host a visitor, the Program Director must be notified. Program Managers should also be informed of any guests or artist studio visits not included in the original syllabus.
- Requests/recommendations for speakers to address a full program or the entire Institute, outside of a specific course meeting time, must also be approved by Program Director(s) in advance. Normal procedures for scheduling events and rooms must be followed with the Program Manager.
- Written confirmation of the engagement should be sent to each visitor by the Faculty member who has invited him/her, with the Program Director(s) copied.
- Sotheby's Auction House staff members are eager to serve as course speakers and exhibition guides, schedule allowing. Any invitation to an Auction House staff member should be handled as described above and the particulars of the visit must be reported to the Program Director and Program Manager in advance.

Fees and Honoraria

- Each program has a fixed budget allocation for speakers and other visitors for each fiscal year (September 1-August 31). Only the Program Director can authorize payment to individuals providing lectures or presentations or artist studio visits. In cases where guests were not included in the original syllabus, there is no guarantee that funds will be available. Supplemental funds are not normally available until the next budget cycle.

- The Institute's standard fee for guest lecturers (or artist studio visits) – those who will provide a substantive lecture or presentation - is \$250/hour (or \$250/artist studio visit). Guest lectures are normally 2 hours in duration, including allowing for questions and answers.
- Full-time (including Proportional) Faculty are not compensated for participation in courses other than their own at the Institute.
- Adjunct Faculty can and should be compensated at the determined hourly rate for their participation in courses other than their own.
- Outside speakers who participate in a course as presenter, panelist, consultant or critic, but who are not delivering a formal lecture, and those who are colleagues or personal contacts of a Faculty member may, with the approval of the Program Director, be offered an appreciation in the form of a gift. See below for guidelines about gifts.
- Guests from the Auction House participate in our courses as a courtesy under the terms of our contractual relationship with Sotheby's. If the engagement takes place during normal business hours and is not a recurring commitment, there is generally no compensation offered. Auction House staff who are asked to teach an entire course or a substantial component of a course, or who provide service on a recurring basis, may be compensated as described above. Any such arrangement must be approved in advance by the Program Director who will coordinate with the Auction House.

Procedures

- All visitors' names should be submitted to the Receptionist or the Office Facilities Manager in advance to ensure that the security guard will give them access to the building.
- Program Managers can assist with procedures for guest speaker payments or additional facilities or equipment needs. Once a speaker is approved, the Program Manager will issue a W-9 form for completion and submit the appropriate paperwork for payment. No payments will be issued without the W-9.

Gifts

The Institute regularly enhances its programs with on- and off-site presentations by and access to professionals in the art world. A gift may be appropriate to acknowledge services provided by an individual on a voluntary basis or for services for which fees are not traditionally required. It may be made for services provided on a special and non-recurring basis only. A gift should not be considered to have an equivalent

value to a lecture or teaching fee or opportunity cost, but as a token of appreciation.

The following policies and procedures provide the framework for consistent and fair practice across the Institute and ensure that program budgets are not exceeded:

- Any proposed gift must be included on the Guest Lecturer Form and approved by the Program Director in advance of the occasion.
- Appropriate gifts include the following: a bottle of wine, chocolates, flowers, books.
- Normally, and subject to approval by the Program Director, a gift should cost between \$30 and \$75.
- Gifts may be purchased by the Program Manager in advance using a corporate credit card. When requested, an approved gift may be purchased by a Faculty member for reimbursement upon submission of receipts.

INSTITUTIONAL SERVICE

Definition

Faculty are expected to participate in activities that contribute to the growth and development of the Institute, beyond their individual course and program, as requested by the Institute Director, Program Directors or colleagues. Appropriate activities include but are not limited to:

- Service on working groups and committees, as assigned or invited by the Program Director or Institute Director
- Participation in activities to recruit students, including presentations, open house events and admissions interviews
- Participation in the recruitment, interviewing and screening of candidates for Faculty and staff appointments
- Occasional lectures or service as panelist or juror for a course or program other than the faculty member's own
- Coordination, advisement, supervision or participation in student organizations or student activities
- Advisement of students other than those in the Faculty member's classes, if requested
- Attendance at Institute-sponsored activities, such as orientation, public lectures and book launches, student presentations and activities, and graduation
- Participation in professional organizations and events as a representative of the Institute

COMMITTEES

Academic Planning Committees

Academic Committee

The purpose of this standing committee is to integrate the Institute's educational programming and maintain consistent academic standards and requirements. It reviews and makes recommendations on proposals for new programs and structural changes to current programs, coordinates planning and course offerings in order to avoid conflicts and duplication, and functions in an advisory capacity to the Associate Director for Student and Academic Services, the Registrar, and the Director of Global Admissions to ensure the most effective use of institutional resources for registration and record keeping as well as recruitment and admissions.

The committee is chaired by a full-time Faculty member. Permanent members include all full-time and proportional Faculty and, when possible, a member of the adjunct Faculty. Additional members may be appointed by the Director on an annual basis. Monthly meetings are conducted throughout the academic year; sub-groups assigned to individual projects will meet more frequently.

Technology Committee

This standing committee serves as an information-sharing and discussion group for Faculty and interested staff. Its purpose is to examine best practices and look for ways to integrate technology at the Institute to promote stronger pedagogical practices and better student outcomes. The committee is composed of interested members of the Faculty and staff as well as the IT Support Analysts.

The committee works to ensure the integration of technology into the classroom as a means for creating a dynamic learning environment, but also a way to teach students the skills necessary for success in an art world that is increasingly digital. Through the evaluation of practices currently in place as well as new models for engagement, the committee's goal is twofold: finding and demonstrating emerging technologies, and examining the efficacy of these models through scholarly literature. For the purposes of this committee "technology" includes (but is not limited to) digital presentation tools, wikis and other collaborative platforms, social media, and online / hybrid content delivery.

Library Committee

The purpose of the Library Committee is to discuss resources, policies and procedures of the Library in order to assure that the research and information needs of all members of the Institute community are met and that the highest standards are maintained. The committee also plans and implements new initiatives to

better serve the teaching and research needs of the Institute community. The Library Committee disseminates and shares information and good practices with respect to library resources.

The committee members include the Library staff, 2-3 Faculty members, and 3-5 staff members including representation from the online program.

Academic Support Committees

Student Services Committee

This committee regularly evaluates student services and student affairs activities and policies at the Institute and reviews those of comparable institutions to ensure adherence to best practices. The committee serves as an important link between the Institute and its student body. Regular meetings with Student Ambassadors are held to address concerns, receive suggestions for improvement and to develop and implement plans for overall student engagement. Specific committee projects have included development of student health and wellness services, implementation of disability services, expanding the annual student orientation and evaluating the effectiveness of student information systems. This committee is chaired by the Associate Director of Student and Academic Services and includes members of the student services, administrative, library and IT staff as well as the Student Ambassadors.

Academic Review Committee

The Academic Review Committee adjudicates all grade and/or dismissal appeals filed as a result of the academic review process and reviews issues of academic dishonesty. The committee is chaired by the Associate Director of Student and Academic Services and is comprised of Faculty and staff selected by the Director, including *ad hoc* members as appropriate.

Faculty Development Committee

The Faculty Development Committee is committed to exploring ways in which the Institute can advance faculty professional and scholarly work. The committee is comprised of at least three faculty members, and works with Institute leadership to propose and augment faculty development opportunities at the Institute and within the greater art community. These opportunities include research, publication, conferences, symposia, exhibitions, and scholarship related to art and its markets.

Other Committees

Advisory Committee on Campus Security

The Advisory Committee on Campus Security reviews current campus security policies and procedures on an ongoing basis and makes recommendations for their improvement.

Administrative Council

The purpose of the Administrative Council is to formally discuss, review, and decide upon administrative matters that are not within the academic purview of the faculty and program directors. Decisions will be made via a majority vote of members who are present at the meetings. Meetings occur on a bi-weekly basis. Some examples of matters discussed include: issuing credits or refunds for students who elect to reduce course load due to medical reasons, field study, CPR training for faculty/staff, etc.

Membership on Administrative Council includes the Director/CEO, Programs Directors, Program Managers and Department Heads.

Letters of Recommendation

Faculty members are often asked to provide references for students applying for internships, employment, grants or advanced study. Students are responsible for requesting this assistance appropriately. Students are advised that they must:

1. Obtain permission before using a Faculty member's name as a reference
2. Provide the referee with at least four weeks' notice to ensure that there is sufficient time to write the reference
3. Provide a copy of his/her current resume and cover letter for the position being sought
4. Provide a copy of his/her unofficial transcript or grade report (available from the Registrar)
5. Furnish complete information about the position or program and the name and address to which the reference is to be sent

Agreement to serve as a reference for a student is at each Faculty member's discretion.

PROFESSIONAL DEVELOPMENT

Faculty members at institutions of higher education have responsibilities to their discipline/profession as well as to the institution. All Institute Faculty are expected to develop continually through professional activities and/or scholarly research. The accelerating pace of change in all fields directly affects the Institute's educational programs and makes it imperative that Faculty members stay informed and involved. They must be aware of changing theories, policies, markets, trends and technologies and how these will affect the field and the educational context. They need to be current in the ideas, research and controversies in their fields, and must also continually develop their teaching effectiveness by incorporating new techniques, methods and materials.

The Institute's Faculty is diverse in the range of professional and academic backgrounds and engagements of its members. The Institute recognizes that a rich spectrum of professional involvements, research and creative activity constitute professional development for Faculty members and that these endeavors enhance teaching, enrich the educational experience of students and contribute to the mission of the Institute.

Support for Professional Development

The Institute is committed to encouraging the careers of Faculty members as they relate to the educational mission, activities and culture of the school. Institutional funding may be provided, when available, for training related to teaching, innovation in curriculum development, new program design or participation in professional events (e.g. conferences, organization meetings, etc.). Support is most often available to:

- encourage cross-disciplinary or cross-campus teaching and learning
- fund conference attendance where a Faculty member will participate as, for example, a discussant, a panel chair or presenter
- enable Faculty to participate in important events in the field, relevant to their teaching

Faculty may request professional development support by completing the request form (available from the Office Facilities Manager) and submitting it to the Director no later than one month before the event. Funds are limited and may be committed early in the academic year so requests should be submitted well in advance when possible. Normally, Institute support provides only partial coverage of the costs of the development activity.

OUTSIDE EMPLOYMENT AND/OR PROFESSIONAL ACTIVITY

Outside professional activities can be valuable to both Faculty members and the Institute. Faculty who wish to engage in outside activities may do so with the understanding that such engagement must not interfere or conflict with the Faculty member's teaching schedule or commitments to the Institute.

Although professional pursuits that enhance the teaching/learning experience are encouraged, a potential conflict might exist, for example, if a full-time Faculty member were to teach other than a short course, seminar, or one-time lecture at another institution during the period of employment, or if an external engagement made demands on the individual's time that interfered with teaching obligations, including grading and class preparation.

Under no circumstances should a full-time Faculty member accept a regular and continuing position with significant responsibilities for the management of an outside enterprise; become a regular and continuing

employee of any outside organization, either part-time or full-time; or accept any outside position that may tend to create a conflict of interest with the Faculty member's position at the Institute.

All outside activities should be related to the Faculty member's primary obligation and should reinforce his/her professional standing.

Full-time Faculty members are expected to keep their Program Directors and the Director informed of the general nature and extent of their outside professional activities and continuing commitments, and to consult with them concerning any significant new outside professional activities and continuing commitments.

Responsibility for the propriety of arrangements in which multiple and possibly conflicting interests exist rests with the Faculty member.

TRAVEL AND ENTERTAINMENT POLICIES

Faculty members are vital to the Institute's external relationships with individuals and organizations in the art world, worldwide. They represent the Institute while traveling for professional purposes, while participating in the study travel program and when entertaining others on behalf of the Institute. Faculty and staff must incur only those travel, transportation and meal expenses consistent with the business and/or academic needs of the Institute and must exercise care in determining appropriate expenditures. The following policies and procedures should guide these activities.

Study Travel

Study travel provides alternative teaching opportunities for Faculty members by allowing expansion of classroom capabilities and enhancement of the academic programs. Travel, including local off-site teaching and extended travel outside New York City, is an important component of the Institute's curriculum that offers students opportunities to interact directly with people, organizations and institutions, and objects outside of the classroom, with the guidance of the Faculty. Normally, all expenses (including Faculty reimbursable expenses) for study trips are paid from student travel fees so care should be taken to manage expenses carefully.

Faculty Responsibilities

Travel responsibilities for Faculty include but are not limited to:

- Participating actively in the planning of study trips and incorporating relevant information about the trips into course syllabi as appropriate
- Assigning background reading material connecting curricular/syllabus topics with site works/issues

- Leading site tours and/or conducting lectures or discussion sessions at off-site locations as requested
- Facilitating group discussions on trips and coordinating related reading material prior to and/or following each trip, as assigned by the Program Director or his/her Designee
- Assisting the Program Director and staff with supervision of participating students while travelling to and from and while on site during study trips, including maintaining professional demeanor

The Program Director will select appropriate Faculty to travel with the group for each trip and will assign responsibilities and duties as needed.

Travel Expenses

When traveling as part of a group or accompanying a group for academic travel, all bookings will be coordinated through the Institute's outside travel agent by the Program Managers.

Travel to and from the Destination

Air travel will be booked for the entire group by the most economical means. All staff and Faculty are expected to travel economy class.

Faculty who wish to make separate travel arrangements must request approval from the Program Director in advance. If approved, Faculty must choose the most economical and expedient means available. Any additional expenses incurred when Faculty deviate from the group itinerary (e.g., arriving or departing from a different city) will be borne by the Faculty member.

Local Transportation

Faculty and Staff are responsible for making their own arrangements for transportation to and from the airport or rail station for departure and return (e.g., sharing taxis or cars to airports). Reasonable expenses will be reimbursed.

Ground transportation at the study trip destination, including travel to and from airports, private buses or public transportation, is normally arranged in advance and paid for by the Institute.

Accommodation and Meals

Normally, accommodations will be arranged in advance as part of the group travel planning. Faculty and

staff will be provided with private rooms.

There is a total per diem maximum of \$75 for food and drink for domestic travel, and \$100 for international travel, subject to exchange rates. Please note that the per diem total includes local taxes and tips and any food or beverage charged to one's room, including mini-bar purchases. Meals will be reimbursed only when supported by original receipts.

Drinks with colleagues are considered part of the daily meal allocation unless otherwise approved in advance by the Program Director.

Individual, Professional Travel

When Faculty travel on behalf of the Institute (to conferences, professional meetings or for admissions or alumni events), expenses will be covered as follows:

Transportation

The Institute does not use a single authorized travel agent for individual travel. Faculty travelling on Institute business should make their own travel arrangements by the most economical means. All staff and Faculty are expected to travel economy class.

Car Rental

The Institute will reimburse the cost of car rental only if prior approval is given and if a car rental is the most economical or efficient means of local transportation. Rental cars must always be returned to the renting agency with a full tank of gas unless otherwise specified. When renting a car in the US, Faculty should not obtain any supplemental insurance.

Private Car Mileage, Parking Fees and Fines

Mileage can be reimbursed for the use of personal cars for business or academic travel purposes, if approved in advance. The current federal rates will be used to determine reimbursement. Mileage to and from home and the usual place of business is not reimbursable. All mileage claims must detail the origin, destination and mileage of the trip as well as the business/academic justification.

Parking fees are a reimbursable expense when incurred during the course of business as long as the most economical option has been taken.

Penalties, whether for driving offenses or parking violations, are never reimbursed. These are the

responsibility of the individual Faculty member and must be paid directly to the appropriate municipality.

Accommodation and Meals

There is a total per diem maximum of \$75 for food and drink for domestic travel, and \$100 for international travel, subject to exchange rates. Please note that the per diem total includes local taxes and tips and any food or beverage charged to one's room, including mini-bar purchases. Meals will be reimbursed only when supported by original receipts.

Local Travel and Entertainment

Transportation

Faculty are responsible for the cost of their own transportation to the Institute, the Auction House, the CIG offices or other NY metro area locations where normal school activities and events are held (including classes, lectures, meetings, local site visits, Orientation, Graduation and Open Days).

Taxis taken to and from meetings, business meals or academic visits are reimbursable if group travel has not been arranged, and if approved in advance by the Program Director.

Entertainment

The Institute welcomes the opportunity for Faculty to strengthen the Institute's relationships with outside professionals and academic colleagues by hosting meals on occasion. Each program has a modest budget for this kind of entertainment and prior approval by the Program Director is required before any commitment can be made.

Expense Reporting

Out-of-Pocket expenses

Faculty and staff are responsible for the timely submission of permitted out-of-pocket expenses following study travel or other approved travel, entertainment or purchases; all expense reimbursement requests must be submitted within (30) days of the last day of travel. The expense report form can be downloaded from the Faculty Portal. Corresponding receipts for each expense must accompany the report. Expense reports will be reviewed by Program Directors and by administrative staff who manage the Institute budget. Any expense report that is incorrect, incomplete or includes disorganized receipts will be returned for completion and this may result in the delay or non-reimbursement of specific items.

Corporate Credit Card

Corporate charge cards are issued to some Faculty and staff who have substantial responsibility for group or individual travel and are for business use only. All of the preceding policies apply when using a corporate credit card. Staff and Faculty are responsible for the timely submission of approved credit card expenses with the monthly billing statement along with the corresponding receipts detailing the purpose of the charge. For assistance with expense coding and online credit card reporting, please contact the Office Facilities Manager.

For assistance in completing expense reports, Faculty should contact their Program Manager.

CONFLICTS OF INTEREST

Faculty may not employ a student currently enrolled in a class they are teaching, or request that a student enter into a collaboration while the student is currently enrolled in the Faculty member's class.

Faculty may not request or require students to work on the Faculty member's personal or outside professional projects as part of class work, unless specific authorization has been granted in advance by the Institute Director.

Faculty may not request or require students currently enrolled in a Faculty member's class to work on the Faculty member's personal or outside professional projects or those of that Faculty member's business, whether or not part of coursework.

Faculty may not be employed by a student or a student's family while that student is enrolled in the Faculty member's course.

Faculty may not accept money or gifts in exchange for using or endorsing specific products or services in connection with their teaching activities, nor may they accept money or gifts for allowing any third party to come into a class or event.

Faculty may assign books they have written or to which they have contributed to their classes; this is not a conflict of interest.

USE OF INSTITUTE'S NAME

Because of the Institute's unique identity and its legal agreement and affiliation with Sotheby's auction house, the use of its name is carefully regulated. The Institute is pleased and proud to be mentioned in a staff member's bio or other factual information published or shared publicly and encourages such visibility. Any advertising, communication or promotional material that is for marketing purposes, or for a use that might imply an endorsement by the Institute or Sotheby's, is generally not permitted. Questions about any proposed use of the Sotheby's name should be directed to the Institute Director.

FACULTY EVALUATION

Every Faculty member will be evaluated regularly by his/her Program Director on the basis of the following criteria:

- Teaching effectiveness
- Institutional service
- Professional/Scholarly activity and research, development and achievements

Evaluation Process

Formal performance reviews are conducted by Program Directors for every full-time and proportional full-time Faculty member annually.

Adjunct Faculty are evaluated each semester by the supervising Program Director primarily on the basis of teaching effectiveness.

The results of all evaluations are reviewed by the Institute Director.

The evaluation procedures for Faculty includes three components:

- Self-evaluation
- Student Evaluation
- Program Director/Supervisor evaluation

Self-Evaluation

As part of the annual review of their performance, Faculty are asked to submit, in writing, and in accordance with guidelines established by the Institute Director, a document describing and evaluating their activities

and performance for the preceding year.

The self-evaluation process has been designed to provide an important framework within which to develop, record, communicate, and evaluate a Faculty member's annual contributions to the Institute. The self-evaluation is a tool that offers Faculty the opportunity to identify goals and achievements in three areas: teaching effectiveness, institutional engagement and professional activity. Using these categories, Faculty are expected to submit a specific, thoughtful and reflective evaluation of the preceding academic year.

Student Course Evaluation

Student course ratings are a critical part of the Institute's commitment to providing a high-quality education. The course evaluation process offers students an opportunity to share candid and anonymous feedback with their teachers, who are encouraged to use the feedback to improve course content, formats and approaches.

Students are asked to evaluate each course they take in a standardized format. Because the form involves assessment of both the course and the Faculty member, the results can provide the opportunity for discussion of both. The results are reviewed by the Program Director and discussed with the Faculty member as one part of the evaluation process.

Program Director's Review

Each Faculty member will be reviewed by the Program Director(s) annually including all aspects of his/her performance including teaching effectiveness, institutional service and participation in professional/scholarly activity. The results will be shared with the Faculty member both in writing and in a private meeting and the written evaluation will be forwarded to the Institute Director. These evaluations are intended to assess performance and to help Faculty identify ways in which to improve their teaching effectiveness and institutional impact.

In the future, a system of peer evaluation may be added including classroom observation and/or review of professional or scholarly work.

RESIGNATION AND TERMINATION

Resignation

Faculty members may resign their appointments effective at the end of an academic semester by giving at least two months' notice in writing. The Institute Director may, upon written request, waive the two month requirement if, in the Director's judgment, denial of the waiver request would impose undue hardship.

Termination

Grounds for Termination

The Institute may terminate a Faculty member's employment during the term of employment for the following reasons:

- Ineffective teaching: failure to maintain a high level of teaching effectiveness
- Inadequate job performance: failure to fulfill the duties and responsibilities that are within the scope of the employee's job description and the expectations set in the policies outlined in this Handbook and other official documents and communications
- Abuse of authority as a teacher: includes actions that intimidate others and inhibit the freedom of thought necessary in an academic community, behavior that fundamentally corrupts the human interchange necessary for learning, or fraudulence in teaching
- Gross misbehavior on the job: includes refusal to do work reasonably expected, wrongful use or taking of Institute property, conviction of a felony, breaches of confidentiality or actions in relation to Faculty, staff, or students that are prohibited by the policies outlined in this Handbook and other official documents and communications and actions detrimental to the pursuit of the Institute's goals
- A state of financial exigency as determined by CIG management
- Discontinuance of a program or department of instruction as determined by CIG management

Procedures

When the Program Director or Institute Director is sufficiently concerned about the effective performance of a Faculty member (the first two items, above), the Program Director will meet with the Faculty member to discuss his/her concerns and the specific expected improvements in performance that need to be made by the Faculty member. The Program Director will establish a timetable for the achievement of these improvements. After the meeting, the Program Director will prepare a detailed written account of the meeting, and provide a copy of the account to the Faculty member, the Institute Director and the Vice President of Human Resources, CIG.

At the end of the specified time period, the Program Director will ascertain whether or not the Faculty member has improved his/her performance so that no further action is necessary, whether continued strong supervisory input is warranted or if the Faculty member's employment should be terminated. The Program Director will meet with the Faculty Member, informing him/her of the decision. After the meeting, the Program Director will document the decision and deliver a copy of the decision to the Faculty member, the Institute Director and the Vice President of Human Resources, CIG.

Concerns about possible violations of professional standards (third and fourth items, above) may be brought to the Program Director or Institute Director at any time by any student, Faculty or staff member. If the charges are considered to have substance, the Program Director will discuss them with the Faculty member. If no resolution is determined through this informal discussion, the Program Director will notify the Faculty member in writing of the nature of the charges and of the date of a hearing at which the Faculty member will be given an opportunity to be heard. Another Program Director will conduct this hearing with the Vice President of Human Resources, CIG in attendance. Within ten working days of the hearing, the Program Director who conducted the hearing will provide the Faculty member with a written decision on the charges, stating the reasons for termination if that is the decision. A copy of the decision will be provided to the Institute Director.

Appeal

The termination of a Faculty member may be appealed. The Faculty member is responsible for specifying the basis of the appeal and will bear the burden of providing proof.

Appeals must be initiated by an appeal letter presented to the Institute Director within ten business days of the Faculty member's receipt of the notice of termination. The Director will establish an appeals panel, which will include at least two members of the Institute Faculty and/or staff and/or CIG staff (provided that anyone serving on the appeals panel has no direct previous knowledge of or involvement with the issues at hand).

The appeals panel will transmit its findings and recommendations to the Institute Director for review and action. The Director will render a final written decision on the appeal within ten business days of receipt of the recommendation.

Note: All faculty are employed pursuant to an appointment letter of fixed duration, typically one year but sometimes one semester. The foregoing procedures, including appeal, are for terminations during the term of employment only. They do not apply to non-renewals of appointment, which determinations are made in the Institute's sole discretion and are not subject to appeal.

ADMINISTRATIVE POLICIES & RESOURCES

INSTITUTE FACILITIES

The Institute's facilities are located on the 6th and 15th floors at 570 Lexington Avenue.

Use of Classrooms and Public Spaces

570 Lexington Avenue houses the Institute's academic and programmatic activities, administrative operations and public programs. The facilities include both public space (i.e. classrooms, Commons area, Library) and internal space (conference rooms, offices, Faculty workrooms).

Priority in scheduling is given to academic events. Courses (both degree and non-degree) are scheduled in advance by semester and recurring classes, lectures and seminars are allocated customary classroom space. Other academic activities involving students, staff or Faculty (e.g. meetings, admissions and career events, guest speakers, auction house visits) must also be scheduled in advance and allocated suitable space.

The Institute's facilities are shared by all programs; accordingly, any change in day, time or location of a class or event must be requested and approved in advance. Faculty may not change the time or location of a class session without prior consultation with the Program Director and Program Manager and approval of the Office Facilities Manager.

The Office Facilities Manager has overall responsibility for scheduling and use of the facilities and for planning and providing operational support for special events; she also manages the schedule for all public spaces. The Office Facilities Manager manages scheduling of internal spaces, such as conference rooms for office hours.

The Institute hosts special events (such as large group meetings, receptions, events involving outside organizations) on a space-available basis. Normally, only activities with purposes, participants and interests directly related to the Institute's activities will be allowed. At this time, no rental fees are charged to outside parties, but this may not always be the case; outside parties do, however, pay any additional costs including staff, security, HVAC and catering charges. Permission to host a special event must be requested by completing a Special Events form at least two weeks in advance of the event. The form is available on

Canvas.

Hours

Regular business hours of the Institute's administrative offices are Monday through Friday from 9:00 AM to 5:00 PM.

Courses for the MA and graduate certificate programs, as well as non-degree Summer Study Programs, are offered Monday through Friday within the following time periods:

9:00 AM – 12:00 PM

1:00 PM – 4:00 PM

4:00 PM – 7:00 PM

7:00 PM – 9:00 PM

Normally, classes will not be held on Mondays from 4:15 – 6:30 PM during the academic year to allow for the scheduling of events of interest to the entire Institute community, including Careers Services sessions, lectures and student meetings.

ID Cards and Access

The issuing of Photo ID cards is overseen by the Receptionist. Faculty are issued a security access card as part of the hiring process or during the first week of classes. Cards must be "swiped" in the elevator in order to gain access to the 6th and 15th floors and once on the floors to gain access to the facilities. A sticker on the back of all ID cards provides important emergency information. Lost or stolen security access cards must be reported to the Receptionist immediately.

Faculty Spaces

Full-time Faculty have their own desks on either the 6th or 15th floor; part-time and adjunct Faculty have shared workspaces. In addition, conference rooms can be reserved for small meetings or advising sessions by requesting access from the Office Facilities Manager.

Visitors

Visitors – including guest lecturers – must be screened by security staff in the lobby of 570 Lexington Avenue before being allowed onto the Institute's premises. Faculty should pre-authorize guests by providing the visitor's name and the date of a planned visit to the Receptionist.

Equipment

Any technology or audio-visual needs beyond standard computer, projection and microphone should be requested in advance from one of the IT Support Analysts.

Safety, Security and Emergency Procedures

The Institute has responsibility for providing a safe environment for students, Faculty, staff and visitors. The Institute endeavors to create an environment that promotes the safety and well-being of all. The following regulations pertain to all members of the community:

Smoking

Smoking is not allowed in the Institute's facilities, in accordance with New York City and New York State laws. Smoking is not permitted directly in front of 570 Lexington Avenue as mandated by the building management.

Controlled Substances and Weapons

The Institute strictly prohibits the illicit use, possession or dispensation of controlled substances whether on the premises or on Institute-sponsored visits and travel.

In addition, for the safety and comfort of the community, the Institute strictly prohibits the use or possession of weapons on the premises or on Institute-sponsored visits and travel.

Violation of these policies will result in automatic expulsion from the Institute of students and automatic termination of employment with the Institute of Faculty.

Unscheduled Closing

Emergencies such as severe weather, fires, power outages or natural disasters may disrupt normal Institute operations and necessitate the unscheduled closing of the school. To find out if the Institute activities or facilities are affected by any of these situations, please consult the Faculty Portal, check whether you have received a message from the Institute's emergency SMS texting service, or call the **emergency telephone number, (646) 438-7213**.

Emergencies

An emergency is a situation which poses an *immediate risk* to health, life, property or environment.

The Institute's senior staff is well-equipped to handle most emergency situations. Many members of the administrative and Student Services staff have been trained in CPR, Emergency First Aid and Fire and Disaster Emergency Procedures and can provide advice, support and responses in the case of an emergency. The campus has an Emergency Action Plan which is available on Canvas.

570 Lexington Avenue is equipped with an emergency alarm system. The building has two emergency exits that are clearly marked. Please familiarize yourself with their location.

If there is a fire alarm, please remain calm and listen for an announcement from the building's Fire Safety Director. The Institute staff will provide instructions in addition to the broadcast announcement. If instructed to evacuate, leave the building by the nearest emergency exit, as quickly and calmly as possible. Do take your personal belongings if close by.

In the event of an emergency at 570 Lexington Avenue initial contact should be made with the Administrative staff. Staff will contact the appropriate authorities and services. If the administrative staff is unavailable, dial **911**.

INSTITUTIONAL POLICIES

Family Educational Rights and Privacy Act (FERPA)

The Institute abides by the Family Educational Rights and Privacy Act (FERPA) of 1974, a federal law that protects the privacy of student education records by limiting disclosure of information and establishing the right of students to review their records and to correct inaccurate or misleading information. Normally, written consent by the student is required in order to release any information from that student's record.

In emergencies or issues involving health and safety, the Institute is allowed to disclose, without student consent, education records and health information to law enforcement officials, public health officials and trained medical personnel. The Institute may also release information to officials of other colleges and universities in which a student is seeking to enroll, to accrediting organizations, to authorized representatives of the US Department of Education, to parents of students listed as dependents for Federal Tax purposes, and the like.

Below is a list of Institute policies and procedures for Faculty to follow as they relate to FERPA:

Internal Student Directories

It is permissible under the FERPA statute to disclose "directory" information (the student's name, date of birth, local and home address (if different), email address, cell number, field of study, and dates of attendance) unless a student requests an exception; any request for directory information should be referred to the Registrar. It is the Institute's policy to include only phone and email information in any program or Institute-wide directory, and students may choose to opt out of being listed. If any internal contact lists are created for use within an individual course, seminar or study group structure, Faculty should communicate the voluntary conditions of inclusion on the list.

Internal Access to Records / Medical Records

Higher education institutions must use "reasonable methods" to ensure that Faculty members and other school officials obtain access to only those education records – paper or electronic – in which they have legitimate educational interests. Access restrictions are part of the basic security functions embedded in CAMS, the student information system, and are addressed further by a secure document filing system which allows for access to those with a legitimate need for access. Normally, Faculty will have access only to course-specific data (grades, letters of recommendation written for students, etc.); under certain circumstances (such as if a Faculty member is asked to serve on a review committee), exceptions may be made by the Program Director or Institute Director.

The Institute asks students to voluntarily provide Student Services staff with information about medical

conditions or physical restrictions; this information is particularly important during study travel. These records are also protected under the terms of FERPA.

Court Orders and Law Enforcement Officials

If a Faculty member is confronted by law enforcement officials or presented with a court order seeking information about a student, either on site at the Institute or on a study trip, he/she should immediately refer the officials to the Institute Director who will consult legal counsel to determine the appropriate form of compliance. Faculty should not contact a student regarding any legal matter.

Americans With Disabilities Act (1990) Compliance

The Institute is committed to providing equal employment practices and educational opportunity for persons with disabilities in compliance with Section 504 of the Rehabilitation Act of 1973, Title II of the Americans with Disabilities Act (ADA) of 1990, and state and local laws and ordinances. An individual is considered to have a disability if he/she has a physical or mental impairment that substantially limits one or more major life activities, has a record of such impairment, or is regarded as having such impairment.

To be protected by the ADA, a person must not only be an individual with a disability, but he/she must be qualified. For Faculty, a qualified individual with a disability is a person who meets the job requirements and can perform the essential functions of the position with or without a reasonable accommodation. For students, a qualified individual with a disability is a person who with or without reasonable accommodations meets the essential eligibility requirements for the receipt of services or the participation in programs or activities provided by the Institute.

The ADA requires reasonable accommodation be provided to qualified individuals with known disabilities unless the accommodation would impose an undue hardship. A reasonable accommodation is any modification or adjustment in policies, practices or procedures, etc. that makes it possible for a qualified individual to enjoy equal employment and/or educational opportunity. Reasonable accommodation also includes adjustments to ensure that a qualified individual with a disability has rights and privileges equal to those of nondisabled employees or students.

The Department of Human Resources at CIG has been designated to coordinate Faculty (and all employee) requests for workplace accommodations. It is the Faculty member's responsibility to request accommodation. The Institute may require written documentation from the health provider with knowledge of the Faculty member's limitations. If a request for accommodation is approved, arrangements for implementation of the accommodation will be made by the Institute's Director or her designee. If a Faculty member requests and is granted an accommodation, it is his or her responsibility to report changes in his or her ongoing need for accommodation.

The Institute has an internal grievance procedure providing for prompt resolution of complaints alleging violation of the Institute's policies, including the ADA policy. If Faculty have concerns regarding denial of a

reasonable accommodation or the specific accommodation selected by the Institute, they are encouraged to review the process with the Director.

Policy Against Harassment

It is the policy of the Institute to maintain a work place that is free from harassment and intimidation of any kind. Harassment consists of unwelcome conduct whether verbal, non-verbal or physical, that threatens, intimidates or coerces, or conduct based on gender, race, national origin, age, disability or appearance, sexual orientation, gender identity or religion. Verbal harassment includes but is not limited to unflattering comments, epithets, slurs, taunting, and negative stereotyping. Non-verbal harassment includes but is not limited to the distribution, display or discussion of any written or graphic material that ridicules, denigrates, insults, belittles or shows hostility or aversion towards an individual or group.

A subset of harassment is sexual harassment. It is illegal and strictly against the Institute's policy for any employee, male or female, to harass another individual by making or subjecting that person to unwelcome sexual advances or unwelcome requests for sexual favors, or to engage in any unwelcome or other verbal or non-verbal or physical conduct of a sexual nature that is persistent and offensive, where submission to such conduct is made either explicitly or implicitly a condition of an individual's employment, or submission to or rejection of such conduct is used as the basis for an employment decision affecting the individual exposed or subjected to such conduct, or if such conduct has the purpose or effect of interfering with an individual's work performance or creating an intimidating, hostile or offensive work environment. This includes but is not limited to the distribution, display or discussion of any written or graphic materials that have a sexual overtone.

The Institute will not condone or tolerate the harassment/sexual harassment of its employees by co-workers, managers, or any other individual under its control or by persons with whom the Institute does business. All employees, regardless of position or title, will be subject to severe discipline, up to and including discharge, should the Institute determine that the employee has engaged in the harassment/sexual harassment of another individual. The Institute will promptly and thoroughly investigate the facts and circumstances of any claim of harassment/sexual harassment.

If an employee feels that he/she is being subjected to harassment, including sexual harassment, the employee should initially request the person or persons that he/she perceives to be harassing/sexually harassing him/her to stop. If this response is unsuccessful and the harassment continues, or if the employee prefers not to discuss the matter directly with the person he/she perceives as the offender, the situation and all concerns should be reported to the Institute Director immediately. (An employee may also choose to discuss the matter with a staff member in the Department of Human Resources at CIG.)

There are additional standards for conduct among members of an academic institution's community. Although the Institute does not wish to discourage collegial relationships, members of the Faculty must recognize the professional responsibility that they have for students' education and the considerable power that they have over students' academic and professional careers. As a result, standards for relationships between Faculty and students and between members of the Institute community must be more restrictive than those that pertain to employees.

In an educational institution, in situations where colleagues, co-workers, teachers and students work together as equals, and where the atmosphere is collaborative, there will be a tendency to ignore distinctions and to behave as if they do not exist. Particularly in the case of Faculty and graduate students, it may be easy to ignore differences in responsibility and power. But even in the case of more mature or non-traditional students, teachers have power and authority over all students; this asymmetry should be acknowledged and respected.

Faculty members and administrative staff should be aware that any romantic involvement with students is inappropriate. Discretion should be used in the course of social contact in non-learning environments, as well. These involvements negatively affect the community. Suspicions of favoritism may arise that affect the academic and/or work environment; there may be the appearance of exploitation even if the relationship is consensual. In addition, there is always the possibility that relationships that begin consensually will be subject to misinterpretation and that after they end, the Faculty or staff member will be vulnerable to accusations and recriminations.

At the same time as we respect the differences in our roles, we want to sustain a collegial atmosphere so that our mission -- the process of education -- can flourish. At no point, however, should the freedom, openness, and collegiality of the Institute permit an abandonment of responsibility.

Equal Opportunity and Affirmative Action

The Institute is an equal opportunity/affirmative action employer. It is the policy of the Institute that no person either employed by or seeking employment with the Institute shall be discriminated against by reason of race, color, religion, gender, sexual orientation, gender identity, ancestry, national origin, status as an individual with a disability or protected veteran and past and present members of the uniformed services and applicants to the uniformed services.

With regard to students, it is the policy of the Institute to provide access to the benefits and services of the Institute without regard to race, color, religion, gender, sexual orientation, gender identity, ancestry, national origin, status as an individual with a disability or protected veteran and past and present members of the uniformed services and applicants to the uniformed services. This commitment includes, but is not limited to:

- Admissions
- Course Offerings
- Financial Assistance/Scholarships
- Student Employment and Internships
- Social and Recreational Programs

The Institute is committed to promoting equal opportunity and pursuing a continuing program of affirmative action. The administration will continue to make thoughtful and equitable efforts to correct any imbalances where particular groups of employees or students are not adequately represented on the staff and in the student body.

Policy on Academic Freedom

The Institute respects the principle of academic freedom for its Faculty, students, and all members of its community. The Institute subscribes to the American Association of University Professors' 1940 Statement of Principles on Academic Freedom:

1. Teachers are entitled to full freedom in research and in the publication of the results, subject to the adequate performance of their other academic duties; but research for pecuniary return should be based upon an understanding with the authorities of the institution.

2. Teachers are entitled to freedom in the classroom in discussing their subject, but they should be careful not to introduce into their teaching controversial matter which has no relation to their subject. Limitations of academic freedom because of religious or other aims of the institution should be clearly stated in writing at the time of the appointment.

3. College and university teachers are citizens, members of a learned profession, and officers of an educational institution. When they speak or write as citizens, they should be free from institutional censorship or discipline, but their special position in the community imposes special obligations. As scholars and educational officers, they should remember that the public may judge their profession and their institution by their utterances. Hence they should at all times be accurate, should exercise appropriate restraint, should show respect for the opinions of others, and should make every effort to indicate that they are not speaking for the institution.

Faculty Grievance Policy

The Institute is committed to creating and maintaining a community where students, faculty, administration, and staff can work together in an atmosphere of mutual respect. The intent of the Faculty Grievance Policy is to facilitate the maintenance of such a community by providing a procedure for the expression, investigation and resolution of grievances in a timely manner and confidentially.

The Faculty Grievance Policy applies to faculty grievances relating to allegations of violations of Institute policies and procedures or of the fundamental principles of academic due process with respect to the rights of that person.

The Faculty Grievance Policy does not apply to complaints related to harassment which is addressed and outlined separately in this handbook. The Faculty Grievance Policy also does not apply to any claims against the Director of the Institute, which should be lodged with the Vice President of Human Resources, CIG or with the CEO of CIG Education Group.

PROCEDURES

All grievances must initially be raised informally. If the grievance is not resolved during the informal review, a formal review may follow.

Informal Review

- During an informal review, the individual discusses their grievance informally with the faculty or staff member involved.
- If the grievance is resolved to the satisfaction of the complainant, they must communicate the resolution reached in writing to Human Resources within 2 business days; no further action is necessary.
- If the grievance is not resolved to the satisfaction of the complainant, they may request a formal review (see below).
- An informal review of the grievance must be conducted before proceeding to a formal review, except as set forth below.

Formal Review

- If the grievance is not resolved informally to the satisfaction of the complainant, the individual can proceed to a formal review.
- The complainant should contact Human Resources and provide a formal written complaint which will serve as the basis for further consideration. The complaint should include a description of the alleged wrong, a summary of the attempt to resolve the issue informally, and the relief or remedy sought.

- The head of Human Resources will conduct an investigation based on the facts presented in the formal complaint and notify the complainant of the results of the investigation as soon as is practicable. This will typically involve conversations with both complainant and the target of the complaint.
- If the complainant is not satisfied with the outcome of the investigation, s/he may ask the head of Human Resources to submit the grievance to the Director of the Institute.
- As soon as is practicable after receipt of the request for further review from head of Human Resources, the Director will render a final decision which will be conveyed in writing to the complainant.

Timelines

Grievances will be processed as quickly as possible. Faculty should initiate an informal review within two weeks of the incident that triggered the grievance. If the faculty member is unable to arrange this informal review within two weeks of the incident, they may request a formal review by contacting Human Resources, explaining the reason for the request. The head of Human Resources may grant the request or allow more time for informal review, based upon the facts presented in the request.

Formal reviews may take up to six weeks to conduct. Either party may request an extension of the processing time, in writing, to head of Human Resources, explaining the reason for the request. The head of Human Resources may grant or deny the request, based upon the facts presented.

The Institute will make all reasonable efforts to ensure the confidentiality of all proceedings, and the records produced therefrom. However, should any matter developed during the course of the proceedings become public knowledge, the Institute reserves the right to issue appropriate statements.

Intellectual Property Policy

The Institute supports the open exchange of ideas and encourages creativity and innovation in the development of courses and programs. In that context, the Institute affirms its commitment to the personal ownership by its Faculty members and students of the intellectual property rights in the works they create. The purpose of this intellectual property policy is to provide guidance to the Institute community as to the ownership of materials developed and used in connection with all its educational programs. The principles are intended to evolve in response to new situations presenting themselves and will therefore change from time to time.

Under the Institute's intellectual property policy, the Institute shall have a nonexclusive, perpetual, royalty-free, worldwide license to use works created by its students and Faculty for certain purposes outlined below.

Ownership of Works

Faculty

Members of the Faculty own the original courseware that they create for classes that they teach. Courseware includes materials prepared for use in or in connection with the class such as the individual syllabus, course packs, assignments, articles, class presentations, etc. Members of the Faculty own lecture notes and other original works they create for a class.

If a Faculty member leaves the Institute and subsequently teaches at another institution, the Faculty member may take the original courseware as well as the original works with him or her.

The members of the Faculty do not own the curricula prepared with or for their applicable department, program or the Institute as a whole. Curricula refer to the organization of academic classes and requirements and goals for departments, programs and the Institute as a whole.

Students

Students own the original work that they create in or for a class, although they may not own the part of their works that contain any third party copyrighted materials or materials that contain the intellectual property of others.

Students must obtain third party consents where required by law or best ethical practice in the event of the use of copyrighted materials or materials that contain the intellectual property of others.

Members of a team of students that creates an original work in or for a class jointly and equally own that work.

The Institute

The Institute owns the curricula of the programs offered at the Institute.

The Institute has a nonexclusive, perpetual, royalty-free worldwide license to use the courseware developed by the Faculty members in connection with its educational activities. The Institute may in its discretion alter, add to or otherwise change such courseware in keeping with its educational purpose.

The Institute has a nonexclusive, perpetual, royalty-free worldwide license to use the work of its students in

connection with publicity and promotion.

When using works pursuant to this license, the Institute will make reasonable efforts to display indicia of the authorship of a work. The license shall be presumed to arise automatically, and no additional formality shall be required.

Attribution

When Faculty or student works are copied and/or distributed and/or displayed by the Institute, attribution should be given in writing to each Faculty member or student author and/or member of a team of students that created the work.

If needed, principles will to be developed to cover the following situations:

- Works created in or for internships
- Works created in connection with class sponsorship by businesses or other organizations
- Requests for interpretation/grievances

Social Media Guidelines

Social Media are powerful communication tools for sharing information and exchanging thoughts, ideas, news, events and experiences. Social Media also have the potential to create a significant impact on organizational and professional reputations. Best practice guidelines have been compiled to help Faculty and staff participate in Social Media, and to provide suggestions for creating a successful, productive presence in the online social space.

These guidelines are meant to apply only to Sotheby's Institute of Art media vehicles, those used by the Institute for purposes of teaching and learning as well as for promotion, public relations and marketing. Faculty members' personal accounts and activities are not intended to be subject to these guidelines, although many of them may be germane and helpful.

Faculty members are encouraged to use the information below as a baseline standard for generating content in the social sphere, but the list is by no means exhaustive.

- Trademark and copyright laws still apply in the online social sphere. Cite and link to sources when possible.

- Be aware of liability. Each Faculty member is responsible for the content he or she posts online. Whatever is published can be public for a long time. Faculty members must protect privacy and reputation.
- Posting photos or videos of people without their permission can be a breach of privacy rights. Note that the Institute requires all students to complete a photo and video release form upon enrollment. If a Faculty member captures photos or footage of non-students, including alumni, guest lecturers, etc., their permission must be granted before their images are posted online.
- Maintain confidentiality. Faculty members may not post confidential or proprietary information about the Institute, its students, alumni or other Faculty members.
- Faculty members must not endorse or align the Institute with any product, vendor or site without permission.

Family and Medical Leave Policy

The Institute recognizes that circumstances may arise in which employees find it necessary to be absent from work for an extended period of time due to illness or injury or to care for a family member with an illness or injury. The Institute complies with all requirements of the Family and Medical Leave Act (FMLA) of 1993 and all applicable state laws.

The FMLA entitles eligible employees to take unpaid, job-protected leave for specified family and medical reasons with continuation of group health insurance coverage under the same terms and conditions as if the employee had not taken leave.

Eligible employees are entitled to 12 workweeks of leave in a 12 month period for:

- the birth of a child and to care for the newborn child within one year of birth
- the placement with the employee of a child for adoption or foster care and to care for the newly placed child within one year of placement
- to care for the employee's spouse, child, or parent who has a serious health condition
- a serious health condition that makes the employee unable to perform the essential functions of his or her job
- any qualifying exigency arising out of the fact that the employee's spouse, son, daughter, or parent is a covered military member on "covered active duty"

In addition, eligible employees are entitled to 26 workweeks of leave in a 12 month period to care for a covered service member with a serious injury or illness who is the spouse, son, daughter, parent, or next of kin to the employee (military caregiver leave).

Application of the FMLA can also be affected by the Consolidated Omnibus Budget Reconciliation Act of 1986 (COBRA), the Americans with Disabilities Act of 1990 (ADA), the Uniformed Services Employment and Reemployment Rights Act (USERRA), the National Defense Authorization Act (NDAA) and the Health Insurance Portability and Accountability Act (HIPAA).

For additional information or to apply for FMLA, contact the Human Resources Department at CIG.

Policies in Compliance with Federal and New York State Law:

General Provisions

The Institute's Student Code of Conduct is a guide to the expectations regarding individuals' conduct within the community. The Student Code of Conduct holds students of and visitors to the Institute to a high standard of behavior, both to protect the campus community, and to promote consideration and respect for individuals of our community in support of the mission of the Institute.

The following rights and expectations apply to all students at Sotheby's Institute of Art:

- Students have the right to freedom of inquiry, and are expected to know and adhere to the Student Code of Conduct and other Institute Policies.
- Students have the right to freedom of expression, and are expected to exercise regard for the rights and sensitivities of others.
- Students have the right to freedom of discussion, and are expected to engage in respectful discourse, accepting others' rights to diverse opinions.
- Within the framework established in the rules and regulations of this code, an individual is as free as possible to conduct his or her own academic and non-academic life making decisions in acceptance of responsibility should such choices violate these regulations.
- Students are required to engage in responsible social conduct that reflects positively upon the Institute and to model good citizenship in any community. Any student found to have behaved or to have attempted to behave in any way that violates this code of conduct is subject to disciplinary processes and sanctions.

Advisory Committee on Campus Security

The Advisory Committee on Campus Security is comprised of a minimum of six members, at least half of whom are female: one third of the committee is comprised of students appointed by the Associate Director for Student and Academic Services, one-third being faculty appointed by the Director, and one-third being administrators appointed by the Director.

The Committee reviews current campus security policies and procedures on an ongoing basis and makes recommendations for their improvement. It specifically reviews current policies and procedures for:

- educating the campus community about personal safety and crime prevention
- educating the campus community, including security personnel and those persons who advise or supervise students, about sexual assault
- reporting sexual assaults and dealing with victims during investigations
- referring complaints to appropriate authorities
- counseling victims
- responding to inquiries from concerned persons

The committee reports in writing to the Director on its findings and recommendations at least once each academic year; the report is available upon request.

Students' Bill of Rights

All students have the right to:

- Make a report to local law enforcement and/or state police;
- Have disclosures of domestic violence, dating violence, stalking, and sexual assault treated seriously;
- 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 Institute;
- Participate in a process that is fair, impartial, and provides adequate notice and a meaningful opportunity to be heard;
- Be treated with dignity and to receive from the Institute referrals to courteous, fair, and respectful health care and counseling services, where available;
- 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;
- Describe the incident to as few Institute representatives as practicable and not be required to unnecessarily repeat a description of the incident;
- Be protected from retaliation by the Institute, any student, the accused and/or the respondent, and/or their friends, family, and acquaintances within the jurisdiction of the Institute;
- Access to at least one level of appeal of a determination;

- Be accompanied by an advisor of choice who may assist and advise a reporting individual, accused, or respondent through the judicial or conduct process including during all meetings and hearings related to such process; and
- Exercise civil rights and practice of religion without interference by the Institute.

Policies and Procedures Concerning Sexual Assault, Stalking and Domestic and Intimate Partner Violence Against Students

The Institute seeks to create and maintain a safe environment in which all members of the community – students, faculty and staff – can learn and work free from the fear of sexual assault and other forms of violence. This policy is specifically directed towards sexual assault, domestic and intimate partner violence and stalking of students on and off-campus.

The Institute wants any victim of sexual assault, stalking and domestic, and intimate partner violence to know that the Institute has access to professionals and law enforcement officers who are trained in the field to assist in obtaining help, including immediate medical care, counseling and other essential services. If the alleged perpetrator is also a member of the Institute community, the Institute will take prompt action to investigate, and, where appropriate, to apply discipline and sanctions. The Institute urges all victims to seek immediate help in accordance with the guidelines set forth in this policy, with the assurance that all information received from a complaint will be handled as confidentially as possible.

The Institute is committed to the following goals:

- Providing clear and concise guidelines for students in the event that they or someone they know have been the victim of sexual assault, domestic/intimate partner violence or stalking.
- Assisting victims of sexual assault or abuse in obtaining necessary medical care and counseling, whether on or off-campus.
- Providing access to the most comprehensive and up-to-date education and information to its students on how to identify potential situations that involve sexual assault, domestic and intimate partner violence, or stalking, and ways to prevent these forms of violence.
- Educating and training all staff members, including faculty and student affairs staff, to assist victims of sexual assault, domestic/intimate partner violence, or stalking, and ways to prevent these forms of violence. To this end, all Faculty will be required, pursuant to New York State law, to complete an online Sexual Assault Awareness and Prevention training course.
- Ensuring that appropriate investigative, and if conclusive, appropriate disciplinary procedures are followed in the event that the alleged perpetrator is an Institute student or employee.

The Institute urges any individual who has been the victim of a sexual assault or other act of violence or abuse, or any student or employee who has witnessed a sexual assault or other act of violence against a

member of the community, immediately to report the incident. Students should report any incidents to the Associate Director of Student and Academic Services if the attack occurred on-campus, or to call 911 or go to the local NYPD precinct if the incident took place off-campus. Staff and faculty should contact the Director.

Campus Crime Reporting

Sotheby’s Institute of Art is required to report the number of occurrences of specified offenses for the three prior years, in compliance with the Jeanne Clery Disclosure of Campus Security Policy and Crime Statistics (the “Clery Act”), as amended. These statistics are compiled by the Director in cooperation with local law enforcement agencies.

The most recent report follows:

Crime Occurrences	2015	2016	2017
Murder	0	0	0
Robbery	0	0	0
Aggravated Assault	0	0	0
Burglary	0	0	0
Motor Vehicle Theft	0	0	0
Sexual Offenses Forcible	0	0	0
Sexual Offenses Non-Forcible	0	0	0
Number of Arrests	0	0	0
Liquor Law Violations	0	0	0
Drug Abuse Violations	0	0	0
Weapons Possessions	0	0	0

Investigation of Violent Felony Offenses

The Institute provides a plan for the investigation of any violent felony offenses occurring on campus, and for the investigation of Missing Students. Such plans provide that the investigation of such crimes and reports reside with the New York City Police Department (NYPD). The contracted security guards for 570 Lexington Avenue are also part of the team of investigators who take part in the coordination of investigation of any crimes on Institute premises.

Violent Felony Offenses are defined in Section 70.02 sub. 1 of the New York State Penal Law. These crimes will be immediately reported to the New York City Police Department by the Director of the Institute. A joint initial investigation will be conducted and then a follow up investigation will be conducted by the appropriate unit of the New York City Police Department. The police department will carry out appropriate investigative

procedures, will determine the most efficient manner of continuing the investigation and shall provide mutual assistance when requested. The Institute's administration will be kept informed and will be updated on developments and outcomes.

Missing Student: When a report of a missing student is received either by the Institute or the NYPD, the first one contacted will conduct a preliminary investigation in order to verify the complaint and to determine the circumstances. If the student's absence is verified, the incident will be reported and shared between the Institute and the NYPD. Both will continue the investigation to locate the missing student. If, after further investigation, the missing student is not located, both the Institute and the NYPD will determine the most efficient manner of continuing the investigation. In any event, information relating to any report of a missing student shall be shared by both parties no later than twelve (12) hours from the time of the initial report. If the missing student is located or returns to the Institute at any time after the matter has been reported, each party shall notify the other immediately.

Security Officers

The private security guards employed by the building management of 570 Lexington Avenue, where the Institute's NY campus is located, provide essential security services outlined in section 611 of the laws of 1995.

The campus of the Institute is one block away from the NYPD 17th Precinct located at 167 East 51st Street.

Hate/Biased-Related Crime Prevention Information

A hate/bias-related crime is an offense committed against another person because of a belief or perception regarding the other person's race, color, national origin, ancestry, gender, age, disability, religion or religious practice, gender identity or sexual orientation, regardless of whether the belief or perception is correct. A hate/bias-related crime is also committed when a person intentionally engages in a specified offense such as murder, assault, kidnapping, stalking, harassment, arson, robbery, vandalism, or other crimes against another person because of a belief or perception regarding the other person's race, color, national origin, ancestry, gender, age, disability, religion or religious practice, gender identity or sexual orientation, regardless of whether the belief or perception is correct.

Penalties of hate/bias-related crimes are very serious and range from fines to imprisonment for lengthy periods, depending on the nature of the underlying criminal offense, the use of violence or previous convictions of the offender. Hate/bias crime incidents that rise to a felony level are reported to the local law enforcement authorities. Sanctions imposed by the Institute may include, but are not limited to, disciplinary probation, suspension, expulsion, criminal prosecution, and civil prosecution depending on the severity of the crime.

A student who believes that s/he has been a target of a bias-related crime is encouraged to immediately report the incident to the Associate Director, Student and Academic Services, who will confer with the Director. The incident will be reviewed with the assistance of the Institute's General Counsel, investigated, and a determination made as to how the allegation will be handled.

Students are informed about crime prevention measures through the New Student Orientation Program and communications from the Director.

On-Campus Marketing of Credit Cards to Students

Sotheby's Institute of Art prohibits the advertising, marketing, or merchandising of credit cards on campus to students. This includes posting or distribution of applications, fliers, posters, handbills and signage (electronic or otherwise) in Institute facilities. The Institute's e-mail system or web pages may not be used for advertising or solicitation of credit cards to students.

No campus employee, student group, or campus department may accept financial support or other goods and services from credit card issuers or vendors in exchange for allowing them to market credit cards to students.

Notification of Fire Safety Standards and Measures

The Institute does not provide college-owned or college-operated housing. However, the Institute does have an Emergency Action Plan in place and the owner of the building housing the Institute has filed a "Fire Department of NY-accepted Combined Fire Safety and Evacuation plan" for tenants of 570 Lexington Avenue. The plan sets forth the circumstances and procedures for the sheltering in place, in-building relocation, partial evacuation or evacuation of building occupants in response to a fire, and to a non-fire-related emergency involving an explosion, biological, chemical, radiological, or nuclear incident or release, natural disaster, or other emergency condition in or close to the building.

The information contained in the building's EAP serves as a guide for emergency responders, building staff and tenants to follow should an emergency require an evacuation, in-building relocation or shelter-in-place to be implemented to ensure the safety of building occupants.

The plan is designed to provide guidelines and directions for building staff and occupants to follow that will allow for:

1. Quick and efficient responses to an emergency situation (fire or non-fire)
2. Consistent emergency response to an incident regardless of the time or day or the number of persons present
3. Developing situation to be addressed before it progresses to the emergency or crisis level

4. The Fire Safety/EAP Director to implement a response in the event of a fire in the building or whenever he/she becomes aware of a threat to the health and safety of building occupants
5. Involvement of wardens and deputy wardens and searchers to assist building personnel to address a fire and non-fire emergency situation

The entire building is equipped with an automatic sprinkler system designed to discharge water when the effects of a fire have been detected. In general, sprinkler heads are located in each space of the building. The building is also equipped with an automatic fire alarm system designed to detect a fire by monitoring the presence of smoke and/or heat. Smoke and/or heat detectors are located in each space of the building. The fire alarm system can also be manually actuated by pulling a fire alarm pull station. Fire alarm pull stations are located throughout the building at or near exits.

There are two fire exits on each floor; one exit being a fire-tower exit. The location of the emergency exits and stairwells is clearly marked in the elevator lobby and in the EAP. The Institute's 6th and 15th floors are equipped with portable fire extinguishers.