

# Sotheby's

## INSTITUTE OF ART

NEW FACULTY HANDBOOK 2020-2021

MASTER'S DEGREES | GRADUATE CERTIFICATE PROGRAMS

[SOTHEBYSINSTITUTE.COM](https://sothebysinstitute.com)

MASTER'S DEGREES | GRADUATE CERTIFICATE PROGRAMS (updated January 18, 2021)

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## **INSTITUTIONAL INFORMATION**

### **ABOUT THE INSTITUTE**

For more than 50 years, Sotheby's Institute of Art has been providing the academic training and professional toolkit to help prepare students for pursuing 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 more than 8,000 alumni worldwide, working across all areas of the art industry.

### **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.

### **Diversity & Inclusion**

Sotheby's Institute of Art welcomes and strives for diversity—including but not limited to race, class, gender, sexual orientation, socio-economic background—in our student body, faculty, and staff in order to foster an inclusive educational community with a wealth of perspectives and experiences, and to cultivate a multi-faceted, global professional network that will better serve our students and alumni as cultural stewards and international art market leaders.

### **ACCREDITATION AND AUTHORIZATION**

Sotheby's Institute of Art - New York is accredited by the National Association of Schools of Art and Design (NASAD) and holds permanent degree-granting authority from the Board of Regents of the University of the State of New York.

### **ORGANIZATIONAL STRUCTURE**

The Institute has the benefit of both a dedicated administrative and academic staff and the resources of its corporate parents, Cambridge Information Group (CIG) and BrandEd. The Institute is governed by a Board of Directors, managed by its Faculty and administration and supported by CIG and BrandEd'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 CEO/Director of Sotheby's Institute of Art is the Chief Administrative and Academic Officer of the Institute, to whom the Faculty and administration report. She reports to the CEO of BrandEd at CIG Education Group.

Board Members 2020-2021 are:

Robert N. Snyder, Chairman, Cambridge Information Group

Andrew M. Snyder, CEO, Cambridge Information Group

Michael Chung, CEO, BrandEd at 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 CEO/Director of Sotheby's Institute of Art is the Chief Administrative and Academic Officer; she reports to the CEO, BrandEd/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.

Program Management is handled by experienced academic managers and coordinators who 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 Administration comprises Student & Academic Services, Career Services, Alumni Services, Registrar, and Office Services. The Director of Administration oversees the above administrative departments and is responsible for ensuring the Institute meets accreditation and regulatory guidelines and is also the Title IX Deputy Coordinator.

The Director of 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. She is also 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. The Director also provides support for program-related special events both on and off campus and is the campus Title IX coordinator. The Director is also the international student advisor with recognition from the Department of Homeland Security.

The Registrar is responsible for maintaining all academic record storage, the course schedule, registering of students and conferring of degrees. The Registrar also advises on policy as it relates to any above responsibilities and works closely with Student Services and Finance. The Registrar is also a SEVIS DSO.

The Director of Career Services provides programming, coaching and support for students and alumni. 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. An Alumni and Employee Relations Coordinator will provide support in this area.

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 Finance Department 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. This department also serves as a Bursar, managing the billing and receiving for all student tuition payments, as well as financial aid.

The Non-Degree department comprises Online, Summer Institute, Pre-College, and Special Programs (e.g. Ewha, KAMS, CENTRO, etc.)

## **CAMBRIDGE INFORMATION GROUP & BRANDED SHARED SERVICES**

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

Michael Chung, CEO, BrandEd at CIG Education Group

Jonathan Friedlander, VP, Global Enrollment and Marketing, BrandEd

Colleen Kearney, Senior VP and General Counsel, BrandEd

Netra Macon, Director, Human Resources, BrandEd

Kim Steele, VP, Information Technology

Allegra Smith, VP, Digital Learning

**ACADEMIC INFORMATION**  
2020-21 ACADEMIC CALENDAR

<b>Fall 2020</b>	
September 3	New Student Orientation
September 7	Labor Day Holiday
September 8	Fall Semester Begins
September 15	Last day to Drop/Add
September 17	Constitution Day Seminar
October 2	Last day to withdraw with "W" grade
<b>October 23</b>	<b>MID POINT GRADES DUE</b>
November 26-27	Thanksgiving Break ( <b>Student Break 25-27</b> )
December 11	Last day of Fall lectures
December 14-18	Finals Week
December 18	Last Day of Fall Semester
December 24–Jan 1	Office Closed [Holiday - Winter Break]
<b>January 5, 2021</b>	<b>FINAL GRADES DUE</b>
<b>Spring 2021</b>	
January 18	MLK Day (School Closed)
January 25	Spring Semester Begins
February 1	Last day to Drop/Add class
February 15	Presidents' Day (School Closed)
February 22	Last day to withdraw with "W" grade
<b>March 19</b>	<b>MID POINT GRADES DUE</b>
<b>March 22-26</b>	<b>Reading Week</b>
<b>March 29 – April 2</b>	<b>Spring Break</b>
May 7	Last day of Spring Lectures
May 11-14	Finals Week
May 14	Last Day of Spring Semester
<b>May 21</b>	<b>FINAL GRADES DUE</b>
TBD	Graduation Ceremony

Revised as of 1/11/21

## **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 additional coursework along with a capstone project 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. Credit hour systems are based on the Carnegie Unit and one hour of credit represents 50 minutes 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 provide documentation of 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. Substitutions are not final until approved by the Program Director and Registrar. 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, Tsinghua University, and ESCP - Paris.

### **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 ABROAD**

Students in good academic standing are eligible to enroll at either the Sotheby's Institute of Art London campus or at any of our 3<sup>rd</sup> semester partner institutions. 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 and language requirements if applicable 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, all MA students 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. More detailed specifications about the Master's Project or Thesis can be found in the Master's Project and Thesis Handbook. This document is distributed to Master's Project faculty and can be found in the Resource Center for Faculty and Staff in Canvas.

## **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 and specifying how 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 virtual or in-person site visits and to participate fully in all virtual or in-person 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). Students who miss a class are responsible for making up any missed work and must comply with deadlines as scheduled.

Remote instruction does not change the attendance policy, but the following is the attendance policy distributed to students, specific to fully remote learning during the 2020-2021 academic year.

#### SIA NY MA REMOTE ATTENDANCE POLICY

Attendance will be marked present only if (\*with exception of technical difficulties):

1. Use **SIA email address** for all SIA courses and correspondence.
2. Use your **NAME** as it appears in Registrar forms, or let Registrar know your alternate names.
3. You will be marked present for class if:
  - o Log in synchronously and be present for **100% of the class time**.\*
  - o If the class falls outside of the 6:00 – 22:30 window in your time zone, you must watch the uploaded lecture and course material within 72 hours and email your faculty member you have completed this process.
  - o Optional electives may be attended asynchronously if it requires you to start before 6:00 and you have a required late class the previous night.
  - o Should you need to leave class early for an extenuating circumstance please email your faculty member to let them know and make-up missed material.
4. Students should not exit and re-enter Zoom sessions. Keep in mind this is very disruptive for the instructor and other students and is very noticeable to everyone in the session. Turn off your video, but do not leave session, if you need to exit and re-enter.\*
5. If you are having tech issues, please use the IT chatbox in Canvas or email [ithelp@sothebysinstitute.com](mailto:ithelp@sothebysinstitute.com).
6. If you have technical related difficulties logging in or get dropped from a session, after being in contact with IT, email your instructor to let them know.

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 enter it into Canvas.

Please see the instructions in [Canvas](#) for how to [track attendance in Zoom](#) and record attendance in Canvas. The [Canvas Resource Center for Faculty and Staff](#) (that all faculty are added to) provides extensive support resources for remote instruction and we encourage you to review. The MA Program Management team led by [Cindy Qiao](#) are also happy to provide support related to taking attendance and many other remote teaching features.

### **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.

Timed exams are not permitted in a remote learning environment. Group interaction and discussion is encouraged in remote learning; however, graded group work is discouraged due to the varying time zones and challenges of communicating in real time across multiple time zones.

## 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	% EQUIVALENT	DESCRIPTION
A	4.0	93-100	Work of exceptional quality
A-	3.7	90-92	Work of high quality
B+	3.3	87-89	Very good work
B	3.0	83-86	Good work; satisfies course requirements

*Satisfactory completion of course is considered to be a grade of B or higher.*

B-	2.7	80-82	Below average work
C	2.0	70-79	Insufficient work; lowest possible passing grade
P	0.0		Pass (credits count toward degree)
F	0.0	0-69	Failure
WF	0.0		Withdrawal, Failure: assigned administratively for withdrawal after the deadline or for dismissal from the Institute.

Faculty should also consult the [SIA Assignment Grading Guidelines](#).

*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 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**

Faculty should submit a mid-point grade for all students in the 7<sup>th</sup> week of the semester 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 under the direction of Student & Academic Services, to take advantage of the Institute's resources for assistance. Faculty should retain notes from the meeting and share with both the Program Director and Student Services.

### **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 2.5 semester and cumulative GPA are required to meet SAP. Student academic progress is first evaluated at mid-term during the Fall semester. If a student does not meet the minimum standard at the time of this initial evaluation, the student receives an academic warning and will be required to attend academic advising and utilize academic support services. Students who have received an academic warning will continue to be eligible for financial assistance. Students that 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 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 for the master's degree is defined as:

- Students who achieve a cumulative GPA of 2.5 or higher remain in good academic standing and are eligible to progress toward the MA degree.
- Students with a cumulative GPA below 2.5 but above 2.0 in their first term will be issued
- Students with a cumulative GPA of 2.0 or below in any semester may be dismissed pending a formal Academic Review.
- Students with a cumulative GPA below 2.5 at the end of the second semester will be subject to a formal Academic Review to determine eligibility for continued enrollment and program completion

Students must meet the attendance requirements of the Institute.

Satisfactory Academic Progress for the Graduate Certificate program is defined as:

- The above criteria apply equally to Certificate students.
- The Graduate Certificate may be awarded, following an Academic Review, if the GPA is above 2.0, if all courses and program requirements have been satisfactorily completed and a total of 30 credits have been earned.

Students that complete their course of study with a cumulative GPA below 2.0 (for Graduate Certificates) or below 2.5 (for Master's Degrees) must file a formal appeal to the Director of Student and Academic Services and Program Director for consideration of degree conferral. A degree or certificate will be awarded to such students at the discretion of the Program Director and/or the Academic Review Committee.

### **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 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 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. Accommodations can also be made to support remote learning.

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 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 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 on our website.

### **STUDENT CODE OF CONDUCT**

This 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 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, or any other characteristic protected by applicable federal, state, or local law 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 and building management policies, smoking including e-cigarettes is not permitted in the Institute's facilities, in the 570 Lexington Avenue building, or directly in front of 570 Lexington Avenue.

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.

### **Guidelines for Visiting Collections, Galleries and Museums**

While the 2020-2021 academic year will see different types of visits to collections, galleries, and museums—many of them virtual, the same policies that reinforce privacy, professionalism, and respect are applicable and students are expected to follow.

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 email system are all integral to the student and faculty 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 or faculty 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, or any other characteristics protected by applicable federal, state, or local law.

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 faculty 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**

See updates to these guidelines that reflect remote learning in the Information Technology section of the Student Handbook.

Computer usage is monitored while in physical classrooms. Typically, 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. These policy only changes in a remote learning environment to the extent that it is a little more challenging to monitor. Students are required to keep their cameras on during synchronous course meetings and engage respectfully in all presentations and discussions. Any violation of this policy will lead to students being asked to leave the class session; this will result in the recording of an absence. Repeat violations should be brought to the attention of Student Services.

### **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 Director of Student and Academic Services. Students granted permission to record lectures due to a documented disability are required to complete a permission form.

Course lectures are recorded by the Institute and posted immediately after synchronous meetings. Recordings are made available to students for the duration of the semester. See the Program Management team or more information about this.

Should any of your guest speakers have concerns about being recorded, please touch base with your Program Director and/or Program Management team to discuss. Any guest lectures not recorded must be noted in advance on your syllabus.

## **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 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 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 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 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 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 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 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 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 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 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 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 Director of Student and Academic Services within two weeks of the faculty member's response.
- The 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 Director of Student and Academic Services. The appeal must be received within two weeks of notification of the academic integrity code violation.
- The 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 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 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 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 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 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 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 Sage-Guest WiFi with a password or access key provided by the IT Department. Institute-issued devices and computers are automatically connected to the staff network. Upon request, IT may 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 only email address all staff and Faculty may 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. Faculty are

required to set up multi-factor authentication. For assistance with login issues please contact [lthelp@sothebysinstitute.com](mailto:lthelp@sothebysinstitute.com).

### **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 [lthelp@sothebysinstitute.com](mailto:lthelp@sothebysinstitute.com).

### **Canvas learning management systems (LMS)**

Canvas provides a virtual classroom environment to support teaching and learning at the Institute. Faculty are required to upload all syllabi, readings, assignments and other relevant materials to Canvas before the start of their classes and update them on a regular basis. Faculty will be given access to the Canvas LMS (<https://online.sothebysinstitute.com> or <https://sso.sothebysinstitute.com>) during the month before a semester begins to allow them to upload their course materials. All remote instruction is conducted through Canvas with the exception of synchronous meetings which will be held via Zoom. All faculty receive communications from Digital Learning about accessing and using Zoom prior to the start of classes. SIA has Zoom licensing to allow for extended meeting lengths. Please follow all IT security guidelines for using Zoom to ensure meetings are only open to SIA students and approved guests.

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](mailto:SIA-eLearning@sothebysinstitute.com)). The fastest way to receive support when teaching is to use the IT chat feature in Canvas.

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, Concur)
- 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](mailto: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, arrange course reserve shelves in the library, and, with sufficient advance notice, arrange for tours of local libraries.

Remote instruction has of course impacted visiting the library in-person, but many new and enhanced options are available to both faculty and students.

### **New Quick Guide to Online Research**

We are pleased to present a new concise **Quick Guide to Online Research** to help introduce the most powerful resources we offer to help you find a place to begin your research. This is just a place to start. The librarians are happy to guide you through this and beyond it, to all of our tools to help you succeed in your studies.

### **Additional Electronic Resources**

In addition to our subscription databases, full-text journals and articles, e-books, and other resources, please visit the resource guide we have developed for our non-degree programs for vetted lists of online resources that may be helpful in your research while this library and our sister and partner libraries are closed. <https://sia.libguides.com/c.php?g=907709&p=6536451>

We are excited to introduce **ARTBnk**, a new auction database and valuation tool that uses AI to value artworks. Please contact the librarians for login credentials to use this exciting new resource.

**Hein Online** is a subscription database currently offering a large collection of material on United States Law. This database is accessible until *December 15, 2020* by kind permission of Hein. <https://heinonline-org.ezproxy.sothebysinstitute.com/HOL/Welcome>

**The Museum Computer Network (MCN)** has assembled their "Ultimate Guide to Virtual Museum Resources, E-learning, and Online Collections" which is an excellent portal to useful (and enjoyable) online art resources: <http://mcn.edu/a-guide-to-virtual-museum-resources/>

The Watson Library at the Metropolitan Museum of Art has made .pdfs of One Star Press's collection of artists' books freely available. Explore amazing artists' books from blue chip artists here: <https://library.metmuseum.org/search~S1/?searchtype=t&searcharg=Onestar+Press+PDFs&searchscope=1&sortdropdown=-&SORT=D&extended=0&SUBMIT=Search&searchlimits=&searchorigarg=tOnestar+Press+PDFs>

### **Reference Services**

While we are physically closed, our librarians will still be available for reference interviews. Please contact them by email to set up an online or telephone appointment.

## **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:

<https://sia.libguides.com/nylibraryhome/>

## **Collection**

The Institute's library holds approximately 11,000 volumes, subscriptions to over 70 periodical titles, the last five years of auction catalogues from Sotheby's, Christie's and Phillips, and access to over 100 electronic databases and subscriptions. 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 our online library catalog available

here: <http://liberty.sothebysinstitute.com/liberty/main.do>, following Library of Congress cataloging and classification and through OCLC's WorldCat.org.

## **Library Catalog**

The Library's online catalog is shared with the London Institute's Library. Access is available on the Library website: <http://liberty.sothebysinstitute.com/liberty/main.do>

## **Subscription Databases**

The Library subscribes to over 100 databases including ebrary's Academic Complete ebooks collection (100,000+ titles), ProQuest Research Library, ArtSource, ArtBibliographies Modern, LexisNexis, ProQuest Dissertations and Theses, Art Price, Invaluable and ArtNet. The Summon discovery service allows for many of the subscription resources to be searched at once through a single search interface. All electronic resources are available offsite through the library proxy server. A full list with descriptions can be viewed or downloaded on the Library website

here: <https://sia.libguides.com/az.php?>.

## **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](mailto: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.

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 with faculty, staff, and students. All faculty are responsible for helping to support the academic and professional success of our students by contributing to a collaborative, respectful and ethical campus environment.

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 not permitted; 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 Non-Degree 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 (or equivalent of 15.0 credits); 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 MA faculty resource page in Canvas all faculty are added to).

Participation in study trips is part of the teaching workload; this will normally average 5-10 days per year. This requirement is modified in the 2020-21 academic year to prioritize the health and safety of our faculty and students. 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. 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 contract two – three months preceding the academic year for the fall semester and no later than November 15<sup>th</sup> for the spring semester. Adjunct appointments are subject to sufficient enrollment in the specific course.

### ***Workload***

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

### ***Compensation***

Adjunct Faculty are engaged as temporary 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 Resource Page in Canvas

### **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. Program Directors are appointed on an annual basis for one-year appointments.

### **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.

All teaching for the 2020-2021 academic year will be remote using Canvas, Zoom, and other collaborative working tools such as Teams. We understand there are other platforms and collaborative tools such as Slack and WeChat, we encourage you to use SIA administered platforms and accounts so that we may provide technical assistance as needed. Additionally, using SIA accounts and systems better ensures we can facilitate appropriate student engagement.

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

## **Meeting and Corresponding with Students**

Students having access to faculty and staff is an essential part of graduate school and preparation for their successful transition into the art world. We understand that as faculty you are balancing a number of responsibilities in addition to teaching. To help you manage your responsibilities and ensure all students have access and support throughout their time at the Institute each student may request up to two meetings per faculty and staff, such as the Director of Career Services. Student Services and other staff who provide support in emergency situations are available as needed.

Students are asked to schedule appointments with you ahead of time and should make use of existing office hours when possible is preferred. A calendar booking system is being introduced in spring 2021 and will be available for faculty use if requested.

Students are also reminded to adhere to good email etiquette practices and that unless their email to you is an of an urgent nature a response could take up to 72 hours especially during busy points in the semester such as midterms and finals.

Should you encounter any excessive, unusual, or inappropriate emails from students please forward emails to Student Services.

## **Representative of the Institute**

In addition to the primary responsibilities of academic instruction, Faculty act as ambassadors of the Institute and as such represent the integrity of our programs and commitment to our student's education and professional development. Faculty are asked to be mindful of the Institute's mission and stature in the larger art community as they are an integral and important component of what the Institute accomplishes.

## **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. With exception of a medical absence, any temporary absence including personal emergency or professional obligation, must be discussed with and approved by the Program Director in advance. Unforeseeable medical absences should be communicated to the Program Director as soon as is practical. Advance notice, in writing, for foreseeable medical absences must be communicated to the Program Director seven (7) days 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)

\*\*An action verb should be chosen for each outcome statement that results in a behavior that can be observed and measured. See this list of [Bloom's Taxonomy Action Verbs](#). The verbs to the right on the chart are higher level and more appropriate for graduate students. (Adapted from NYU Steinhardt office of Academic Affairs)

### **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 pre-approved by the Program Director and Director of Administration prior to the course start date. Please notify the Program Management team will work with you to facilitate paperwork and payment of all guest speakers. If subsequent opportunities arise to host a visitor, it must be approved in advance by the Program Director and Director of Administration.
- 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 the Director/CEO 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 Director/CEO and Director of Administration can authorize payment to individuals providing lectures or presentations or artist studio visits in advance. In cases where guests are not pre-approved 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). Unless under special, pre-approved, circumstances lectures including Q & A should not exceed one hour.
- 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 certificate. 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 guest speakers should be pre-approved per guidelines above. This is imperative to ensure there are no redundancies in curriculum and proper budget management.
- All visitors' names should be submitted to the Receptionist in advance to ensure that the security guard will give them access to the building or work with IT and Digital Learning as needed to ensure remote guest speakers can gain access to Zoom at the appropriate time.
- 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.
- Gifts are in the form of flowers, chocolate, wine, or books that can be shipped to the recipient. Gift paperwork and purchases are managed by the Program Management team and can provide you with further instructions...

## **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 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. Ad-hoc or subcommittees are formed as needed, usually for short-term or focused planning. Additionally, SIA NY faculty and staff members can be part of BrandEd wide committees such as the Diversity, Equity and Inclusion Council.

#### **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 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 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.

### **Diversity, Equity & Inclusion Council Representatives**

SIA-NY is committed to furthering diversity, equity, and inclusion at the Institute and in the art world overall. SIA-NY oversees efforts to diversify its curriculum, student body, faculty, and staff, as well as partnerships to augment and strengthen its diversity efforts. SIA-NY faculty and staff representatives are also active members on the larger Diversity, Equity & Inclusion Council for BrandEd which includes representatives from both SIA- NY and SIA London. The larger council supports our global perspective on unified initiatives and enables us to harness collective resources for impactful strategic planning and implementation.

### **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 speaking with the Director/CEO 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, other than teaching at another school, 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**

Please be mindful that during the 2020-2021 school year travel is restricted or extremely limited to prioritize the health and safety of faculty, staff, and students. Do not engage in any work-related travel without prior authorization from the Director/CEO. Please notify BrandEd HR of

any out-of-state personal travel you are engaging in as state and federal quarantine guidelines may apply.

Please see the [BrandEd Travel and Expense policy](#) which provides guidelines for travel. 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 and/or 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.

Please see the [BrandEd Travel and Expense policy](#) which provides guidelines and governs spending and reimbursement for accommodations and meals . As well as individual and professional travel modes.

### **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 any students 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 without compensation and without the Institute Director's approval.

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.

### **Peer Observation**

Sotheby's Institute of Art is committed to providing the highest possible teaching and learning experience for our MA students. Peer observation enables faculty to learn about another faculty member's teaching style and to contribute to building upon each other's strengths as an academic community. SIA Director/CEO and Program Director will determine who can serve as an observer. This process is meant to be informative and constructive as part of SIA's regular Fall and Spring semester internal program review process. Observations will be scheduled at least once per year per faculty member.

## **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 as

determined in the Institute's sole discretion

- 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 misdemeanor or felony, disparagement of the Institute, 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
- Discontinuance of a program or department of instruction

### ***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 Director of Human Resources, BrandEd.

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 Director of Human Resources, BrandEd.

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 Director of Human Resources, BrandEd 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 BrandEd 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 6<sup>th</sup> and 15<sup>th</sup> floors at 570 Lexington Avenue. Please note that for the Spring 2021 semester instruction is remote and the facilities are open on a limited basis. Students will have the opportunity to sign up for small group, in-person meetings under very strict guidelines to insure the SIA-NY community's health and safety. Any staff, faculty or student coming to campus must complete an online survey (e.g. [Campus Clear Survey](#)) to gain entry. Details about all COVID-19 health and safety policies can be found in the [SIA-NY Return to Campus Guide](#), posted in CANVAS and subject to regular updating. Please contact the Director of Administration should you have any questions about this information and policies.

### **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 Director of Administration.*

The Director of Administration and the Registrar have overall responsibility for scheduling and use of the facilities and for planning and providing operational support for special events. This includes oversight of the schedule for all public spaces and classrooms. The Senior Manager of MA Programs can book classrooms or conference rooms for faculty 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. Permission to host a special event must be requested by completing a Special Events form at least a month in advance of the event advance of the event. The form is available from the Director of Administration or the Associate Director of Alumni Relations.

### **Hours**

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

When not remote, 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 6<sup>th</sup> and 15<sup>th</sup> 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 6<sup>th</sup> or 15<sup>th</sup> 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 Senior Manager, MA Programs.

## **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. The Senior Manager, MA Programs can help facilitate as well.

## **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:

### ***Emergency Closings***

The Institute ensures every effort to remain open as scheduled unless hazardous conditions arise. On rare occasions, events such as inclement weather or other emergencies may disrupt normal Institute operations and information about closings and/or changes to Institute operations are posted to Canvas and sent to the Institute community via text alert. To receive emergency text alerts, students must subscribe to the system by texting 313131: SIAEMERGENCY. Additionally, students may call the SIA emergency contact number 646-438-7213. In cases of severe weather, the Institute follows the procedures issued by the New York City Department of Education.

### **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 our [website](#).

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 not 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**.

### ***Evacuation Procedures***

If instructed by Institute staff or the Fire Safety Director of the building to evacuate, please follow these procedures:

- Stay calm and walk to the nearest fire exit. There is a stairwell in the Commons (behind the IT desk) and a stairway near the individual stall restrooms near the library entrance.
- Before entering or exiting any stairway or room, feel the door with the back of your hand. If it is hot, move away from this location and exit the building via another stairway.
- Never use the elevators to evacuate a building during a fire as it might stop on the floor with the fire.
- If at 570 Lexington Avenue, proceed to the designated off-site relocation area, 3<sup>rd</sup> Avenue and 49<sup>th</sup> Street. Once off-site, check-in with a staff or faculty member and await further instruction.

Be sure to check the Announcements on Canvas or opt-in for the emergency text service for emergency updates.

### **SUSTAINABILITY**

SIA-NY is a green campus and we are committed to sustainability, environmentally friendly practices, and educating our community about sustainability. We follow the New York City Department of Education guidelines of sustainability for schools. Our goals include:

- Making our buildings eco-friendly and energy and water efficient
- Promoting everyday practices that benefit the environment
- Inspiring students, faculty, staff, and communities to take part in environmental programs

### **WASTE REDUCTION AND RECYCLING / ZERO WASTE SCHOOLS**

In order for the City to have zero waste go to landfills by 2030, we all have to do our part. Zero Waste Schools is a program designed to do just that. Instead of sending waste to landfills:

- Recycle paper, cardboard, metal, glass, plastic, and cartons
- Compost to keep food scraps from going to landfills
- Reduce or eliminate single-use plastic
- Reduce paper usage, requiring shared printers, and encouraging double-sided printing
- Offer reusable tote bags; discourage use of plastic bags
- Offer reusable dish towels and plastic-free cleaning supplies

- Properly dispose of old computers, batteries, paint, etc.
- Buy secondhand

### **ENERGY CONSERVATION**

The City has a goal of cutting greenhouse gas emissions 80% by 2050. To be part of this effort, we have brought energy efficiency programs to our schools:

- Automatic lights; turn off lights when not in use
- Reduce elevator service
- Turn off HVAC and A/C when campus is not in use
- Turn off appliances and machinery that require excessive energy
- Limit airplane travel only to essential business; conduct meetings by video conference and telephone whenever possible
- Encourage use of public transportation, bicycles, and walking instead of taxis
- Delete old digital files, digital accounts, and reduce digital waste

### **WATER**

We are working to help the City reduce water use by 5%. We've done this by:

- High-efficiency bathroom fixtures
- We do not purchase bottled water for the campus, which contributes to the plastic crisis in our oceans

### **ECOLOGY**

Over 50% of our school buildings have access to school gardens. While SIA NY does not have a garden, we:

- Support learning about gardening, agriculture, forests, and climate change
- Promote healthy eating habits, including buying local and organic seasonal foods

### **Highlighted Resources**

- Bea Johnson, Zero Waste Home: <https://zerowastehome.com/>
- National Geographic, Planet or Plastic?: <https://www.nationalgeographic.com/magazine/2018/06/plastic-planet-waste-pollution-trash-crisis/>
- Earth 911: <https://earth911.com/>
- United Nations Sustainable Development: [un.org/sustainabledevelopment/climate-change-2](https://un.org/sustainabledevelopment/climate-change-2)

## **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 complying with applicable federal, state and local laws governing reasonable accommodations of individuals. To that end, we will endeavor to make a reasonable accommodation to applicants and employees who have requested an accommodation or for who the Institute has notice may require such an

accommodation, without regard to any protected classifications, related to an individual's: (i) physical or mental disability; (ii) sincerely held religious beliefs and practices; (iii) needs as a victim of domestic violence, sex offenses or stalking; (iv) needs related to pregnancy, childbirth or related medical conditions; and/or (v) any other reason required by applicable law, unless the accommodation would impose an undue hardship on the operation of our business.

Any individual who would like to request an accommodation based on any of the reasons set forth above should contact the Director. Accommodation requests can be made verbally or in writing. If an individual who has requested an accommodation has not received an initial response within five (5) business days, the individual should contact the Department of Human Resources at CIG.

After receiving a request for an accommodation or learning indirectly that an individual may require such an accommodation, the Institute will engage in a cooperative dialogue with the individual. Even if an individual has not formally requested an accommodation, the Institute may initiate a cooperative dialogue under certain circumstances, such as when the Institute has knowledge that an individual's performance at work has been negatively affected and a reasonable basis to believe that the issue is related to any of the protected classifications set forth above, in compliance with applicable law. In the event the Institute initiates a cooperative dialogue with an individual, it should not be construed as the Institute's belief an individual requires an accommodation, but will serve as an invitation for the individual to share with the Institute any information the individual desires to share, or to request an accommodation.

The cooperative dialogue may take place in person, by telephone, or by electronic means. As part of the cooperative dialogue, the Institute will communicate openly and in good faith with the individual in a timely manner in order to determine whether and how the Institute may be able to provide a reasonable accommodation. To the extent necessary and appropriate based on the request, the Institute will attempt to explore the existence and feasibility of alternative accommodations as well as alternative positions for the individual. The Institute is not required to provide the specific accommodation sought by an individual, provided the alternatives are reasonable and either meet the specific needs of the individual or specifically address the individual's limitations.

As part of the cooperative dialogue, the Institute reserves the right to request medical documentation from an individual where the reason for the accommodation is due to a physical or mental disability or needs related to pregnancy, childbirth or related medical conditions, to the maximum extent permitted by applicable law. Specifically, where the reason for the accommodation is due to needs related to pregnancy, childbirth or related medical conditions requests for medical documentation will be limited to the following circumstances:

- 1) when an individual requests time away from work, including for medical appointments, other than time off requested during the six (6) to eight (8) week period following childbirth (for recovery from childbirth) or
- 2) when an individual requests to work from home, either on an intermittent basis or a longer-term basis.

If the Institute believes that the provided documentation is insufficient, and before denying the request based on insufficient documentation, the Institute will request additional documentation from the individual or, upon the individual's consent, speak with the health care provider who provided the documentation. As applicable, an employee whose time off is covered by the Family Medical Leave Act (FMLA) may also be required to provide medical documentation, depending on the circumstances of the leave request, pursuant to federal law.

At the conclusion of the cooperative dialogue, the Institute will provide written notice to the individual in a timely manner indicating that the Institute is granting or denying a reasonable accommodation.

Where a reasonable accommodation is being granted, written notice to the individual will indicate that either the Institute:

- 1) will be able to offer and provide a reasonable accommodation as requested, or
- 2) will be able to offer and provide an alternative reasonable accommodation.

Where a reasonable accommodation is being denied, written notice to the individual will indicate one or more of the following:

- 1) an accommodation would not meet the requested need,
- 2) an accommodation would cause an undue hardship on the Institute's operations,
- 3) documentation of the need for the accommodation was inadequate,
- 4) an accommodation would require removal of an essential requisite of the job,
- 5) an accommodation would pose a direct threat, and/or
- 6) any other basis for denying an accommodation

The Institute will endeavor to keep confidential all communications regarding requests for reasonable accommodations and all circumstances surrounding an individual's underlying reason for needing an accommodation.

We will not allow any form of retaliation against individuals who have requested an accommodation, for who the Institute has notice may require such an accommodation or who otherwise engage in the cooperative dialogue process.

Individuals with questions regarding this policy should the Director or the Department of Human Resources at CIG.

***Policies & Procedures Concerning Sexual Assault, Stalking and Domestic & Intimate***

### ***Partner Violence***

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/or off-campus.

The Institute provides victims of sexual assault, stalking and domestic and intimate partner violence with access to professionals, medical care, and law enforcement officers who are trained in the field to assist in obtaining help, including immediate medical care, counseling and other essential services. Our [Sexual Misconduct Policy](#) applies to faculty staff and students. Faculty are required to complete Title IX and NY State anti-sexual harassment training.

### **Policy Against Harassment**

It is the policy of the Institute to maintain a workplace 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, or any other characteristic protected by federal, state, or local law. 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 under federal, New York State, and local law, and strictly against the Institute's policy for any employee, student, contractor, vendor, or other third party who interacts with the Institute, male or female, to harass another individual because of that individuals' sex or gender (including pregnancy, childbirth and related medical conditions), gender identity or gender expression (including transgender status), and/or sexual orientation. Sexual harassment is unwelcome sexual advances or unwelcome requests for sexual favors, or 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.

Examples of conduct that violates this policy include:

- unwelcome sexual advances, flirtations, advances, leering, whistling, touching, pinching, assault, blocking normal movement
- requests for sexual favors or demands for sexual favors in exchange for favorable treatment
- obscene or vulgar gestures, posters, or comments

- sexual jokes, noises, or comments about a person's body, sexual prowess, sexuality, sexual experience, or sexual deficiencies
- propositions, or suggestive or insulting comments of a sexual nature
- derogatory cartoons, posters, and drawings
- sexually-explicit e-mails, text messages, posts or voicemails
- conversation about one's own or someone else's sex life
- conduct or comments consistently targeted at only one gender, even if the content is not sexual
- teasing or other conduct directed toward a person because of the person's gender
- sex stereotyping

The Institute will not condone or tolerate the harassment/sexual harassment by or against its employees, managers, students, any other individuals 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 a violation this anti-harassment policy.

If an individual feels that he/she is being subjected to harassment violation of this policy, including the Institute's policy against sexual harassment, they may 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 immediately to the Institute Director or any other member of management with whom the individual feels comfortable. Any such complaints can be made verbally or in writing utilizing the Complaint Form located at the end of this Handbook. If an individual makes a complaint under this policy and has not received a response within five (5) business days, the individual may report the matter a staff member in the Department of Human Resources at CIG.) Every supervisor who learns of any individual's concern about conduct in violation of this policy, whether in a formal complaint or informally, must immediately report the issues raised to the Institute Director. Complaints 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.

The Institute will promptly and thoroughly investigate the facts and circumstances of any claim of harassment/sexual harassment, ensuring due process for all parties. The Institute will endeavor to keep the reporting individual's concerns confidential. However, complete confidentiality may not be possible in all circumstances. Individuals are required to cooperate in investigations conducted pursuant to this policy. During the investigation, the Institute will interview the complainant and the accused. The Institute also will conduct further interviews as necessary, and review documents or other information the investigator believes are relevant.

Upon completion of the investigation, the Institute will determine whether this policy has been violated based upon its reasonable, good-faith evaluation of the information gathered during the

investigation. The Institute will inform the complainant and the accused when the investigation is complete.

Any individual found to have engaged in conduct in violation of this policy will be considered to have engaged in individual misconduct. Individuals who violate this policy (which includes supervisory or management personnel who fail to report or knowingly allow harassing behavior to continue) will be subject to disciplinary action, up to and including termination from employment. Individuals who engage in conduct that rises to the level of a violation of law can be held personally liable for such conduct.

The Institute strictly prohibits retaliation against individuals who report an actual or perceived violation of this policy, oppose practices prohibited by this policy, participate in the reporting and investigation process set forth in this policy, or otherwise assist in an investigation or proceeding involving an actual or perceived violation of this policy. Retaliation violates Institute policy and is unlawful under federal, New York State, and local law (as applicable).

Aside from the internal complaint process, individuals may choose to pursue external legal remedies with the following governmental entities:

#### New York State Human Rights Law (HRL)

The New York State Division of Human Rights (DHR) enforces the HRL, codified as N.Y. Executive Law, art. 15, § 290 et seq., which protects employees, paid or unpaid interns, and non-employees regardless of immigration status from unlawful discrimination, harassment or retaliation. The DHR has the power to award relief, which varies but may include requiring an employer to take action to stop the harassment, or redress the damage caused, including paying monetary damages, attorney's fees and civil fines.

#### Title VII of the 1964 Civil Rights Act (Title VII)

The United States Equal Employment Opportunity Commission (EEOC) enforces federal anti-discrimination laws, including Title VII (codified as 42 U.S.C. § 2000e et seq.). If an employee believes they have been subjected to harassment, they can file a "Charge of Discrimination." The EEOC has district, area, and field offices where complaints can be filed. The EEOC does not hold hearings or award relief, but may take other action including pursuing cases in federal court on behalf of complaining parties. Federal courts may award remedies if discrimination is found to have occurred.

#### Local Protections

Many localities enforce laws protecting individuals from sexual harassment and discrimination. An individual should contact the county, city, or town in which they live to find out if such a law exists. You may also contact the local police department or, in an emergency, dial 911.

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, protected veteran and past and present members of the uniformed services and applicants to the uniformed services, or any other characteristic protected by federal, state, or local law.

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, or any other characteristic protected by federal, state, or local law.

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 Director 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 Director 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 Director of Human Resources, the Director of the Institute 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 Director 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 the Director of Human Resources, explaining the reason for the request. The Director 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. 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, unless the Institute is referenced in any post to these accounts then these guidelines do apply.

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 if using trademarked or copyrighted material.

- 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 is 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 via a signed release 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 – refer to BrandEd policies**

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.

## **New York State Paid Family Leave**

### **Eligibility Requirements**

Employees who have a regular work schedule of 20 or more hours per week and have been employed at least 26 consecutive weeks prior to the date paid family leave (“PFL”) begins (or who have a regular work schedule of less than 20 hours per week and have worked at least 175 days prior to the date PFL begins) are eligible for PFL. Paid time off can be counted toward an employee’s eligibility determination. Employees are eligible for PFL regardless of citizenship and/or immigration status. An employee has the option to file a waiver of PFL and therefore not be subject to deductions when their regular employment schedule is: (i) 20 or more hours per week but the employee will not work 26 consecutive weeks; or (ii) less than 20 hours per week and the employee will not work 175 days in a 52 consecutive week period.

### **Entitlement**

PFL is available to eligible employees for up to ten (10) weeks (*increases to up to twelve (12) weeks on or after January 1, 2021*) within any 52 consecutive week period: (a) to participate in providing care, including physical or psychological care, for the employee’s family member (child, spouse, domestic partner, parent, parent-in-law, grandchild or grandparent) with a serious health condition; or (b) to bond with the employee’s child during the first twelve months after the child’s birth, adoption or foster care placement; or (c) for qualifying exigencies, as interpreted by the Family and Medical Leave Act (FMLA), arising out of the fact that the employee’s spouse, domestic partner, child, or parent is on active duty (or has been notified of an impending call or order to active duty) in the armed forces of the United States. The 52 consecutive week period is determined retroactively with respect to each day for which PFL benefits are currently being claimed.

PFL benefits are financed solely through employee contributions via payroll deductions. The weekly monetary benefit will be 55% of the employee’s average weekly wage or 55% of the state average weekly wage, whichever is less (*increases to 60% on or after January 1, 2020 and 67% or after January 1, 2021*).

The Institute and an employee may agree to allow the employee to supplement PFL benefits up to their full salary with paid time off, to the maximum extent permitted by applicable law.

An employee who is eligible for both statutory short-term disability benefits and PFL during the same period of 52 consecutive calendar weeks may not receive more than 26 total weeks of disability and PFL benefits during that period of time. Statutory short-term disability benefits and PFL benefits may not be used concurrently. If an employee is unable to work and qualifies for workers’ compensation benefits, the employee may not use PFL benefits at the same time the employee is receiving workers’ compensation benefits. An employee receiving reduced earnings may be eligible for PFL.

Leave *may not* be taken for any one of, or for a combination of, the following reasons: (i) for a birth mother’s pregnancy or prenatal conditions; (ii) for an employee’s own health condition; and/or; (iii) for an employee’s own qualifying military event.

### **Definition of a Serious Health Condition**

A serious health condition is an illness, injury, impairment, or physical or mental condition, including transplantation, preparation and recovery from surgery related to organ or tissue donation, that involves: (a) inpatient care in a hospital, hospice or residential health care facility; or (b) continuing treatment or continuing supervision by a health care provider.

### **Use of Leave**

An employee does not need to use this leave entitlement in one block. Leave can be taken intermittently in daily increments. Leave taken on an intermittent basis will not result in a reduction of the total amount of leave to which an employee is entitled beyond the amount of leave actually taken.

### **Employee Responsibilities**

An employee must provide thirty (30) days' advance notice before the date leave is to begin if the qualifying event is foreseeable. When thirty (30) days' notice is not practicable for reasons such as lack of knowledge of approximately when leave will be required to begin, a change in circumstances, or a medical emergency, the employee must provide notice as soon as practicable and generally must comply with the Institute's normal call-in procedures. Failure by the employee to provide (30) days' advance notice of a foreseeable event may result in partial denial of the employee's benefits for a period of up to thirty (30) days from the date notice is provided.

Employees must provide sufficient information to make the Institute aware of the qualifying event and the anticipated timing and duration of the leave. Employees must specifically identify the type of family leave requested. Employees also must provide medical certifications and periodic recertification or other supporting documentation or certifications supporting the need for leave. Employees should contact the Human Resources Department at CIG for more information about requesting PFL, including the forms and certifications required for requesting PFL.

### **Job Benefits and Protection**

During any PFL taken pursuant to this policy, the Institute will maintain coverage under any existing group health insurance benefits plan as if the employee had continued to work. The employee must make arrangements with the Human Resources Department at CIG prior to taking leave to pay their portion of any applicable health insurance premiums each month.

The Institute's obligation to maintain health insurance coverage ceases if an employee's premium payment is more than 30 days late. If an employee's payment is more than 15 days late, the Institute will send a letter notifying the employee that coverage will be dropped on a specified date unless the co-payment is received before that date.

Any employee who exercises their right to PFL will receive job protection. This means that upon the expiration of that leave, the employee will be entitled to be restored to the position held by the employee when the leave commenced, or to a comparable position with comparable benefits, pay, and other terms and conditions of employment. The taking of leave covered by PFL will not result in the loss of any employment benefit accrued prior to the date on which the leave commenced. While on PFL, employees will continue to accrue sick or vacation time.

### **Leave Concurrent with FMLA**

The Institute will require an employee who is entitled to leave under both the FMLA and PFL, to take PFL concurrently with any leave taken pursuant to the FMLA. When the total hours taken for FMLA in less than full-day increments reaches the number of hours in an employee's usual workday, the Institute may deduct one (1) day of PFL from an employee's annual available PFL.

### **Questions and/or Complaints about PFL**

If employees have any questions regarding this policy, they should contact the Human Resources Department at CIG. For additional information concerning leave entitlements and obligations that might arise when PFL is either not available or exhausted, please consult the Institute's other leave policies or contact the Human Resources Department at CIG. The Institute is committed to complying with the PFL and shall interpret and apply this policy in a manner consistent with the PFL. Employees who disagree with a denial of their claim for PFL may submit their dispute to arbitration. Employees will be provided with information about how to request arbitration.

Employees are protected from discrimination and retaliation for requesting or taking PFL. If employees believe their rights have been violated and/or denied job restoration as a result of requesting and/or taking PFL, they must send Human Resources a formal request for job reinstatement using the *Formal Request For Reinstatement Regarding Paid Family Leave (Form PFL-DC-119)*, which can be found in the forms section of <https://www.ny.gov/PaidFamilyLeave>. Employees must file the completed form with the Institute and send a copy to: Paid Family Leave, P.O. Box 9030, Endicott, NY 13761-9030. If the Institute does not comply with an employee's request for reinstatement within 30 days, the employee may file a PFL discrimination complaint with the Workers' Compensation Board using the *Paid Family Leave Discrimination Complaint (Form PFL-DC-120)*, which is also available on the New York Paid Family Leave website. Once an employee's complaint is received, the Board will assemble the employee's case and schedule a preliminary hearing in front of a Workers' Compensation Law Judge.

### **New York City Earned Safe and Sick Time**

**Eligibility.** The Institute provides paid safe/sick time to employees who work more than eighty (80) hours in New York City in a calendar year. For employees who work in New York City who are eligible for paid time off under the general Paid Time Off policy and/or any other applicable sick time/leave law or ordinance, this policy applies solely to the extent it provides greater benefits/rights on any specific issue or issues than the general Paid Time Off policy and/or any other applicable sick time/leave law or ordinance.

**Accrual.** Employees begin accruing paid safe/sick time pursuant to this policy at the start of employment. Eligible employees will accrue one (1) hour of paid safe/sick time for every thirty (30) hours worked, up to a maximum accrual of forty (40) hours each calendar year. Exempt employees are assumed to work forty (40) hours in each workweek unless their normal workweek is less than forty (40) hours, in which case paid safe/sick time accrues based upon that normal workweek. For purposes of this policy, the calendar year is the consecutive 12-month period beginning January 1<sup>st</sup> and ending on December 31<sup>st</sup>.

**Usage.** Employees may begin using accrued paid safe/sick time after the 120<sup>th</sup> calendar day of employment. Paid safe/sick time may be used in a minimum increment of four (4) hours, provided this is reasonable under the circumstances. For uses beyond four (4) hours, paid safe/sick time may be used in thirty (30) minute increments (i.e. 4.5 hours, 5 hours, 5.5 hours etc.). An employee may not use more than forty (40) hours of accrued paid safe/sick time in any calendar year.

Employees may use accrued paid safe/sick time for absences due to:

- 1) The employee's mental or physical illness, injury or health condition or need for medical diagnosis, care or treatment of a mental or physical illness, injury or health condition or need for preventive medical care;
- 2) The care of the employee's family member who needs medical diagnosis, care or treatment of a mental or physical illness, injury or health condition or who needs preventive medical care;
- 3) Closure of the employee's place of business by order of a public official due to a public health emergency or such employee's need to care for a child whose school or childcare provider has been closed by order of a public official due to a public health emergency; or
- 4) The employee or a family member of the employee being the victim of family offense matters, sexual offenses, stalking, or human trafficking:
  - a. To obtain services from a domestic violence shelter, rape crisis center, or other shelter or services program for relief from a family offense matter, sexual offense, stalking, or human trafficking;
  - b. To participate in safety planning, temporarily relocate, or take other actions to increase the safety of the employee or employee's family members from future family offense matters, sexual offenses, stalking, or human trafficking;
  - c. To meet with a civil attorney or other social service provider to obtain information and advice on, and prepare for or participate in any criminal or civil proceeding, including but not limited to, matters related to a family offense matter, sexual offense, stalking, human trafficking, custody, visitation, matrimonial issues, orders of protection, immigration, housing, discrimination in employment, housing or consumer credit;
  - d. To file a complaint or domestic incident report with law enforcement;
  - e. To meet with a district attorney's office;
  - f. To enroll children in a new school; or
  - g. To take other actions necessary to maintain, improve, or restore the physical, psychological, or economic health or safety of the employee or employee's family member or to protect those who associate or work with the employee.

For purposes of this policy, family member means a child, spouse, domestic partner, parent, sibling (including half siblings, step siblings, or siblings related through adoption), grandchild, grandparent, the child or parent of the employee's spouse or domestic partner, any other

individual related by blood to the employee, and any other individual whose close association with the employee is the equivalent of a family relationship.

Unless the employee advises the Institute otherwise, we will assume, subject to applicable law, that employees want to use available safe/sick time for absences for reasons set forth above and employees will be paid for such absences to the extent they have safe/sick time available.

**Notice and Documentation.** Employees must provide seven (7) days advance notice of the need to use accrued paid safe/sick time to their supervisor and the Director of Human Resources if the need is foreseeable. Where the need is not foreseeable, employees should provide notice as early as practicable. The Institute will require supporting documentation if the employee uses accrued paid safe/sick time for more than three (3) consecutive work days. For paid safe/sick time used for reasons (1) or (2) above, documentation signed by a licensed health care provider indicating the need for the amount of paid safe/sick time taken and that paid safe/sick time was used for a covered reason under this policy and/or applicable law will be considered reasonable documentation, and such documentation need not specify the nature of the employee's or the employee's family member's injury, illness or condition, except as required by law. For safe/sick time used for reason (4) above, documentation signed by an employee, agent, or volunteer of a victim services organization, an attorney, a member of the clergy, or a medical or other professional service provider from whom the employee or that employee's family member has sought assistance in addressing family offense matters, sex offenses, stalking, or human trafficking and their effects; a police or court record; or a notarized letter from the employee explaining the need for such time will be considered reasonable documentation, and such documentation need not specify the details of the family offense matter, sexual offense, stalking, or human trafficking. The Institute cannot require that employees or a health care or service provider disclose personal health information or the details of the matter for which an employee requests safe leave under the Paid Safe and Sick Leave Law. The Institute must keep information about an employee or an employee's family member obtained solely because of the Paid Safe and Sick Leave law confidential unless the employee consents to disclosure in writing or disclosure is required by law. Failure to provide requested documentation for paid safe/sick time taken under this policy within seven (7) days of returning to work may result in disciplinary action, up to and including termination.

Additionally, the Institute may require an employee to provide written confirmation that an employee used paid safe/sick time in accordance with applicable law. A copy of the required form will be provided by the Director of Human Resources.

An employee's use of safe/sick time will not be conditioned upon searching for or finding a replacement worker.

The Institute may take disciplinary action, up to and including termination, against an employee who uses safe/sick time provided under this policy for purposes other than those described above. Indications of abuse of safe/sick time may include, but are not limited to, a pattern of: (1) use of unscheduled safe/sick time on or adjacent to weekends, regularly scheduled days off, holidays, vacation or pay day, (2) taking scheduled safe/sick time on days when other leave has been denied, or (3) taking safe/sick time on days when the employee is scheduled to work a shift or perform duties perceived as undesirable.

**Payment.** Paid safe/sick time will be paid at the same rate as the employee earns from the employee's employment at the time the employee uses such time, unless otherwise required by applicable law, but no less than the applicable minimum wage. Safe/Sick time will be paid no later than the payday for the next regular payroll period beginning after the safe/sick time was used by the employee. Use of paid safe/sick time is not considered hours worked for purposes of calculating overtime.

**Carryover & Payout.** An employee may carry over up to forty (40) hours of accrued, unused paid safe/sick time under this policy to the following calendar year. Accrued but unused paid safe/sick time under this policy will not be paid at separation.

**Enforcement & Retaliation.** Employees have the right to request and use paid safe/sick time and may file a complaint for alleged violations of this policy with the New York City Department of Consumer Affairs. The Institute prohibits retaliation or the threat of retaliation against an employee for exercising or attempting to exercise any right provided in this policy, or interference with any investigation, proceeding or hearing related to or arising out of employee's rights pursuant to this policy and applicable law. Employees with questions concerning this policy should contact the Human Resources Department.

#### Paid Parental Leave Policy

BrandEd will provide up to 8 weeks of paid parental leave to employees following the birth of an employee's child or the placement of a child with an employee in connection with adoption or foster care. The purpose of paid parental leave is to enable the employee to care for and bond with a newborn or a newly adopted or newly placed child. This policy will be in effect for births, adoptions or placements of foster children occurring on or after November 1, 2019.

#### **Eligibility**

##### **Eligible employees must meet the following criteria:**

- Have been employed with the company for at least 12 months (the 12 months do not need to be consecutive).
- Have worked at least 1,250 hours during the 12 consecutive months immediately preceding the date the leave would begin.
- Be a Full Time, regular employee (temporary employees and interns are not eligible for this benefit).

##### **In addition, employees must meet one of the following criteria:**

- Have given birth to a child.
- Be a spouse or committed partner of a n individual who has given birth to a child.
- Have adopted a child or been placed with a foster child (in either case, the child must be age 17 or younger). The adoption of a new spouse/committed partner's child is excluded from this policy.

#### **Amount, Time Frame and Duration of Paid Parental Leave**

- Eligible employees will receive a maximum of 8 weeks of paid parental leave pursuant to this policy per birth, adoption or placement of a child/children. The fact that a multiple birth, adoption or placement occurs (e.g., the birth of twins or adoption of siblings) does not increase the 8-week total amount of paid parental leave granted for that event. In addition, in no case will an employee receive more than 8 weeks of paid parental leave pursuant to this policy in a rolling 12-month period, regardless of whether more than one birth, adoption or foster care placement event occurs within that 12-month time frame.
  - Each week of paid parental leave is compensated at 100 percent of the employee's regular, straight-time weekly pay. Paid parental leave will be paid on a biweekly basis on regularly scheduled pay dates.
  - Approved paid parental leave pursuant to this policy may be taken at any time during the 12-month period immediately following the birth, adoption or placement of a child with the employee. Paid parental leave may not be used or extended beyond this 12-month time frame.
  - Employees must take paid parental leave pursuant to this policy in one continuous period of leave and must use all paid parental leave during the 12-month time frame indicated above. Any unused paid parental leave will be forfeited at the end of the 12-month time frame.
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- Upon termination of the individual's employment at the company, the employee will not be paid for any unused paid parental leave for which the employee was eligible.
  - Approved paid parental leave pursuant to this policy must be taken immediately following the birth, adoption or placement of a child with the employee and the end of any applicable disability period related thereto.

#### **Coordination with Other Policies**

- Employees must apply for any applicable statutory or voluntary sources of leave and/or monetary benefits for which they are eligible as a condition of receiving paid leave pursuant to this policy. This includes FMLA. Paid parental leave is coordinated with any applicable statutory or voluntary sources of monetary benefits so that a qualifying employee may not receive more than 100% of their base compensation pay at any time. Additionally, leave provided pursuant to this policy will run concurrently with any other statutory or voluntary sources of leave and/or monetary benefits for which an employee may be eligible, to the maximum extent permitted by applicable law.
- The company will maintain all benefits for employees during the paid parental leave period just as if they were taking any other company paid leave such as paid vacation leave or paid sick leave, to the extent permitted and in accordance with any applicable plan terms.

- If a company holiday occurs while the employee is on paid parental leave, such day will be charged to holiday pay; however, such holiday pay will not extend the total paid parental leave entitlement.
- If the employee is on paid parental leave when the company offers Paid Holiday (known as a “Company Paid Holiday”), that time will be recorded as paid parental leave. Company Paid Holiday will not extend the paid parental leave entitlement.
- Upon completion of paid parental leave employees generally will be returned to their original job, or to a similar position with equivalent pay, benefits, and other employment terms subject to prevailing business considerations. We note, however, that reinstatement is not guaranteed in all instances unless required by law.

### **Requests for Paid Parental Leave**

- The employee will provide their supervisor and the human resource department with notice of the request for leave at least 30 days prior to the proposed date of the leave (or if the leave was not foreseeable, as soon as possible). The employee must complete the necessary HR forms and provide all documentation as required by the HR department to substantiate the request.
- As is the case with all company policies, the organization has the exclusive right to interpret this policy.

Employees who are disabled on account of pregnancy, childbirth and/or related medical conditions also are eligible for short-term disability benefits. For information regarding eligibility for other leaves of absence and/or paid benefits including short-term disability benefits, please contact the HR department.

Employees with any questions regarding this policy should contact the HR department.

### **New York City Lactation Accommodation Policy**

Employees who are nursing are provided with break time to express breast milk for up to three (3) years after the birth of a child. Employees will not be discriminated against or retaliated against for exercising their rights under this policy and reasonable efforts will be made to provide a private room or location in close proximity to the work area for this purpose. Additionally, in accordance with New York City law, employees have a right to request access to a lactation room for purposes of expressing breast milk.

The Institute will provide a lactation room to such employees, unless doing so would impose an undue hardship on the Institute. If doing so poses an undue hardship to the Institute, the Institute will engage in a cooperative dialogue with the employee to discuss reasonable alternatives with the employee in an attempt to accommodate the employee’s needs. For details regarding the cooperative dialogue process, please refer to the Reasonable Accommodation & Cooperative Dialogue policy.

For purposes of this policy, the term lactation room means a sanitary place, other than a restroom, that can be used to express breast milk shielded from view and free from intrusion and that includes at minimum an electrical outlet, a chair, a surface on which to place a breast

pump and other personal items, and nearby access to running water. Unless doing so poses an undue hardship, the Institute will provide (i) a lactation room in reasonable proximity to the employee's work area and (ii) a refrigerator suitable for breast milk storage in reasonable proximity to such employee's work area. If the room designated by the Institute to serve as a lactation room is also used for another purpose, the sole function of the room will be as a lactation room while an employee is using the room to express breast milk. While an employee is using the room to express milk, the Institute will provide notice to other employees that the room is given preference for use as a lactation room.

An employee may submit a request for a lactation room by contacting the Institute Director. The Institute will respond to such requests within five (5) business days. If two or more employees need to use the lactation room at the same time, the employees should contact the Institute Director so that arrangements can be made to ensure all employees are provided with access to the lactation room amenities. Options may include: finding an alternative clean space free from intrusion; sharing the space among multiple users; or creating a schedule for use.

The Institute will provide a reasonable amount of break time each day for an employee to express breast milk pursuant to section 206-c of the labor law.

The Institute will not tolerate discrimination or harassment against any employee based on the request for or usage of lactation accommodations. Any discrimination, harassment, or other violations of this policy can be reported to the Institute Director or the Human Resources Department at CIG.

Employees can contact the Human Resources Department at CIG with questions regarding this policy.

### **Blood Donation Leave**

In accordance with New York Labor Law, the Institute will provide employees who work in New York at least twenty (20) hours per week up to three (3) hours of unpaid leave in any calendar year to donate blood.

Employees must provide their Program Director with reasonable notice of their intention to participate in a blood drive. If the blood drive is at an offsite location, employees must provide at least three (3) days advance notice. If the blood drive is onsite, employees must provide at least two (2) days advance notice.

The Institute fully supports the use of this leave to make a blood donation. We will not tolerate any form of retaliation against an employee for requesting or using leave to donate blood.

### **Voting Leave Policy**

Generally, polling times are set up to allow ample time for voting before or after work. However, in circumstances where an employee would be unable to vote without taking time off work, the employee may take up to three (3) hours off with pay. Employees may also take up to two (2) additional hours off without pay to vote, if necessary. This time must be at the beginning or the end of the regular working shift, whichever allows the most free time for voting and the least time off from working, unless mutually agreed upon between the Employee and the Institute. To use this benefit, employees must notify their Program Director at least two (2) working days in advance to arrange a voting time.

## **New York City Temporary Schedule Change Policy**

Employees who work eighty (80) or more hours in New York City in a calendar year and have been employed by the Institute for one hundred twenty (120) or more days are eligible for two (2) temporary changes to their work schedules each calendar year for certain “personal events.”

A temporary schedule change may last up to one (1) business day on two (2) separate occasions or up to two (2) business days on one (1) occasion each calendar year. A business day is any twenty four (24) hour period during which an employee is required to work any amount of time.

A temporary change means an adjustment to an employee’s usual schedule including in the hours, times or locations an employee is expected to work. The change can include: using short-term unpaid leave, paid time off, working remotely, or swapping or shifting working hours with a co-worker. The Institute has the option of granting unpaid leave in lieu of the temporary change requested by the employee.

A “personal event” includes the following:

- The need to care for a child under the age of 18 for whom the employee provides direct and ongoing care.
- The need to care for an individual (“care recipient”) with a disability who is a family member or who resides in the caregiver’s household for whom the employee provides direct and ongoing care to meet the needs of daily living and.
- The need to attend a legal proceeding or hearing for public benefits to which the employee, a family member, or the employee’s minor child or care recipient is a party.
- Any other reason for which the employee may use leave under NYC’s Paid Safe and Sick Leave Law.

For purposes of this policy a “family member” includes: a child (biological, adopted, or foster child; legal ward; child of an employee standing in loco parentis); a grandchild; a spouse (current or former regardless of whether they reside together); a domestic partner (current or former regardless of whether they reside together); a parent; a grandparent; a child or parent of an employee’s spouse or domestic partner; a sibling (including a half, adopted, or step sibling); any other individual related by blood to the employee; and any individual whose close association with the employee is the equivalent of family.

Request for a temporary schedule change must be made orally or in writing to the Institute or the employee’s direct supervisor as soon as practicable after the employee becomes aware of the need for the change. The request should include:

- The date of the temporary schedule change;
- That the change is due to a personal event; and
- Proposed type of temporary schedule change (unless the employee would like to use leave without pay).

The Institute will respond immediately to such requests. Assuming the employee has not exceeded the number of allowable requests and the request is for a qualifying reason, the Institute will either approve the proposed type of temporary schedule change or provide leave without pay. The Institute also may offer employees the ability to elect to use paid time off. Employees will not be required to use leave under NYC's Paid Safe and Sick Leave Law for a temporary schedule change.

If the employee requested the schedule change orally (for example, in person or by phone), the employee must submit a written request no later than the second business day after the employee returns to work. The employee should include in the written request the date of the temporary schedule change and that the change was due to a personal event.

The Institute will provide a written response to any written request for temporary schedule change within fourteen (14) days. The response will include:

- If the request was granted or denied
- How the request was accommodated (if granted) or the reason for denial (if denied)
- Number of requests the employee has made for temporary schedule changes
- How many days the employee has left in the year for temporary schedule changes

Employees have the right to temporary schedule changes and may file a complaint for alleged violations of this policy and applicable law with the New York City Department of Consumer Affairs. The Institute prohibits retaliation or the threat of retaliation against an employee for exercising or attempting to exercise any right provided in this policy and applicable law, or interference with any investigation, proceeding or hearing related to or arising out of the employee's rights pursuant to this policy and applicable law.

Employees with questions concerning this policy should 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.

### **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 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	2017	2018	2019
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 17<sup>th</sup> Precinct, located at 167 East 51<sup>st</sup> 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 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 6<sup>th</sup> and 15<sup>th</sup> floors are equipped with portable fire extinguishers.

A. *Sexual Harassment (Addendum to Harassment and Sexual Harassment Prevention Policy)*

Written complaints can be submitted internally using the form provided with this policy. The form can also be obtained from Human Resources.

Aside from the internal complaint process at SIA, employees may choose to pursue external legal remedies with the following governmental entities based on the noted federal, state and local protections.

**State Human Rights Law (HRL)**

The Human Rights Law (HRL), codified as N.Y. Executive Law, art. 15, § 290 et seq., applies to all employers in New York State with regard to sexual harassment, and protects employees, paid or unpaid interns and non-employees, regardless of immigration status. A complaint alleging violation of the Human Rights Law may be filed either with the Division of Human Rights (DHR) or in New York State Supreme Court.

Complaints with DHR may be filed any time within 1 (one) year (*3 (three) years effective August 12, 2020*) of the harassment. If an individual did not file at DHR, they can sue directly in state court under the HRL, within 3 (three) years of the alleged sexual harassment. An individual may not file with DHR if they have already filed an HRL complaint in state court.

Complaining internally to SIA does not extend your time to file with DHR or in court. The 1 (one) year or 3 (three) years is counted from date of the most recent incident of harassment.

You do not need an attorney to file a complaint with DHR, and there is no cost to file with DHR. DHR will investigate your complaint and determine whether there is probable cause to believe that sexual harassment has occurred. Probable cause cases are forwarded to a public hearing before an administrative law judge. If sexual harassment is found after a hearing, DHR has the power to award relief, which varies but may include requiring your employer to take action to stop the harassment, or redress the damage caused, including paying of monetary damages, attorney's fees and civil fines.

DHR's main office contact information is: NYS Division of Human Rights, One Fordham Plaza, Fourth Floor, Bronx, New York 10458. You may call (718) 741-8400 or visit: [www.dhr.ny.gov](http://www.dhr.ny.gov). Contact DHR at (888) 392-3644 or visit [dhr.ny.gov/complaint](http://dhr.ny.gov/complaint) for more information about filing a complaint. The website has a complaint form that can be downloaded, filled out, notarized and mailed to DHR. The website also contains contact information for DHR's regional offices across New York State.

**Civil Rights Act of 1964**

The United States Equal Employment Opportunity Commission (EEOC) enforces federal anti-discrimination laws, including Title VII of the 1964 federal Civil Rights Act (codified as 42 U.S.C. § 2000e et seq.). An individual can file a complaint with the EEOC anytime within 300 (three-hundred) days from the harassment. There is no cost to file a complaint with the EEOC. The EEOC will investigate the complaint and determine whether there is reasonable cause to believe that discrimination has occurred, at which point the EEOC will issue a Right to Sue letter permitting the individual to file a complaint in federal court.

The EEOC does not hold hearings or award relief, but may take other action including pursuing cases in federal court on behalf of complaining parties. Federal courts may award remedies if

discrimination is found to have occurred. In general, private employers must have at least 15 (fifteen) employees to come within the jurisdiction of the EEOC.

An employee alleging discrimination at work can file a "Charge of Discrimination." The EEOC has district, area, and field offices where complaints can be filed. Contact the EEOC by calling 1-800-669-4000 (TTY: 1-800-669-6820), visiting their website at [www.eeoc.gov](http://www.eeoc.gov) or via email at [info@eeoc.gov](mailto:info@eeoc.gov).

If an individual filed an administrative complaint with DHR, DHR will file the complaint with the EEOC to preserve the right to proceed in federal court.

### **Local Protections**

Many localities enforce laws protecting individuals from sexual harassment and discrimination. An individual should contact the county, city or town in which they live to find out if such a law exists. For example, employees who work in New York City may file complaints of sexual harassment with the New York City Commission on Human Rights. Contact their main office at Law Enforcement Bureau of the NYC Commission on Human Rights, 40 Rector Street, 10th Floor, New York, New York; call 311 or (212) 306-7450; or visit [www.nyc.gov/html/cchr/html/home/home.shtml](http://www.nyc.gov/html/cchr/html/home/home.shtml).

### **Contact the Local Police Department**

If the harassment involves unwanted physical touching, coerced physical confinement or coerced sex acts, the conduct may constitute a crime. Contact the local police department.

#### *B. Reproductive Health Decision Making Discrimination Policy*

SIA prohibits discrimination and retaliation based on an employee's or a dependent's reproductive health decision making.

SIA will not access an employee's personal information regarding the employee's or the employee's dependent's reproductive health decision making, including, but not limited to, the decision to use or access a particular drug, device or medical service without the employee's prior informed affirmative written consent.

SIA will not discriminate or to take any retaliatory personnel action against an employee with respect to compensation, terms, conditions or privileges of employment because of or on the basis of the employee's or the employee's dependent's reproductive health decision making, including, but not limited to, the decision to use or access a particular drug, device or medical service.

SIA will not require an employee to sign a waiver or other document that denies an employee the right to make their own reproductive health care decisions, including, but not limited to, the decision to use a particular drug, device or medical service.

An employee may bring a civil action in any court of competent jurisdiction against SIA for any alleged violations of this policy. In any civil action alleging a violation of this policy, the court may: award damages, including, but not limited to, back pay, benefits and reasonable attorneys' fees and costs incurred to a prevailing plaintiff; afford injunctive relief against SIA if it commits or proposes to commit a violation of the provisions of this policy; order reinstatement; and/or award liquidated damages equal to 100% (one-hundred percent) of the award for damages unless SIA proves a good faith basis to believe that its actions in violation of this policy were in compliance

with the law.

Any act of retaliation for an employee exercising any rights granted under this policy shall subject SIA to separate civil penalties. For the purposes of this policy, retaliation or retaliatory personnel action shall mean discharging, suspending, demoting, or otherwise penalizing an employee for: making, or threatening to make, a complaint to SIA, a co-worker, or to a public body, that rights guaranteed under this policy have been violated; causing to be instituted any proceeding under or related to this policy; or providing information to, or testifying before, any public body conducting an investigation, hearing, or inquiry into any such violation of a law, rule, or regulation by SIA.

Employees with issues or concerns regarding this policy or who feel they have been subjected to any alleged violation of this policy should contact Human Resources.

### C. *New York City Supplemental Gender Discrimination Policy*

In accordance with New York City law, SIA prohibits discrimination in employment on the basis of gender. For purposes of this policy, gender is an individual's actual or perceived sex, gender identity, and gender expression including a person's actual or perceived gender-related self-image, appearance, behavior, expression, or other gender-related characteristic, regardless of the sex assigned to that person at birth. SIA is dedicated to ensuring the fulfillment of this policy as it applies to all terms and conditions of employment, including recruitment, hiring, placement, promotion, transfer, training, compensation, benefits, accommodation requests, access to programs and facilities, employee activities, and general treatment during employment.

In furtherance of this policy:

- SIA gives employees the option of indicating their preferred name, pronoun and gender title regardless of the individual's sex assigned at birth, anatomy, gender, medical history, appearance, or the sex indicated on the individual's identification except in the limited circumstance where federal, state, or local law requires otherwise (e.g., for purposes of employment eligibility verification with the federal government). This also applies to SIA's systems which do not limit such identifications to male and female only.
- SIA's dress code and grooming standards are gender neutral, and therefore do not differentiate or impose restrictions or requirements based on gender.
- SIA's benefit plans apply equally to all employees regardless of gender and do not provide health benefit plans that exclude coverage for transgender care, also known as transition-related care or gender-affirming care.
- SIA evaluates all requests for accommodations for disability or other request for changes to the terms and conditions of an individual's employment, or participation in a program offered by SIA, which may include additional medical or personal leave or schedule changes in a fair and non-discriminatory manner without regard to gender. To that end, SIA will treat leave requests to address medical or health care needs related to an individual's gender identity in the same manner as requests for all other medical conditions and will provide reasonable accommodations to individuals undergoing gender transition, including medical leave for medical and counseling appointments, for surgery and recovery from gender affirming procedures, and for treatments.
- Employees who engage with the public as part of their job duties are required to do so in a respectful, non-discriminatory manner by respecting gender diversity and ensuring that

members of the public are not subject to discrimination (including discrimination with respect to single-sex programs and facilities).

Employees with issues or concerns regarding gender discrimination or who feel they have been subjected to such discrimination can contact Human Resources. SIA prohibits and does not tolerate retaliation against employees who report issues or concerns of gender discrimination pursuant to this policy in good faith.

*D. New York City Reasonable Accommodations and Cooperative Dialogue Policy*

SIA is committed to complying with applicable federal, state and local laws governing reasonable accommodations of individuals. To that end, we will endeavor to make a reasonable accommodation to applicants and employees who have requested an accommodation or for those who SIA has noticed may require such an accommodation, without regard to any protected classifications, related to an individual's: (i) physical or mental disability; (ii) sincerely held religious beliefs and practices; (iii) needs as a victim of domestic violence, sex offenses or stalking; (iv) needs related to pregnancy, childbirth or related medical conditions; and/or (v) any other reason required by applicable law, unless the accommodation would impose an undue hardship on the operation of our business.

Any individual who would like to request an accommodation based on any of the reasons set forth above should contact the employee's manager. Accommodation requests can be made in writing using a form which can be obtained from Human Resources. If an individual who has requested an accommodation has not received an initial response within five (5) business days, the individual should contact Human Resources.

After receiving a request for an accommodation or learning indirectly that an individual may require such an accommodation, SIA will engage in a cooperative dialogue with the individual. Even if an individual has not formally requested an accommodation, SIA may initiate a cooperative dialogue under certain circumstances, such as when SIA has knowledge that an individual's performance at work has been negatively affected and a reasonable basis to believe that the issue is related to any of the protected classifications set forth above, in compliance with applicable law. In the event SIA initiates a cooperative dialogue with an individual, it should not be construed as SIA's belief an individual requires an accommodation, but will serve as an invitation for the individual to share with SIA any information the individual desires to share, or to request an accommodation.

The cooperative dialogue may take place in person, by telephone, or by electronic means. As part of the cooperative dialogue, SIA will communicate openly and in good faith with the individual in a timely manner in order to determine whether and how SIA may be able to provide a reasonable accommodation. To the extent necessary and appropriate based on the request, SIA will attempt to explore the existence and feasibility of alternative accommodations as well as alternative positions for the individual. SIA is not required to provide the specific accommodation sought by an individual, provided the alternatives are reasonable and either meet the specific needs of the individual or specifically address the individual's limitations. As part of the cooperative dialogue, SIA reserves the right to request medical documentation from an individual where the reason for the accommodation is due to a physical or mental disability or needs related to pregnancy, childbirth or related medical conditions, to the maximum extent permitted by applicable law. Specifically, where the reason for the

accommodation is due to needs related to pregnancy, childbirth or related medical conditions, requests for medical documentation will be limited to the following circumstances:

- when an individual requests time away from work, including for medical appointments, other than time off requested during the six (6) to eight (8) week period following childbirth (for recovery from childbirth); or
- when an individual requests to work from home, either on an intermittent basis or a longer-term basis.

If SIA believes that the provided documentation is insufficient, and before denying the request based on insufficient documentation, SIA will request additional documentation from the individual or, upon the individual's consent, speak with the health care provider who provided the documentation.

At the conclusion of the cooperative dialogue, SIA will provide written notice to the individual in a timely manner indicating that SIA is granting or denying a reasonable accommodation.

Where a reasonable accommodation is being granted, written notice to the individual will indicate that either SIA:

- will be able to offer and provide a reasonable accommodation as requested; or
- will be able to offer and provide an alternative reasonable accommodation.

Where a reasonable accommodation is being denied, written notice to the individual will indicate one or more of the following:

- an accommodation would not meet the requested need;
- an accommodation would cause an undue hardship on SIA's operations;
- documentation of the need for the accommodation was inadequate;
- an accommodation would require removal of an essential requisite of the job;
- an accommodation would pose a direct threat; and/or
- any other basis for denying an accommodation.

SIA will endeavor to keep confidential all communications regarding requests for reasonable accommodations and all circumstances surrounding an individual's underlying reason for needing an accommodation.

We will not allow any form of retaliation against individuals who have requested an accommodation, for whom SIA has notice may require such an accommodation or who otherwise engage in the cooperative dialogue process.

Individuals with questions regarding this policy should contact Human Resources.

## **HARASSMENT COMPLAINT FORM**

If you believe the Institute's policy against harassment has been violated, you are encouraged to complete this form and submit it to the Institute Director or the Vice President of Human Resources, CIG. Once you submit this complaint form, the Institute will follow the investigation process described in its policy.

If you are more comfortable reporting complaints verbally or in manner other than this form, please contact the Institute Director or the Vice President of Human Resources, CIG so we may begin investigating your complaint.



5. Have you previously complained or provided information (verbal or written) about this alleged violation of the Institute's anti-harassment policy to the Institute? If yes, when and to whom did you complain or provide information?

I have reviewed the Institute's policy against harassment and request that the Institute investigate this complaint in a timely and confidential manner, and advise me of the results of the investigation.

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

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