UNION COLLEGE FACULTY MANUAL

Union College in 1795

April 1986 Revision
... an introduction

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This Manual includes information about policies, practices and procedures at Union College. It is intended primarily for the benefit of faculty members and administrative personnel, and seeks to assemble the many kinds of information which together explain the pattern for living and teaching in the Union College community. It is intended to be as complete as possible, though it obviously cannot provide answers to all the questions that arise in an organization as complex as Union College.

All of the matters discussed in this Manual are descriptions of current practices. The issues included range all the way from day-to-day matters such as campus dining facilities and library hours to such fundamental concerns as tenure and promotion. Particularly as regards the latter, if some sections seem unduly legalistic, the reason is clear. It is essential that policies and practices be stated as precisely and as carefully as possible. One should note that all letters of appointment make reference to the contents of this manual.

Because change is inevitable, the system of pagination employed makes possible the addition of new or different material as it becomes available, and it is a simple matter for the reader to insert it in the proper place.

Suggestions for the improvement of this handbook are welcome, and should be made to the Office of the Vice President for Academic Affairs.
FACULTY MANUAL
UNION COLLEGE

I. SALARIES AND FRINGE BENEFITS

SALARY PAYMENTS

Faculty salaries for the normal academic year's work are paid in twenty-six biweekly installments. The first installment is paid in early September and the last installment in August. Checks may be picked up at the Business Office, delivered to your Department, or deposited to your local bank account as you direct.

Administrative salaries normally run from July 1 through June 30 of an academic year unless a different arrangement is explained in the letter of contract.

Before the first salary check can be prepared it is necessary that one fill out the following forms at the Personnel Office

1. Federal Income Tax Withholding Certificate - Form W-4
2. Information for Collective Life Insurance
3. Hospitalization Insurance
4. TIAA Pension Information - (see, infra, Retirement Plan)
5. New York State Loyalty Oath.

INCOME TAXES

Attention of all new members of the faculty is called to the fact that both the Federal and the New York State personal income taxes are deducted from each salary check. In addition, the annual tax forms and estimated tax reports must be filed independently by each faculty member.

STATE LOYALTY OATH

The oath required by Section 3002 of the Education Law "shall be administered by the president or other head of such school, college, university, or institution, or by the officer or person, or in the case of a board or body, having authority to employ such person as a teacher, instructor or professor in such school, college, university or institution..." This oath should be filed by the faculty member with the Personnel Office.
MOVING EXPENSES

New members of the teaching faculty and administration may receive assistance from the College in meeting expenses incurred in the move to Schenectady. The amount of reimbursement is generally one-half the cost of commercial movers and does not include personal transportation or packing. The College requests a receipt for these moving expenses for audit purposes and for issuance of a check. Moves made by use of rented equipment without commercial movers may be fully reimbursed if the cost is no more than one-half the cost a commercial mover would have been.

DENTAL INSURANCE

The College has a contract with the Connecticut General Insurance Company that provides a full range of dental care services including orthodontics.

The individual coverage for a member of the faculty or administration is paid in full by the College. In addition, each may elect coverage for their spouse and children. The College and the individual share in the premium for spouse and child coverage.

Enrollment is effective the first of the month following employment. The details of the Plan are found in an explanatory booklet available at the Personnel office.

The College reserves the right to change carriers, modify the scope of coverage, and revise the portion of premium paid toward coverage.

DEATH BENEFIT

Should a faculty member die during the academic year, the College will pay to the designated survivors (or estate) a pro rata portion of the faculty member's annual salary. The percent of salary to be paid will be dependent upon the percent of the assigned academic services completed at the time of death.

In addition, as a widow's/widower's benefit, the College will provide to the surviving spouse of a deceased full-time faculty member a gift amounting to 1/10 of the faculty member's annual salary.

BUSINESS TRAVEL INSURANCE

A $100,000 Business Travel Life/Accident policy has been adopted effective November 1, 1982. It covers all full-time and part-time faculty, staff, and students while in the active employ of the College. It is in force during authorized ground or air business travel away from the College. The face amount is payable to the named beneficiary (ies) under the Collective Life Insurance plan.

The insurance does not cover travel on bonafide vacations, private aircraft, or travel to and from work. Certificates and policy summaries are available from the Personnel office.
COLLECTIVE LIFE INSURANCE

Union College provides, at no cost to its full-time faculty, Teachers' Insurance and Annuity Association Collective Life Insurance. This is a decreasing form of life insurance; the College pays for seven units for each faculty member. Death payments range as of 1980 from about $82,000 at age 25 to $26,700 at age 45 to about $4,600 at age 65 and will be paid only to the beneficiary named by the insured. A change of beneficiary may be made at any time if proper information is given to the Personnel Office.

SICK LEAVE

The Trustees of the College have established the following policy on sick leave:

"The President of the College can approve full salary up to three months, plus one week for each year of service, up to a maximum of one-half year, or until the Total Disability Insurance takes over.

"Anything beyond this can be recommended by the President to the Executive Committee for consideration.

"The work of the sick person has been customarily carried on by other members of the faculty or administrative staff during his absence, except when the absence was of such duration as to cause a material deficiency in the teaching or administrative service or of such duration as to impose undue hardship on the members of the faculty or administrative staff. In such event, the President makes every effort to obtain a replacement for the sick person."

These provisions are effective for full-time faculty and professional staff. The President may make proportional provisions for part-time persons in the same groups.

Normally the President issues a letter explaining the conditions of sick leave to those obliged to be absent for an extended period.

MEDICAL CARE INSURANCE

Union College has available three plans, any of which may be chosen to provide medical care insurance coverage.

Blue Cross Matrix One and Major Medical Insurance provide one option. Blue Cross provides payments in full for most in-hospital treatment and procedures and certain out-patient treatments and procedures. Details are provided in a booklet furnished by the Personnel Office.
Major Medical Insurance provides for certain other expenses not covered by Blue Cross. 80% of the expenses are reimbursed after payment of the first $100 each calendar year for each covered person. Details of the plan are provided in a booklet furnished by the Personnel Office.

This insurance is offered on a cost sharing basis with the insured. The College currently pays the total individual and family coverage premium for a full-time employee both for the Blue Cross Matrix One and Major Medical Insurance coverage.

The Community Health Plan provides a second optional medical care insurance coverage. Community Health Plan is a qualified Health Maintenance Organization serving the Capital District area. Payments made through this insurer closely parallel the Blue Cross medical insurance coverage. Details are available through the Personnel Office. This insurance is offered on a cost sharing basis and the College contributes about the same amount towards the cost of Community Health Plan as it does towards the other optional health insurance plans.

The Mohawk Valley Physicians' Health Plan provides a third optional medical care insurance coverage. Details are available through the Personnel Office. This insurance is offered on a cost sharing basis and the College contributes about the same amount towards the cost of Mohawk Valley Physicians' Health Plan as it does towards the other optional health insurance plans.

RETIREMENT PLAN

The College Retirement Plan is operated through annuity policies issued by the Teachers Insurance and Annuity Association and is in addition to and separate from Federal Social Security coverage. By action of the Board of Trustees and upon authorization of the President, participation is available to members of the faculty who are engaged in teaching or administrative work, whose appointments are not part-time, and who have completed one year of service. Participation is required of eligible members upon the completion of one year of service and attainment of age thirty. A faculty or staff member who comes from an institution where he has participated in a similar plan and who holds a retirement annuity contract will continue to participate without interruption.
This plan is financed by deductions from each participant's salary and by a monthly contribution from the College. The current rates are:

Contributions from participant .......... 4%
Contributions from Union College .......... 11%

15%

The sum of the contributions is forwarded to the annuity pension carrier monthly for credit to the participant's wholly-owned, fully-vested contract(s). The participants have the option of electing either a reduction (before tax) or deduction (after tax) made of contributing their percentage amount. The College's portion is made on a tax-deferred (before tax) basis.

Participants can contribute amounts in excess of the required 4%, if they wish. The maximum amount is determined by IRS code. Further, the sum of the monies can be distributed between TIAA fixed earnings account and the CREF variable earnings account.

Enrollment procedures are handled by the Personnel Office. Assistance in IRS formula calculations and information about TIAA and CREF investment accounts are available through Personnel, as well.

COLLEGE PLOT IN VALE CEMETERY

Members of the College faculty and administrative staff, their spouses and their unmarried children have the privilege of interment in the College plot in Vale Cemetery without charge for the area assigned. Provision for additional plots for other family members may be voted by the Board of Trustees in exceptional circumstances. The faculty member is responsible for furnishing adequate markers and for the upkeep of the area assigned to him. A "perpetual care" plan may be purchased from the Vale Cemetery Association. Further information is available in the Business Office.

PERSONAL LEAVE OF ABSENCE WITHOUT PAY

Members of the faculty or administrative staff may request a personal leave of absence without pay for one academic term for faculty or its equivalent for administrators. Leaves may be renewed. Requests for a personal leave or renewal of leave should be submitted to the department chairman or supervisor at the earliest possible time so that arrangements can be made to fulfill personnel needs.

The College wishes to remind the faculty that major medical, group life insurance and total disability policies cover faculty on leave. Health care coverage may be continued provided the individual pays the full group rate. Other insured benefits remain in effect at no cost to the individual. The College does not make any contribution to the pension plan while the faculty member is on leave. Faculty may contribute directly to T.I.A.A. as they wish. Faculty going on leave who have children in college and are receiving financial assistance from Union toward tuition costs elsewhere should inform the Business Office of their plans and, when they return to Union, apply retroactively for
this fringe benefit for the year of the leave.

Finally, although the College recognizes the importance of such leaves, approval of such a requested leave of absence without pay is at the discretion of the Board of Trustees upon the recommendation of the President.

CREDIT UNION

All employees of Union College are eligible for membership in the Schenectady Teachers Federal Credit Union, which offers advantageous rates for saving and borrowing money. Further information can be obtained from the Chair of the Personnel Committee, the Personnel Office, or directly from the Credit Union at 1646 State Street, Schenectady, telephone 393-1326.

DISABILITY INSURANCE

Union College was the first college to introduce this long-needed fringe benefit under which it provides at no cost to its faculty the T.I.A.A. Total Disability Insurance Plan. This insurance provides, in case of total disability, for payment of 60% of the first $1,000 of monthly base salary, plus 40% of base salary above $1,000 a month (up to a maximum of $1,200 per month including Social Security, Workman's Compensation, or similar statutory benefits) to the faculty member until he or she reaches age 65, when his annuity becomes effective. The plan also continues the total T.I.A.A. annuity contribution for participating employees during the period of total disability. This insurance is available to full-time members of the faculty and administration after age 30 and two years of service at Union College. Benefits paid under this insurance have no income tax withheld, but may be reported as income by the individual depending upon one's circumstances.

NEW YORK STATE WORKER'S COMPENSATION INSURANCE

If an illness or injury is found to be job related, your medical expenses and a partial salary continuation will be paid through this insurance plan. The partial wage payment is governed by State law. The Worker's Compensation Insurance program is administered through the Personnel Office. Claim forms are available from that office.
FACULTY/STAFF CHILDREN'S SCHOLARSHIP PROGRAM

The FACULTY/STAFF CHILDREN'S SCHOLARSHIP PROGRAM includes:

(i) Full-time enrollment at certain institutions other than Union College,

(ii) Full-time enrollment at Union College, and

(iii) Part-time enrollment at Union College.

The Scholarship Program is subject to the following eligibility qualification and other terms and conditions.

PART A: FULL-TIME ENROLLMENT SCHOLARSHIPS

I. Eligibility Provisions.

A. For the purposes of this program and whenever used herein, the word "children" or "child" refers only to children the employee claims as "dependent" for federal income tax purposes and who are either (1) the natural-born children of the employee in question, or (2) legally adopted children of the employee adopted (i) before the child reached 18 years of age and (ii) five years or more before entrance of the child into college.

B. The following are eligible for full-time enrollment scholarship benefits specified in Paragraphs III and IV:

1. Children of members of the Union College faculty and Union College salaried and hourly non-faculty employees, (faculty and employees hereinafter collectively referred to as "employees") provided that:

a. The employee has been employed at the College on a regular full-time basis for at least five years prior to the date on which the requested tuition scholarship would take effect; and

b. The employee is in active service during the scholarship period or on a leave of absence that has been authorized by the Board of Trustee and that extends for not more than one calendar year.

c. For purposes of subdivision (a) time worked in a part-time or temporary status is not considered in determining the five-year minimum. For purposes of subdivision (b) such children are eligible only while the parent is employed by Union College. Eligibility of the child ceases automatically if the parent ceases to be employed by the College.
2. Children of retired employees of the College may be eligible upon recommendation of the President and the approval of the Board of Trustees.

3. Children of employees who are disabled or who die while in active service of the College and who completed at least ten consecutive years in the College's employ are eligible.

C. The changes to the FACULTY/STAFF CHILDREN'S SCHOLARSHIP PROGRAM in Section I herein shall be effective and govern eligibility as of July 1, 1985, and thereafter until such time as the Program may again be amended. However, for any eligibility obtained prior to July 1, 1985, the immediate former FACULTY/STAFF CHILDREN'S SCHOLARSHIP PROGRAM shall remain valid.

II. Qualifications for Eligible Children.

A. To qualify for a scholarship from Union, the child must be:

1. Enrolled in the undergraduate program of an accredited institution offering a bachelor's degree in the arts, sciences, or engineering, or

2. Enrolled in a recognized two-year junior college, provided the applicant is pursuing a program of study that at the end of two years of study will qualify him or her for transfer to another institution offering a bachelor's degree in the arts, sciences, or engineering.

B. To retain the scholarship, the child must be in Good Standing at the institution attended.

C. In the interest of fairness to all, Union College expects that students will complete their baccalaureate education in four consecutive academic years, or the equivalent number of semesters or academic terms, and will therefore limit its tuition scholarships to apply to only these first four years of study. For example, a student who attended a college for two years before the parent became eligible for a Union College tuition scholarship and then requested three years of scholarship once the parent became eligible would only be entitled to two additional years, and not three, because of this four-year limit.

III. Scholarship Amounts to Attend Institutions Other Than Union College.

A. For eligible children who attend institutions other than Union, the amount of each annual award shall be equal to the lesser of:

1. One-half the annual tuition charge at Union, or

2. The annual tuition charge at the institution attended.
B. The maximum cash liability of Union College for all scholarships paid to other institutions in any single year shall be limited in the first year (1985-86) of this program to $120,000.00. This limit shall be increased in each subsequent year after the first year by the same percentage allowed for increases in the general compensation budget of Union College. In the event that claims for any year shall be in excess of the limit, then treatment of claims and the excess shall be referred to the Board of Trustees by the President of the College. Such treatment may include proportionate reduction in all claims to eliminate the excess.

IV. Scholarship Amounts to Attend Union College.

A. For eligible children who attend Union College the amount of each annual award shall be equal to the Union College tuition.

V. General.

A. Individual Union College full-time enrollment scholarships for those attending Union College or institutions other than the College are limited to that amount of the tuition fee remaining after the sum of all other grants or awards are subtracted from it (e.g., New York State Regent's Scholarships, etc.).

B. Entitlement amounts under the Scholarship Program shall be payable in installments as tuition payments become due and made directly to the attended institution for credit against the recipient's tuition charges.

C. Scholarship grants under this Part A are awarded to each eligible child on an annual basis for not more than four years of undergraduate study.

PART B: PART-TIME ENROLLMENT AT UNION COLLEGE

I. Eligibility Provisions.

A. Eligibility extends only to full-time Union College faculty and Union College salaried and hourly non-faculty employees, (hereinafter all collectively referred to as "employees"), their spouses, and "dependent" children (as defined in Part A, I, A & B above). Eligibility for this "Part-Time Enrollment" scholarship begins with the date of commencement of the employee's full-time status at the College.

II. Entitlement. Eligible individuals for part-time enrollment scholarship shall be entitled each term to take tuition-free one course for credit and provided that no more than three courses per year may be taken tuition free. This entitlement is not to be interpreted such that a child or spouse attending full-time will have his or her tuition bill reduced by one-third.
III. General.

A. Employees under the part-time enrollment shall take courses that are not in conflict with the employee's work schedule.

B. Admission to degree status is governed by the regular requirements and procedures of the College.

C. Any special or other fees and costs related to tuition-free courses must be paid by the employee.

PART C: ADMINISTRATION AND MISCELLANEOUS PERTAINING TO PART A AND PART B

I. Administration.

A. This program is administered by the President or other officers of the College if the President has delegated such authority. These officers will make known of the availability of the Scholarship Program known to the community of College employees.

B. The Executive Committee of the Board of Trustees shall be sole interpreters of the provisions of this program except that it shall be the responsibility of the administrators of the program to define whether a child remains in Good Standing.

C. The Board of Trustees reserves the right to amend all provisions, qualifications, and terms of the Program and grants thereunder as, in their sole discretion, circumstances make necessary or advisable.

II. To retain a scholarship under Part A or Part B a child must remain in Good Standing at the institution attended including Union College. It is the responsibility of the parent or employee to notify the officer administering these grants if the child withdraws or fails to remain in Good Standing at the college for which he or she is receiving benefits. In the event that the child qualifies for a refund from the college attended, such refund will be made directly to Union College for as much of the original Union College award as the refund covers and not merely for a proportion thereof. An employee or child under this program may remain liable to Union College in the event (i) a refund is not directed to Union College as provided herein, or (ii) the College is not notified if the child withdraws or fails to remain in Good Standing at the college for which he or she is receiving benefits.

III. Any conflict in this Program or between this Program and any other Program of the College or other rules and regulations of the College shall be resolved by the Executive Committee of the Board of Trustees.
CAMPUS STORE - Nott Memorial

Faculty and Staff, and members of their families, may use the Campus Store to the full extent of its services. Items totalling $2.50 or more at any one time may be charged. Accounts are payable within 30 days of the billing date. The privilege of charging will be suspended for any account containing charges which have not been paid within 90 days of original billing, and may be withdrawn permanently where circumstances seem to warrant such action. A finance charge of 1 1/2% per month is levied on balances outstanding after 30 days (minimum charge of $1.00 if balance is under $35.00). Credit ceiling is $500.00 per academic year for full-time faculty and staff members employed by Union College.

The Campus Store is prepared to offer the following services to the College community:

1. Special ordering of books in print, and not readily stocked by the store.

2. Accept all types of film for processing, and sale of popular film sizes.

3. Shop by telephone - 370-6188 - Monday through Friday, 8:45 a.m. to 4:30 p.m.

4. Gift wrapping of items purchased at the Campus Store - $.35 per package.

5. Ship items via United Parcel Service provided the following procedures are met:
   a. No service shall be rendered in the accepting of any package or article weighing more than 50 pounds or exceeding 108 inches in length and girth combined, and each package or article shall be considered as a separate and distinct shipment.
   b. No service shall be provided in accepting of packages or articles weighing in the aggregate more than 100 pounds from one shipper at one location to one consignee at one location on any one day.
   c. Each package must be properly wrapped before the Campus Store will accept it for shipment via United Parcel Service. Packages not acceptable for shipment are those tied with string/rope, or sealed with transparent, masking or paper/cloth tape. A label, showing the Zip Code as part of the address is necessary. No packages
will be accepted if addressed to a Post Office Box. A charge of .25 per package will be made by the Campus Store if it has to rewrap or further prepare a package for shipment via United Parcel Service.

d. Items being shipped must be College-owned property or course related.

OF INTEREST TO THE TEACHING FACULTY

Requisition Cards for course related materials are sent out to Departments 4-6 weeks in advance of the term. The timing is important for several reasons, major among these is our attempt to get the right book on the shelf before the beginning of the term. Our ability to accomplish this depends on the amount of time we have to verify, order and receive the book. Other factors, of course, are such things as the publisher’s ability to process the order in a reasonable amount of time, the time in transit, type of shipment, and various mistakes by us and/or the publisher.

For example, we are receiving U.S. Government publications 3-4 months after ordering. These are non-returnable and have to be prepaid before shipment is released. If you need a GPO publication, your order should be in with this delivery time in mind.

The cost of textbooks is on the rise, and the costs of shipping are extremely important. An early order can be shipped at the cheapest way to the store. Late orders must come by faster and, therefore, more expensive ways.

Required, Supplemental or Recommended - We define a required book by its necessity for class use. If the student cannot pass the course without the use of the book, it should be so marked on the requisition form as required. Supplemental books are viewed as text in which limited assignments and tests will be given. Recommended books are viewed as suggested reading and non-essential to class achievement, but more as additional reference material for the curious student. Generally, 50% of the estimated enrollment is used as a guideline for ordering the supplemental texts and 25% for recommended books; however, this is not rigid by any means. Some books will be more popular and necessary than others. If this holds true for a particular title in your course, please note this on the requisition card.

Will the Text be Used Again - Although some of you may feel this is irrelevant, it does have an influence on the quantities of titles ordered. With our limited space, we find it necessary to return books to the publishers on a quarterly basis. If a text is to be used again within 12 months, we will not return it. Therefore, it is imperative that on each requisition card, you check off the proper box if you plan on using the book again. This, too, saves us the expense of shipping back a title.
How Many Books - The number of books ordered is probably the main source of friction between the store and the faculty. Our philosophy is to provide each student who wants to purchase one with a text. We fully realize the difficulty of guessing course enrollments with open registration and switching into courses after pre-registration as a factor. The numbers of books ordered is an estimate, nothing more. Several things are considered. Past sales history, number of times the book has been used on campus previously and, therefore, might be sold among students, cost of the book, and the return policy of the publisher. We also receive current enrollment projections as they become available from the Registrar.

In examining estimated enrollments, actual enrollments, and actual sales of books over the past five years, we discovered that an average of 28% of books requested and ordered were not sold!

So, please, before you fill out your requisition of books, give it some thought. Review your past enrollments. Fill out the requisition form entirely including whether or not you plan to use the text again. We need all the information requested to aid us in ordering the proper number of books for you. Optimum service to you depends upon strong liaison between the store and you. Adequate communication depends upon correct information at the right time, and mutual understanding of deadline and difficulties. Late communication increases the operating costs to the College.

Desk Copies - Publishers require that faculty members send to them any request for complimentary desk copies of adopted textbooks. The store is unable to provide complimentary desk copies. We will, however, lend you a textbook and charge it to the respective Department on a 60-day memo-invoice.

If the desk copy you requested is received from the publisher within 60 days, you do not return the loaned copy to the store, and the Department will be automatically charged for it. We cannot accept these books back after 60 days for credit. Publisher's desk copy request forms are available without charge at the back Customer Service Desk located in the store.

Other Services - If there are items of special equipment or supplies which you would like to have available to your students, we shall be happy to include them in our stock. The buyers of our Art and Engineering Departments and our Stationery Department will be most willing to work with you. Please feel free to contact them whenever they may be of service.
LIBRARY SERVICES

Schaffer Library supports teaching and learning at Union College. Its goal is to enhance both. Schaffer Library's collection compares favorably with those of similar institutions. Union scholars may also avail themselves of Dudley Observatory's specialized astronomy collection.

A few quick facts give a feeling for library operations. Of our 400,000 volumes, many are irreplaceable 17th and 18th century works. Current collection development is based on demonstrable need, although donated funds may be used for special interests and books-as-art. While open-stack materials commonly circulate among scholars, reserve-room materials account for over half of the library's transactions. Our periodical titles number 2,000 of which all except the current issues may be checked out.

Because Schaffer Library serves a predominantly undergraduate institution, it does not attempt to cover all subject areas at a graduate level. It has, however, a superior reference and bibliography collection that enables faculty members to tap the resources of research libraries. In addition, the Capital District Library Council is known nationally for its efficiency in sharing library wealth.

Operations

Cards

With proper identification, a faculty member will be issued a Schaffer Library card, which may be filed at the circulation desk upon request.

A faculty member also may request a CDLC card (Capital District Library Council) which may be used at cooperating libraries, subject to their lending regulations.

Loans

Faculty members may borrow most library materials for one academic year. Because the library utilizes the summer months for inventory, all materials must be returned or re-charged by June 30, after which fines will commence. When other borrowers request them, library materials may be recalled after two weeks.

Interlibrary Loans

Interlibrary Loan enables a faculty member to tap the resources of the area's 40 academic, public, and special technical libraries via the Capital District Library Council, which operates a daily courier service among its members. Two-thirds of all ILL requests are filled locally, generally in 3-5 working days. For more esoteric materials we have access to the major research libraries around the state through the New York State Interlibrary Loan System and all over the country by means of the OCLC/ILL Network. Request cards are available at the Reference Desk.
Requests

Each teaching department has a library representative who collects from the faculty "requests to purchase" that are charged against the allotment in the library budget for that subject area. The department library representative brings completed order cards to the library bibliographer or a liaison for that subject area from the library staff. Suggestions from individuals for all subject areas also are welcome. Full bibliographic information is necessary, plus, if possible, a copy of the ad or review. The bibliographer balances the content and form of library collections. The library director ultimately is responsible for acquisitions decisions.

Reserves

Faculty members may request in writing that materials be placed in the lower level reserve room. For materials listed in the card catalog, library staff need one month for processing them into reserve. When materials must be ordered, at least three months notice is needed. Foreign publications take longer. Reserve books may be used for two-hour periods within library security gates, or they may be borrowed one-half hour before closing and returned one-half hour after the next opening of the library.

Acquisitions - Books

Usually three months elapse from the time the bibliographer informs the acquisitions librarian until a book arrives from the publisher. Although the cost is greater, the library can rush an order in an emergency. When a book has been received, catalogued, and marked, the person who recommended the book receives a report slip with the call number on it, indicating that the book has been processed and is on the shelf. Rush books are held at the Circulation Desk. Periodic reports on departmental book budgets are made to the heads of the divisions and departments.

Acquisitions - Periodicals

Because of the rising costs of periodicals, the library orders a new subscription only if a previous subscription is dropped. The bibliographer, or library liaison to a teaching department, evaluates departmental requests for periodicals. The library also may order periodicals from a general budget when the interests of several departments are served.

Materials

Circulating

Periodicals: All periodicals, including current issues of the 2000+ titles presently received, and back runs are shelved on the lower level. Arrangement is alphabetical. To ascertain what periodicals Schaffer Library owns, please consult the serial catalog. This file lists every periodical title in the library and indicates the available volumes.
Government Documents: Schaffer Library has been a partial depository for United States government publications since the beginning of this century. Most titles selected from among the wealth of material available appear in the card catalog and the serial catalog. The staff at the reference desk can assist in determining the library's holdings for those titles not listed in the catalogs.

Phonodiscs: A separate catalog near the main card catalog and the serial catalog contains the listing of our phonodiscs. The records themselves are shelved in the Music Room on the first floor.

Microscopy: The Kellert Collection on microscopes, microscopy, and natural history, is on the fourth floor, in the library's Special Collections. The Kellert material, however, unlike the other Special Collections, may be used anywhere in the building and may be checked out. Please consult the reference staff to see material in this collection.

Non-circulating Periodicals: The most recent issues of any periodical must be read in the building, but a Xerox machine is conveniently located for any necessary quick copying.

Reference and Bibliography: Materials in the reference and bibliography collection must be used in the building. This collection is extensive and comprehensive, supporting the curriculum and providing access to scholarly materials.

Microforms: A separate location for library materials in microform has been set up near the Reserve Room on the lower level. The collection includes the New York Times from 1851 to date, the Wall Street Journal and the Times (London) from the late 1960's, the Schenectady Gazette from 1955 to date, and the Christian Science Monitor from 1969 to date. Newspaper microforms includes such publications as the American Statist Index and the McNeil/Lehrer Report. In the Russian language we have Pravda and Izvestia and some 70 periodicals. The serial catalog indicates the library's microform holdings; none of it may be used outside the building.

Special Collections: Certain library materials are considered "special" for any or all of a number of reasons; content, age, scarcity, and physical condition being among the more important criteria. Materials which have been deemed special are housed on the fourth floor and must be used there, under supervision of a library staff member. The catalog cards for all these materials are stamped "Special Collections." The reference staff will assist you in gaining access to the fourth floor. A brief description of the collections provides some idea of the nature and scope of the materials.
Adirondack Research Center, opened in 1980, is a resource for researchers and conservationists, with particular strength in documentary history. The Center includes reports of commissions, committees, associations and agencies, maps and photographs, as well as books and periodicals dealing with the area and its park. Included also are library materials from Paul Schaefer, noted conservationist.

Bailey Collection of 19th Century North American Wit and Humor was started by Frank Bailey, long-time benefactor of the College. The collection contains some unusual examples of literary and pictorial wit, but the nature of nineteenth century paper makes some of the items particularly delicate.

First Purchase Books are titles which were removed from the open shelves when it was possible to determine that they were among the books acquired in 1795 or shortly thereafter by order of the Trustees. Enough have been identified to provide an idea of an eighteenth-century College library.

Rare Books are shelved in Special Collections because something about each one is very unusual - the first or best edition of a classic, a special binding, illustrations by a noted artist, or marginalia of significance.

Schenectady Collection, as its name implies, consists of material by and about the City and County of Schenectady. A most useful feature of the collection is a long run of city directories.

Union Collection is constantly growing; materials issued by or about the College, its history, its faculty, students, alumni, and related activities are added regularly.

Vault Collection is limited to Union material, but in manuscript form in most instances. The Trustees' Minutes and early college letter books provide a primary source materials for the student of Union's history.

Opportunities

Bibliographic Instruction

Given two weeks' notice, the library will provide a session of bibliographic instruction for any course. A good time for instruction in the use of the literature of any field is just after the instructor has announced the term paper. The reference desk schedules such sessions.

Research Funds

Occasionally bibliographic materials necessary to faculty research are accessible only outside the College, severely restricted as to use. Other materials may not have high priority in departmental allocations.
The director receives requests from faculty members for funds to defray costs of overcoming such restrictions. The library staff considers requests at regularly scheduled meetings.

**Faculty Studies**

A limited number of small rooms in the library are available to faculty members upon application to the director. Assignment is made contingent upon availability of space elsewhere and direct library use.

**Photoduplication**

Faculty photoduplication may be done in the campus photocopy center in Steinmetz Hall, Room 211. The photoduplication of Schaffer Library material may be done on the two library photocopy machines, located on the lower level. The cost is five cents per page. Departmental key use of the machines is provided as a service to faculty members. (Keys and account charge slips are available at the circulation desk. It is necessary to have the departmental account number for key copying.)

**NOTARY PUBLIC SERVICE**

This service is available without charge to members of the faculty, staff, and students at the Student Aid Office, Business Office, and the Office of the Vice President for Finance and Administration.

**DINING FACILITIES**

College dining facilities are located in Carnegie Hall, the Dutch Hollow Pub, Hale House, Dutchmen’s Rathskellar, and West College. Hale House is open Monday-Friday from 11:30 to 1:30 and from 5:00 to 6:30. West College is open Monday-Friday from 7:30 to 6:30 and on Saturday and Sunday from 10:30 to 6:30. The Dutchmen’s Rathskellar is open from 12 noon to 12 midnight seven days a week. The Dutch Hollow Pub is open from 7:30 a.m. to 1:00 a.m. Monday-Friday, Saturday from 11:30 a.m. to 2:00 a.m. These facilities are available during hours of operation to faculty and staff members and their families. Arrangements for special dinners or luncheons in the College dining halls may be made through the Director of Food Service who manages the College’s dining facilities. Small luncheons can be catered, upon request, anywhere on campus.

**HEALTH SERVICE**

The College Health Service is open when classes are in session, from September 1-June 15. Minor injuries and ailments of members of the faculty and staff are treated by the staff on an emergency basis only and in no way supplant the services of a family physician, and no outside calls are placed by the staff of the Health Service except those of an emergency nature.
PUBLIC RELATIONS OFFICE

News Bureau

Official College relations with the local and national press, radio, television and other media are handled by and through the News Bureau. The release of information about College functions, whether sponsored by the College or by organizations within the College (including official student organizations), should be channeled through the News Bureau, which will arrange and coordinate appropriate publicity. It is the policy of the College to release all information through this single channel in order to minimize the chances of duplicate, confusing, or contradictory stories.

To facilitate the planning of publicity, please notify the News Bureau a month in advance, if possible, of events (a) designed (partially or entirely) for off-campus audiences, or (b) which may be of interest to the press. For advance news releases about events, please supply the bureau with glossy photographs and appropriate biographical information. Copies of most news releases are sent to Concordy and WRUC, but direct contact between the event's sponsor and the student newspaper and radio station often promotes better on-campus publicity.

The Chronicle is published by the News Bureau each Friday throughout the three terms. Listings for the "Union's Week" section of the Chronicle should be submitted, at the latest, by 1 p.m. Monday for the issue appearing at the end of that week. Information should be supplied on special forms available from the Public Relations Office. Items for other sections of the Chronicle should be submitted to the News Bureau Director, who serves as editor.

Publications

All official publications, whether budgeted to separate departments or included in the general printing budget, should be submitted to the Publications Office for a general editorial review. The Publications Office provides editorial assistance and oversees the printing of the publication. Proposals for additions to the roster of College publications and promotional materials should be submitted to the Publications Office in time for review and inclusion in the next year's printing budget. In general, this means that proposals should be submitted no later than November of the academic year preceding the year which the publication is sought.
OFFSET PRINTING SERVICES - Lamont House

This service offers offset printing for all departments and student activities within the College. There is a basic charge for supplies, press time, and production time.

The office requires that work be submitted "camera ready" (clean, typed copy, ready to be photographed). Typesetting is not available. Any necessary reduction of copy should be made on the copier in Steinmetz 211, by the department, before submitting work.

Press runs take time and the schedule is usually crowded. Therefore, advance notice of requests is imperative. Short printing jobs take 1-2 days, anything lengthy will take longer and will have to be scheduled around and according to the daily workload. No personal printing jobs will be accepted.

The office is also equipped to collate, staple, fold, punch, and comb bind printed materials.

PHOTOCOPY SERVICE

Photocopying machines are located in the Administration Building (for administrative use) and in the Library, Carnegie Hall, Science-Engineering Center Room S100 (for faculty and staff use), and Wells House. Charges are made against departmental budgets when the service is used.

Policy on Use of Duplicating Machines

Use of multilith and photocopying machines, and the mimeograph and ditto equipment located in departmental offices is subject to the following restrictions:

1. The work of the office where the machine is located has priority.

2. No duplicating on behalf of a political candidate or party is permitted.

3. No use is permitted for commercial purposes other than that of promoting approved college events.

4. No time of secretaries or clerks may be requested except as approved by the person to whom the secretary or clerk reports.

5. Users are responsible for observance of copyright law.

STUDENT EMPLOYMENT

The Personnel Office and the Director of Financial Aid coordinate the employment of students in part-time jobs within the College during the academic year. The Standard Personnel Requisition must be completed and submitted for acknowledgement as shown on the form. Students matching the desired qualifications will then be referred to the appropriate department for final selection.

For more detailed information or questions, call the Personnel Office or the Director of Financial Aid.
III. ADMINISTRATIVE RULES:
Appointments, Tenure, Promotion, etc.

NEW APPOINTMENTS

New appointments to the Faculty of Union College are for one, two, or three years at a rank and salary appropriate to the academic background and teaching experience of the appointee and in keeping with the criteria described under each rank. The letter of contract from the Office of the Vice President for Academic Affairs indicates whether the appointment is terminal or open to continuation if mutually agreeable. Any special conditions pertaining to the appointment are mentioned in the letter of contract, subject to review and approval by the Board of Trustees. The new faculty member is expected to sign the letter of acceptance and provide a vita for the College files.

REAPPOINTMENTS

The departmental head originates the request for reappointment of a faculty member not on tenure and submits this request to the Vice President for Academic Affairs. All such recommendations for reappointment must originate by June 1 of the year before the expiration of three-year appointments, and by December 1 for two- and one-year appointments. Notice of intention not to recommend for reappointment shall, when possible, reach the faculty member by December 15.

PROMOTIONS

The departmental head originates the request in writing for the promotion of a faculty member of the department. In submitting this recommendation, the factors which prompt the request should be listed. The record of achievement since the last promotion or since the original appointment to the Faculty of Union College determines eligibility for promotion. In reviewing a recommendation for promotion, the College considers primarily teaching ability and research activity (or comparable creative activity), for it regards teaching effectiveness and substantial professional achievement as inseparably related: each enriches the other. In addition, the reviewing committee (the Faculty Review Board) considers professional involvement, services to the College, and in some instances, the rank structure within the department and the relevance of the fields of competence of the teacher to the educational goals of the institution. Time-in-rank is not to be an arbitrary factor either for or against eligibility for promotion. All recommendations for promotion are transmitted to the Board of Trustees.
FACULTY RANKS AND THE CRITERIA FOR PROMOTION

1. Instructor

Appointment to the rank of instructor may be for one, two, or three years, renewable or not in accordance with the letter of contract. New members of the Faculty, beginning at the rank of Instructor and without the doctorate who are awarded the doctor's degree during the academic year, are raised in rank at once to Assistant Professor. Further, if all the requirements for the degree are completed by March 1st, there is an automatic salary increment of $1,000, this sum being paid during the remaining pay-periods of the contract year.

2. Assistant Professor

Appointment or reappointment at the rank of assistant professor generally shall be for three years and is renewable unless the letter of contract specifies to the contrary. Promotion to this rank requires:

a. Normally, the Ph.D. or its equivalent
b. Demonstrated professional competence
c. Scholarly activity and professional alertness

3. Associate Professor

Those initially appointed to the rank of associate professor receive a three-year contract, renewable with or without tenure in keeping with the provisions for determining tenure. Two appointments at this rank may be regarded as conferring tenure unless the College indicates to the contrary. Promotion to this rank normally assumes:

a. The Ph.D. or its equivalent
b. Outstanding performance as a teacher
c. Mature scholarship recognized by the profession
d. Continuous and substantial service to the College

4. Professor

Appointment to the rank of full professor from within the faculty of Union College automatically confers tenurability if not already granted and is recognition of a sustained contribution to the educational programs of the College and an established professional competence. Appointments to this rank from outside the Faculty shall be for three years, and a decision on tenure shall be made no later than the second year of this appointment. Promotion to this rank normally requires:

a. The Ph.D. or its equivalent
b. Outstanding performance as a teacher for no less than ten years or equivalent services in professionally related work

c. Mature scholarship recognized by the profession and normally demonstrated in publications, exhibits, elections to office in national or international professional organizations, receipt of grants or awards, or similar marks of unusual scholarly accomplishment

d. Continuous and substantial service to the College

5. For Special Appointments

a. For people who are appointed on a temporary but full-time basis to fill in for sabbatical leaves and the like, the term Visiting is used.

b. For part-time appointments, the term Adjunct is used.

UNION COLLEGE TENURE PLAN, June 15, 1973

A. Persons with Fewer than Seven (7) Years of Service as Non-Tenured Members of the Faculty of Union College (College):

1. If either a Department or the Vice President for Academic Affairs recommends such a person for tenure, the person will be evaluated (i.e., his or her "tenurability" will be determined) in accordance with the Procedures for the Decision on Tenure (see pp. 5, 6 below). No such evaluation will be completed later than the end of such person's sixth year of full-time service as a member of the Faculty of the College; and if any earlier date for completion of the evaluation (a) is required by any specific condition of the person's initial appointment to the Faculty or (b) has been requested by the person and recommended by the Department or the Vice President for Academic Affairs, the evaluation will be completed by such earlier date.

2. If the person is so determined not to be tenurable, the President or the Vice President for Academic Affairs will notify the person in writing that his or her appointment to the Faculty and his or her employment contract with the College (together hereinafter referred to as appointment) are terminal; or, if this does not allow sufficient time for the termination notice then required by the Faculty
Manual, a terminal appointment of one (1) additional year will be offered the person.

3. If the person is so determined to be tenurable and a tenured appointment is available for him or her in accordance with the Procedure for Determination of the Number of Additional Tenured Appointments (see pp. 7, 8 below), the Faculty Review Board will, subject to Part C, paragraph 1 below, recommend to the President that the Board of Trustees offer the person such tenured appointment.

4. If the person is so determined to be tenurable but no tenured appointment is so available for him or her, the Faculty Review Board will recommend to the President that the Board offer the person a non-tenured appointment for no fewer than three (3) nor more than five (5) years.

B. Persons with Seven (7) or More Years of Service as Non-Tenured Members of the Faculty of the College:

1. If at any time during any non-tenured appointment of any such person, a tenured appointment (for which the person's tenurability may be determined in accordance with the Procedure for the Decision on Tenurability) becomes available in accordance with the Procedure for Determination of the Number of Additional Tenure Appointments, the tenurability of the person will be so determined forthwith; and if such determination is that the person continues to be tenurable, the Faculty Review Board will, subject to Part C, Paragraph 1 below, recommend to the President that the Board offer the person such tenured appointment.

2. Whenever during any non-tenured appointment of any such person (a) curricular and budgetary justification of such appointment's extension shall have been determined in accordance with the Procedure for Determination ... Appointments and (b) the Faculty Review Board shall have concluded (in accordance with the Procedure for the ... Tenure or not, as that Committee in its discretion may decide) that the person continues to be tenurable, the Faculty Review Board will recommend to the President that the Board extend the person's non-tenured appointment for no fewer than three (3) nor more than five (5) years.

3. At any time during any non-tenured appointment of any such person, the Faculty Review Board may require that the continuing tenurability of the person be determined in accordance with the Eligibility Procedure. Also, upon request of the President, such
a determination will be made in the case of any such person as to whom no such determination has been made within the last six (6) years. In either event, if the person is so determined not to be tenurable, the President or Vice President for Academic Affairs will, at least two (2) years before expiration of the person's appointment, notify the person in writing that his or her appointment is terminal; and if such notice of at least two (2) years is not given, the person will be offered a terminal appointment extending his or her non-tenured appointment for whatever period is required to provide such notice. The President may, in his discretion, reduce by one (1) year any appointment made terminal in accordance with this paragraph by paying in advance the salary which the person holding such appointment would have earned during such year.

C. General Provisions:

1. If two (2) or more persons are determined to be tenurable for the same tenured appointment to be made in the same year, the Faculty Review Board shall, as part of its recommendation to the President in accordance with Part A, Paragraph 3 or Part B, Paragraph 1, as the case may be, include its recommendation as to the person to whom such tenured appointment should be offered.

2. During any period of three (3) years measured from September 1 of any year beginning with 1973, the tenured members of the Faculty of the College shall average no less than one-third (1/3) of the entire Faculty; but if during any such period the number of persons with more than seven (7) years of service as members of the Faculty shall average less than one-third (1/3) of the entire Faculty, all such persons shall hold tenured appointments.

3. Any member of the Faculty with the rank of Professor or Associate Professor may hold a tenured or non-tenured appointment without regard to such rank.

4. The provisions of the Faculty Manual specifying the terms and procedures for Sabbatical Leaves (see p. 9 below) shall apply to every member of the Faculty, whether he or she shall hold a tenured or non-tenured appointment.

5. Nothing in this Proposal shall affect the tenure of any member of the Faculty holding a tenured appointment on the date of adoption of the Proposal or qualify the provisions of the Faculty Manual regarding Academic Freedom (see pp. 10, 11 below).
PROCEDURE FOR A DECISION ON TENURABILITY

Recommendations for a tenurability review originate with the departmental head, who shall have consulted with tenured & tenurable members of the department, and are forwarded to the Vice President for Academic Affairs in writing along with a resume of the teacher's background and achievement. These recommendations must reach the President by May 1 of the year preceding a final decision, so that a review may occur and a recommendation, if appropriate, be transmitted to the Academic Affairs Committee of the Board for action at the full meeting of the Board of Trustees in June of the year preceding the one in which tenure becomes applicable. As tenure commits the College to permanent employment for as long as the position to which the appointment is made continues to exist, although it does not guarantee either subsequent promotion or salary increments, the College must exercise the greatest care in its decision. See appendix 1.

If a candidate has been recommended for consideration for tenure by the Department and consideration approved by the Vice President for Academic Affairs and the Faculty Review Board, the President or the Vice President for Academic Affairs will appoint an ad hoc committee in consultation with the Faculty Review Board, to examine the record of each candidate for tenure and to report its findings, with a recommendation for or against, to the Faculty Review Board. The ad hoc committee will normally consist of one member of the candidate's Department, one member of the Division but not of the Department, one member of the Center from the other Division, and one member from the other Center. If it appears desirable to the Chairman of the ad hoc committee and approved by the Vice President for Academic Affairs, an outside professional shall also be included as a member of the ad hoc committee. Tenure will not normally be granted unless the individual holds the doctorate or appropriate terminal degree.

The charge to the ad hoc committee shall give explicit instructions to the members that the evaluative process should include the following:

1. An examination of published papers as well as all other evidences of professional scholarship. The ad hoc committee may solicit outside opinion on the candidate's professional reputation;

2. A detailed report from the various constituencies of the College community, i.e., a cross section of involved faculty both within the candidate's department, and from faculty in conjoint areas;

3. Systematic solicitation of student opinion concerning the candidate, including consultation with departmental student representatives on the procedure for soliciting such student opinion. Moreover, public notice shall be given to the creation of an ad hoc committee so that students and faculty
members who have had personal, first-hand acquaintance with the candidate may make representation in writing to the ad hoc committee chairman.

The chair of the committee is finally responsible for preparing a report on the candidate and presenting a favorable or unfavorable recommendation to the Faculty Review Board. This written report is duplicated and submitted to members of the Faculty Review Board, to the Vice President for Academic Affairs, and to the President several days before the Faculty Review Board meets to consider the candidacy. At that meeting, the ad hoc committee will appear for about one hour to answer questions, if any, about the written report and to make oral supplementation of it.

The Faculty Review Board meets with the ad hoc committee to discuss the report and recommendation of the ad hoc committee. Every effort should be made to explain any ambiguities in the report that might influence a decision toward tenure.

The chair of the Faculty Review Board submits to the Vice President for Academic Affairs and the President of the College a written statement of its decision after examining all evidence including the candidate's performance, potential contribution, the structure of the Department, and the financial implications of the appointment.

The approval of a tenure appointment shall be confirmed in writing by the Vice President for Academic Affairs or the President and made a part of the records of the College.

Normally, a faculty member may be recommended for tenure under one of the following conditions with respect to length of service before the end of the academic year prior to fulfilling the tenure requirements:

1. Seven years of full-time teaching at Union College and the rank of associate professor or higher, by the time tenure, if granted, becomes effective.

2. Four years of full-time teaching at Union College and the rank of associate professor or higher AND more than three years of full-time teaching at one or more regionally accredited institutions of higher learning or equivalent service in professionally related work, by the time tenure, if granted, becomes effective.

3. Specific indication in the letter of contract from Union College in those cases not covered by the above stipulations, in keeping with the general provision of the 1940 Statement of Principles of the American Association of University Professors.
Members of the Library who receive appointments as full-time faculty members at Union College may become eligible for tenure in keeping with these provisions but need not hold the rank of associate professor to receive a continuing contract. It is further understood that tenured faculty members in the Library shall hold the degree normally considered the highest degree within the field of competence.

PROCEDURE FOR DETERMINATION OF THE NUMBER OF ADDITIONAL TENURED APPOINTMENTS (Adopted by the Board of Trustees June 9, 1972)

Once each calendar year in accordance with the following procedure and by a date not later than June 15, an estimate shall be made and announced of the number of additional tenured appointments to the Faculty and their distribution, to be authorized over the period of the three (3) successive academic years beginning with the second academic year next following the date when such estimate shall be announced:

1. For each Department in consultation with the Chair thereof, the Vice President for Academic Affairs shall prepare and submit to the President a report on the Department's needs and expectations respecting Faculty members over the said period.

2. Thereafter the matter shall be considered jointly by the President and a Consultation Committee constituted each year for such purpose and consisting of the following members: the Vice President for Academic Affairs, the Dean of the Graduate School and Continuing Education; from each of the following Faculty Committees, one member designated by the President in consultation with the Chair of the Committee: (a) Planning and Priorities, (b) Academic Affairs Council, and (c) Faculty Review Board; and the Chair of each Division, if not otherwise a member of such Consultation Committee.

3. Following such consideration, the President shall prepare and submit to the Board of Trustees recommendations regarding such estimate, including therewith all contrary recommendations, if any, made in writing with supporting argument by any member of the Consultation Committee.

4. The Board of Trustees shall review such recommendations of the President and all such contrary recommendations, if any; and such review may include conferences with the Consultation Committee.

5. Upon completion of its review, the Board of Trustees shall by vote adopt a resolution which (a) shall set forth its estimate of the number of additional tenured appointments
"I do wonder, sometimes, what other galaxies have done about tenure."

Reprinted by permission of The New Yorker Magazine
to the Faculty, and their distribution, to be authorized over the said period, but (b) shall describe such estimate as a projection dependent upon information available to the Board at the time of its vote, and not as any commitment to authorize any such appointment.

6. A copy of such resolution shall be promptly transmitted by the Secretary of the Board of Trustees to the Faculty Review Board; and every decision by such Committee to recommend to the President any additional tenured appointment to the Faculty shall be consistent with the estimate set forth in the resolution then most recently adopted by the Board of Trustees.

APPEALS PROCEDURE FOR NEGATIVE CONTRACT RENEWALS AND TENURE DECISIONS

Procedure for Reconsideration and Appeal. A faculty member may request that a decision of the Faculty Review Board be reconsidered by the Board on the basis of a review of procedure or on new evidence relevant to the decision. The request for reconsideration should be directed to the Vice President for Academic Affairs who will transmit it to the Board. The Board may reconsider the case if it feels a review is appropriate.

A faculty member may appeal a decision of the Faculty Review Board concerning contract renewal, promotion, tenurability, or tenure by submitting a written appeal to the Faculty Appeals Committee.

Faculty Appeals Committee: Membership and Procedures. The Faculty Appeals Committee shall have as members five senior faculty members (tenured or tenurable). Each Division elects one tenured or tenurable member of the Division to the committee. The Divisions also elect a tenured or tenurable alternate to the committee who replaces the elected representative should there be an obvious conflict of interest involving a specific appeal. The fifth member of the committee is elected by the faculty at large and chairs the committee. When this person is elected, the faculty also elects an alternate to replace the committee chair should a conflict of interest arise. All members of the Appeals Committee serve for two years.

The Chair of the Faculty Appeals Committee shall not serve concurrently on any ad hoc tenurability committee nor on any other of the principal governance structures. No member of the Faculty Appeals Committee can serve on the Faculty Review Board concurrently or in the year immediately preceding service on the Appeals Committee.

The members of the Faculty Appeals Committee shall, in consultation with the Vice President for Academic Affairs and President, establish rules of procedure prior to considering any specific appeals.
The Faculty Appeals Committee shall report its decision to the President.

Appeals beyond this committee will go directly to the President for final judgement.

SABBATICAL LEAVES

REGULAR

Members of the faculty on permanent tenure or who hold post seven year tenurable contracts are entitled to apply in writing for a sabbatical leave equivalent to one-half of the academic year (4 courses) on full salary or a full year on half salary, to be taken during their seventh year of teaching on the Union faculty and each seventh year thereafter. The chairs of the departments try to work out a rotating schedule of such sabbaticals, so that no department will be severely handicapped during any particular year by the absence of faculty members on sabbatical leave. Since the purpose of a sabbatical leave is to improve the faculty member's competence as a scholar-teacher at Union, the College is justified in expecting that anyone granted sabbatical leave will return to teach here for at least one year after termination of the leave.

The application for sabbatical leave should provide (a) a full and clear explanation of the plan of study during leave and (b) a report on the arrangements made or pending for the carrying out of that study. It should be reviewed and approved by the chair of the applicant's department and then transmitted, with a letter indicating the chair's approval, to the Vice President of Academic Affairs. The Faculty Review Board examines the application and recommends for or against to the President who transmits recommended applications to the Board of Trustees. Since the Board must make its decision in time for a replacement, if one is needed to be engaged, faculty members should submit their applications no later than October first preceding the academic year in which the leave is to be taken.

Time spent on leaves of absence without salary does not count toward the six years of full-time teaching required for sabbatical leave. No faculty member may apply for a sabbatical leave immediately following a leave of absence.

Upon return from a sabbatical leave of absence, the faculty member is expected to write a report of activities during the sabbatical leave to the Vice President for Academic Affairs where it will be filed as part of the permanent dossier.
Although treatment of claims is reported to have lacked uniformity, Revenue Ruling No. 64-176 provides in general that the expenses of a teacher for sabbatical leave travel will be deductible as ordinary and necessary business expenses only if, and to the extent that, the travel is directly related to the duties of the teacher. Anyone planning travel for the purpose of sabbatical study should obtain a copy of the ruling and confer with a local Internal Revenue official in advance of filing a claim.

JUNIOR

Junior faculty members (those who have not been reviewed for tenurability) holding a full-time appointment in a tenure-track position are entitled to apply in writing for a junior sabbatical leave upon successful completion of their third-year review. This sabbatical (which is applied against the faculty member's first regular sabbatical leave as explained below) consists of one term (3 courses) release which normally is expected to occur during the faculty member's fourth year at the College. During the one term junior sabbatical the faculty member receives half pay (5/6th for the year). It is envisioned (but not required) that this leave would occur either during the fall or spring terms to allow a one term plus summer period for appropriate professional activities. Procedures for the submission of the application for a junior sabbatical are identical to those outlined above for regular sabbatical leaves.

Those faculty members who have taken a junior sabbatical leave will have their first regular sabbatical reduced as follows. From the terms stated in the section immediately above, the first regular sabbatical would be limited either to a half year release (4 courses) at half pay (2/3rd for the year) or one term release (2 courses) at full pay.
LEAVES OF ABSENCE WITHOUT PAY

A faculty member may request through the Vice President for Academic Affairs a leave of absence without pay for not more than one year to pursue research which will enhance professional development. In general, a faculty member should request such a leave before January 1 for the following academic year so that the College may review its personnel needs. If leave is granted, the College assumes that the faculty member will return to Union the year following leave unless the faculty member notifies the College to the contrary before February 1 of the academic year on leave.

A leave of absence without pay does not count towards establishing eligibility for a sabbatical. Consideration of salary increases while a faculty member is on leave depends upon the extent to which the leave enhances his service to the College.

The College wishes to remind the faculty that major medical, group life insurance and total disability policies cover faculty on leave, only when they are engaged in full-time study for an advanced degree or actively working in the field of education or pursuing research under a foundation or government grant. Health care coverage may be continued provided the individual pays the full group rate. Reimbursement for those payments will be made upon resumption of teaching. Other insured benefits remain in effect at no cost to the individual. The College does not make any contribution to the pension plan while the faculty member is on leave. Faculty may contribute directly to T.I.A.A. as they wish. Faculty going on leave who have children in college and are receiving financial assistance from Union toward tuition costs elsewhere should inform the Business Office of their plans and, when they return to Union, apply retroactively for this fringe benefit for the year of the leave.

For those faculty on leave who remain in Schenectady, the College makes available office space, laboratory space, and other facilities (including services) so far as they are not needed for the normal operation of the College. Requests should be forwarded by the Department Chairman to the Business Office.

Finally, although the College recognizes the importance of such leaves, approval of such a requested leave of absence without pay is at the discretion of the Board of Trustees upon the recommendation of the President.
OUTSIDE WORK

Since the fundamental obligation of a faculty member is to the College, and since the College regards its contract as one for full-time employment, faculty members should receive permission in writing from their department head before agreeing to extra employment. The department head should notify the Vice President for Academic Affairs. This provision is meant to cover evening employment on an "extra-load" basis whether at Union College or elsewhere.

Before a part-time position at Union College is offered to a member of the faculty of another college, the head of the appropriate Union College department must have written clearance from the appropriate department head or dean of the other college.

ACADEMIC FREEDOM

1. The teacher is entitled to full freedom in research and in the publication of the results, subject to the adequate performance of other academic duties; but research for pecuniary return (contract research) must have written approval of the President of the College.

2. The teacher is entitled to freedom in the classroom in discussing the subject, but should be careful not to introduce into the teaching controversial matter which has no relation to the subject.

3. The college or university teacher is a citizen, a member of a learned profession, and a member of the faculty of an educational institution. When speaking or writing as a citizen, a faculty member should be free from institutional censorship or discipline, but the special association with the College imposes special obligations. As a scholar and a member of the faculty, it should be remembered that the public may judge the profession and the institution by the utterances of its members.

The College may discharge a faculty member who is on permanent tenure on grounds of moral turpitude, teaching incompetence, mental or physical incapacity to perform his/her duties, or conviction of violation of the Feinburg Law of New York State for Communist affiliation. In cases of mental or physical incapacity to perform duties, the procedures to establish total disability as provided under faculty benefits will be followed. If, however, the incapacitated faculty member is unable, or refuses, to take advantage of this benefit, the College may be obliged to terminate employment with one year's salary in lieu of notice. The discontinuance of the department or of the particular subjects taught by the faculty member
or financing difficulties within the College may also oblige
the institution to discontinue a member on permanent tenure.
Termination for cause of a continuous appointment, or the
dismissal for cause of a teacher previous to the expiration of
a term appointment will, if possible, be considered by the Faculty
Committee on Academic Freedom, the Faculty Review Board, and the
governing board of the institution. In all cases where the facts
are in dispute, the accused teacher will be informed in writing
before the hearing of the charges and will have the opportunity
to be heard in defense by all bodies that pass judgment upon the
case. The presence of an advisor of the faculty member's own
choosing, who may act as counsel, is permitted. There will be a
full stenographic record of the hearing available to the parties
concerned. In the hearing of charges of incompetence, the testimony
will include that of teachers and other scholars, either from
Union or from other institutions. Teachers on continuous ap-
pointment who are dismissed for reasons not involving moral
turpitude will receive their salaries for at least a year from
the date of notification of dismissal whether or not they are
continued in their duties at the institution.

FACULTY RESIGNATIONS

In the event that a faculty member decides to resign, the
College recommends that the following procedures be observed,
combining as they do both accepted practice in academic circles and
normal courtesy:

1. Resignation before receipt of contract letter.

When a faculty member indicates to the departmental head
an intention to accept another position and thus not to accept
a letter of contract from Union College, the department head
should notify the Vice President for Academic Affairs and the faculty member should submit a letter of resignation to the Vice President for Academic Affairs as soon as convenient so that an official acknowledgement may be made a matter of record.

2. Resignation after receipt of contract letter.

When a faculty member returns a signed carbon of the salary letter, the College assumes that the terms are mutually satisfactory and that the faculty member will fulfill the contract. The College tries whenever possible to issue these letters early in February. Therefore, unless a faculty member has been notified by December 15 that a continuing contract will not be offered, the faculty member should not consider a position elsewhere after February 1 without first informing the department head of an interest in another position. The College recognizes that a faculty member may well become aware of a teaching opportunity which represents a professional advancement which should be seriously considered, but it is a matter of courtesy to alert the department head to the possibility and to confer before accepting any firm offer. Acceptance of another position after the letters of contract have been issued requires, in this sense, a release from the contract at Union College and a formal letter of resignation addressed to the Vice President for Academic Affairs who, after consultation with the President, will acknowledge the action taken.

3. Resignation after May 1 to accept a position in the forthcoming academic year.

The American Conference of Academic Deans and the American Association of University Professors have agreed that it is increasingly awkward if faculty members in receipt of letters of contract change positions late in the academic year at a time when institutions cannot readily find qualified replacements. Therefore, colleges have generally accepted the understanding that after May 1 a faculty member should honor the contract for the coming academic year unless an untoward emergency makes an exception reasonable. If a faculty member is approached by an irresistible opportunity, the department head and the Vice President for Academic Affairs should immediately be notified and the dean or head of the other institution or agency should be requested to confer with the dean at Union before any further negotiations occur. This procedure prevents any misunderstanding which might prejudice the future appointments of the faculty member. The AAUP has also suggested that this procedure apply at any time of the year, thirty days after a faculty member is notified of the terms of continuing employment.
The principal reason for these procedures is to provide an effective code of ethics for the profession and to assure safeguards to the professional future of the faculty member.

RETIREMENT

Retirement for faculty and administrative staff commences at the end of the contract year in which the individual reaches age 70, except for those tenured people reaching age 65 prior to August 1, 1982. The contract year is defined as September 1 - August 31 for faculty and July 1 - June 30, for administrative staff.

SALARY INCREASES

1. Each faculty member submits an annual written report of professional activities over the past year to the Vice President for Academic Affairs and to the department head. This report is made available to the Faculty Review Board.

2. Each faculty member is evaluated periodically by the department head. The evaluation is submitted in duplicate: one copy for the department head's file and one for the Vice President for Academic Affairs and the Faculty Review Board. Each faculty member is evaluated on:
   (1) the quality and effectiveness of teaching; (2) research, scholarly activities and publications; and, (3) "collegueship," i.e., the capacity to teach, and learn from, colleagues and the value as a member of the intellectual community.

   (a) In evaluating the quality of an individual's teaching, the department head uses such criteria as:

      (1) the department's appraisals of the individual's course standards, syllabi, examinations, written exercises;

      (2) classroom visits by senior faculty;

      (3) the students' evaluations;

      (4) a written statement of goals and achievements by the instructor.

   (b) In evaluating the quality of research and scholarly activity, the department head shall use such criteria as:

      (1) the distinction of the individual's published and unpublished works;

      (2) the impact of the research on teaching; and

      (3) evidence of increasing scholarly maturity.
(c) In evaluating the collegial contribution of a faculty member, the department head shall consider, among other things:

(1) participation in seminars, colloquia and scholarly discussions;

(2) assistance given to colleagues in methodology, critiques, bibliographical recommendations, etc.;

(3) participation on college and departmental committees.

3. Procedures for evaluation of the faculty for salary increases are developed by the Vice President for Academic Affairs and the Faculty Review Board and are available through the Vice President's office or from the Chair of the Faculty Review Board. See Appendix III

THIRD YEAR REVIEW

The Vice President for Academic Affairs initiates a procedure for the evaluation of candidates at this stage in their careers at Union. Although this need not be the equivalent of a complete ad hoc committee report, it should include the following writing:

(1) That the candidate has been evaluated by the department (students and faculty) and by colleagues and students outside the department as to teaching, research and potential professional growth and contribution to the College; and

(2) That the candidate is clearly a possibility for eventual tenure; or clearly not a candidate for tenure.

The department head shall meet with the Vice President for Academic Affairs and the Faculty Review Board to review the evaluation. See appendix IV.

CONTRACT RENEWALS

Renewal contracts generally shall be for three years subject to the condition that financial exigency or elimination of a teaching position shall be sufficient reason for termination of the contract at the end of either the first or second year, provided only that notification of termination be given to the incumbent no later than March 1st of the first academic year of service at Union or December 15th of the second academic year of service (or, if the appointment expires within the academic year, not later than six months before the date of expiration), or not later than
twelve months before the date of termination for those who have held appointments at Union two or more years.

Administrative appointees serve at the pleasure of the President and may be terminated with one-month's notification.

All contracts are subject as before to the right of the Trustees to terminate them summarily for malfeasance or non-feasance or other adequate cause, duly adjudicated.

STUDENT RECORDS AT UNION COLLEGE

All information compiled at the College on an individual student is confidential between the student and the institution. Except for "directory information" and in those cases where a form explicitly indicates that the information is for public use (such as data for a news release originating from the news office at Union) or where the student has signed a written release, the student may assume that records remain protected by the office responsible: only those members of the faculty or administration who, for purposes in keeping with the academic objectives of the institution, must refer to student records shall normally have access to the files in the Admission Office, the Office of the Dean of Students, the Office of the Registrar, the Office of Special Programs, the Office of Student Aid, or the Alumni and Placement Office.

Within these general guidelines, the College responds to inquiries from persons not authorized to inspect student records in the following manner:

1. Requests for transcripts of the official academic record must originate with the student, or be released by the student.

2. Requests by an accrediting agency evaluating the College are honored, with a reminder of the confidentiality of the material.

3. Unless a student has signed a release form, the College will not accede to routine requests from federal and state agencies other than those conducting an approved accrediting or auditing visit, except in those cases simply involving an affirmation of a student's date and place of birth, attendance at Union, and status as a degree candidate or recipient of a degree.

4. Inquiries concerning the financial position of a student addressed to either the Office of Student Aid or to the Business Office will be answered only when it is clear that the inquiry came as a request for credit by the student or as a result of publicly assumed obligations.
In keeping with these stipulations, the College exercises normal precautions in monitoring both its permanent and transient files on students. No records are maintained which reflect either the political activities or beliefs of students.

In those cases where the public media seek information about a student -- and sometimes the cause for the inquiry may be ambivalent or even "notorious" -- the College has volunteered no details. Faculty and administrators who may be approached should refer all such inquiries to the Director of Public Relations who, at his discretion, may answer relevant questions, although it is assumed that qualitative assessments of a student will rest solely on publicly known data within the purview of the College.

In any case not anticipated by these provisions, the College will respond in a manner compatible with the best interests of both the student and the institution. The College is further guided and constrained by the provisions of the so-called "Buckley Amendment."

FACULTY RECORDS AT UNION COLLEGE

Essentially the same precautions exercised with respect to student records apply to those official files maintained in the Office of the Vice President for Academic Affairs. Therefore, faculty and administrators who receive inquiries from outside the College, especially those from the FBI, CIA, and similar agencies, should refer the inquiry to the President or Vice President for Academic Affairs. Members of the faculty who wish the College to provide references for any purpose should send a statement permitting the President or Vice President for Academic Affairs to comply with the request.

STATEMENT OF EQUAL EMPLOYMENT OPPORTUNITY AND AFFIRMATIVE ACTION

Union College will not discriminate in the recruitment or selection of faculty and employees, or in any other area of employment, on the basis of age, sex, race, national origin, religious belief or disability.

We will undertake and support efforts to attract and retain fully qualified women and other minority group members for faculty and other positions. Further, opportunities for advancement will be made available without bias.

Union College will comply with the letter and intent of all State and Federal laws and applicable orders pursuant to Equal Employment Opportunity and Affirmative Action.

A "Plan for Equal Employment Opportunity and Affirmative Action at Union College" has been released through the College's Office of Affirmative Action and is available under separate cover. That plan contains definitions, College policies, courses of action, and means of redress with respect to the areas of equal employment opportunity and affirmative action.
STATEMENT REGARDING SEXUAL HARASSMENT

Union College has always had as a central concern the establishment and maintenance of a community in which work and learning may proceed in a humane and caring atmosphere for all its members. Discrimination, harassment and intimidation of sexual, racial, religious or ethnic nature is a violation of College policy and Federal and State laws. Students especially must not be the victims of such unethical, unprofessional and illegal behavior on the part of employees if they are to realize their full potential as members of an academic community.

Specific definitions of and recourse from sexual harassment are contained in a "Plan for Equal Employment Opportunity and Affirmative Action at Union College" which is available under separate cover.
IV. TEACHING: REGULATIONS AND PROCEDURES

GENERAL RESPONSIBILITY

The general responsibility for classes resides with the instructor, limited only by the academic regulations of the College and the policy of the department. These regulations represent the conditions under which instruction occurs at Union. When questions arise, a faculty member should first consult the department head.

1. Classroom Assignments

All classroom assignments are made by the Offices of the Registrar or Graduate and Continuing Education. Requests for the use of extra rooms for tests or lectures should be made to the appropriate office. Rooms for special meetings, evening groups, etc., must be cleared through the scheduling office. This is not only to avoid conflicts in assignments but to see that adequate security coverage is made available at the close of meetings. Groups should check doors, windows, and ash receptacles before leaving a room.

2. Class Lists

The Registrar's Office distributes preliminary class lists at the beginning of each term. The original class list is replaced by a "revised" list by the fourth week of the term. At this time instructors are requested to bring any discrepancies between the Registrar's list and their own personal record to the attention of the Registrar. This is a critical procedure, for this is the last time before grades are due that clerical errors or wayward students may be recognized. As long as a student's name appears on the "revised" class list, (and only if the student's name so appear) the student should be considered a member of the class and reports made accordingly.

3. Change of Course or Section

Students are not permitted to pass from one course or section to another without specific authorization from the Registrar. The general regulations concerning dropping and adding of courses, changing majors, and withdrawal from College or individual courses appear in the Academic Register. Students entering a class after class-lists have been received are expected to present proper authorization from the Registrar.

4. Attendance

Each instructor shall announce at the beginning of the term the expectation with respect to class attendance. In general, the College expects students to attend classes regularly. Moreover, each instructor may make explicit
requirements concerning attendance in the course, for the College realizes that methods of instruction vary and classroom participation may have greater prominence in one course than in another. Within this regulation, each faculty member is expected to keep a record of a student's attendance in classes and laboratories. This record is particularly significant for students in academic difficulty.

Whenever a student is absent for more than a week without explanation, the faculty member should report the student's name and the dates of absence to the Dean of Students. Not infrequently a student may leave college for a time and this information becomes important, especially in the event of accident, injury, or serious emotional stress.

Students who wish to be excused from attendance at class are expected to tell the faculty member in advance or, when that is not possible, immediately afterwards.

The faculty member is not only expected to act promptly to discourage indiscriminate class absences, but also has the privilege of dropping a student from the course for excessive cutting. Good practice expects that the instructor will first warn the student; if the practice continues, he/she should notify the student in writing and address a brief request to the Registrar that a grade of "F" be entered for that student. A copy should go to the academic Dean.

In the event that a faculty member plans a field trip off-campus he/she should notify the department head and the academic Dean as far in advance as possible and check with all the students in the course to determine whether this absence will work an undue hardship on their participation in other classes scheduled during the field trip.

Faculty members are expected to meet their classes as scheduled. If there are occasions of illness or other necessary absence from the campus, the faculty member should notify and consult with the head of his/her department. If the absence is for more than three days, the Dean should also be informed. The College hopes that other faculty may be available to substitute if the absence is for more than one class.

Administrative officers who expect to be absent from the campus for more than three days should inform the President's or Vice President for Academic Affairs' Office in advance.

5. **Student Trips**

Arrangements for all student trips undertaken by any department involving absence from a course in another department should include prior notice to the academic Dean.
6. Examinations

Faculty members are free to give whatever types of examinations, essays, reports, and laboratory assignments they deem appropriate. Although no regulation requires notifying students in advance of hour tests, it is general practice to announce to students at the beginning of the term an approximate schedule of such tests. An hour test counts as a class. No hour tests may be given during the week preceding final examinations except for laboratory tests. A student absent from an hour test receives an "F" unless the instructor excuses the student. The faculty member should check directly with Health Services in case of a student illness or with the Dean of Students if the student is absent because of an official College function. The College asks that instructors arrange directly an appropriate make-up test for students who have legitimate excused absences. In deference to their colleagues and in fairness to students, faculty should schedule mid-course exams for regular recitation periods and conclude the exercise within the period of the class.

Final examinations are scheduled by the Registrar's Office and will, whenever possible, avoid student conflicts. For this reason it is generally difficult to change the time of an examination. Any changes to which the Registrar cannot readily agree must have the approval of the Vice President for Academic Affairs. Most final examinations are conducted in regular classrooms. Multiple section courses may be combined in one or more large rooms, however, if the instructors do not object and conflicts are not created.

Members of the faculty are free to use a variety of formats for their final examinations (including, for example, "open-book" and "take-home" tests). The format to be used, and the ground-rules governing it, should be carefully explained to students well in advance of the examination itself.

If a traditional type of examination is given, the following procedures should be observed:

a. the examination should be given at the time and in the place indicated on the Registrar's published examination schedule;

b. the examination should be given under the direct supervision of the instructor;

c. reasonable precautions should be taken to assure an atmosphere conducive to maximum performance by all students and to prevent dishonesty.

College regulations require that all assigned work be completed by the deadline set by the instructor, but no later than the end of the examination period. A grade of "Incomplete" may be given
only if difficult circumstances clearly beyond the control of the student warrant this procedure. The submission of a grade of "I" must be accompanied by a form signed by both instructor and student acknowledging the requirement that the work be completed within two weeks of the end of examination period. Any extensions beyond that date must be approved by the Dean.

7. **Proficiency Exams** (see catalog for details). The instructor involved is remunerated as follows:

a. For preparing, administering and grading a proficiency exam: Honorarium = $75

b. For administering and grading a previously used exam for a second student, or if two are taking the same exam together: Honorarium = $25

When the instructor submits the grade to the Registrar, he/she will be asked to request payment by means of a form prepared by the Registrar.

8. **Grades**

Information concerning the grading system is in the Academic Register.

At the outset of the fifth week of each term, faculty members receive from the Registrar a list of all freshmen enrolled in each of their courses and are required to submit interim grades (not of record) for any freshmen currently doing "D" or "F" work. In addition, yellow "D" or "F" cards are included so that particular reasons for low mid-term grades may be explained. Academic advisors are informed about any advisees doing poor or failing work. The yellow cards are sent to the academic Dean, who consults as needed with advisors and students.

Grades for all students at the end of the term, indicated on forms provided by the Registrar's Office, must be submitted to the Registrar not later than three calendar days after the final examination in the course. "D" or "F" cards are again provided and are used by the Sub-Council on the Standing of Students when necessary. Only through faculty cooperation in the prompt filing of grades can the academic standing of all students be properly completed before the beginning of the next term and a timely meeting of the Sub-Council on the Standing of Students held. For students completing requirements for graduation, any grade of "F" (Failed) must reach the Office of the Registrar before noon of the Thursday preceding Commencement.

Faculty members should consult the Academic Register for information on withdrawals.

Once a grade is processed by the Registrar, a grade may be changed only if a request is submitted in writing by a faculty member to the department head. The request should include a
detailed statement of the reason for the change. If approved by the department head, the request is forwarded to the Sub-Council on the Standing of Students and is approved only if the Sub-Council acts favorably. In those instances in which the request to change a grade is based on a clerical or computational error, the Registrar may act for the Sub-Council.

Instructors are asked to announce to their classes that the only method for obtaining final grades before the mailing goes out to parents and adviser is to leave a post card with the instructor.

9. **Academic Honesty**

The College assumes that students will not resort to plagiarism, the theft and mutilation of library books, or any other form of academic dishonesty. Therefore, it is important that each instructor make clear to the students the extent to which they may work together in the presentation of papers, reports, essays, problems, or laboratories. Similarly, every faculty member should use some occasion in class to remind students of what plagiarism is and what is expected of them with respect to the use of library materials. As regards examinations, instructors should be explicit as to whether the test is an "open-book" examination or whether all materials which might assist a student are to be left outside the examination area.

When an instructor finds evidence of any kind of academic dishonesty, the department head and the Dean should be informed. If in the judgment of the Dean and the instructor the matter can best be handled by the instructor alone, the student involved should be corrected or punished by the instructor. Punishment may consist of admonition, a failing grade for the particular paper or exercise, or a failing grade in the course.

If the matter is more serious (e.g., in intent, or as a pattern of behavior), the case will be referred to the Sub-Council on the Standing of Students. After proceedings conducted under accepted College standards of fair hearing, if sufficient proof is made of intentional plagiarism, cheating, or other such serious breach of academic honesty, the Committee may take such action as seems to it necessary, including suspension or expulsion from the College.

All violations should also be reported to the office of the Dean of Students and recorded confidentially there, so that multiple offenders can be identified and reported to the instructor and the Dean.
CONTRACTUAL ARRANGEMENTS - GRADUATE PROGRAMS

The Dean of Graduate Studies has authority for approval of and official notification on:

(1) tuition remission for graduate students,

(2) appointment of research fellows and graduate assistants,

(3) allocation of endowment income to graduate fellowships.

Department heads propose candidates for these grants to the Graduate Dean who will approve or disapprove, write the letters of notification, and be responsible for the budgetary implications.
V. SUNDRY MATTERS

Travel

Faculty

The Vice President for Academic Affairs has a budget for faculty travel. Any member of the faculty who attends a meeting of a national learned society as a national officer, to read a paper, to serve as an invited participant in a panel discussion, or presents an invited paper at a learned symposium within the contiguous United States and Canada, is ordinarily entitled to receive reimbursement from the College for some expenses as described below.

1. Travel to and from the conference by the most direct route at tourist air flight rate or

2. Travel to and from the conference by self-owned auto at the current college mileage rate, the total amount not to exceed the air rate.

3. Grants for international travel and travel to Alaska and Hawaii are at the discretion of the Vice President and shall not exceed the cost for coast-to-coast travel within the United States.

4. A per diem of $40, prorated for half days.

5. Registration fees.

Grants to any particular faculty member in the course of a year shall not normally exceed the approximate cost for coast-to-coast travel within the United States plus per diem for three days.

If a share of travel expenses or an honorarium is paid by the conference host, the faculty member is obligated to claim remuneration from the College sufficient to meet only the difference between what the host provides and the allowable amounts enumerated above.

Faculty members representing the College at meetings, installations, etc., may have their actual travel expenses fully reimbursed.

The Vice President also has a modest budget for travel to meetings, workshops, symposia, etc., for members of the faculty, even though they may not be active participants in the program. The purpose of this fund is to enhance and encourage the professional development of members of the faculty, especially in areas in which they have not yet reached the point where they can be reasonably expected to present papers at the meeting. Such grants will be made at the discretion of the Vice President, applications should be made well
in advance, and will be evaluated on their merits, subject to the availability of budgeted funds. For these purposes, a maximum of $300 total to any one member of the faculty per year has been imposed.

**Administrative Staff**

Travel on college business will be remunerated as follows: tourist air flight rate, actual surface transportation costs, actual hotel costs, actual meal costs. The staff member charged with approving expense accounts will himself be responsible for keeping costs in line.

**Cash Advance**

A cash advance may be drawn to provide funds for:

A. Travel and living expenses on any trip for which reimbursement of expenses will be made by the College.

B. Hospitality shown to visitors, faculty candidates, and other groups as approved by appropriate authority.

C. Local purchases made on a cash basis.

D. Working funds (change, etc.) for a specific College event.

The procedures and responsibilities below apply to cash advanced by the College:

A. The individual requesting a cash advance shall present to the Business Office Cashier, Form UCCO-101 Cash Advance Request and Receipt, appropriately completed and approved.

B. The cash advanced will be charged against the requester’s budget account as directed on the Cash Advance Request and Receipt Form.

C. All cash advanced must be accounted for by an expense account which would include receipts for hotel, travel, purchases, etc.

D. All cash advanced is the personal responsibility of the requester who is liable for liquidation of the Cash Advance. (See "C" above.) Money lost, stolen, misplaced, used for non-reimbursable expenses of otherwise unaccounted for must be repaid by the individual drawing the cash advance.
E. Should the requester prefer that all or part of the cash advance be by Union College check, the appropriate indications must be made on Form UCCO-101 and presented to the Business Office two weeks prior to the day the cash advance is to be picked up.

F. Cash Advances up to $499.99 must be approved by the department head or program director responsible for the account to which the Cash Advance will be charged; Cash Advances of $500.00 or more must, in addition, be approved by either the Vice President for Finance & Administration, Vice President for Academic Affairs or President of the College.

G. A Cash Advance taken in cash should not be drawn more than three working days before it is needed. A Cash Advance to be taken by check should be submitted ten days in advance of the required date. Either method of a Cash Advance must be settled with an Expense Account in five working days following the trip, event, etc.

Campus Vehicles

In instances involving authorized travel by car, College employees are encouraged to use the College-owned vehicles. Arrangements for use of these vehicles are made through the Maintenance Office (Ext. 6181), and car, keys, and vouchers should be picked up at and returned to the Maintenance Building. The department authorizing travel will be charged at the current authorized rate. A person authorized to drive a College-owned vehicle must possess a valid New York State operator's license, and must carry it when driving a College vehicle. Students of Union College are not authorized to operate College-owned vehicles.

Personal Cars on College Business

When an employee or student uses a personal car on college business, whether reimbursed or not by the College, the insurer of that car provides the prime coverage in the event of an accident up to the limits of the policy. The College's insurance provides secondary coverage when and if the judgment exceeds the limits of prime coverage.

If personal cars are authorized for use of college business, mileage will be reimbursed at the current college mileage rate plus tolls and parking fees. In addition, the College requires that owners carry a minimum of $50,000 Property Damage and $100,000/$300,000 Public Liability (Bodily Injury) Insurance. It should be understood, however, that, in requiring these minimum amounts, the College is not thereby recommending these limits as being adequate personal coverage.
Expense Accounts

The quotations below are taken from the United States Treasury Department Internal Revenue Service Document No. 5049 (1-63)

"IF YOU RECEIVED REIMBURSEMENTS OR ALLOWANCES for your travel, transportation, entertainment, and other ordinary and necessary business expenses, in connection with your employment, the reimbursements and allowances must be included as income in your income tax return unless: (1) you were required to, and did, make an accounting for such expenses to your employer, (2) you do not deduct such expenses on your return, and (3) the sum of such expenses equals or exceeds the total amount of reimbursement and allowances."

"ACCOUNTING TO YOUR EMPLOYER MEANS that you were required to, and did, submit an expense account or other written statement to him showing the business nature and the amount of your expenses (including cards or otherwise) broken down into such broad categories as transportation, meals and lodging while away from home overnight, entertainment, and other business expenses."

"SUBSTANTIATION OF EXPENSE ACCOUNT INFORMATION will not ordinarily be required of you in connection with your Federal income tax liability if you were required to, and did, account to your employer for business expenses. If your employer's accounting procedures and requirements for your reporting and substantiation of expenses are not adequate, you will be required to substantiate such expenses."

"THE ADEQUACY OF YOUR EMPLOYER'S ACCOUNTING PROCEDURES and requirements will be determined by considering the facts and circumstances of each case, taking into account the controls the employer maintains to insure that you were paid (through advances, reimbursements, or otherwise) for only ordinary and necessary business expenses you paid or incurred in connection with your employment in his business. Examination and approval of your expense account by your employer or a person responsible directly or indirectly to him for a proper audit is one important control required. You may not audit your own account."

For the benefit and convenience of our faculty and staff, our expense accounting procedure has been designed in the necessary detail to fulfill the requirements of the Internal Revenue Service to the best of our knowledge. If you file expense accounts carefully and follow the instructions herein and on the back of an Expense Account Statement, your duplicate copy of your expense accounts together with copies of cash advances should provide all necessary information in the event you are required to substantiate any expenses.
The procedures and responsibilities below apply to Expense Account Statements submitted to the College.

A. Individuals requesting reimbursement of expenses shall present to the Business Office Cashier, Form UCCO-102 Expense Account Statement, appropriately completed and approved.

1. If no cash was received in advance or if expenses exceed cash advanced, the Expense Account Statement should be accompanied by Form UCCO-101, Cash Advance Request and Receipt, appropriately approved and made out to the amount equal to the difference between expenses and cash advanced.

2. If cash advanced exceeded expenses, the difference between the cash advanced and expenses should accompany the expense account either in cash or by check.

B. The Cashier will issue a receipt for cash or checks submitted to balance the expense account with cash advanced.

C. If expenses exceeded cash advanced or no cash advance was made, the Cashier will remit in cash (or by check, if requested) the amount necessary to balance with the expense account, providing the Cash Advance and Receipt Form is presented. (See A-1 above.) If reimbursement of expenses is to be by check, allow two weeks for processing.

D. The final net expenses will result in a charge or credit to the appropriate budget account as designated on the Cash Advance and/or Expense Account Statement.

E. When staying with friends in lieu of a hotel or motel, a gift of nominal value to the host and/or hostess is a reimbursable expense item and should be identified as such.

F. Expense Accounts must be submitted and settled no later than five working days following the completion of the trip or other transaction for which reimbursement is to be made.

To provide each individual who administers budgetary control with knowledge of current expenditures for which he or she is responsible, and to meet the audit requirements of the IRS, Expense Account Statements must be approved before submission to the Business Office by your Department Head, Dean or Administrative Office Head, as appropriate. No one may approve his or her own Expense Account.
PURCHASING PROCEDURE

The Business Manager is the only person authorized to place a purchase order for any of the various accounts of the College, with the exception of the Bookstore and Library. Purchase Orders are initiated by the head of the department concerned. The original and one copy of the purchase order are forwarded to the Business Office for notation and approval. The original copy of the purchase order is then forwarded by the Business Office to the vendor. Small items may be purchases for cash by members of the faculty, who are then reimbursed on presentation of a receipt approved by the head of the department responsible for the account being charged.

PROCEDURE FOR FILLING NON-ACADEMIC OPENINGS

I. It is the general policy of Union College to promote from within if qualified candidates employed in lower graded positions are available for consideration.

II. The College maintains and adheres to an Affirmative Action Plan designed to increase employment opportunity for members of minority groups and women at all levels of the work force.

III. All non-academic recruiting is done through the Personnel Office of the College following specified procedures designed to secure a non-discriminatory applicant pool in compliance with the College Affirmative Action Plan.

IV. The Personnel Office is the only College office authorized to contact recruiting sources, distribute employment applications, or place advertising for employment (non-academic).

V. Details of the recruiting process are available at the Personnel Office. (Extension 6108)
COLLEGE INSURANCE - LIABILITY

The insurance protection of the College for the various liability risks inherent in our operation can be defined only in generalities, for each individual situation becomes subject to evaluation. General conditions are described here.

It should be noted at the outset that the liability of the College or its insurance company for payment of any damages is based entirely on judgment by a court, or by out of court negotiations, that the College or its agents were negligent. Limits of insurance coverage will not be listed, but are considered adequate.

A. Automobile
   1. College owned Vehicles - The College insurance would be the prime defendant in any action for damages. It is assumed the College cars are used only on legitimate College business within the regulations and policies defined by the College. Other than authorized legitimate use could result in counter-suit by the College against the individual so using the vehicle.

   2. Non-Owned Vehicles - The owner, insurer of such a vehicle (a student for example) would bear the prime liability in case of a claim. If a judgment in excess of the limits of coverage of the owner were obtained, the College insurance could become involved as secondary insurance.

   3. Hired Vehicles - This would include vehicles rented from such sources as Hertz and Avis, etc. and also vehicles owned by individuals who are being reimbursed by the College for use of personal cars on College business via an amount per mile driven. This category also includes rented buses or other ground carriers. The same situation applies here as in (2) above.

B. Watercraft
   The College owned sailboat, used by the sailing club, is included under the prime liability coverage and falls into the same category as A,1. Any other watercraft use (such as Biology field trip at Woods Hole) would fall under an "umbrella" policy which requires the College to pay the first $10,000.00 of any settlement.

C. Aircraft
   The College has no prime liability insurance coverage where aircraft are involved. The insurance of the airline as required by law is the only source of relief when a commercial airline is used. The amount per passenger is very limited on international flights.

   In case of charter the situation is:
   1. Without crew (piloted by a college employee) - No insurance protection of any kind.
2. With crew included in charter - Coverage under "umbrella" policy with College liable for first $10,000.00 of any settlement.

No one is authorized to charter an aircraft or to pilot an aircraft on any College business or activity.

D. General Liability
Adequate insurance coverage is carried by the College to protect the College and anyone acting on behalf of the College as an authorized representative in the legitimate business of the College. This includes field trips, research program work, visitors to our facilities as well as travel within the guidelines above.

DECLINATION OF STIPEND OR SALARY

In any case in which an employee (part time or full time) or lecturer wishes to give any or all of a salary or stipend received from the College back to the College, it will be necessary for the following two conditions to pertain:

(1) The stipend or salary must be offered to the employee or lecturer in writing prior to the written indication from the employee or lecturer that he or she wishes to return all or part of the stipend or the salary to the College.

(2) A written declination to accept any or all of the fund must be obtained from the employee or lecturer and that declination shall be passed on through our normal gift record-keeping procedure. It is possible for the donor in this case to designate the use of such foregone funds, and any such designation will accompany the written declination.

FACULTY RESEARCH:

RESOLUTION ON CONSULTANCIES AND PAID RESEARCH WORK: BOARD OF TRUSTEES MINUTES, JANUARY 13, 1970

The fundamental obligation of the faculty member is to the College, and the College regards its contract as one for full-time employment. Recognizing, however, the value of faculty services to the larger community and the value of work "in the field" to faculty members, the College allows faculty members to spend not more than the equivalent of one day's time of each working week during the teaching year in consultancies and research for which outside remuneration is received. In return, the College expects (1) that such remunerated employment will be of a character to improve the learning and skill of the faculty member and, by that, to increase his/her value as a teacher, and (2) that it will not in any way interfere with the full and punctual fulfillment of teaching responsibilities.
Faculty members engaged in remunerated consultancies or research work are obligated to report the nature, duration, and contractor for it to the Dean and to obtain approval from the department head and Dean prior to entering into any contract for services.

**PATENTS**

The College has negotiated an agreement with the Research Corporation of New York City for the management of any patentable inventions resulting from research or other activities on the campus. The provisions cited below presumably cover all contingencies.

1. Patent rights resulting from research carried on by staff members or students in connection with projects supported entirely or largely by College resources shall be assigned to and controlled by the College, which shall give to the inventor 15% of the gross financial returns from the sale or exploitation of such patents.

2. Patents resulting from inventions and discoveries made by staff members or by students in the course of their personal research and with little or no use of College resources shall be the sole property of the inventors. If patentable discoveries arise during the course of research in which the Faculty Patents Committee determines that the College has no interest, the discoverers or inventors thereof shall be promptly so notified and the College shall release any interest which it may have in such discoveries.

3. A faculty or staff member may elect to have the invention administered as in Paragraph 1, in which case, the inventor's share and other particulars become consistent with that arrangement.

4. Research carried on by a student in fulfillment of course requirements or other requirements for an academic degree, including the preparation of a thesis or dissertation, shall be construed as making use of College resources and shall be subject to the provisions of Paragraph 1, above.

5. Patents resulting from inventions or discoveries made by members of the staff or by students in connection with government-sponsored research contracts, grants, fellowships or other such arrangements, shall be controlled by the terms of those arrangements. Staff members performing government-sponsored research shall execute such arrangements as will enable the College to meet its obligations to the sponsoring agencies.

6. The President shall appoint a Committee on Patents, composed of both faculty members and administrative officers, whose responsibility it shall be (a) to review the circumstances surrounding the making of the inventions, (b) to determine the respective
equities of the inventors and of the College, also of outside parties in the case of inventions resulting from collaborative or sponsored research, and (c) with respect to each invention, to make its recommendations to the President for final decision.

7. Net income derived by the College from patents shall ordinarily be devoted to research within the College, with preference given to the departments, schools, or Centers in which the patents originated.

8. Members of the faculty shall be free to make their own agreements respecting patent rights arising out of consulting contracts for services outside the College, and these shall be governed solely by the mutual understanding of the parties thereto. The Dean shall be notified of all patents attributable to such agreements by the researcher involved.

9. The agreement by Research Corporation and Union College provides that, on all discoveries or prospective inventions submitted to it, Research Corporation will make a report to the College and the inventor as to the patentability and commercial feasibility of the particular invention or discovery without cost either to the inventor or to the College, and in the event they proceed to patent items determined to be patentable and commercially feasible, Research Corporation will bear all the cost involved in patenting, developing and licensing the patents. The income developed through Research Corporation's commercialization of each invention is shared with the institution and with the institutional inventor, with the entire net share of the foundation's portion being distributed as grants-in-aid in support of scientific research.

10. The provisions of this policy may be changed or discontinued at any time by action of the Board of Trustees appropriately taken. Such change or discontinuance, however, shall not affect any rights heretofore accrued under this policy.
FACULTY PARKING

All members of the Union College faculty and staff, and students, must register their vehicles with the Office of the Security at the Security and Information Center, at which time they will be issued decals to be displayed on their vehicles.

Parking is permitted only in the prepared parking areas. No parking is allowed on the roads, sidewalks or grass; cars improperly parked may be towed away. Parking is prohibited in front of walks, driveways and entrances. Faculty and Staff parking is not permitted in student or visitor parking areas.

It is expected that any Faculty and Staff member who is ticketed for a parking or traffic violation will satisfy the payment of the fine at the Security and Information Center. Fines not paid prohibits Faculty and Staff from re-registering upon expiration of current year, until fines are satisfied.

Because of the amount of parking space at any given location on the campus is limited, it is expected that all travel between buildings on the campus will be accomplished on foot. For the same reason, no parking spaces are assigned to particular individuals, and all parking is on a "first-come, first-served" basis.

Owners of bicycles should secure them properly when leaving them at an appropriate station on campus. Security and Safety Office offers a registration service to aid in the recovery in case of theft.

SPECIAL FACILITIES

Girling Center (two miles from the main campus) is a fifty-acre, partly wooded plot which contains recreational facilities -- a swimming pool, a clubhouse, picnic sheds and outdoor cooking-serving equipment. Arrangements for use of any of the facilities at the Center must be made through the Scheduling Office (6098). Girling Center is the gift of the late Wallace Girling '17, a Life Trustee of the College.

Milano Lounge, Hale House upper floor. This pleasant well-furnished room, once the faculty lounge is available on request for use by faculty, staff and students. Arrangements should be made with the Scheduling Office (6098). No food may be served in this lounge.

A reminder. Use of on-campus facilities for other than regularly assigned activities (classes and so on) should be cleared with the Scheduling Office (6098) to make sure no conflict of time occurs. Special attention on this score should be given to use of SS16, Memorial Chapel, and Old Chapel.
POLICY REGARDING COLLECTIVE BARGAINING

Changes in New York State law, effective April 1, 1969, provided that if faculty and/or staff, in accordance with the procedures for election, decide they want a bargaining agent to represent them, the institution of higher education (their employer) must enter into collective bargaining negotiations with the representative(s) certified by the Public Employees Relations Board. Subsequently, in 1970, the National Labor Relations Board asserted jurisdiction over Cornell and Syracuse Universities and indicated that it would assert jurisdiction over other private educational institutions with disposable income over $1,000,000. Before certification will be made by the NLRB, it is necessary that the bargaining agent be voluntarily recognized by the College or that it prove its representation of the employees to NLRB.

Union College recognizes the right to organize within the law, and should such organization occur, will bargain in good faith with certified representatives. We believe, however, that the character of our institution permits, and indeed has provided, excellent relationships with faculty and staff without formal collective bargaining. The flexibility thus available to both the institution and to the individual is highly desirable. We think collective bargaining agreements tend to force rigidity and eliminate the opportunity for consideration of special situations, and are not therefore in the interest of our faculty and staff.

Should a bargaining election nevertheless be demanded, the College will exercise all of its rights and prerogatives so as to provide an atmosphere for fair choice in such election on the part of each person voting. The College reserves the right to express its beliefs as to the propriety of the bargaining unit and all issues which may be raised.

The Vice President for Finance and Administration of the College, is responsible for labor relations at Union. All inquiries and representations must be made directly to that office.
VI. FACULTY CONSTITUTION

1. BASIC STRUCTURE OF THE GOVERNANCE SYSTEM. Effective June 14, 1980, following Board of Trustee action, the current system of campus governance at Union College shall be abolished and shall be replaced by a new system which shall have the following components:

- A General Faculty
- A Student Government
- Two Policy Councils, an Academic Affairs Council to recommend educational policy and a Student Affairs Council to recommend policy for student life
- A Faculty Review Board to advise the Administration and Board of Trustees on matters of faculty salaries, promotion, and tenurability
- Two Consultation Groups to advise the President of the College on matters of institutional concern, a Conference Group to advise on matters of current institutional functioning and a Planning and Priorities Group to advise on matters of budgetary planning and long-range needs
- Liaison Committees to work with key members of the Administrative Staff of the College.

2. ORGANIZATION OF THE FACULTY.

2a. Membership. The General Faculty shall include as members all individuals at the College who now have faculty status. These include full-time members of the teaching faculty, professional librarians, and part-time faculty who teach at least four courses during the academic year. In addition, the following positions which are closely involved with matters of educational policy, also have faculty status: The President of the College, the Vice President for Academic Affairs, the Associate Deans, the Dean of Graduate and Continuing Education, the Dean of Students, the Dean of Admissions, and the Registrar and all full-time individuals holding academic administrative appointments who enjoy membership in an academic department by virtue of their academic credentials (and who may teach in that academic department). Individuals filling these positions shall enjoy all the rights and privileges of membership in the General Faculty except that of holding office subject to election by the General Faculty.

2b. Leadership of the Faculty. The General Faculty shall be directed by an Executive Committee comprising a Chair, a Secretary of the Faculty, and four additional faculty members who shall be the four heads of the Academic Divisions. The Executive Committee shall have the responsibility for developing the agenda for all General Faculty meetings in consultation with the President of the College and providing supporting materials for those meetings.
Schematic Representation of Governance System

BOARD OF TRUSTEES

Consultation Groups

1. CONFERENCE GROUP
   President, Chair
   Chair, Faculty
   Executive Committee
   Secretary of the Faculty
   Student Body President
   Student Body Vice-Pres.
   Chair, Academic
   Affairs Council
   Chair, Student
   Affairs Council

2. PLANNING AND PRIORITIES GROUP
   President, Chair
   4 Faculty Division
   Chairs
   3 students
   1 Staff Member
   Vice-President for
   Academic Affairs
   Vice-President for
   Finance
   Vice-President for
   College Resources
   1 Alumnus

Liaison Committee
for Administrative
Staff

1. Dean of Admiss.
   4 Faculty
   2 Students
   2 Admissions
   Staff Members
   Director of
   Athletics

2. Director of
   Athletics
   3 Faculty
   3 Students
   1 Alumnus

3. Director of Campus
   Operations
   2 Faculty
   2 Students
   1 Staff

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Key:

--- Direct authority
--- to propose formal recommendations
--- Advisory role

*Without vote
for serving as a nominating committee to submit names of candidates for each office or committee position subject to election by the General Faculty (additional nominations may be made from the floor) and to any other appointive positions in the governance system, and for advising the Administration on all matters of concern to the General Faculty. The Executive Committee shall also have the responsibility for revising the faculty constitution and by-laws to be in accord with the new governance system and to establish orderly means to accomplish the business of the General Faculty.

The Chair of the Faculty Executive Committee is responsible for the operation of the General Faculty, for the General Faculty's compliance with provisions of the governance system, and for the execution of the tasks assigned to the Executive Committee. The Secretary of the Faculty shall record and report minutes of all meetings of the General Faculty and of the Executive Committee, and shall participate as a regular member of the Executive Committee. The Secretary shall see that the faculty is promptly informed of all formal recommendations of the Academic Affairs Council and of all other matters which should come to the attention of the faculty.

2c. Faculty Meetings. The General Faculty will meet in three regular meetings during the academic year and in three or more informational sessions. Additional meetings of the General Faculty may be called according to other provisions of the governance system. The regular meetings will be in September (to introduce new administrative officers and faculty and to receive reports from the President and other administrative officers as appropriate), in February (to be informed of budgetary decisions for the coming year and to discuss long-range plans for the College), and in April (to select prize recipients and recommend to the Trustees all persons to be awarded earned degrees and to elect faculty members to serve as officers of the General Faculty and as members of those governance structures for the coming year whose members are to be elected by the General Faculty). Informational meetings will be held, normally one or more each term, to consider other matters of concern to the faculty. Specific topics for discussion will be selected by the Executive Committee of the Faculty.

The Chair of the Faculty Executive Committee will issue the call for all meetings of the General Faculty. The Chair will do so as required by the provisions in the governance system, or at the request of the President of the College, or on receipt of a petition submitted by at least 10% of the General Faculty, or at his/her own behest. The President of the College or the Chair of the Faculty Executive Committee may ask the General Faculty to express an opinion on any matter by vote; and other matters may be brought up for a vote as a result of a petition submitted by at least 10% of the General Faculty.
The President of the College will personally chair the meetings of the General Faculty, but will relinquish the chair in the following circumstances:

1. To make a formal report to the faculty
2. To speak on a matter before the meeting
3. To respond to a question of substance from a faculty member.

Under these circumstances, or if the President is not in attendance at the meeting, the Chair of the Faculty Executive Committee will take the chair.

Individuals who do not have faculty status may be invited to attend as appropriate by the President or by the Chair of the Executive Committee but without vote. Any guest may speak on invitation of the President or any member of the faculty.

2d. **Divisional Meetings.** The current Academic Divisions of the College will continue as presently constituted. They will meet for purposes of communication and informal deliberation, and to elect the Divisional Heads and the members who represent the Division of the Academic Affairs Council and the Faculty Review Board. The Academic Divisions shall meet at the call of the Division Head.

2e. **Criteria for Election of Faculty Members.** A faculty member may be elected at any one time only to one Council, or to the Faculty Review Board, or to any elected position of Faculty leadership, or as Faculty Trustee. All terms of office are for three years, except for the Chair of the Faculty Executive Committee who shall serve a one-year term. No faculty member may be re-elected immediately to the same position except for Chair of the Faculty Executive Committee and Secretary of the Faculty, who may be re-elected once.

Only regularly elected members may vote at meetings of the various governance structures. No "proxies" or substitutes will be permitted in any governance structure, whether for faculty, student, or administrative representatives except as stipulated below. Divisions shall, however, be permitted to elect a replacement for a divisional representative to any council, board, or committee in the event of an extended absence of that representative for the term of the absence.

If a faculty member resigns from any council, board, or committee, his or her term will be regarded as having been completed and the elected or appointed replacement will serve a full term beginning with the year in which the resignation took effect.

If any council, board or committee finds that turn-over in a given year is such that reasonable continuity is jeopardized it can request permission from the Faculty Executive Committee to extend the term of one member for a period of one year.
4b. **Responsibilities.** The Academic Affairs Council shall be responsible for the formulation and recommendation of plans and policies for curricular development in the undergraduate program, the graduate program, and the program in continuing education. It shall normally be the practice of the Academic Affairs Council to refer to its sub-councils the preliminary formulation of plans and policies, and receive from these sub-councils recommendations for action.

The Council shall receive from the appropriate sub-councils recommendations on the approval or disapproval of proposed new courses, reviews of current academic programs and services (such as academic advising of students) and recommendations on new programs within the curriculum. The Council shall solicit proposals and seek support for faculty and student research, for faculty development, and for curricular experimentation; and it shall advise on the allocation of available funds for these activities.

The Academic Affairs Council shall review and revise as necessary the criteria for academic honors and other scholastic awards, and for good academic standing.

The Academic Affairs Council shall devise a working plan for academic development, encompassing both a general direction for the entire academic program and appropriate goals for departments and programs. Periodically, the AAC shall review and revise this document. The educational guidelines provided by the Working Plan will be used by the Assoc. Dean of Undergraduate Curriculum in performing, and reporting to the AAC, a periodic review of each Department and interdepartmental program, with particular attention to the needs and resources of each. The guidelines provided by the document will also be used directly by the administration in making staffing decisions which affect the distribution of faculty within the curriculum. The Council may occasionally offer its assistance, or be asked for it, in the interpretation of the document concerning specific pending decisions. The Assoc. Dean of Undergraduate Curriculum will report the year's staffing decisions to the AAC, explaining them in terms of the Working Plan.

4c. **Standing Sub-Councils of the AAC.** The AAC shall form two standing sub-councils: a Sub-council on the Standing of Students and a Sub-council on Graduate Studies. Unless the recommendations of these standing sub-councils are deemed by the AAC to be in conflict with the objectives of the College's academic policy, they will normally be sustained by the Council and forwarded to the General Faculty and Vice President for Academic Affairs.

The Sub-council on the Standing of Students shall review and, as appropriate, recommend revision of those College policies which affect the academic standing of undergraduates at Union; it shall review the records of students who earn less than a
3. THE POLICY COUNCILS: AUTHORITY AND STRUCTURE

3a. Authority of the Policy Councils. The Policy Councils have sole authority for initiating formal policy recommendations to the President (through the appropriate administrator) and Board of Trustees in the areas of academic affairs and student life. In the case of the Student Affairs Council, all recommendations will proceed directly to the President and Board for approval and implementation. In the case of the Academic Affairs Council, any formal policy recommendation is subject to the veto of the General Faculty if such a vote is requested by at least 20% or thirty members of the Faculty (whichever is lower) in accordance with procedures established in Section 4d below.

3b. Creation of Sub-Councils. Each policy shall be empowered to create as many sub-councils as necessary to deal with specific areas of its responsibility, and it shall be empowered to staff these sub-councils with individuals not on the parent council. With the exception of the standing sub-councils established in Sections 4c and 5c below, all sub-councils shall expire automatically at the end of every academic year. Sub-councils shall normally be chaired by a member of the parent Council. Sub-councils shall have the responsibility for submitting carefully considered proposals to the parent Council for deliberation, but they may not themselves formally recommend policy to the General Faculty and the Administration.

All student members (who are full-time, "daytime," undergraduates) of the sub-councils (with the exception of chairpersons) shall be appointed by the Student Government Committee on Committees or its equivalent. Faculty representatives shall be appointed by the Chair of the parent Council in consultation with the Faculty Executive Committee, except as specified below in this document.

3c. Leadership of the Councils. Each Policy Council shall choose a Chair from among its own members at the beginning of the academic year. The Chair shall serve for a full year and may be re-elected.

4. THE ACADEMIC AFFAIRS COUNCIL

4a. Membership. The Academic Affairs Council shall be composed of seven faculty members (one to be elected by each of the four divisions, with three others to be elected by the General Faculty at large), four students (full-time, "daytime" undergraduates to be appointed by the Student Committee on Committees or its equivalent), the Associate Dean of Undergraduate Curriculum, the Dean of Graduate and Continuing Education, and the Vice President for Academic Affairs (ex officio and non-voting). Faculty members shall serve staggered terms and shall meet the criteria set forth in Section 2e above. Two of the student members shall serve two-year terms, and two shall serve one-year terms. The Associate Dean of Undergraduate Curriculum will normally serve as the Council's recording secretary.
C. Student Center
D. Health Services
E. Counseling Services
F. Career Counseling and Placement

2. This Council shall formulate and review policy concerning student conduct, including criteria for "acceptable social behavior" and procedures to be followed by the Sub-Council on Student Conduct.

3. This Council shall assume overall responsibility for college policy affecting the fraternities and sororities.

4. This Council shall have responsibilities for advising the Student Forum (or its equivalent) and the Dean of Students on matters of student activities which have a significant impact on student life. The Student Forum is to have authority for all student activities (i.e., all activities organized primarily by students, where the decision-making is by students and where the main participants are students), including the allocation of all Student Tax Monies. The Dean of Students shall be responsible for ensuring that other College interests are taken into account in the development of student programs and services.

5c. Sub-Council. The Student Affairs Council shall form one standing sub-council: a Sub-Council on Student Conduct. The Sub-Council on Student Conduct shall hear cases of student misbehavior and recommend appropriate action (according to policies established by the Student Affairs Council) to the Dean of Students. The Dean of Students' decision may be appealed to the President of the College. The Standing Sub-Council on Student Conduct shall be composed of nine (9) students (full-time, "daytime," undergraduates) and the Dean of Students' designee, who shall serve as an advisor without vote. None of these nine students may be a member of the parent Student Affairs Council.

5d. Procedures. The procedures to be followed shall be those put forward in Chart "B."
satisfactory average and apply to all undergraduate degree candidates the accepted criteria for "good academic standing;" it shall also evaluate petitions for undergraduate re-admission to Union and consider all requests for exemption from undergraduate academic regulations. The membership of the Sub-council on the Standing of Students shall be composed of three (3) students (full-time, "daytime," undergraduates), four (4) faculty members (appointed as other members to Sub-councils and with one member from each Division), the Associate Dean of Undergraduate Curriculum or his/her designee, the Dean of Students or his/her designee, and the Registrar.

The Sub-council on Graduate Studies shall formulate and recommend plans and policies with respect to graduate studies. It shall recommend the approval or disapproval of proposed graduate courses and programs; it shall review the criteria for graduate admissions and revise them as may be appropriate; it shall specify and apply to all graduate students the criteria for "good academic standing" at the graduate level; it shall evaluate all requests for exemption from graduate academic regulations; it shall monitor the advising system for graduate students and make recommendations for improving its effectiveness; and it shall establish guidelines for the regular review of graduate programs and assist the academic officers of the College in conducting these reviews.

4d. Procedures. The procedures to be followed by the Academic Affairs Council shall be those put forward in Chart "A."

5. THE STUDENT AFFAIRS COUNCIL

5a. Membership. The Student Affairs Council shall consist of five (5) students (full-time, "daytime," undergraduate). For the academic year 1979-80, some, but not all, of the students, members of the Student Affairs Council shall be members of the Student Forum. The Student Forum shall determine which of its members shall serve on the SAC and how the remaining non-Forum members on the SAC shall be elected. In addition, the Council shall also include 2 faculty members, both of whom shall be elected by the faculty at large without regard to Division affiliation, 2 administrators (the Dean of Students and the Associate Dean of Undergraduate Curriculum) and 1 administrator ex officio and without a vote (the Vice President for Academic Affairs).

The faculty members shall serve staggered three-year terms and shall meet the criteria set forth in section 2e above. The student members shall serve one-year terms.

5b. Responsibilities.

1. The Student Affairs Council shall continuously review policy and formulate and recommend plans for:

   A. Student Housing
   B. Dining Services
CHART A

Legislative Flow Chart for Academic Affairs Council

1. Academic Affairs Council (AAC) receives formal proposals from its sub-councils, from its own members, or from Department Heads.

2. The AAC passes a formal policy recommendation.

3a. The General Faculty has thirty days in the academic calendar in which to respond to the policy recommendation. It may:
   - receive the report and take no action, in which case, if a Sense of the Forum Resolution is not received within ten days in the academic calendar by the AAC Chair, the policy recommendation is forwarded to the Vice President for Academic Affairs and President for formal approval and implementation; or
   - call for a meeting of the General Faculty within ten days and meet within the thirty day period to debate that recommendation if a petition to do so is signed by at least 20% of the General Faculty, or 30 members, whichever is lower.

3b. The Student Forum or its equivalent has ten days in the academic calendar in which to respond to the policy recommendation. It may:
   - receive the report and take no action; or
   - return a Sense of the Forum Resolution to the AAC, requesting a formal reconsideration of the policy recommendation.

4. At a meeting of the General Faculty called by petition, the General Faculty may:
   - approve (by majority vote) the policy recommendation as it stands, in which case, unless a Sense of the Forum Resolution has been received by the AAC Chair, the policy recommendation is forwarded to the Vice President for Academic Affairs and President for formal approval and implementation; or
   - return the recommendation to the Academic Affairs Council with suggested amendments; or
   - reject (by majority vote) the policy recommendation, in which case the proposal is defeated and may not be reconsidered during the current year.

5a. If the recommendation is returned to the Academic Affairs Council by the General Faculty, the AAC has thirty days in the academic calendar to take action. It may:
   - withdraw the policy recommendation, in which case the same recommendation may not be reconsidered during the current academic year; or
   - return the initial proposal to the General Faculty, explaining why it has not incorporated suggested amendments; or
   - resubmit a modified proposal to the General Faculty and the Student Forum or its equivalent.

5b. If a Sense of the Forum Resolution is returned to the Academic Affairs Council by the Student Forum or its equivalent, the AAC has thirty days in the academic calendar in which to reconsider the proposal and respond in writing to the Resolution. Such a written response is the responsibility
of the student members of the AAC. The AAC may:
- withdraw the policy recommendation, in which case the same recommendation may not be reconsidered during the current academic year; or
- return the initial proposal of the Student Forum or its equivalent, explaining why it has not incorporated suggested amendments; or
- resubmit a modified proposal to the Student Forum or its equivalent, and to the General Faculty.

6. The General Faculty shall meet within ten days in the academic calendar of receiving again the policy recommendation of the AAC (either the resubmitted initial proposal or a modified proposal) and any Sense of the Forum Resolution(s) related to either the resubmitted initial proposal or any modified proposal. The General Faculty may:
- approve by majority vote the proposal submitted to it by the AAC, in which case the proposal is forwarded to the Vice President for Academic Affairs and President for formal approval and implementation; or
- fail to approve by majority vote the proposal, in which case the proposal is defeated and may not be reconsidered during the current academic year.

7. The Vice President for Academic Affairs and President receive the recommendation of the Council and shall formally approve or disapprove the recommendation within ten days in the academic calendar. In the unusual instance that the Vice President for Academic Affairs or President vetoes the policy recommendation of the AAC, such disapproval must be communicated in writing to the Chair of the AAC within the ten day period, explaining the reasons for rejection. On receipt of such a rejection message, the Academic Affairs Council may begin again at Step 1.
CHART B

Legislative Flow Chart for Student Affairs

1. The Student Affairs Council receives proposals from sub-councils, its own members, or the Student Forum.

2. The Student Affairs Council passes policy recommendation.

3. The Student Forum has thirty days in which to respond to the policy recommendation. It may:
   - receive the report and take no action, in which case the proposal is forwarded to the Vice President for Academic Affairs and President for formal approval and implementation; or
   - by majority vote, the Forum may call for a reconsideration of the recommendation by the Student Affairs Council, in which case the Forum must be given an opportunity to state its reservations about the recommendation in question.

4. Upon completion of the reconsideration process, the Student Affairs Council may:
   - endorse the recommendation a second time and the recommendation is then forwarded to the Vice President for Academic Affairs and President for formal approval and implementation; or
   - withdraw the recommendation, in which case it may not be dealt with again during that particular academic year; or
   - modify the recommendation.

5. The Student Forum has ten days in which to respond to the modified policy recommendation. It may:
   - receive the report and take no action, in which case the proposal is forwarded to the Vice President for Academic Affairs and President for formal approval and implementation; or
   - by majority vote, the Forum may call for a reconsideration of the revised recommendation by the Student Affairs Council in which case the Forum must be given an opportunity to state its reservations about the revised recommendation.

6. Upon completion of the reconsideration of the revised recommendation, the Student Affairs Council may, as outlined under point four:
   - endorse again, in which case the revised recommendation is forwarded to the Vice President for Academic Affairs and President for formal approval and implementation; or
   - withdraw the revised recommendation; or
   - modify the revised recommendation, in which case the same procedure as outlined above for revised proposals is followed.
   (Note: Upon completion of any reconsideration, the Student Affairs Council may endorse the reconsidered proposal and send it for formal approval and implementation.)

7. The Vice President for Academic Affairs and President receive the recommendation of the Student Affairs Council and will formally approve or disapprove the recommendation within ten days. In the usual instance where the President or Vice President for Academic Affairs vetoes the
policy recommendation to the Student Affairs Council, such disapproval must be communicated in writing within the ten-day period explaining the reasons for rejection. On receipt of such a rejection message, the Student Affairs Council may begin again at Step 1.
6. FACULTY REVIEW BOARD

6a. Membership. The Faculty Review Board shall have as members five senior faculty members (who have passed tenure review), three junior faculty members (not yet determined to be tenurable), the Associate Dean of Faculty, and the Dean of Graduate Studies and Continuing Education. The two deans shall serve ex officio and without vote. The Vice President for Academic Affairs shall serve ex officio, without vote, except in cases of a tie.

Each Division shall elect one of its senior members to serve on the Faculty Review Board. The fifth senior member and the third junior member shall be elected by the faculty at large. The remaining junior members will be elected by the non-tenured faculty members, one to represent the Humanities and Social Sciences Division, and the other to represent the Science and Engineering Divisions. Each junior member shall have been a member of the faculty for a minimum of 2 years, shall be elected for a term of 2 years, and shall not serve on the Board in the year of review for tenurability.

6b. Responsibilities. The Faculty Review Board is charged with recommending policy and procedures for review of faculty members for renewal of contract, promotion, and tenurability, and of recommending policy and procedures for determination of salary levels for faculty. The Board is further charged with reviewing individual faculty members in consideration of renewal of contract, promotion and tenure or tenurability and making recommendations in individual cases.

6c. Procedures. Only the senior faculty members shall join with the Deans and the Vice President for Academic Affairs in reviewing individuals for promotion, tenurability, and renewal of long-term contracts. The Board as a whole shall consider all other matters within its jurisdiction. In event of a tie vote, the Board may request the Vice President for Academic Affairs to decide between the favored alternatives. Policies of the Faculty Review Board shall be subject to review by the General Faculty.

- For Renewal of Contract for Junior Faculty. Procedures for renewal of contract shall be based on policy determinations to be made by the Board. It is presumed that they will include a thorough and careful evaluation during the third year of service at the College. One junior faculty member of the Board will participate in these proceedings in an advisory (non-voting) capacity. This junior faculty member will have completed the third year review process. Attendance will be rotated among the eligible members.

- For Tenurability. The senior faculty members shall meet with the two Deans and the Vice President for Academic Affairs in considering individual faculty members for tenurability. They may refer the preliminary review to an ad hoc committee, as at present.
The recommendation of the Board will be submitted to the President along with positive or negative endorsements by the Vice President for Academic Affairs and the Associate Dean of the Faculty.

- For Promotion and Long-term Contract Renewal. The Board shall develop regular procedures for promotion and long-term contract renewal.

- For Salary Administration. The Faculty Review Board will be responsible for recommending policy for distribution of funds available for faculty salaries, and for proposing appropriate levels for the faculty salary budget to the administration.

6d. Procedure for Reconsideration and Appeal. A faculty member may request that a decision of the Faculty Review Board be reconsidered by the Board on the basis of a review of procedure or on new evidence relevant to the decision. The request for reconsideration should be directed to the Vice President for Academic Affairs who will transmit it to the Board. The Board may reconsider the case if it feels a review is appropriate.

A faculty member may appeal a decision of the Faculty Review Board concerning contract renewal, promotion, tenurability, or tenure by submitting a written appeal to the Faculty Appeals Committee.

6e. Faculty Appeals Committee: Membership and Procedures. The Faculty Appeals Committee shall have as members five senior faculty members (tenured or tenurable). Each Division will elect one tenured or tenurable member of the Division to the committee. The Divisions will also elect a tenured or tenurable alternate to the committee who will replace the elected representative should there be an obvious conflict of interest involving a specific appeal. The fifth member of the committee will be elected by the faculty at large and will chair the committee. When this person is elected, the faculty will also elect an alternate to replace the committee chair should a conflict of interest arise. All members of the Appeals Committee will serve for two years.

The chairman of the Faculty Appeals Committee shall not serve concurrently on any ad hoc tenurability committee nor on any other of the principal governance structures. No member of the Faculty Appeals Committee can serve on the Faculty Review Board concurrently or in the year immediately preceding service on the Appeals Committee.

The members of the Faculty Appeals Committee shall, in consultation with the Vice President for Academic Affairs and President, establish rules of procedure prior to considering any specific appeals.
The Faculty Appeals Committee shall report its decisions to the President.

Appeals beyond this committee will go directly to the President for final judgment.

7. THE CONSULTATION GROUPS: PURPOSE AND AUTHORITY

7a. Purpose. The purpose of the Consultation Groups is to assure that the President of the College will systematically receive advice from faculty, students, and staff on all matters of concern to the College as a whole. Consultation on matters of immediate concern to the campus will be provided by the Conference Group; consultation on matters of long-range planning and budgeting will be provided by the Planning and Priorities Group.

7b. Authority. All opinions expressed or recommendations made by the Consultation Groups are advisory to the President of the College.

8. THE CONFERENCE GROUP

8a. Membership. The Conference Group shall be composed of the Chair of the Faculty Executive Committee, the Secretary of the Faculty, the President of the Student Body, the Vice President of the Student Body, and the Chair of the Academic Affairs Council and the Student Affairs Council. The President of the College shall chair the Conference Group.

8b. Responsibilities. The Conference Group is to advise the President upon request on all matters of immediate concern to the general functioning of the campus. These matters will normally include -- but not be limited to -- the handling of emergency situations, bottlenecks in the governance system, the creation of ad hoc task forces, procedures to be followed in the case of appeals by members of the faculty and student body on decisions concerning their status at Union College, and the treatment of any problem which falls outside the normal functioning of the governance system and administration.

The Conference Group will meet at the request of the President and will consider whatever business the President places before it.

9. THE PLANNING AND PRIORITIES GROUP

9a. Membership. The Planning and Priorities Group shall be composed of the four Division Chairs of the Faculty, three students (full-time, day-time undergraduate) to be appointed by the Student
Committee on Committees, one member of the staff to be elected by the staff, one alumni representative to be appointed by the Alumni Council, the Vice President for Finance, the Vice-President for College Resources, and the Vice President for Academic Affairs. The President of the College shall chair the group.

9b. Responsibilities. The Planning and Priorities Group shall review and recommend to the President policies concerning long-range planning, the establishment of College priorities, and the preparation of annual budgets. In so doing, the Group shall be concerned with the use of current or proposed facilities, with the financial implications of proposed or anticipated institutional changes, and with all non-academic issues of long-range importance. It shall have the specific responsibility of evaluating the extent to which the annual budget of the College responds to established College priorities.

Normally the Group will concern itself with the development of budgetary priorities and a review of the preliminary budget during the Fall term. Other responsibilities will normally be undertaken during the Winter and Spring terms.

The Planning and Priorities Group will meet at the request of the President and will consider whatever business the President, or designee, places before it.

10. LIAISON COMMITTEE FOR ADMISSIONS

10a. Membership. The Dean of Admissions shall chair the Liaison Committee for Admissions. Other members will be four faculty members, two students, the Director of Financial Aid, the Director of Athletics, and one member of the admissions staff.

The faculty members will be appointed by the Executive Committee of the Faculty, for staggered three-year terms. The student members will be appointed by the Student Committee on Committees. The admissions staff member will be appointed by the Dean of Admissions.

10b. Responsibilities. The Admissions Committee is responsible for recommending general admissions policy to the President and, through him, to the Board of Trustees, and for advising the Dean of Admissions on all matters of concern to students and faculty about admissions. In addition, the Dean of Admissions may bring to the Committee any matter for consultation and opinion.

10c. Procedures. The Liaison Committee on Admissions shall meet each Spring to recommend policy guidelines, which shall then be forwarded to the President for formal approval. It shall meet throughout the year at the request of the Dean of Admissions on all other matters.
11. LIAISON COMMITTEE FOR ATHLETICS

11a. Membership. The Director of Athletics shall chair the Liaison Committee for Athletics. Other members will be three faculty members, including the campus NCAA representative, three students (full-time, "day-time," undergraduates), and one alumni representative.

The faculty members will be appointed by the Executive Committee of the Faculty. The student members will be appointed by the Student Committee on Committees or its equivalent. The alumni representative will be appointed by the Alumni Council.

11b. Responsibilities. The Liaison Committee on Athletics shall advise the Director of Athletics on all matters of concern to the athletic program. These shall include -- but not be limited to -- intercollegiate athletic programs, club sports, intramural and recreational programs, women's programs, and instruction in athletic skills and sports. The Liaison Committee shall participate in discussions of general policy, in a review of program needs, in the analysis of budgetary priorities, and in bringing to the attention of the Director of Athletics the concerns of members of the faculty and student body.

Although the Liaison Committee is advisory to the Director of Athletics, it shall be understood that the Director is expected to consult with the Committee on a regular basis and to consider carefully its advice.

11c. Procedures. The Liaison Committee on Athletics shall meet at least once each term at the call of the Director of Athletics. It shall discuss whatever business the Director of Athletics or other members of the committee place before it. All decisions of the committee are advisory to the Director of Athletics.

12. LIAISON COMMITTEE FOR CAMPUS OPERATIONS

12a. Membership. The Director of Campus Operations shall chair the Liaison Committee for Campus Operations. Other members will be three faculty members, two students, one member of the staff, and the Dean of Admissions. The faculty members will be appointed by the Executive Committee of the Faculty. The student members will be appointed by the Student Committee on Committees. The staff member will be appointed by the Director of Campus Operations.

12b. Responsibilities. The Liaison Committee for Campus Operations shall advise the Director of Campus Operations on all matters of the physical state of the campus and on plans for improvements. The Committee shall advise the Director on matters of general policy and on issues of concern to faculty and students, and it shall be consulted regularly on all plans for the construction of new facilities and on other improvements to be undertaken on the campus.
12c. Procedures. The Liaison Committee for Campus Operations will meet at least once each term at the call of the Chairman of the Committee. It shall discuss whatever business the Director of Campus Operations or members of the committee shall place before it. All decisions of the Committee are advisory to the Director of Campus Operations.

13. ADDITIONAL LIAISON COMMITTEES. Additional Liaison Committees may be established by the President of the College in consultation with the Conference Group.

14. AMENDING THE GOVERNANCE SYSTEM.

All the structures and procedures established by this document may be amended at any point in the future. The procedures to be followed in amending the Governance system shall be the following:

14a. Amendments may be formally proposed in any of the following ways:

1. By a petition signed by at least 10% of the General Faculty
2. By majority vote of the Faculty Executive Committee
3. By majority vote of the Student Forum (or its equivalent)
4. By the President of the College in consultation with the Conference Board

14b. Any amendment formally proposed must be circulated in writing to all members of the General Faculty and the Student Forum at least thirty days in the academic calendar prior to a vote being taken upon it.

14c. Any amendment formally proposed must be approved by both:

1. A majority of all members of the General Faculty who are in residence at the College during the academic term in which the vote is taken; this vote may occur at a meeting of the General Faculty called for this purpose or by mail ballot, at the discretion of the Faculty Executive Committee. And
2. With the exception of sections 2 and 6, a majority of all members of the Student Forum who were elected or appointed to serve during the academic term in which the vote is taken.

In both cases, a vote on the proposed amendment must be held within forty-five days in the academic calendar following the circulation of the amendment.

14d. Upon approval by the General Faculty and where required the Student Forum, the amendment shall be forwarded to the President of the College and, through the President, to the Board of Trustees. If the
President concurs with the amendment and decides that such an amendment is "procedural" in nature, the amendment will automatically become effective at the beginning of the next academic term. If the President concurs with the amendment and decides that such an amendment is "substantive" in nature, the amendment will be forwarded to the Board of Trustees for appropriate action; following Board of Trustees approval, the amendment will become effective at the beginning of the next academic term. If the President disapproves of the amendment, the amendment shall not take effect, and the President must communicate this decision in writing to the Faculty Executive Committee, the Student Forum, and the Executive Committee of the Board of Trustees, explaining the reasons for disapproval. In all cases, the President must act within ten days in the academic calendar following approval by the General Faculty and Student Forum. The Presidential disapproval may be over-ridden by two-thirds of the members of the General Faculty who are in residence in the term in which the vote is taken.
APPENDIX I

Procedure for Initiating a Tenure Review

The Faculty Review Board feels strongly that the department should have significant input into the tenure decision early in the process. While it is inappropriate for the department to duplicate all of the activities of the ad hoc committee, there are certain aspects of each case for which the department should possess especially pertinent information. Since the Board is interested in having such data available to the ad hoc committee at the outset of the investigation, we suggest the following procedure:

(1) The tenured/tenurable members of the candidate's department should act as a preliminary screening committee.

(2) This committee should gather the following information concerning the candidate: written term-end course evaluations (or summaries), copies of publications and any other scholarly work, all performance evaluation letters, and any other information it deems relevant.

(3) The written course evaluations should be examined carefully and compared with appropriate departmental norms.

(4) The scholarly work should be reviewed; it may be helpful, in this regard, to obtain from the candidate a statement guiding the readers to what the candidate feels are the important problems and solutions or achievements of this work.

(5) A careful discussion of the candidate's role in the future plans of the department should be undertaken. Special consideration should be made of how the candidate's expertise fits the curricular needs of the department, of how the candidate's scholarly pursuits nourish the intellectual viability of the departmental program, and of any others aspect of the candidate's collegiality the committee deems professionally important.

(6) After reviewing the evidence available to it, the committee should formulate a written recommendation, with respect to the formation of an ad hoc tenure committee, to the Vice President for Academic Affairs. This recommendation should include summaries of the committee's findings and deliberations for items (3) and (5) above. It may also include, if the committee so desires, a qualitative assessment of the candidate's scholarly work. If the decision is not to recommend formation of an ad hoc tenure committee for the candidate, the specific reasons for the decision must be submitted in writing along with the recommendation.

(7) A copy of the written recommendation should be given to the candidate at least one week prior to its submission to the Vice President for Academic Affairs.
APPENDIX II

Revised Charge to Ad Hoc Tenure Committees

In your deliberations, there are no rigid formulae to govern your recommendations on tenurability, but there are general guiding standards. The quality of the candidate's teaching and scholarship and service to the College (as outlined below) are major considerations, of which the first two are of paramount importance. The candidate should be judged by the prevailing College-wide standards. Accordingly the candidate's qualifications in teaching and scholarship should normally be excellent in one of the categories and very good in the other. The candidate is expected to have been actively involved in areas of college service.

Keep in mind that tenure is not a right which normally accrues to those who have avoided serious problems during their time at the College; it involves a major financial investment and a long-term academic commitment, and should, therefore, be granted only when both achievement and promise are demonstrable.

An ad hoc committee of the Faculty Review Board is expected to investigate, evaluate, and report; it is not to act as the candidate's advocate. The report to the Faculty Review Board should reflect the proceedings; it should not be written retrogressively from the final recommendation to the evidence (in fact all but the conclusion should be written before taking a final vote as to the Committee's recommendation). The report should state both the strengths and the weaknesses of the candidate.

The principal concerns in these deliberations should be the following:

1. the candidate's competence, effectiveness, and dedication as a teacher.

2. the candidate's quality of mind as indicated by scholarly performance and the candidate's promise of continued professional involvement, commitment, and achievement.

3. the quality of the candidate's contributions to the College in areas of service, leadership, and initiative.

The following procedures are recommended:

I. Evaluation of Teaching.

1. Colleagues who have visited the candidate's classes or team taught with the candidate should be interviewed. Librarians' instructional functions include the selection, organization, and dissemination of information in whatever form. Interviews should be sought with library colleagues, teaching faculty, and other library users.

2. Written materials describing innovative approaches to teaching may be submitted by the candidate for evaluation.
3. A notice should be placed in the campus newspaper and alumni publications stating that an ad hoc tenure committee has been convened and inviting student, alumni and faculty response.

4. From class lists obtained from the Registrar and, where appropriate, from lab rosters obtained from the candidate's department, the committee should select in a random selection process (see attached) a group of students. The candidate should not supply the selection. The committee should then solicit letters from the students selected and, where possible, interview the students individually, either in full session or through members delegated for that purpose, using a uniform interview procedure. The opinions of recent alumni should also be solicited in writing when their names arise in the random selection process. Appended to this charge is a suggested form for a letter to be sent to students and alumni inviting them to offer their evaluation and providing some guidance in writing a letter helpful to the committee's deliberations.

5. The candidate's evaluation in student and departmental polls should be considered.

II. Evaluation of Scholarship.

1. The candidate's scholarly writing and/or creative works, published and unpublished, including the Ph.D. dissertation, should be submitted to and read by the committee; even if the scholarship is outside of an individual committee member's discipline, each member should be aware of its nature.

2. All the candidate's published materials, and whatever unpublished work the candidate wishes, will be evaluated. This may include artistic work, equipment construction, library projects, or other work appropriated to the candidate's field.

3. The material to be evaluated, referred to above, must be sent out for evaluation by three outside referees with whom neither the candidate nor the department head nor any member of the ad hoc committee has close personal ties. The ad hoc committee should present to the candidate a list of about 10 names of potential referees for the scholarly work. The candidate may comment, in writing, on the suitability of any of the referees for evaluating the work and may suggest that some names be eliminated from the list. Reasons for their unsuitability must be given and may include, for example, that the person is not in the area of the candidate's scholarship, or that the person may be a hostile referee because of extreme ideological, theoretical or philosophical differences with the candidate's work. The candidate must inform the ad hoc committee about the nature of personal or professional relationships between the candidate and any of the potential referees. The ad hoc committee has the final authority to select the referees. The candidate's comments on
the list of potential referees must be part of the ad hoc committee's report. The suggested letter to referees should also contain a request for similar information about the nature of personal or professional ties.

4. The ad hoc committee should obtain testimony pertaining to the candidate's scholarship from any Union faculty member whose field is closely allied to the candidate's, and in addition must interview any faculty member who wishes to volunteer such testimony.

III. Evaluation of College Service.

1. The committee should evaluate the contributions to the college community listed on the candidate's resume by obtaining testimony from members of the college community with whom the candidate has worked. This should at least include chairpersons of committees on which the candidate has served and may also include faculty, staff, or students who have primary responsibilities in areas such as admissions, advising, freshman orientation, budgeting, curriculum planning, or the computer center.

2. The committee should question the candidate about additional areas of college service not listed on the resume and should evaluate these in the same manner.

3. The committee should seek from the candidate information about such community activities that may be of value to the college.

IV. General

1. The ad hoc committee's report must include the candidate's full curriculum vita.

2. The ad hoc committee should interview the candidate near the beginning of its evaluation process and again toward the end. The ad hoc committee should make every effort to interview all faculty in the candidate's department. The ad hoc committee should solicit from the department chairperson, in writing, an evaluation of how the candidate fits current and future needs of the department.

3. Theses done under the supervision of the candidate may at the discretion of the candidate be submitted as evidence of teaching or scholarship.

4. In the case of librarians, special consideration must be given to the fact that librarians do not teach regularly in a classroom situation, nor do they have commensurate time for scholarly research, due to a structured work schedule throughout the calendar year.

5. In the case of candidates from the Department of the Arts, compositions, concerts, exhibitions, or productions may constitute part of or the whole of a candidate's scholarship.
The report of the ad hoc committee should include a table of contents with a detailed listing of the appendices to the report.
Dear __________________:

Thank you for agreeing to review and evaluate the scholarly research and publications of ______________, who is under consideration for tenure at Union College. We are enclosing (list materials sent).

We appreciate your willingness to assist our Ad Hoc Tenure Committee in arriving at an overall evaluation of ______________'s scholarly activities. Your comments will be most helpful to us if they bear on at least the following points:

1. The degree of professional competence demonstrated;

2. The quality of intellect which is reflected in the work reviewed;

3. An estimation of the candidate's potential for future scholarly achievement based on your overall assessment of what has been accomplished up to the present.

Comments on any other aspects of ______________'s scholarship which you consider relevant to our deliberations, such as the extent to which it contributes to existing knowledge in its subject area, are most welcome. Please note that our interest is primarily in the quality of the work under review, rather than on quantitative considerations. Your comments will, of course, be kept in strictest confidence.

(Statement of date for submission of comments, and of honorarium and terms).
RANDOM SAMPLING PROCEDURE

1. The ad hoc committee obtains the grade sheets of all classes taught by the candidate not included in the Third Year Review from the Registrar's Office.

2. From each grade roster students or alumni are selected using a simple random sample procedure using a table of random numbers provided for that purpose. Attempts should be made to obtain at least three or four, but not more than 50 percent of the students from each class.

The table of random numbers contains nine columns. The first column identifies the class size to which a particular row of eight random numbers applies. The next eight columns are the random numbers. Typically one would choose the first three or four random numbers in each row to identify students/alumni numbered in alphabetical order. The fifth, sixth, seventh and eighth number are "stand-by" numbers and should be used if one of the students selected appeared already on another class list, or may be unavailable for some other substantial reason.

3. It is the expectation that at least 60 percent of students and alumni should respond. The ad hoc committee should try, through letters, follow-up letters and phone calls, to keep the response rate as high as possible. In case the number of responses falls below the minimum of sixty percent, the committee must rely even more heavily on the college-wide student questionnaire in their evaluation of a candidate's teaching.

The ad hoc committee should provide a summary of the characteristics of responding students and alumni by graduating year, major, grade received in course, sex and class size. The committee should also indicate the percentage of those responding from the number originally selected by the random sampling procedure.
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<th>Stand-by Random Numbers*</th>
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* use in sequence from left to right
APPENDIX III

Details of Current Procedures for the Determination of Faculty Merit Awards

1. The department head prepares written evaluation or recommendation.

2. A copy of this is submitted to the faculty member in question at least seven days prior to submission to the Vice President for Academic Affairs.

3. The departmental head and faculty members then discuss the contents of the recommendation or evaluation. Upon request, all of the background materials used in arriving at the evaluation or recommendation will be made available to the faculty member.

4. If they are unable to agree on the recommendation, the faculty member may prepare a written statement, together with any appropriate supporting documents, setting forth the disagreement with respect to the evaluation or recommendation. That statement is submitted to the departmental head.

5. The departmental head's and the faculty member's respective reports and statements are forwarded to the Vice President for Academic Affairs.

6. The Vice President for Academic Affairs and the Associate Dean of Faculty will conduct individual interviews with the department heads and the Vice President's recommendations for merit will be brought before the Faculty Review Board for consultation.

7. The Faculty Review Board may suggest changes in the merit recommendations, but the final decision about and responsibility for the merit awards rest with the Vice President for Academic Affairs.
2. Teaching

Student end-of-term questionnaires and any summaries of numerical data should be examined carefully by the Department Committee before conducting interviews.

All faculty members of the candidate's department should be interviewed by the Department Committee.

A representative sample of approximately twenty students should provide written and oral or just written testimony to the Department Committee. To receive oral testimony, a student interview should be arranged at which at least two members of the Department Committee are present. As far as possible, a uniform interview procedure should be used.

3. Scholarly Activity

Each member of the Department Committee should evaluate all available research material together with other evidence of ongoing scholarly activity. In unusual circumstances, the department may decide that it cannot evaluate the scholarly activity of the candidate. With approval of the FRB, the department should consult with the candidate concerning the choice of outside reviewers. Normally, at least two reviewers should be chosen, one of whom is not known personally by the candidate.

4. College Service

Starting with information supplied by the candidate, the Department Committee shall seek assessment of the quality of the candidate's contribution to College activity in the areas of committee work, student academic advising, participation in departmental activities, seminars, freshman orientation, and so on.

5. The candidate must be interviewed by the Department Committee.

6. The candidate must receive a copy of the final report (without the confidential material, of course) at least one week before it is submitted to the FRB. The candidate then has the option to attach written comments to the final report which will be forwarded to the FRB.

February 25, 1981
APPENDIX IV

PROCEDURE FOR THIRD YEAR EVALUATION

Preamble

The third year evaluation should be a serious and carefully considered review of the candidate's performance to date and a judgment on the potential for successful tenure review in a further three years. To this end, the evaluation should be carried out as thoroughly and uniformly as possible, and the recommendation in its entirety forwarded to the Faculty Review Board for its consideration. The candidate will be judged by prevailing College-wide standards in teaching, scholarly activity and College service.

Department Committee

The Department Committee should be made up of all the tenured and tenurable members of that department; if that number is less than three, the difference should be made up with tenured or tenurable members of other departments chosen by the Department Head in consultation with the Vice President for Academic Affairs.

The Department Committee report will be accompanied by a cover letter signed by all members; each should indicate concurrence or non-concurrence with the recommendation of the report. All letters and supporting documents should be attached to the final report which is submitted to the FRB.

Procedure

The candidate is invited to submit to the Department Committee all relevant written material including, but not limited to:

1. Complete and current vita.
2. Materials on all courses taught.
3. Published and unpublished research work.

Evaluation

1. General

A campus-wide announcement should solicit statements from faculty, administrators, and students who have worked with the candidate in the areas of:

- Teaching
- Scholarly Activity
- College Service
Dear [Name],

You are invited to participate in a formal review of the teaching capability and effectiveness of Professor [Name].

Nothing is more important to the vitality of an academic institution than the maintenance of a strong and committed faculty. Therefore, the College must conduct thorough and fair evaluations of faculty performance to ensure that faculty quality remains high. The College recognizes the right of the student to participate in the evaluation process. In turn, there is a strong expectation on the part of the College that students will exercise this right when asked to participate and will do so in a thoughtful manner. Your views and those of your fellow students constitute the major portion of the evidence used in the teaching evaluation.

In the near future you will be called to arrange a meeting, involving you and members of Professor [Name]'s department, at which you may present oral testimony concerning your experience in Professor [Name]'s classes. To guide the discussion, the department requests that you bring to this meeting a letter in which you evaluate Professor [Name]'s teaching performance according to the criteria below. If you wish to give only a signed written evaluation you may do so. Your oral and written testimony will be held in strictest confidence.

As a guide to aid you in preparing your written evaluation, the Department asks that you reflect on the questions below before you begin to write. Your letter should then address any or all of those questions which seem appropriate based on your experience. Please feel free to include information which you believe is pertinent to the evaluation but which is not covered in the guide questions.
1. What did you perceive to be the major strengths and weaknesses of Professor ________'s teaching? Did you find him/her to be sufficiently knowledgeable in the subject area? Was he/she generally prepared? Were his/her lectures and/or discussions adequately organized?

2. Was your academic performance adequately evaluated by Professor ________? Did you find that his/her course(s) presented a sufficient academic challenge? Was the course taught in such a way that your ability to think critically and/or analytically was markedly improved?

3. Do you believe that Professor ________ made the course material more or less interesting than you thought it would be? To what extent is your impression of Professor ________'s performance tempered by the subject matter?

4. Would you take another course from Professor ________? Has what you learned in this course been useful to you? In what way?

5. How would you characterize the rapport which Professor ________ had with the class? Was he/she available for help outside of class?

When answering these questions it is important that you include, wherever possible, specific reasons for your responses. These responses should be frank but devoid of cruelty and gossip.

The Department would like to thank you in advance for the time you will spend in this vitally important process. In order for this review procedure to be effective, the College must depend upon the students' willingness to participate and to exercise mature judgment.

Thank you.