... an introduction

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 services 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 Dean of the Faculty.
FACULTY MANUAL INDEX

... an introduction

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I. SALARIES AND FRINGE BENEFITS

SALARY PAYMENTS

Faculty salaries for the normal academic year's work are paid over 12 months in biweekly installments. The first installment is paid in early September and the last installment in August. Checks may be picked up at the Cashiers Office, delivered to your Department, or deposited into 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 and are paid in biweekly installments.

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. Proof of Identity and Employability - Form I-9
3. Benefit Enrollment
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 (effective Nov. 1, 1990)

The College has a contract with the New York State School Insurance Trust (using the Hartford 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 BENEFITS

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 $200,000 Business Travel Life/Accident policy has been adopted. 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 bona fide vacations, private aircraft, or travel to and from work. Certificates and policy summaries are available from the Personnel Office.

LIFE INSURANCE

Union College provides, at no cost to its full-time faculty, Life Insurance equal to two times the salary. 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 the 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 (effective July 1, 1989)

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

Blue Cross/Blue Shield Matrix One and Matrix Two Insurance provides two options. Blue Cross provides payments in full for most in-hospital treatment and procedures and certain out-patient treatments and procedures.

The Community Health Plan provides a third optional medical care insurance coverage. Community Health Plan is a qualified Health Maintenance Organization serving the Capital District area.

The Mohawk Valley Physicians' Health Plan provides a fourth optional medical care insurance coverage.

Healthnet provides a fifth alternative and is similar in design to Mohawk Valley Physicians' Health Plan.

Details for all medical plans are available through the Personnel Office. All plans require payroll deduction amounts.

RETIREMENT PLAN (effective July 1, 1989)

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. Participation is available to members of the faculty and administration whose appointments are not part-time and have completed one year of service and attained age 26. A faculty or staff member who comes from an institution where he/she has participated in TIAA/CREF or other 403(b) plan and who holds an institutional retirement annuity contract may enroll the first of the month after 30 days employment.

The College's contribution is equal to 11% of each participant's contract salary.

The contributions are forwarded to the annuity pension carrier monthly for credit to the participant's wholly-owned, fully-vested contract(s). The College's portion is made on a tax-deferred (before tax) basis.

Participants can contribute if they wish. The participants have the option of electing either a reduction (before tax) or deduction (after tax) mode of contributing their percentage amount. 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 accounts.

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

**COLLEGE PLOT IN VALE CEMETERY**

Members of the College faculty and administration 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** (effective July 1, 1989)

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 and administrators that group life insurance and total disability policies cover those on leave. Arrangements to continue dental and health insurance coverage should be made through the Personnel Office. The College does not make any contribution to the pension plan while the leave is in progress. Those on leave may contribute directly to TIAA as they wish. Those going on leave who have children in college and are receiving financial assistance from Union towards tuition costs elsewhere should inform the Dean of the Faculty's 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 savings and borrowing money. Further information can be obtained from the Personnel Office or directly
from the Credit Union at 1776 Union 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 TIAA Total Disability Insurance Plan. This insurance provides, in case of total disability, for payment of 60% of base salary to a maximum of $4,500 per month including Social Security and Workman's Compensation. The plan also continues the 11% TIAA 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.

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 Trustees 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 College, 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 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 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 that 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 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 the 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.
II. BOOKSTORE, LIBRARY, AND OTHER SERVICES

COLLEGE BOOKSTORE - College Center

Faculty and staff, and members of their families, may use the Campus Store to the full extent of its services. Items totaling $2.50 or more at any one time may be charged. Accounts are payable within 30 days of the billing date. 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 $65.00). Credit ceiling is $500.00 per academic year or for full-time faculty and staff members employed by Union College. 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.

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

1. Special orders - deposit required
2. Twenty-four hour film processing
3. Magazine subscriptions
4. Educational computer discounts
5. Gift certificates
6. Shop by telephone (370-6188) Monday through Friday, 9:00 a.m. to 4:00 p.m.
7. Gift wrapping of items purchased at the College Bookstore ($1.00 - $3.50 per package)

OF INTEREST TO THE TEACHING FACULTY

Requisition Cards for courses related materials are sent out to Departments 6-8 weeks in advance of the term. We would appreciate your cooperation in filling these out and returning them to us no later than the cut-off date indicated with the information that accompanies the requisition card. The following are directions for use with requisition cards.

1. Please print or type for legibility, particularly foreign languages.
2. Please indicate order of use, if possible.
3. Be sure to include estimated enrollment figure (even if only an educated guess). This figure should if possible correspond to the registrar's figure for enrollment in your course. If you have these figures, but are estimating a higher number, please explain briefly in the "Remarks" column.
4. On your requisition forms, please check specific box if title is recommended or required. We assume that fewer students will buy a "Recom." title than a required one. To help us avoid underordering could you where possible, estimate in "Remarks" column how many students are likely to buy each of these recommended titles.

5. If you are undecided about some titles, but decided on others, give us a list of those titles that are definite, and send in a supplementary list later when you have decided on the balance. Should you do this, state that the initial list is only a partial list.

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, sell you a textbook and charge it to your personal account or to the respective Department account if permission is granted. If the desk copy you requested is received from the publisher within 60 days and it is free of any stamped markings by the publisher, your account or that of the Department will be credited for the full cost of the book. Otherwise your account or that of the Department will be charged for the full cost of the book. We cannot accept these books back after 60 days for credit.

Trade Books - The College Bookstore stocks well over 8,500 titles of books encompassing 30 subjects. The College Bookstore will be happy to carry in its Trade stock additional titles recommended by faculty. Also any book that is in print may be special ordered. A small deposit is required.

Other Services - If there are items or 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 Stationary Department will be most willing to work with you. Please feel free to contact them whenever they may be of service.

Computer Sales and Services - Union College faculty are eligible to purchase personal computers and many software titles at the College Bookstore at substantial educational discounts not available from dealers or other computer resellers.

These education discounts apply to hardware or software purchased for either personal use or for departmental use.

Computer hardware is thoroughly tested and configured and software purchased is installed at the time of delivery. Technical support is available and may be provided in conjunction with the Office of Computer Service or with Computer Professionals, Inc. of Albany.
Several payment options and service options are available for configurations sold for personal use. Departmental purchases are charged to the appropriate project/object accounts.

Currently, the College Bookstore offers educational pricing on hardware/software from the following list of manufacturers:

**Apple Computer, Inc.**

The entire Macintosh line of personal computers are available as well as most peripherals, including laser printers, scanners, and data storage devices.

**IBM Corporation**

The entire Personal System/2 family of computers and peripherals are available, including laser printers, scanners, and data storage devices.

**Zenith Data Systems**

Zenith's entire line of desktop personal computers and the largest selection of laptops in the industry are available, as well as many peripherals.

**WordPerfect Corporation**

**Microsoft Corporation**

**Lotus Development Corporation**

**Software Publishing Corporation**

Most popular software titles are available from these developers at educational discounts and frequently exceed 50% off list price. Academically priced editions are usually full and complete versions, with the same software and documentation as found in retail editions.

The College Bookstore's academic-priced software features productivity tools for virtually every administrative task and scholarly pursuit. Supporting not only the MS-DOS and the Macintosh environments, the College Bookstore offers software for VAX/VMS, Amiga, and Atari St. Classroom packs and network versions are available in some cases.

Personal computer configurations sold through the College Bookstore are supported by a wide selection of computer accessories at extremely competitive prices. A full selection of diskettes, printer ribbons, and cables are available. Items not stocked can be special ordered.

Charles Bosworth can be reached at 370-6188 (or direct dial extension 2196 from campus phones) for information.
Faculty ID numbers are required to document eligibility for hardware or academic software purchases intended for personal use.

LIBRARY SERVICES

Union College has had a book collection since its founding in 1795. The first volume of the Trustees' Minutes, dated in that year, lists the titles purchased from three different dealers. In fact, the volumes remaining from the original purchase, known as the First Purchase Collection, which had been scattered throughout the stacks, have now been brought together as an archival collection.

The Library has had several physical locations on the campus. In 1961 the present building, Schaffer Library, was opened for use; an addition was constructed in 1974. Volumes number about 455,000, and current periodical titles number about 2,200. Our goals are to shape our services and functions to accord with the educational mission of the College:

To provide library resources that serve the classroom and, where possible, the research needs of the campus

To acquire, organize, maintain, disseminate, and preserve these informational materials in whatever form

To participate in resource sharing of these materials on the local, regional, and national levels.

SERVICES

Borrowing Privileges

Faculty members will be extended borrowing privileges at Schaffer Library when they register at the Circulation Desk. The library card, which must be presented in order to borrow books, is the College ID with a patron barcode which will be affixed to it by Circulation staff.

A faculty member may also request a Capital District Library Council (CDLC) Direct Access card which will be honored at cooperating regional libraries, subject to their lending regulations.
Reference Services

Reference librarians are on duty whenever the Library is open. Members of the college community are encouraged to avail themselves of reference assistance in using the Schaeffer Library collections as well as resources beyond the College.

Formal training in library use is offered to classes whose instructors would like a group session. Such instruction can range from general procedures and materials to specific bibliographic methods and sources tailored to study or writing assignments. Interested faculty should contact the Coordinator of Bibliographic Instruction at Reference (6281) and give sufficient notice to allow adequate planning, at least two weeks.

Electronic access to databases is a resource open to all at the College. The self-service CD ROM-based workstations offer, on a first-come, first-served, no-fee basis, several highly useful indexes to the literature of various disciplines. Their coverage extends over the scope of the curriculum and beyond. Point-of-use instruction is offered by Reference staff.

In addition to the CD ROM databases, an online database search service is offered to provide access to more files and more years of coverage when needed. To use the Computer Assisted Reference Service (CARS), a written request is made at Reference and the client will be scheduled for an appointment, during which a librarian will conduct the search. The Library subsidizes the cost of these online searches, but a small portion of the charge is shared by the client. Charging to grant or departmental account numbers is acceptable. Reference staff can assist faculty who are writing grant proposals with estimating the full cost of computer searches to be charged to grant funds.

Acquisitions Requests

Each teaching department has a library representative who collects from the faculty "requests for purchase" that are charged against the amount allocated from the Library budget to the department. The department representative gives the completed order cards, publishers' ads, or other bibliographic citations to the Collection Development Librarian or the department's library liaison for that department. Suggestions for all subject areas are welcome. Full bibliographic information is necessary, plus, if possible, a copy of the ad or a review. Standard order cards are available from the Collection Development office. The Collection Development Librarian balances the content and form of the Library collections.

Usually three months elapse from the time a book is ordered by the Acquisitions Librarian until it 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 individual who recommended the book receives a report
slip with the call number on it indicating that the volume has been processed and is on the shelf. Rush books are held at the Circulation Desk. Periodic reports on the status of the departmental book budgets are made to department chairs and representatives.

The Collection Development Librarian, together with the College Librarian, evaluates departmental requests for periodicals. At present, because of the costs of periodicals, the library orders a new subscription only if a previous subscription in the same discipline is dropped. However, all requests for periodicals, including those of an interdisciplinary nature, may be brought to the attention of the Collection Development Librarian. Requests must be submitted on forms available from the Collection Development Office. Because a periodical subscription is a continuing fiscal commitment, careful thought is given to it. Ultimately, the College Librarian is responsible for acquisitions decisions.

There is a modest fund to support faculty research: the Whitehorne Fund. Material that is inappropriate for purchase on the departmental budget may be purchased with these monies upon application to the College Librarian. Although purchased for use by a specific faculty member, like all other materials purchased with Library funds, the material belongs to Schaffer Library.

Reserves

Faculty members may request in writing that materials be placed at the Reserve Desk. To ensure that the material will be available the first week of term, requests for material that the Library owns should be made at least one month before the term begins. Our experience with the acquisitions of new works indicates that materials which are not owned by the Library should be requested for purchase three months in advance, and foreign material may need to be ordered even earlier. Nevertheless whenever the reserve lists are submitted, Library staff will do their best to get materials processed in a timely fashion. Two caveats: interlibrary loan materials may not be placed on Reserve, and, in compliance with federal copyright law, Library staff will not make photocopies of any material on Reserve.

Interlibrary Loans

Interlibrary Loan enables users to tap the resources of the area's 40-odd academic, public, and special technical libraries via the Capital District Library Council, a multitype library consortium. The Council operates a daily courier service among its members. Two-thirds of all ILL requests are filled locally, generally in five 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 for both books and periodicals are available at the Reference Desk.
The Automated System

Minerva, the integrated online library system, includes an online catalog with Boolean searching capability, as well as acquisitions, circulation, and cataloging modules. The online catalog has entries for books, government documents, and sound recordings held by Schaffer Library. The library is adding to the database regularly, but until that process is complete it will be necessary to check the card catalogs as well as the online catalog for complete information about library holdings, especially for older works or those that may be in Special Collections. Terminals to access the online catalog are available on every floor of the library. Minerva is also accessible from any terminal on campus and through dial-in lines. Documentation is available at the library.

COLLECTIONS

Circulating

Most materials in the Library circulate. At present there are two main classification schemes in use: the Dewey Decimal system and the Library of Congress system. An on-going reclassification project began some years ago, and ultimately all volumes will be reclassified to LC. Some government documents are, and will continue to be, classed in the Superintendent of Documents system.

The faculty loan period is generous; all circulating material, except CD's, is due June 30, the end of the academic year. CD's may be borrowed for one week, and a patron may have no more than four at one time. Renewal of all material is possible, but it not done over the telephone. Please bring all material to the Circulation Desk for renewal. The computer system will assign a delinquent status to your account if material is not renewed promptly. If your account is delinquent, it will be necessary for a staff person to do an override. Student assistants will not have the authority to do this operation. No fines are charged to faculty for overdue books, however a replacement fee will be charged if a book is lost. A book may be recalled after two weeks if it has been requested by another patron. Phonodiscs, located in the Music Room, are subject to the same guidelines as circulating books.

Schaffer Library has been a selective depository for United States government publications since 1901. Many titles selected appear in the catalog. Reference staff can assist in determining the Library's holdings for those titles not listed in the catalog. The Documents Librarian will be glad to consider requests for selections in areas of interest, particularly if curriculum related.
Non-circulating

Most periodicals, including current issues presently received as well as back runs, are shelved on the lower level. Arrangement is alphabetical by title. The serial catalog lists every periodical title in the library and indicates the available volumes, format, and location.

The Library has many journals and newspapers on microfilm and microfiche. There are also three major statistical collections on microfiche: American Statistics Index, Statistical Reference Index, and Index to International Statistics.

The serial catalog is the guide to what titles and years are held in microform, and the microform materials themselves are housed on the lower level. Microfiche and microfilm are stored separately, and the arrangement is alphabetical. Coin-operated reader/printers for both film and fiche are available in the Microforms Area.

The catalog indicates that certain books are located in Special Collections. The book collections in Special Collections include, among others: the Rare Book Collection, the Schenectady Collection (emphasizing local history), the Bailey Collection of Nineteenth Century North American Wit and Humor, and the Union Collection (materials on the College's history, faculty, alumni, and student publications, etc.). These books may be used by faculty, or any other member of the Union community as well as visiting scholars, during the hours when this area is open. Special Collections is open during the hours posted at the beginning of each term.

None of the books in Special Collections may leave the Library at any time. Faculty, students, and others may use the materials by inquiring at the Reference Desk. A valid ID card is required for admission to Special Collections. Faculty are encouraged to bring small classes to Special Collections to use materials which may be relevant to their courses.

Special Collections houses a number of manuscript and archival collections in addition to the book collections described above. These manuscript and archival collections cover a range of topics and may be pertinent to faculty and student research. The manuscript and archival holdings are not listed in the catalog. Faculty should check with the Archivist if they have questions about the contents of these collections.

NOTARY PUBLIC SERVICE

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

College dining facilities are as follows, Dutch Hollow Restaurant and Upper Class Dining Hall, both located in the College Center, Dutchmen's Rathskellar and Hale House, located in the Hale House/Old Chapel complex, West College Dining Hall located in West College. Dutch Hollow Restaurant is open from 8:00 am until 11:00 pm Monday-Friday, Saturday from 10:00 am until 11:00 pm. Upper Class Dining Hall is open Monday-Friday from 11:30 am until 1:30 pm and from 5:00 pm until 7:00 pm in the Fall; Winter and Spring term, dinner ends at 6:30 pm. The Dutchmen's Rathskellar is open from 11:00 am until 8:00 pm Monday through Friday and from 3:00 pm until 8:00 pm on Saturday and Sunday. West College is open Monday-Friday from 7:30 am until 10:00 am for breakfast, 11:30 am until 1:30 pm for lunch and 5:00 pm until 7:00 pm for dinner in the Fall; Winter and Spring term, dinner ends at 6:30 pm. On weekends, West College Dining Hall serves Continental Breakfast from 10:00 am until 10:30 am and Brunch from 10:30 am until 1:30 pm. Dinner is served from 5:00 pm until 7:00 pm in the Fall, Winter and Spring term, dinner ends at 6:30 pm. These facilities are available during hours of operation to faculty and staff members and their families. Arrangements can be made for special luncheons or dinners in the College dining halls and other facilities through the Catering Manager at 370-6132. Small parties, receptions and other events can be catered, upon request, anywhere on campus.

HEALTH SERVICE

The College Health Service is open when classes are in session. 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. Blood pressure readings and Department of Motor Vehicle eye examinations are done as a courtesy.

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 release 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 Press Relations Director, who serves as editor. For the Record, a chronicle of accomplishments of faculty and administrators, is published twice a term; information should also be sent to the Press Relations Director.

Publications

All official publications, whenever budgeted to separate departments or included in the general printing budget, should be submitted to the Public Relations Office for a general editorial review. The Public Relations 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 Public Relations 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. (No personal printing jobs will be accepted.)

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.

Press runs take time and the schedule is usually crowded. Therefore, advance notice of requests is imperative. Short run printing jobs take 1-2 days, anything lengthy will take longer and will have to be scheduled around and according to the daily workload.
The office is equipped to collate, staple, fold, punch, comb bind, and pad printed materials. A variety of paper stock is available.

PHOTOCOPY SERVICE

Photocopying machines are located in the Administration Building (for administrative use) and in the Library, College Center, Steinmetz Hall Room 209 (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 offset press 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 acknowledgment 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.
(With all changes in effect as of April 15, 1992)

NEW APPOINTMENTS OF TENURE TRACK FACULTY MEMBERS

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 experiences of the appointee and in keeping with the criteria described under each rank. The letter of contract from the Office of the Dean of the Faculty 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 PRIOR TO TENURABILITY REVIEW

No tenure track faculty member may be reappointed to a contract that would carry through the year of tenurability review without first being evaluated in a formal reappointment review. Normally, tenure-track faculty members will undergo the required reappointment review during the academic year that falls three years before the year in which a tenurability review would occur. (Normally such a review takes place in the spring term.) The Dean of the Faculty acts on recommendations of Department Chairs for initiation of reappointment reviews. If it is decided that there is to be no reappointment review and that a faculty member will receive no reappointment after expiration of a contract, the faculty member shall receive such notification no later than 12 months before expiration of the contract. If such notification occurs less than 12 months before expiration of said contract, the faculty member in question will be entitled to an additional one-year terminal contract.

The reappointment review should be a serious and carefully considered review of the candidate's performance to date and a judgment on the potential for successful tenurability 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 appropriate current College-wide standards in teaching, scholarly activity and College service.

The Department Committee should be made up of at least three tenured and/or 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 Chair in consultation with the Dean of the Faculty.
The candidate must be informed about the inclusion and identity of non-departmental members.

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; letters of dissent from the recommendation may be attached to the final report. All letters and supporting documents should be attached to the final report which is submitted to the FRB.

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

1. Complete and current vita.
2. Statement of teaching and research objectives.
3. Materials on all courses taught.
4. All published materials, and whatever unpublished work the candidate wishes. This may include artistic work, equipment construction, library projects, or other work appropriate to the candidate's field.

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.

In evaluating teaching, the following steps are to be taken:
1) student end-of-term questionnaires and any summaries of numerical data should be examined carefully by the Department Committee before conducting interviews; 2) all faculty members of the candidate's department should be interviewed by the Department Committee; and 3) a representative sample of approximately twenty students should provide written and oral or just a 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. The final report should provide a summary of the characteristics of responding students by graduating year, major, grade received in the 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.

A section on scholarly activity should include a statement of the candidate's area of research and how it fits with the needs of the department, now and for the future. Each member of the Department Committee should evaluate all available research material together with other evidence of ongoing scholarly activity. In unusual circumstances, the committee may decide that it cannot evaluate the scholarly activity of the candidate. With approval of the FRB, the committee 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.

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

The candidate must be interviewed by the Department Committee.

A file shall be kept of all materials received or generated by the Department Committee that it will send to the FRB. The candidate shall be given a list of all materials in this file at the time the file is sent to the FRB, together with the procedures used by the Department Committee in obtaining the information submitted to the FRB. Confidential documents in the file shall be identified only as to their nature (e.g., "cover letter providing vote of department"). If any additional materials are sought or received by the FRB, they shall be added to the file, and the candidate shall be given the revised list of materials in his or her file before the FRB reaches its final decision in the case. The candidate shall also be given a copy of the final report of the Department Committee (without the confidential material) at least one week before it is submitted to the FRB. All important perceived deficiencies in the candidate’s record, if any, which are mentioned in the confidential portions of the materials submitted to the FRB shall be summarized in that part of the report given to the candidate. (Summary material must be prepared in such a way so as to protect the confidentiality of sources.)

The candidate has the option to attach written comments to the final report which will be forwarded to the FRB, including comments on the procedures used by the Department Committee. The copy given to the candidate should not include any confidential material, including the cover letter, any statements of dissent from the recommendation, and any attachments or appendices containing confidential materials.

The Final report submitted to the FRB must include a discussion of the information indicated above, the recommendation for reappointment or for a terminal contract, and the following information as appendices: 1) the candidate's complete and current curriculum vitae; 2) the candidate's statement of teaching and research objectives; 3) a summary of both the qualitative and quantitative sections of the end-of-course evaluations; 4) separate appendices for the solicited letters from students; and 5) other letters submitted to the Committee.
If, after the submission to the FRB of the Department Committee report, additional information is sought by the FRB or by the Department Committee at the request of the FRB, the candidate will be given an appropriate opportunity to respond to any perceived deficiencies other than those presented to the candidate in the Department Committee report.

The FRB shall judge a candidate by the appropriate current college standards regarding teaching, scholarship, and college service. Their review shall consist of a review of the candidate's Department Committee report and attachments. The FRB also has the authority to request any other information it deems relevant, using procedures for obtaining information consistent with those required of the Department Committee. The FRB's determination and the reasons for it shall be conveyed in writing by the Chair of the FRB to the Dean of the Faculty and the candidate. In the event of a negative determination by the FRB, the Dean shall meet with the candidate to convey the FRB's written statement of its determination (and the reasons for it) and to inform the candidate of the opportunities for reconsideration and appeal. The candidate may request a reconsideration or appeal pursuant to the provisions included below.

In all cases the President shall make a decision on whether the candidate should be granted or denied reappointment. In the case of a negative determination by the FRB, the President shall make no negative decision until any process of reconsideration and/or appeal has been completed or until the time for requesting either has passed.

In all cases in which the President approves a reappointment, that reappointment shall be reported to the Board of Trustees.

If the FRB makes a negative determination on the candidate, and if the candidate in timely fashion decides to seek reconsideration by the FRB, and/or if the candidate in timely fashion files an appeal with the Faculty Appeals Committee, or if for any other reason the President does not make a decision on the case before the expiration of the existing contract, then the Dean of the Faculty at a time subsequent to the negative determination by the FRB, but before the expiration of the candidate's contract, will give notice of termination to the candidate, and will offer the candidate a terminal one-year contract, except in that case in which the appointment carries through the following year, in which case the final year of the existing contract becomes a terminal one-year appointment.

This notice will constitute legal notice of termination, but will not prejudice any reconsideration of the case by the FRB, any consideration of the case by the FAC, or any further consideration of the case pursuant to a recommendation to the president by the FAC, or any final decision in the case by the President.
Should the President, subsequent to such notice, make a positive decision on the case, and should his recommendation for reappointment be approved by the Board of Trustees, the candidate will be offered a new contract superseding the terminal contract offered by the Dean of the Faculty.

PROMOTIONS (effective September 1, 1990)

The departmental head originates the request in writing for the promotion of a faculty member of the department to Assistant or Associate Professor. Recommendations for promotion to Professor shall originate with either the department head, the Dean of the Faculty, or the chair of the FRB. The Dean of the Faculty and the chair of the FRB shall review annually the list of Associate Professors for the purpose of selecting candidates for promotion. 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 relative 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 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 tenurability in keeping with the provisions for determining tenurability. Two appointments at this rank may be regarded as conferring tenurability 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 (effective September 1, 1990)

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 tenurability shall be made no later than the second year of this appointment. Any appointment from outside the faculty which carries with it tenurability shall be made only after consultation with the Faculty Review Board. Promotion to this rank normally requires:

a. The Ph.D. or its equivalent.
b. Outside 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 (effective Nov. 15, 1991)**

   a. Any special appointments require authorization of the position by the Dean of the Faculty.

   b. Candidates who have the qualifications appropriate to the ranks as described in sections 1, 2, 3, and 4 of this section, but who are recommended for appointment to a full-time position without a tenure track line are designated as visiting faculty. These appointments are normally for one, two or three years. On occasion, a one or two year appointment may be made subsequent to the third year, but no individual may remain in a visiting position at the college for more than five years.

   Visiting faculty are eligible for faculty travel, faculty research funds, IEF grants, and participation in the governance system. The college allocates its funds for yearly raises, as well as special allocations, to all full-time faculty regardless of tenure-track or visiting status. Visiting faculty, however, do not participate in the merit system.

   c. The curricular demands of the college may require the appointment of individuals to positions that do not require a terminal degree in the field in order to fill a particular teaching need. These individuals, from whom there are no expectations of scholarship, are designated as Lecturers. These appointments, which are for one, two, or three years, are only appropriate under special circumstances and are subject to approval by the Dean of the Faculty.

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

**PROCEDURE FOR A DECISION ON TENURABILITY**

Recommendations for a tenurability review originate with the departmental head, who shall have consulted with tenured and tenured members of the department, and are forwarded to the Dean of the Faculty in writing along with a resume of the teacher's background and achievement. These recommendations shall 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 a meeting of the Board of Trustees sometime before the expiration of a candidate's contract. No such evaluation will be completed later than the end of a faculty
member's sixth year of full-time service in a tenure-track position unless: any earlier date for completion of the evaluation a) is required by any specific condition of a faculty member's initial appointment or b) has been requested by a faculty member, recommended by his or her Department or the Dean of the Faculty and approved by the Faculty Review Board and the President.

Tenurability will not normally be conferred unless the individual holds the doctorate or appropriate terminal degree.

If a candidate has been recommended for consideration for tenurability by the Department and consideration approved by the Dean of the Faculty and the Faculty Review Board and the President, the Dean of the Faculty will appoint an ad hoc committee in consultation with the Faculty Review Board, to examine the record of each candidate for tenurability and to report its findings, with a recommendation for or against, to the Faculty Review Board. When necessity dictates, considerations such as the staffing needs of a faculty member's department and the financial implications of a positive recommendation on tenurability may be taken into account by the Dean of the Faculty and the Faculty Review Board before a recommendation is made to the President that a tenurability review is to take place.

The ad hoc committee will normally consist of one member of the candidate's Department, one member of the Division but not the Department, one member of the Center from the other division, and one member from the other Center. The candidate may strike from the list of eligible faculty members the names of faculty that he or she would prefer not to have serve on his or her committee, but normally no more than one-third of the names in any category may be struck. At least three names must remain in every category. In circumstances in which the candidate considers it important to depart from these rules and wishes to strike more names than are allowed, or in the case of departments in which the list contains three or fewer names and the candidate wishes to strike names, a conference must be held with the Dean of the Faculty and the Chair or other senior members of the Faculty Review Board to determine the final composition of the list of faculty eligible to serve on the ad hoc committee. In no instance may all the names in any category be eliminated. If it appears desirable to the Chairman of the ad hoc committee and approved by the Dean of the Faculty, an outside professional shall also be included as a member of the ad hoc committee.

A file shall be kept of all materials received or generated by the ad hoc committee that it will send to the FRB. The candidate shall be given a list of all materials in this file at the time the file is sent to the FRB, together with the procedures used by the ad hoc committee in obtaining the information submitted to the FRB. Confidential documents in the file shall be identified only as to their nature (e.g. "letter from referee").
The candidate will be given three days to respond in writing to the procedures used by the ad hoc committee.

The ad hoc committee shall give to the candidate in advance of its second meeting with him or her a written list of questions regarding any important perceived deficiencies in the candidate's record which have been found in the course of the ad hoc committee's review. The candidate will be given the opportunity to respond in writing to these questions before the second interview, or orally at the interview itself.

If, after the submission to the FRB of the ad hoc committee report, additional information is sought by the FRB or by the ad hoc committee at the request of the FRB, the candidate will be given an appropriate opportunity to respond to any additional perceived deficiencies other than those presented to the candidate by the ad hoc committee.

The chair of the ad hoc committee is finally responsible for preparing a report on the candidate and presenting a favorable or unfavorable recommendation to the Faculty Review Board (FRB). (Only senior members of the FRB, the relevant Deans and the Affirmative Action Officer are eligible to participate in deliberations concerning determination of tenurability.) This written report is duplicated and submitted to senior members of the Faculty Review Board, to the Deans, to the Affirmative Action Officer, and to the President several days before the Faculty Review Board first 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 the recommendation of the ad hoc committee. Every effort should be made to explain any ambiguities in the report that might influence a determination on the candidate's tenurability. The President may choose to participate in this meeting but not in meetings in which a determination is made.

At a later meeting or meetings to be held no less than three days after its meeting with the ad hoc committee, the Faculty Review Board makes a determination which constitutes a recommendation to the President as to whether the candidate should be granted or denied the status of tenurability. The FRB shall judge a candidate by the appropriate current college standards regarding teaching, scholarship, and college service. Their review shall consist of a review of the candidate's ad hoc committee report and the above-mentioned meeting with the ad hoc committee. The FRB may consider any other information and reports the ad hoc committee reviewed. The FRB also has the authority to request outside review of a candidate's scholarly work as well as any other information it deems relevant, using procedures for obtaining information consistent with those required of the ad hoc committee. If any additional materials are sought or received by the FRB, they shall be added to the file provided by the ad hoc committee, and the candidate shall be given the revised list of materials in his or her file before the
FRB reaches its final determination in the case. The FRB's determination and the reasons for it shall be conveyed in writing by the Chair of the FRB to the Dean of the Faculty and the candidate. In the event of a negative determination by the FRB, the Dean shall meet with the candidate to convey the FRB's written statement of its determination (and the reasons for it) and to inform the candidate of the opportunities for reconsideration and appeal. The candidate may request a reconsideration or appeal pursuant to the provisions included below. If the FRB makes a positive determination concerning a candidate's tenurability, the Dean of the Faculty shall convey the FRB's recommendation to the President.

In all cases the President shall make a decision on whether the candidate should be granted or denied the status of tenurable. In the case of a negative determination by the FRB, the President shall make no negative decision until any process of reconsideration and/or appeal has been completed or until the time for requesting either has passed. In all cases in which the President makes a positive decision, the President shall convey such decisions to the Board of Trustees. The Board's approval of tenurability status and either a tenure appointment or a renewable non-tenure contract based on tenurability status shall be confirmed in writing by the Dean of the Faculty or the President and made part of the records of the College.

If the FRB makes a negative determination on the candidate, and if the candidate in timely fashion decides to seek reconsideration by the FRB, and/or if the candidate in timely fashion files an appeal with the Faculty Appeals Committee, or if for any other reason the President does not make a decision on the case before the expiration of the existing contract, then the Dean of the Faculty at a time subsequent to the negative determination by the FRB, but before the expiration of the candidate's contract, will give notice of termination to the candidate, and will offer the candidate a terminal one-year contract.

This notice will constitute legal notice of termination, but will not prejudice any reconsideration of the case by the FRB, any consideration of the case by the FAC, or any further consideration of the case pursuant to a recommendation to the President by the FAC, or any final decision in the case by the President.

Should the President, subsequent to such notice, make a positive decision on the case, and should his recommendation for tenurability be approved by the Board of Trustees, the candidate will be offered a new contract superseding the terminal contract offered by the Dean of the Faculty.
UNION COLLEGE TENURE PLAN (originally adopted June 15, 1973)

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

1. If a faculty member is determined to be tenurable and a tenure appointment is available for him or her in accordance with the Procedure for Determination of the Number of Additional Tenured Appointments, 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.

2. If a faculty member is determined to be tenurable but no tenured appointment is 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. Such an appointment is renewable and maintains a faculty member's status as "tenurable."

B. Persons with Seven (7) or More Years of Service as Tenure-Track 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 a 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 of the Number of Additional Tenured Appointments and
   (b) the Faculty Review Board shall have concluded (in accordance with the Procedure for a Decision on Tenurability) 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 may 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 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 Dean of the Faculty 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 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 Dean of the Faculty 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 Dean of the Faculty, 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 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.

RECONSIDERATION AND APPEALS OF NEGATIVE DETERMINATIONS ON PRE-TENURABLE CONTRACT RENEWALS AND TENURABILITY

Procedure for Reconsideration. A faculty member may request that a determination of the Faculty Review Board be reconsidered by the FRB on the basis of a review of procedure or a claim that information relevant to the determination was not considered by the ad hoc committee, the Reappointment Review committee or the FRB. The request for reconsideration, together with supporting documentation, shall be directed to the Dean of the Faculty who will transmit it to the FRB. The FRB may reconsider the case upon review of the information submitted by the candidate to the FRB. All requests for reconsideration concerning negative contract renewal and tenurability determinations by the FRB must be initiated within fifteen (15) days of the candidate's notification of a negative determination.

Faculty Appeals Committee: Procedure. A faculty member may request the Faculty Appeals Committee (FAC) to review a determination of the FRB by submitting a petition to the chair of the FAC. The grounds for an appeal is lack of "adequate consideration" by the FRB, as defined below.

Such a petition must be initiated within ten (10) days of the candidate's notification from the Dean of the Faculty of a negative determination by the FRB, together with the reasons for that determination, unless the candidate decides to ask the FRB for a reconsideration.

If the candidate files a request for reconsideration, a petition to the FAC must be initiated within ten (10) days of 1) notification to the candidate by the Dean of the Faculty that the FRB has decided not to grant the request for reconsideration, together with the reasons for that decision; or 2) notification from the Dean of the Faculty that the FRB, upon reconsideration of the case, has rendered a negative determination, together with the reasons for that determination.

When the petition is received, the faculty member will be informed of the membership of the FAC (and their alternates) who will consider the petition. In the event the faculty member believes that there are valid reasons to replace an FAC member (a maximum of two members may be challenged), a written request to appoint the alternate(s) (setting forth the reasons) shall be made to the Chair of the FAC within five (5) working days of the
receipt of the list. The Chair of the FAC at his/her discretion, is empowered to grant or deny the request(s).

In the event that the faculty member believes that there are valid reasons to replace the chair, any written request to appoint the alternate (setting forth reasons) shall be made (in the manner indicated above) to the person serving as the chair's alternate. The chair's alternate shall then convene a meeting which the members of the FAC other than the chair shall also attend. If two or more of the four regular members vote to grant the request, then it shall be granted.

In the case that the faculty member challenges both the chair and another member of the FAC, a written request to do so (setting forth reasons) shall be made (in the manner indicated above) to the person serving as the Chair's alternate. The Chair's alternate will first grant or deny the request regarding the challenged FAC member who is not the chair. When it has then been determined which four members other than the chair will sit on the appeal, these will then be convened by the chair's alternate to determine who shall serve as chair, according to the procedure set forth above.

After it has been determined who shall sit on the appeal, the FAC will notify the appellant of the membership, and of the appellant's right to submit any information he or she wishes to submit in support of the petition.

The FAC may at any time request any information from the appellant it deems relevant to the appeal. The FAC may set reasonable deadlines for the submission of all materials it requests from the appellant.

The function of the FAC in dealing with a petition is to determine whether the determination of the FRB was the result of "adequate consideration" as defined below. In reaching this determination, the FAC will not substitute its judgment on the merits of the case for that of the FRB.

If, during the course of the FAC's deliberations, questions arise concerning the interpretation of procedures as laid out in the Faculty Manual, the FAC may meet with the President and the Dean of the Faculty to resolve these questions.

The FAC shall normally interview the chair of the FRB and, at its discretion, any other member of the FRB. The FAC may, at its discretion, interview any other participant in the process. It shall have the right, at its discretion, to examine any materials reviewed by any participant in the process, and, with the permission of the Dean of the Faculty or the President, any other information deemed relevant to its investigations.

At the conclusion of the FAC's review (normally no more than six weeks after the candidate has been notified who is to serve on
his or her appeal to the FAC), the FAC will submit to the President its findings and a determination either:

a) That the determination of the FRB was based on "adequate consideration,"

OR

b) That the determination of the FRB was not based on "adequate consideration."

1. If the FAC determines that the FRB decision was based on adequate consideration, the president shall notify the appellant of this determination, concurrently provide the appellant with a summary of the FAC's findings, and give the appellant the opportunity to submit to the president within ten (10) days of such notification a written response to the determinations of the FRB and the findings of the FAC. After receipt of this response, or after expiration of ten (10) days if no response is made, the President will then make his decision on the case.

a) If the President accepts the FRB's negative determination on the case, the President shall notify the candidate and shall convey his decision to the Board of Trustees.

b) If, in a reappointment review, the President decides that a candidate should be granted a pre-tenurable contract renewal, he shall convey his decision to the Board of Trustees.

c) If, in a tenurability review, the President decides that a candidate should be granted the status of tenurable, he shall convey his decision to the Board of Trustees, whose approval of tenurability status shall be confirmed in writing by the Dean of the Faculty or the President, and made part of the records of the college.

2. If the FAC determines that the FRB determination was not based on "adequate consideration" by the FRB, it will include in its report to the President the respects in which it believes there was not "adequate consideration," and it will submit to the President a recommendation or set of recommendations for further consideration of the case before the President makes a final decision. (In no instance shall the FAC substitute its judgment for that of the FRB on the merits of a case in making a recommendation or recommendations.)

The President will notify the candidate of any recommendation(s) of the FAC for further action, and the candidate will be given ten (10) days to respond to these recommendations. After receipt of such a response, or after the expiration of
ten (10) days if no response is made, the President will notify the candidate of his decision to accept, reject, or modify the recommendation(s) of the FAC, and what further action, if any, will take place. The recommendation(s) of the FAC will be advisory to the President and not binding on him.

If, subsequently, further consideration of the merits of the case takes place by the FRB or by any other body before a final decision is made by the President, and if another negative determination is made by the FRB, or by another body, reasons for this determination shall be given to the candidate in writing, and the candidate shall have ten (10) days to respond to these reasons in writing before the President makes a final decision in the case.

a) If the President makes a negative decision on the case, the President shall notify the candidate and shall convey his decision to the Board of Trustees.

b) If, in a reappointment review, the President decides that a candidate should be granted a pre-tenurable contract renewal, he shall convey his decision to the Board of Trustees.

c) If, in a tenurability review, the President decides that a candidate should be granted the status of tenurable, he shall convey his decision to the Board of Trustees, whose approval of tenurability status shall be confirmed in writing by the Dean of the Faculty or the President, and made part of the records of the college.

"Adequate consideration" is to be interpreted as procedural in nature and requires the FAC to ask the following questions:

1. Were the normal procedures conscientiously followed in the case?

2. Was the decision arrived at by application of the appropriate current College standards?

3. Was all the pertinent information bearing on the performance of the candidate available to the FRB, and was there a conscientious attempt by the FRB to examine it?

4. Was the decision a bona fide exercise of professional academic judgment?

The FAC may also consider any other procedural matter it deems relevant to the case under the circumstances.
SABBATICAL LEAVES (effective November 1, 1988)

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 (3 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 sabbatical, 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 Dean of the Faculty. 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 application 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 Dean of the Faculty 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 (effective October 1988)

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 (two 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 (5/6ths 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 (3 courses) at half pay (3/5ths for the year) or one term release (2 courses) at full pay.

LEAVES OF ABSENCE WITHOUT PAY

A faculty member may request through the Dean of the Faculty 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 College the year following the 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 advances 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 TIAA 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 Dean of the Faculty's 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 Dean of the Faculty's 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 Dean of the Faculty. 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 perma-
nent 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 discon-
thinuance 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 perma-
nent 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 judg-
ment 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 the charges of
incompetence, the testimony will include that of teachers and
other scholars, either from Union or from other institutions.
Teachers on continuous appointment 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 Dean of the Faculty
and the faculty member should submit a letter of resig-
nation to the Dean of the Faculty as soon as convenient
so that an official acknowledgment may be made a matter
of record.
2. **Resignation after receipt of contract letter.**

When a faculty member returns a signed copy 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 Dean of the Faculty 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 Dean of the Faculty 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 and 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 affective 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 Dean of the Faculty 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 Dean of the Faculty 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 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 Dean of the Faculty and the Faculty Review Board are available through the Dean's office or from the Chair of the Faculty Review Board. See Appendix III.

**CONTRACT RENEWALS**

Renewal contracts generally shall be for three years 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 60 days 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 the 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 Admissions 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 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
responds 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 Dean of the Faculty. Therefore, faculty and admin-
istrators who receive inquiries form outside the College, espe-
cially those from the FBI, CIA, and similar agencies, should refer
the inquiry to the President or Dean of the Faculty. Members of the faculty who wish the College to provide references for any purpose should send a statement permitting the President or Dean of the Faculty to comply with the request.

STATEMENT OF POLICY AND PLAN FOR EQUAL 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 a letter and intent of all State and Federal laws and applicable orders pursuant to Equal Employment Opportunity and Affirmative Action.

A "Policy and Plan for Equal Employment Opportunity and Affirmative Action" has been approved by the President and the Dean of the Faculty. It 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.

Grievance procedures are established to bring prompt attention to instances of alleged discrimination that arise among employees of the College. Union College hopes that accessibility and fairness inherent in these procedures will encourage all employees to use internal avenues to address problems. These procedures apply to alleged discrimination in employment based on sex, race, color, national origin, religious belief, disability or age. These procedures do not apply to grievances of faculty related to promotion, reappointment review, contract renewal, tenurability review or salary. Such grievances are the province of the Faculty Appeals Committee.

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 an employees if they are to realize their full potential as members of an academic community. (New sexual harassment policies and procedures are currently under discussion.)
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 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 (June 1, 1990)

Each instructor shall announce at the beginning of the term the expectation with respect to class attendance. In gener-
al, 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.

A class can be canceled only for a legitimate reason. Any class that a faculty member cancels must be made up. Each faculty member is expected to maintain a minimum of three regularly scheduled and posted office hours per week. It is acceptable to state availability as "to be arranged" only for hours above and beyond the minimum of three hours per week. Any faculty member who finds it necessary to be out
of town for more than two consecutive days is expected to notify in advance his or her department chair.

Administrative officers who expect to be absent from the campus for more than three days should inform the President's or the Dean of the Faculty's 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 (June 1, 1990)**

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 the 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 the 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 approximate 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 Dean of the Faculty. 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, "openbook" 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. A faculty member must be present in the room during the time in which his or her students are taking any exam. If it is necessary to find a substitute to be present during an exam, such a substitute must be a faculty member.
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 the instructor and the 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. "P" 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 the next term and a timely meeting of the Sub-Council in the Standing of Students held. For students completing requirements for graduation, any grade of "P" (Passed) must reach the Office of 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 "openbook" 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
(revised November 1990)

TRAVEL

Faculty

The Dean of the Faculty 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 Dean of the Faculty and shall not exceed the cost for coast-to-coast travel within the United States.

4. A per diem of $85, 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 a per diem for three days.

If a share of travel expenses or 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 Dean of the Faculty 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 Dean of the Faculty, 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 $400 total to any one member of the faculty per year has been imposed.

Faculty members who are completing the terminal year of an appointment are not eligible for travel support after June 30 of the terminal year.

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. Judgment should be exercised in keeping costs in line.

CASH ADVANCE

The employee requesting a cash advance is personally responsible for the follow up on procedures as described below. Presentation of a Union College Picture I.D. is required by all employees and students conducting cash transactions.

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. This does not include entertainment expenses for employees or travel and living expenses for accompanying family members.

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

C. Local purchases made on a cash basis. (See Purchasing Section - FM V, 5.)

D. Working funds (change, etc.) for a specific College event or project (IEF, Faculty Research, etc.).

Cash transactions should not be used to pay vendors for services or supplies purchased, employees for services rendered, or for speakers...these transactions should be handled through accounts payable or payroll.

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

A. The employee requesting a cash advance shall present to the Cashier, a Cash Request and Receipt Form, appropriately completed and approved.
B. All cash transactions and Expense Account Statements up to $499.99 require approval by the department head, program director or Dean responsible for the account to be charged. Cash transactions and Expense Account Statements of $500.00 or more require Responsibility Center Head signature, as second approval. Regardless of dollar amount, no one may approve his or her own Expense Account Statement.

C. All cash advanced will be charged against a holding account in the requestor's name. Upon submission of the Expense Account Statement and the return of any excess funds, the employee's budget account will be charged for actual expenses and the holding account cleared.

D. Advances should not be drawn more than 10 working days before they are needed. Advances can be taken in cash or by check (checks should be requested at least 2 weeks before needed). Either method of advance must be accounted for by the Expense Account Statement within 15 working days following the trip, event, etc.

E. All cash advanced is the personal responsibility of the requestor. Money lost, stolen, misplaced, used for non-reimbursable expenses or otherwise unaccounted for must be repaid by the individual drawing the cash advance.

F. All cash advanced must be substantiated and accounted for by the submission of an Expense Account Statement. Adequate accounting will include breakdown of the amounts expended, dates and business purpose, substantiated by receipts for major items. Each accounting must be signed by the employee and appropriately approved and submitted to the Cashier's Office.

G. Amounts advanced in excess of expenditures for which accounting is made must be returned to the College or such excess will be reported as additional income to the employee.

H. The Comptroller's Office will record each advance issued and follow-up reminders will be sent to employees for advances that have not been accounted for on a timely basis.

REIMBURSEMENT

Employees may request reimbursement of expenses which have been appropriately accounted for. Adequate accounting will include breakdown of the amounts expended, dates and business purpose, substantiated by receipts for major items.
The Internal Revenue Service requires that all advances and cash payments to employees for travel, conferences and other business expenditures for which accounting and substantiation are not submitted will be required to be reported as additional income to the respective employee. For the benefit and convenience of our faculty and staff, our expense accounting procedures have been designed in the necessary detail to fulfill the requirements of the Internal Revenue Service to the best of our knowledge.

The following procedures and responsibilities below apply to reimbursements.

A. If no cash was received in advance, the employee may request reimbursement by submitting the Cash Request and Receipt Form, accompanied by the Expense Account Statement appropriately completed and approved. The amount of the reimbursement requested should not exceed the total accounted for on the Expense Account Statement.

B. If expenses exceeded the cash advanced, the employee may request reimbursement by submitting the Cash Request and Receipt Form for the amount expended in excess, accompanied by the Expense Account Statement accounting for the total expended.

C. Reimbursement can be made in cash or by check. If reimbursement is to be by check, allow two weeks for processing. Either method should be handled through the Cashier's Office.

D. The total reimbursable expenses will result in a charge to the appropriate budget account as designated on the Expense Account Statement. If cash was advanced, the holding account for employee advances will be cleared at this time.

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. Requests for reimbursement must be submitted and settled no later than 15 working days following completion of the trip or other transaction for which reimbursement is to be made.

G. Reimbursements up to $499.99 require approval by the department head, program director or Dean responsible for the account to be charged. Reimbursements of $500.00 or more require Responsibility Center Head signature, as second approval. Regardless of dollar amount, no one may approve his or her own Expense Account Statement.
PURCHASING PROCEDURE

The Purchasing Director 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 Purchasing Office for notification and approval. The original copy of the purchase order is then forwarded by the Purchasing Office to the vendor. Small items may be purchased for cash by employees, who are then reimbursed on presentation of a receipt approved by the head of the department responsible for the account being charged. The College is exempt from sales tax, therefore the employee should obtain a sales tax certificate from the Purchasing Office when making purchases. Every effort should be made to have all purchases billed to the College. (See Reimbursement section - FM V, 4 and 5.)

PROCEDURE FOR FILLING NON-ACADEMIC OPENINGS

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

B. 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.

C. 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.

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

E. Details of the recruiting process are available at the Personnel Office. (Extension 6108)

CAMPUS VEHICLES

In instances involving authorized travel by car, College employees may use the College-owned vehicles. Arrangements for use of these vehicles are made through the Physical Plant Office (Ext. 6181), and car, keys, and vouchers should be picked up at and returned to the Physical Plant 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 operator's license, and must carry it when driving a College vehicle.

**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.

**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 damage is based 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-College-owned vehicles** - The owner, insurer of such a vehicle (a student for example) would bear the prime liability in case of a claim. If 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.

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 SALARY OR STIPEND

In any case in which an employee (part-time or full-time) or speaker 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 salary or stipend must be offered to the employee or speaker in writing prior to the written indication from the employee or speaker that he or she wishes to return all or part of the salary or stipend to the College.

2) A written declination to accept any or all of the fund must be obtained. 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 declina-
tion.

3) The employee or speaker must be notified in writing that
the entire salary or stipend will be reported to the
Internal Revenue Service.

4) The written offer and declination should be passed on to
the Comptroller's office for processing and coordination
with the Gift Records Office.

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 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.

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 contin-
gencies.

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 provision 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 financial 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 of 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 approximately 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

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. 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 SS-016, 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 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 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 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
(With all amendments in effect as of
Winter Term 1991-92)

1. BASIC STRUCTURE OF THE GOVERNANCE SYSTEM. Effective June 14, 1980, following Board of Trustees 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 Dean of the Faculty, the Associate Deans, 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, 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 the Faculty Review Board 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).

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 percent of the General Faculty, or at his/her own bequest. 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 percent 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 Division shall meet at the call of the Division Head.

2e. Criteria for Elections of Faculty Members. A faculty member may be elected at any one time only to one Council, or to the General Education Board, 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 members of the General Education Board who shall serve for two years. No faculty member may be re-elected immediately to the same position.

Only regularly elected members may vote at meetings of
the various governance structures. No "proxies" or substitutes will be permitted on 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 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.

3. THE POLICY COUNCILS: AUTHORITY AND STRUCTURE

3a. Authority of the Policy Councils. The Policy Councils shall initiate 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 must be submitted to the General Faculty for approval prior to being forwarded to the President and Board of Trustees.

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 reelected.

3d. Procedural terminology defined. In the procedural flow chart stipulated for each Policy Council below, the term "academic calendar" shall refer to that period of time beginning with the first day of classes and ending on the last day of final examinations for the Fall, Winter, and Spring terms. The word "day" shall mean a normal calendar day, including weekends and holidays. Except in cases of replacement elections and replacement appointments, the effective dates for all terms of office begin on September 1 of the academic year and end on August 31.

4. THE ACADEMIC AFFAIRS COUNCIL

4a. Membership. The Academic Affairs Council shall have as voting members seven faculty representatives (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); and the Associate Dean of Faculty and the Dean of Graduate and Continuing Education. In addition, the Dean of Faculty, the Associate Dean of Undergraduate Programs, and the Director of General Education shall be non-voting members of the Council. 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 Faculty will normally serve as the Council's recording secretary.

4b. Responsibilities. The Academic Affairs Council shall formulate and submit for General Faculty approval all changes in academic policy and all proposals for new programs. Proposed changes in academic policy may also be initiated at any meeting of the General Faculty. Such proposals shall be referred to the Academic Affairs Council for review and shall be reported back to the Faculty, at the next Faculty meeting (or as otherwise stipulated at the time of referral). It shall normally be the practice of the Academic Affairs Coun-
cil to refer to its sub-councils the preliminary formation 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 advise the Dean of Faculty in the preparation and annual revision of a working plan for academic development, encompassing both a general direction for the entire academic program and appropriate goals for departments and programs. The Administration shall make available to the Academic Affairs Council the budgetary information it needs to make informed judgments in the development and revision of the plan. The working plan for academic development should be the basis for the annual academic budgetary requests by the Dean of the Faculty. The educational guidelines provided by the Working Plan will be used by the Associate Dean of Undergraduate Programs 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 Associate Dean of Undergraduate Programs will report the year's staffing decisions to the AAC, explaining them in terms of the Working Plan.

4c. Standing Sub-Council 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 on the College's academic policy, they will normally be sustained by that Council and forwarded to the General Faculty and the Dean of the Faculty.
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 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 three (3) students (full-time, "daytime," undergraduates), four (4) faculty members (appointed as other members to Subcouncils and with one member from each Division), the Associate Dean of Undergraduate Programs 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 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."

4e. The General Education Board. The General Education Board will consist of a Director, four additional faculty members, and two students. The Dean of the Faculty (or his/her designee), the Director of the Writing Center, and the senior at-large member of the Faculty Review Board will serve ex-officio. The Director of the General Education Board will be appointed from among the tenured or tenurable faculty by the Dean of the Faculty; the Director will serve a three-year term. Each Division will elect one faculty representative to serve on the Board. These four faculty members will serve staggered, two-year terms. The two students will be selected by a process to be determined by the Student Forum and will serve staggered, two-year terms; one student must be a freshman or sophomore. The members of the Board will advise the
Director. The Director will recommend courses to the AAC for inclusion in the General Education Program. The General Education Board will make recommendations to the Director for the development of new general education courses and programs and will oversee existing programs.

5. THE STUDENT AFFAIRS COUNCIL

5a. Membership. The Student Affairs Council shall consist of five (5) students (full-time, "daytime," undergraduates). For the academic year 1979-80, some, but not all, of the student 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 two (2) faculty members, both of whom shall be elected by the faculty at large without regard to Division affiliation, two (2) administrators (the Dean of Students and the Associate Dean of Undergraduate Programs) and one (1) administrator ex officio and without a vote (the Dean of the Faculty). 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
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 activi-

ties 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."

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**CHART A**

**Legislative Flow Chart for Academic Affairs Council**

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

2. The AAC passes a formal policy recommendation.

3. 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 within thirty days, 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 Dean of the Faculty and the 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 to 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 Dean of the Faculty and the 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 Dean of the Faculty 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 Dean of the Faculty 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 reason 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 subcouncils, its own members, or the Student Forum.

2. The Student Affairs Council passes policy recommendations.

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 Dean of the Faculty 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 Dean of the Faculty 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
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 Dean of the Faculty 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 Dean of the Faculty 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 Dean of the Faculty 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 the Dean of the Faculty vetoes the policy recommendation of 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 (those who have passed tenurability review), three junior faculty (those who have not reached the stage of tenurability review), the Dean of the Faculty, the Associate Dean of Faculty, the Dean of Graduate and Continuing Studies, the Dean of Engineering, and the Affirmative Action Officer. The
four deans and the Affirmative Action Officer shall serve *ex officio* and without vote, except that the Dean of the Faculty shall vote, if requested by the Board, in the event 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 junior faculty, one to represent the Humanities and Social Sciences Divisions, 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 two years, shall be elected for a term of two years, and shall not serve on the Board in the year of tenurability review.

6b. **Responsibilities.** The Faculty Review Board shall formulate and submit for General Faculty approval all policies and procedures for review of faculty members for renewal of contract, promotion, tenurability, tenure and salary increments. Proposed changes in policies and procedures in matters of salary review, contract renewal, tenurability, tenure and promotion may also be initiated at any meeting of the General Faculty. Such recommendations shall be referred to the Faculty Review Board for review and shall be reported back to the Faculty, at the next Faculty meeting (or as otherwise stipulated at the time of referral). The Board shall also be responsible for recommending policies for distribution of funds available for faculty salaries and for proposing appropriate levels for the faculty salary budget to the administration. The Board is further charged with reviewing individual faculty members in consideration of renewal of contract, promotion, tenure and tenurability and making recommendations in individual cases.

6c. **Procedures.** Only the senior faculty members shall join with the Deans and the Affirmative Action Officer in reviewing individuals for promotion, tenurability, tenure and renewal of long-term contracts. In considering renewal of contract for junior tenure-track faculty, one junior faculty member of the Board will participate in an advisory (non-voting) capacity. This junior faculty member will have completed the reappointment review process. Attendance will be rotated among the eligible members. The Board as a whole shall consider all other matters within its jurisdiction. In the event of a tie vote, the board may request the Dean of the Faculty to decide between the favored alternatives.

6d. **Right to Appeal.** A faculty member may request the Faculty Appeals Committee to review a determination by
the Faculty Review Board regarding pre-tenurable contract renewal or tenurability, according to procedures set forth in the Faculty Manual.

6e. Faculty Appeals Committee: Membership and Responsibilities. The Faculty Appeals Committee (FAC) 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 FAC who replaces the elected representative should the chair determine valid grounds exist to replace a committee member as determined above. 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 in the event the chair's membership is challenged by the petitioner. All members of the Appeals Committee will 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.

Responsibilities. The Faculty Appeals Committee shall consider petitions by faculty members to review determinations by the FRB regarding pre-tenurable contract renewal or tenurability.

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, the Chair of the Faculty Executive Committee, the Secretary of the Faculty, three students (full-time, "daytime," undergraduates) 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 Dean of the Faculty. 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 academic and 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 establish College priorities.

9c. **Procedures.** The Administration shall provide the Faculty members of the Planning and Priorities Group with complete and timely information relevant to long-range planning and budget issues. To ensure an open and continuing debate over the direction of the College, the
President shall prepare for the Group an annual written assessment of the state of the College. This report shall address the suitability of the short- and long-term goals of the College, the progress made during the past year toward attainment of the goals, and future resource requirements.

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 advise the Dean of Admissions in the preparation and annual revision of a document which outlines the overall goals, policies, and procedures to be used in the admissions process. The Dean shall prepare for the Committee an annual report which provides a detailed profile of the applicant pool, accepted candidates for admission, and freshman class. 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 two faculty members (one from each center, including the campus NCAA faculty representative), two students (one male and one female), 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 places before it. All decisions of the committee are advisory to the Director of Athletics.

12. LIAISON COMMITTEE FOR CAMPUS FACILITIES

12a. Membership. The Vice President for Administration shall chair the Liaison Committee for Campus Facilities. Other members will be three faculty members, two students, one member of the staff, and the Director of Campus Operations. 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 Facilities shall advise the Vice President for Adminis-
tration on all matters of the physical state of the

campus and on plans for improvements. The Committee

shall be consulted regularly at every stage of the
planning and construction of new facilities and on other
improvements to be undertaken on the campus.

The Liaison Committee for Campus Facilities shall advise
the Vice President for Administration in the preparation
and annual revision of a working plan for facilities
development, which shall prioritize capital improvement
projects on the campus. The Administration shall make
available to the Committee the budgetary information it
needs to make informed judgments in the development of
the plan. The working plan for facilities development
should be the basis for the annual physical plant cap-
tal budget requests by the Vice President for Admin-
istration.

12c. Procedures. The Liaison Committee for Campus Facilities
will meet at least once each term at the call of the
Chairman of the Committee. It shall discuss matters of
concern regarding campus operations and any proposed
campus improvements. The Administration shall provide
all members of the Committee with a complete and timely
description of all campus construction projects during
their early planning stages. The Committee shall assess
the impact of such projects on the physical environment
of the campus and report its findings, along with any
recommendations for changes in the plans, to the Plan-
ning and Priorities Group which will make a final recom-
mendation to the President.

13. LIAISON COMMITTEE FOR THE LIBRARY

13a. Membership. The Head Librarian shall chair the Liaison
Committee for the Library. Other members shall be four
faculty members, two students, and one member of the
Library faculty (in addition to the Head Librarian).
The faculty members shall be appointed by the Faculty
Executive Committee, normally one from each of the four
Divisions, and the student members shall be appointed by
the Student Committee on Committees. The Library facul-
ity member shall be appointed by the Head Librarian.

13b. Responsibilities. The Liaison Committee on the Library
shall advise the Head Librarian on all matters of policy
pertaining to the operation, maintenance, and improve-
ment of the Library. Committee members are also expect-
ed to communicate to their colleagues information con-
cerning Library policies and operations.

13c. Procedures. The Liaison Committee for the Library will
meet at least once each term at the call of the Head
Librarian. It shall discuss whatever business the Head Librarian or members of the committee shall place before it. All decisions of the committee are advisory to the Head Librarian.

14. ADDITIONAL LIAISON COMMITTEES

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

15. 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:

15a. Amendments may be formally proposed in any of the following ways:

1. By a petition signed by at least 10 percent 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.

15b. 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.

15c. 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.

15d. Upon approval by the General Faculty and where required by 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 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
(revised January 1, 1988)

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 other 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 Dean of the Faculty. 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 Dean of the Faculty.
APPENDIX II

Revised Charge to Ad Hoc Tenure Committees
(revised spring 1991)

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, the Chronicle, 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 sought. Their names should be chosen as they arise in a 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 at the end of the information gathering stage. The ad hoc committee is expected to ask the candidate those questions which may significantly affect their recommendations to the FRB. The purpose of these questions is to provide the candidate with a reasonable opportunity to respond to criticisms which may have emerged in the ad hoc committee's deliberations. The candidate has three calendar days to respond in writing to issues raised in this interview. 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.

6. The report of the committee should include a well-delineated section on methods and procedures of the ad hoc committee. The section should clearly describe the procedures without compromising confidentiality. The section will be detached from the report and given to the candidate to review. The candidate has three calendar days to respond in writing to the procedure statement. The ad hoc committee delivers its report to the Faculty Review Board at this time. Any response by the candidate to the statement of procedures is given to the Chair of the Faculty Review Board, not the ad hoc committee. If the candidate objects to any of the procedures, the FRB will decide whether it considers it necessary to return the report to the ad hoc committee for any necessary corrections before it hears the presentation of the ad hoc committee.

The report of the ad hoc committee should include a table of contents with a detailed listing of the appendices to the report.
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.
Sample of Random Numbers Provided to Ad Hoc Committees

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<th>Stand-by Random Numbers*</th>
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* use in sequence from left to right
SUGGESTED LETTER TO STUDENTS

Dear ____________:

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

In the near future you will be called on to arrange a meeting, involving you and members of Prof. ____________'s ad hoc committee, at which you may present oral testimony concerning your experience in Prof. ____________'s classes. To guide the discussion, the ad hoc committee requests that you bring to this meeting a letter in which you evaluate Prof. ____________'s teaching performance according to 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.

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 recognized the right of the student to participate in the evaluation process. In turn, there is a strong hope on the part of the College that current and former 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 and alumni constitute the major portion of the evidence used in the teaching evaluation.

As a guide to aid you in preparing your written evaluation, the committee asks that you reflect on the questions below before you begin to write. Your letter should then address any or all of those questions that seem appropriate based on your experience. Please feel free to include information that you believe is pertinent to the evaluation but that is not covered in the guide questions. If you are among those writing a senior theses under Prof. ____________'s direction, please make it a point to comment candidly upon that experience, emphasizing especially the quality of Prof. ____________'s advice and the value of the thesis as a learning experience.

1. What did you perceive to be the major strengths and weaknesses of Prof. ____________'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 discussions adequately organized?

2. Was your academic performance adequately evaluated by Prof. ____________? 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 analytically was markedly improved?
3. Would you take another course from Prof. _______, assuming that your schedule would permit?

4. Has what you learned in your course(s) with Prof. ______ been useful to you? If so, in what sense? Can you imagine what difference it might make to you in your future endeavors that you took a course or courses with Prof. ______?

5. How would you characterize the rapport that Prof. ______ had with his/her class? Was he/she available to provide help outside of class if and when you needed it?

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 committee 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 your willingness to participate and to exercise mature judgment.

Sincerely,
SUGGESTED LETTER TO ALUMNI

Dear ____________:

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

Although you have left Union and gone on to other endeavors, your opinions and experiences while you were a student here remain important to us. Therefore, you have been selected as a part of a sample of alumni invited to participate in a formal review of the teaching capability of ____________, Assistant Professor of ________. Our records show that you took one or more courses with Prof. ______ during your time at Union.

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 recognized the right of the student to participate in the evaluation process. In turn, there is a strong hope on the part of the College that current and former 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 and alumni constitute the major portion of the evidence used in the teaching evaluation.

As a guide to aid you in preparing your written evaluation, the committee asks that you reflect on the questions below before you begin to write. Your letter should then address any or all of those questions that seem appropriate based on your experience. Please feel free to include information that you believe is pertinent to the evaluation but that is not covered in the guide questions. If you are among those writing a senior thesis under Prof. ______'s direction, please make it a point to comment candidly upon that experience, emphasizing especially the quality of Prof. ______'s advice and the value of the thesis as a learning experience.

1. What did you perceive to be the major strengths and weaknesses of Prof. ______'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 discussions adequately organized?

2. Was your academic performance adequately evaluated by Prof. ______? 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 analytically was markedly improved?
3. Would you take another course from Prof. _____, assuming that your schedule would permit?

4. Has what you learned in your course(s) with Prof. _____ been useful to you? If so, in what sense? Can you imagine what difference it might make to you in your future endeavors that you took a course or courses with Prof. _____?

5. How would you characterize the rapport that Prof. _____ had with his/her class? Was he/she available to provide help outside of class if and when you needed it?

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 committee 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 your willingness to participate and to exercise mature judgment.

Sincerely,
SUGGESTED LETTER TO REFEREES

Dear ________________:

Thank you for agreeing to review and evaluate the scholarly research and publications of Professor ____________, who is under consideration for tenure at Union College. We are enclosing the following:

(list materials sent)

We appreciate your willingness to assist our Ad Hoc Tenure Committee in arriving at an overall evaluation of Professor ____________'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 Professor ____________'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. Will you also indicate if you have any personal or professional acquaintance with the candidate under review? Your comments will be kept in strictest confidence to the fullest extent allowed by law.

We hope that you will be able to return your evaluation by early November. The honorarium we provide is $150. Will you please send us your vitae and social security number? Once again, we thank you.

Sincerely,

Enclosures
APPENDIX III
(revised May 30, 1991)

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 Dean of the Faculty.

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 Dean of the Faculty.

6. The Dean of the Faculty and the Associate Dean of the Faculty will conduct individual interviews with the department heads and the Dean of the Faculty'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 Dean of the Faculty.

8. In the event that a faculty member does not receive merit in a particular two year merit cycle, the chair shall include the individual's research and scholarly activity from that two year period in the next biennial evaluation for consideration by the Faculty Review Board.

Any research or scholarly activity of a faculty member may not be included for evaluation in more than two merit cycles.
APPENDIX IV

Procedures for the Review of Visiting Faculty and Lecturers
(effective November 15, 1991)

Purpose

The Faculty Review Board believes that it is the responsibility of the College and the Faculty to encourage excellence regardless of the rank or possible tenure status of a faculty member. All faculty members who enjoy continued employment at the college should be periodically reviewed in order to meet our obligations to the students as well as to assist the professional development of the faculty member being reviewed. Systematic and formal communication regarding a faculty member's teaching, college service and scholarship are necessary in order that faculty development can take place.

Review Procedures

Review of Visiting Faculty: All visiting faculty who have an appointment to a second year will receive the same developmental review that is given to tenure-track faculty at the end of the first year at the College. This review will consist of a report by the Chair of the Department to the Dean of the Faculty. The faculty member will receive a copy. The review will consist of:

1. an examination of the Course Evaluation Forms including a summary and analysis of student comments and numerical data.
2. a discussion of syllabi, assignments, and other teaching material.
3. a report on any classroom visits made by the chair.
4. a review of any information provided by the faculty member on his or her research.

Any visiting faculty member who is a candidate for a contract that extends his or her appointment beyond a third year at Union will have a formal review of his or her performance since the beginning of his or her initial contract. The review should be completed by the chair and submitted to the FRB. It should include:

1. interviews with all full-time department faculty.
2. an examination of the Course Evaluation Forms including
a summary and analysis of student comments and numerical data.

3. a review of written work and evaluation of scholarship potential.

4. evaluation of departmental service.

5. evaluation of the faculty member's ability to fulfill departmental needs.

The candidate must receive a copy of the final report (without any confidential material) 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.

The FRB will consider and evaluate the candidate in terms of existing college-wide standards. The comments of the FRB will be given to the Department Chair, the Dean of the Faculty, and the Candidate. The FRB will not recommend for or against the appointment.

Visiting faculty are not eligible for tenure and therefore should not be held to the same evaluation procedures that apply to those undergoing a tenure review. However, some visiting faculty later succeed in achieving a tenure-track position, or continue at Union for up to five years. Consequently, they should be encouraged to meet college-wide standards not only in teaching, but also in scholarship and service.

If the need to appoint a visitor beyond the third year arises unexpectedly, and a formal review has not previously taken place, it must be undertaken according to the procedures designated above before he appointment is made.

If a visiting faculty member applies for another position within the college for which a search has been undertaken and a formal review has not previously taken place, the material specified in the review procedures for contracts extending beyond the third year will be collected by the department chair and made available to the search committee, the members of the department, and the Dean of the Faculty prior to consideration of the candidate.

**Review of Lecturers:** Appointments for the position of Lecturer that are made subsequent to the initial contract require a clear demonstration of teaching excellence. A review of a lecturer is required before any contract subsequent to the initial contract can be offered, and will consist of a report by the Chair of the Department to the Dean of the Faculty. The review will consist of:
1. an examination of the Course Evaluation Forms including a summary and analysis of students comments and numerical data, as well as any other available information on teaching.

2. an evaluation of departmental service.

3. an evaluation of the faculty member's ability to fulfill departmental needs.