I. Organization of the University

A. Academic Calendar

The detailed academic calendar for the current year is printed in the Colgate University Catalogue. The academic calendar features a fall term which runs from August to December, and spring term which runs from January to May. Each of the academic terms concludes with final examinations. Students usually take four courses in each term.

B. Administrative Offices

The Board of Trustees, a self-perpetuating body, has final responsibility for the conduct of the University. Article II of the Bylaws of the Board of Trustees (1997), which describes the “Mission of the Board,” states that the Board “has the power to manage the business and undertakings of the University and to carry out any other functions permitted by the charter or these Bylaws except insofar as such powers may be limited by law.” These powers, according to Article II, include, but are not limited to, the following:

1. To appoint or remove the President and the officers of the Board of Trustees and approve the appointment of the Provost of the University in accordance with these Bylaws;
2. To approve the awarding of degrees in course upon recommendation of appropriate officials of the University;
3. To authorize the awarding of honorary degrees in accordance with appropriate procedures and processes;
4. To approve the appointment, promotion, and awarding of tenure to members of the faculty;
5. To establish and review the basic educational programs and policies of the University;
6. To establish annually the budget of the University upon presentation by the President of the University and recommendation of the Budget Committee of the Board;
7. To authorize the purchase or sale of land, buildings, or other major assets of the University;
8. To authorize construction and major renovation of buildings for the use of the University or demolition of same where appropriate;
9. To institute, promote, and support major fundraising efforts of the University;
10. To authorize changes in student charges to include tuition, room, board, and special fees;
11. To authorize appropriate officials or agents of the University to accept gifts on behalf of the University; and
12. To authorize the incurring of debts by the University and the pledging of necessary security for those debts.

The Board elects its Chair and Vice Chair from its membership. The Secretary and Treasurer, who need not be Trustees, are elected by the Board and attend all meetings. At least four regular meetings of the Board are held each year, including one in the spring and one in the fall on campus in Hamilton. The Executive Committee meets on call of its Chair. The Chairman of the Board of Trustees and President of the University are members ex officio of all Standing Committees of the Board. Questions concerning

1 A listing of Administrative Officers is found in Chapter XI, Organization of the University, in the Colgate University Catalogue.
the Board of Trustees should be directed to the Secretary of the University.

The President of the University is appointed by the Board of Trustees and is responsible to it for the conduct and well-being of the University. The President presides at Faculty meetings and at meetings of the senior administrative staff, and has final responsibility for the preparation and administration of the annual budget of the University. Article VIII of the Bylaws of the Board of Trustees (1997) defines the President’s responsibilities as follows:

The President of the University shall be the head of all educational departments of the University and shall have the general oversight and direction of the University instruction and discipline. The President shall be the official medium of communication between the Faculty and the Board of Trustees and between the students and the Board of Trustees. The President shall recommend to the Board all promotions and appointments of the Faculty. The President shall take part in the instruction of the classes as the Trustees shall direct, or, in the absence of such direction, as the President may think proper. The President shall sign all diplomas and confer all degrees. The President shall be responsible for the discipline of the University and for carrying out all measures officially agreed upon by the Faculty concerning matters committed to the Faculty by the Board, and for executing such measures concerning the internal administration of the University as the Board of Trustees may direct. The President may specifically delegate such responsibility, as a matter of routine procedure, to other officers of administration or agencies created for the purpose, subject to the approval of the Board of Trustees, but shall be accountable therefore. The President may make temporary appointments until the next meeting of Trustees in order to fill vacancies where approval of the Board is necessary for permanent appointment.

The President shall make reports to the Board of Trustees at each regular meeting of the Board, of the work and conditions of the University, and shall present for the consideration of the Board such measures as are deemed necessary or expedient for the welfare of the University.

In case of the vacancy in the Office of the President of the University or of the absence of the President or of the President’s inability to serve, the Board may appoint an acting President of the University.

The positions of Dean of the Faculty and Provost are held by a single individual who is the second ranking officer of the University. When the President is away from the campus, the Provost will act in his/her stead, and all administrative officers who normally report directly to the President, will report to the Provost.

The Dean of the Faculty is the chief academic officer of the college and has primary responsibility for faculty personnel, curriculum, and supervision of instructional budgets. The Dean of the Faculty chairs the Academic Affairs Board and, in the absence of the President, presides at Faculty meetings.

The Vice President and Dean of the College has primary responsibility for most matters affecting students outside of the classroom. The Dean supervises the activities and programs of the following offices: University Health Services, Career Services, Campus Safety, the ALANA Cultural Center, Counseling and Psychological Services, Residential Education, Fraternity and Sorority Affairs, Center for Leadership and Student Involvement, and Judicial Affairs. The Dean also oversees the functions of the administrative advisers who provide information to students about University policies and procedures, administer academic rules and regulations (such as those governing academic standing), and are the principal point of contact for students in dealing with the
University administration. Support for foreign students and related visa matters are also handled by the International Student Coordinator in the Office of the Dean of the College.

The **Dean of Admission** has responsibility for the admission of first-year students, transfer and visiting/special students. Admission decisions are made by the Dean and a staff of Associate and Assistant Deans and Admission Counselors. The Dean works in cooperation with the Director of Student Aid in awarding need-based financial aid and other forms of financial assistance to entering students. The Faculty/Student Committee on Admission and Financial Aid meets with the Dean of Admission throughout the year to advise on issues facing the Colgate Office of Admission.

The **Vice President for Finance and Administration** leads the divisions responsible for the University’s financial management and planning; human resources; campus and facilities maintenance, planning and construction; and auxiliary operations and community affairs. Reporting to the Vice President for Finance and Administration are the Associate Vice President and Controller, the Associate Vice President for Budget and Financial Aid, the Associate Vice President for Facilities, the Associate Vice President for Community Affairs and Auxiliary Operations, the Associate Vice President for Human Resources, and the Associate Vice President for Finance and Assistant Treasurer.

The **Vice President for Institutional Advancement** has overall administrative responsibility for the Office of Advancement, as well as the external relations programs of the University. Reporting to the Vice President are the Director of the Annual Fund, the Director of the Presidents’ Club, the Director of Advancement Communications, the Director of Capital and Planned Gift Development, the Director of Advancement Services, the Director of the Parents’ and Grandparents’ Fund, the Director of Stewardship Programs, and the Director of Corporate, Foundation, and Government Relations.

These offices are charged with planning and executing comprehensive, multiyear campaigns and are responsible for organizing a wide variety of initiatives that cultivate and solicit the support of the college’s alumni, parents, and friends.

The Office of Corporate, Foundation, and Government Relations (Grants Office) is available for consultation with any member of the faculty or administration who desires advice or assistance in preparation of proposals for special grants. All fundraising appeals and proposals by individual faculty members, academic departments, or program directors must be approved by the Vice President for Institutional Advancement, or a designee of that office, and the Dean of the Faculty/Provost.

The staff in the Office of Alumni Affairs is devoted to the advancement of the general welfare of the University by acting as the liaison to Colgate University’s 28,000 alumni, coordinating over 250 annual events through our 60 alumni clubs, developing a web-based alumni community, providing career networking opportunities and alumni-admissions programs, organizing the annual alumni reunion, and sponsoring alumni travel and merchandise programs. The office staffs the Alumni Corporation Board of Directors and the Vice President serves as Executive Secretary for that group of 55 volunteers.

The **Secretary of the Board of Trustees** is a University officer elected by the Board responsible for recording and certifying its actions. The Secretary provides the Board with such services and support as may be necessary for its effective functioning. The
Secretary also assists the President, and in this role manages the Office of the President, oversees the University’s legal affairs, and takes on such additional responsibilities as may be assigned by the President.

C. Academic Administration

The **Dean of the Faculty** is the chief academic officer of the college and has primary responsibility for faculty personnel, curriculum, and supervision of instructional budgets. The Dean of the Faculty chairs the Academic Affairs Board and, in the absence of the President, presides at Faculty meetings.

The **Associate Deans of the Faculty** assist in all the general administrative areas coming under the Dean of the Faculty and act for the Dean in the Dean’s absence. The Associate Deans supervise the Registrar and serve as Secretary of the Committee on Faculty Affairs.

The **Associate Provost** has responsibility for academic budgets, federal regulations, and other duties assigned by the Provost.

The **Chief Information Technology Officer** is responsible for information technology services, including curricular and business computing, networking, user support, and desktop computing.

The **Director of Corporate, Foundation, and Government Relations** (also listed under the staff of the Vice President for Institutional Advancement) serves as liaison between the Office of the Dean of the Faculty/Provost and the Office of Institutional Advancement in matters concerning support for academic programs and research. This office assists faculty in preparing grant proposals and is responsible for the coordination of all proposals to foundations, corporations, and state and federal agencies.

The **Director of the Office of Undergraduate Studies** heads the Office of Undergraduate Studies which provides students with services designed to promote academic success. Services include academic and personal counseling, career mentoring programs, community service programs, study skills workshops, and presentations and professional tutoring for HEOP and SMI students.

The **Director of Academic Program Support** provides assistance to students in need of academic support, including students with learning disabilities, students who need to change academic advisers, and students in need of course-based tutoring. The Director serves as coordinator of academic advising efforts and academic services for student athletes and also serves as compliance officer for the Americans with Disabilities Act (ADA).

The **Dean for Institutional Diversity**, along with the Staff Affirmative Action Officer, guides Colgate’s efforts to implement its Affirmative Action Plan and Equal Opportunity policy through working with the Faculty Committee on Affirmative Action Oversight, the Affirmative Action Oversight Committee for Administrative and Nonacademic

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2 A listing of Administrative Officers is found in the Director and Appendices of the Colgate University Catalogue.
Personnel, and all persons involved in hiring. Also referred to as the Affirmative Action Officer, the Dean is the grievance officer within the Nondiscrimination Grievance Procedure. The Dean for Institutional Diversity reports to the Dean of the Faculty/Provost.

The **Director of International Programs** has responsibility for administrating Colgate Study Groups and Extended Study Programs assisting Faculty Study Group and Extended Study Directors. The Director counsels students interested in study abroad opportunities.

The **Dean’s Advisory Council**, which is composed of the five division directors and the Associate Deans of the Faculty, meets weekly during the academic year and advises the Dean of the Faculty on matters of academic administration such as academic programs and faculty staffing needs. When it meets on third-year review, tenure and promotion decisions, it is composed of the four academic division directors and the Dean of the Faculty, who meet in the presence of the elected Faculty Committee on Promotion and Tenure and, if he or she chooses to be present, the President of the University.

**Divisions and Academic Departments** The five divisions of the University include the Humanities, Natural Sciences and Mathematics, Physical Education, Recreation and Athletics, Social Sciences, and University Studies. Each division director is responsible to the Dean of the Faculty and supervises the various academic departments and programs in the division as listed below:

<table>
<thead>
<tr>
<th>Division</th>
<th>Academic Departments and Programs</th>
</tr>
</thead>
<tbody>
<tr>
<td>Humanities</td>
<td>Art and Art History, The Classics, East Asian Languages and Literatures, English, German, Music, Philosophy, Religion, Romance Languages and Literature, and Russian</td>
</tr>
<tr>
<td>Natural Sciences</td>
<td>Biology, Chemistry, Computer Science, Geology, Mathematics, Physics and Astronomy, and Psychology</td>
</tr>
<tr>
<td>and Mathematics</td>
<td></td>
</tr>
<tr>
<td>Social Sciences</td>
<td>Economics, Educational Studies, Geography, History, Political Science, and Sociology and Anthropology</td>
</tr>
<tr>
<td>University</td>
<td>Department: Writing and Rhetoric; Programs: Liberal Arts Core Curriculum Program; Africana and Latin American Studies, Asian Studies, Environmental Studies, Film and Media Studies, Jewish Studies, Medieval and Renaissance Studies, Middle Eastern and Islamic Civilization Studies, Peace and Conflict Studies, Women’s Studies, and other interdisciplinary programs</td>
</tr>
<tr>
<td>Physical Education</td>
<td>Department of Physical Education, club sports, the intercollegiate athletics program, the recreation program, and management of the athletic facilities</td>
</tr>
</tbody>
</table>

The **Registrar** is responsible for keeping all student academic records, provides the official transcripts, and supervises the registration process. The Registrar reports to the
Associate Dean of the Faculty.

The University Librarian provides leadership and direction for the Case Library and Geyer Center for Information Technology and George R. Cooley Libraries on the Colgate University campus. The libraries support the university’s educational programs by providing information services that support the curriculum and faculty research, and by fostering the development of students who are independent, self-directed learners able to make informed use of library resources in their courses and in independent inquiry. The University Librarian reports to the Dean of the Faculty and Provost.

The Picker Art Gallery The Director maintains and develops the Colgate University collections for the use and enjoyment of students and the larger community. The collections provide visual and intellectual evidence of the world’s creative potential. The Director reports to the Dean of the Faculty/Provost.

Other Administrative Offices

The ALANA Cultural Center plays an advising and facilitating role for Africana, Latin, Asian, and Native American (ALANA) student organizations. Students collaborate with faculty, other administrators, and staff to promote multicultural education outside of the classroom. The Center aims to inspire in students a richer understanding of diversity and it mentors student ambassadors through organizations such as the Coalition for a Better World and ALANA Leaders.

Chapel House, with its serene chapel and collection of art, books, and music representative of Buddhist, Christian, Confucian, Hindu, Jewish, and Muslim religious traditions, was endowed by an anonymous donor who also endowed the Fund for the Study of the Great Religions of the World. The Director of Chapel House serves also as the Director of the Fund and reports to the Dean of the Faculty and Provost.

Counseling and Psychological Services The Director supervises a staff of psychologists, social workers, and a substance abuse counselor who provide clinical services, including individual and group psychotherapy for students as well as consultation regarding problems of personal and social adjustment. The service also provides 24-hour coverage for mental health emergencies. The Director reports to the Dean of the College.

Office of Undergraduate Studies/Higher Education Opportunity Program (OUS/HEOP) provides central academic assistance, counseling, programming, and tutoring, including the pre-first-year summer program and the Science/Mathematics Initiative (SMI). The Director reports to the Associate Dean of the Faculty.

University Chaplain The Chaplain conducts religious services and serves as adviser to religious organizations. There is also a Counselor to Jewish Students who works with programming in the Saperstein Center, and a Counselor to the Roman Catholic Community. The Chaplain reports jointly to the Dean of the College and Dean of the Faculty.
II. University Governance

A. Introduction

As is characteristic of campus governance in American colleges and universities generally, several systems of decision-making or groups of decision-makers exist at Colgate and interact in complex ways, formal and informal, to produce University policies. These include the Board of Trustees; the President and the University administration; the elective system of the campus governance enacted in 1979 (the “Colgate Governance System”); the corporate Faculty, which meets monthly, and which has certain Faculty committees reporting directly to it as well as having the power of review concerning actions of the Academic Affairs Board; the Dean of the Faculty and the Dean’s Advisory Council; the respective academic departments which report through division directors to the Dean of the Faculty; and the Student Senate, which has primary responsibility for allocating moneys raised by the student activities fee to various student organizations.

The Constitution of the Colgate Governance System was formally adopted by the faculty on April 16, 1979. The major components of the system include an Academic Affairs Board and a Student Affairs Board, on which faculty, students, and administrators sit; a Conference Board, which may be called into existence by the President when the occasion warrants; Liaison Committees in five defined areas; and, in extraordinary circumstances, special Task Forces appointed by the President of the University.¹

B. Constitution of the Colgate Governance System

Preamble The Colgate Governance System is a mechanism through which the campus community deals with matters of significance to on-campus groups. It functions consistent with the Bylaws of the Colgate University Board of Trustees and does not pre-empt the prerogatives of the Trustees, the President of the University, the Faculty, or Committees of the Faculty.

1. Academic Affairs Board The Board’s responsibilities include long-range academic planning, the curriculum, the definition of academic integrity, academic advising, registration, academic calendars, graduation requirements, the granting of credits, and other matters directly related to the academic functions of the University. Policies regarding academic integrity are the joint responsibility of the Academic Affairs Board and the Student Affairs Board.

The Academic Affairs Board has two functions: (a) Legislative The Board proposes legislation to the Faculty, which has the power to approve, reject, or amend such proposals. Amendments by the Faculty deemed substantive by the Chair are referred back to the Academic Affairs Board. The Board may accept the faculty amendment(s) to

¹ Temporary replacements of faculty members on all Boards and elected committees: at the general elections in the spring, the Faculty will elect replacements to fill all known forthcoming faculty vacancies on all Boards and elected committees (e.g., vacancies which occur because of resignations or anticipated leaves).

Unanticipated vacancies which develop on the Academic Affairs Board and the Student Affairs Board after the spring elections and before the first Faculty meeting of the following fall term will be filled through election at the first Faculty meeting of the fall term. Vacancies on these Boards that occur thereafter will be filled by temporary appointment by the Dean of the Faculty to serve until the end of the academic year. Vacancies on the elected committees that occur after the general election in the spring term will be filled by temporary replacements appointed by the other elected faculty members of a committee to serve until the end of the academic year.
the original legislation, which means the legislation becomes policy; or it may ask the Faculty to reconsider, suggesting any revisions the Board wishes, which would require another majority Faculty vote on the amendment(s) and main motion before the legislation became policy. All legislative action taken by the Board is reported to the Faculty for action at its next regularly scheduled meeting. (b) Advisory The Board also acts in an advisory capacity to the Provost and Dean of the Faculty on academic matters.

A Faculty member chosen by the elected faculty members of the Board, reports to the Faculty on a regular basis and conveys sense-of-the-Faculty resolutions and agenda items to the Academic Affairs Board. A student, chosen by the student members of the Board, reports to the Student Senate on a regular basis and conveys sense-of-the-Senate resolutions and suggested agenda items to the Board.

The membership of the Academic Affairs Board is as follows: 3

Dean of the Faculty (chair)
8 Faculty
5 Division Directors (1/2 vote each)
4 students
University Librarian (1/2 vote)
President of the Student Association (1/2 vote)
Associate Dean of the Faculty (ex officio, nonvoting)
Dean of the College (ex officio, nonvoting)

A majority by one full vote is needed for any motion to succeed. The Chair is entitled to vote on all matters. No proxy votes may be cast. If the President exercises the right to vote, it is in place of the Dean of the Faculty.

The seven faculty members are elected by the faculty, in such a way that divisional representation is maintained, for three-year terms, which are renewable once. The seven faculty members are chosen in such a way that at least four members will have been granted tenure by the time their terms begin. Of the student representatives, three are elected at-large by the Student Senate for one-year terms, which may be renewed as long as a student remains matriculated. The fourth student is the Chair of the Student Government Association (SGA) Academic Affairs Committee. The Board may appoint non-voting consultants as it deems appropriate.

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2 Legislation Flow Chart:
   a. Academic Affairs Board passes legislation; sent to the Faculty.
   b. Faculty:
      May pass the legislation, which means the legislation becomes University policy.
      May reject the legislation; the legislation does not become University policy.
      May amend and vote to remand the legislation. If the amendments are deemed substantive by the Chair of the Faculty meeting, the legislation is remanded to the Academic Affairs Board.
   c. Academic Affairs Board receives amended legislation:
      May accept the Faculty amendments by a majority vote, which means the legislation becomes University policy.
      May ask the Faculty to reconsider the original legislation; sent back to Faculty.
      May revise the original legislation and Faculty amendments; sent back to Faculty.
   d. Faculty:
      May vote to approve the revised legislation suggested by the Academic Affairs Board by a majority vote, in which case the legislation becomes University policy.
      May vote to approve its original action on the amendments and main motion by majority votes in which case the legislation becomes university policy.
      If neither vote succeeds, the legislation is considered rejected.
      N.B. No substantive amendments are allowed at this stage.

3 The President of the University sits as an ex officio, voting member on all Boards and Committees.
The Academic Affairs Board has the power to establish, reconstitute, and abolish standing committees. At least one member of each standing committee is drawn from the membership of the Academic Affairs Board. The need for each standing committee must be reviewed every three years. All standing committees created by the Board consist of faculty members elected by the Faculty, students elected by the Student Senate, and other members as deemed appropriate by the Board.

The Board has three standing committees:

a. **The Committee on Academic Advising** The Committee on Academic Advising is responsible for all aspects of Colgate’s programs for academic advising. The Committee will (a) respond to questions and requests proposed to it by the Board; (b) review proposed changes in policies and programs affecting academic advising; and (c) review existing academic advising policies and programs and make recommendations to the Board as seems desirable to the Committee. The Committee will meet at least once each semester.

The membership of the Committee on Academic Advising will consist of:

- Chair of Academic Advising, a faculty member appointed to a three-year renewable term by the Dean of the Faculty
- 3 Faculty members, representing each of the academic divisions, elected to staggered three-year terms by the Faculty
- 2 Students elected by the Student Senate
- 1 Faculty member, appointed by the Chair, who is teaching a first-year seminar course and/or advising sophomores subsequent to such teaching
- A representative of the Academic Affairs Board
- Dean of First-Year Students (*ex officio*)
- Director of Academic Program Support (*ex officio*)
- Registrar (*ex officio*)

Consultants to the Committee (as specific circumstances require) may include: the Director of Undergraduate Studies, a representative of the Health Sciences Advisory Committee, a representative of the Department of Educational Studies certification programs, the Director of Career Services, the Chair of the Committee on Standards and Academic Standing, and the Director of First-Year Seminars.

b. **The Committee on Athletics** The Committee’s responsibilities include physical education, intercollegiate athletics, club sports, intramural athletics, and recreational activities. The Committee (a) develops policy legislation for consideration by the Academic Affairs Board, and (b) acts as an advisory body to the Director of the Division of Physical Education, Recreation and Athletics. The Committee reports its activities on a regular basis to the Academic Affairs Board, Faculty, and Student Senate.

The membership of the Committee on Athletics is as follows:

- Director of the Division of Physical Education, Recreation and Athletics
- 4 Faculty (one each from the Divisions of the Humanities, Natural Sciences and Mathematics, Physical Education, Recreation and Athletics, and Social Sciences; elected by the faculty for three-year terms, which are renewable)
- 1 Elected Faculty member of the Academic Affairs Board (elected by the members of the Academic Affairs Board for a one-year term, which is renewable)
- 3 Students (elected by the Student Senate for one-year terms, which are renewable)
- Dean of the Faculty
- Dean of the College
Associate Provost

The Chair of the Committee on Athletics is elected annually by the membership of the Committee.

c. The Curriculum Committee  This committee deals with questions and problems of all parts of Colgate’s curriculum. The Committee will (a) respond to questions and requests proposed to it by the Board; (b) review proposed changes in policies affecting the curriculum and make recommendations to the Board; and (c) review existing curricular policies and make recommendations to the Board as seems desirable to the Committee.

The membership of the Curriculum Committee is as follows:

- 3 Faculty (elected at a Faculty meeting with one representative each from the Humanities, Natural Science and Mathematics, and Social Science divisions)
- 1 Faculty Member representing the Division of University Studies (selected by the Academic Affairs Board from the faculty at large)
- 1 Student representative from the Academic Affairs Board
- 1 Student (elected by the Student Senate)
- Associate Dean of Faculty (ex officio, nonvoting)

The Chair of the Curriculum Committee is a faculty member elected by the Curriculum Committee.

All new courses, i.e., those not listed in the University Catalogue, must be approved by the Curriculum Committee before being offered. A faculty member who wishes to have a new course approved should complete the appropriate form (available from the Office of the Associate Dean of the Faculty) and secure the approval of the department or program chair and the division director, who will forward the request to the Curriculum Committee for action. This should be completed by early February for inclusion in the next Catalogue.

2. Student Affairs Board  The Board’s responsibilities include student services and activities, residences, student conduct and procedures for discipline, and other matters directly related to the extracurricular life of students of the University.

The Student Affairs Board has two functions: (a) Legislative  The Student Affairs Board enacts appropriate legislative policies in the area of student affairs with two exceptions: major policy decisions or departures as defined by the President of the University are referred to the Conference Board (see below); policies regarding academic integrity are the joint responsibility of the Student Affairs Board and the Academic Affairs Board. (b) Advisory  The Board acts as an advisory group for the Dean of the College and the Dean’s staff, including the areas of Residential Life, Fraternity and Sorority Affairs, and the Center for Leadership and Student Involvement. In its advisory role, the Board acts to review proposed policy changes in its area of responsibility.

The Vice President of the Student Association reports issues under consideration and decisions by the Student Affairs Board to the Student Senate. Sense-of-the-Senate resolutions and suggested agenda items are conveyed to the Student Affairs Board by the same officer. A faculty member, chosen by the elected faculty members of the Board, reports to the Faculty on a regular basis and conveys sense-of-the-Faculty resolutions and suggested agenda items to the Student Affairs Board. Other agenda items relating to administrative policy changes may be brought to the Board by the Dean of the College or the chair.

Legislation passed by the Student Affairs Board is reported to the Student Senate by the Vice President of the Student Association. The Student Senate may, if it wishes, express disagreement and request the Board to reconsider the legislation, pass it in
amended form, or reject it. In either of the first two cases, the action of the Board will become official University policy immediately unless remanded to the Conference Board by the President.

The membership of the Student Affairs Board is as follows:
- Dean of the College
- President of the Student Association or Vice President of the Student Association
- 4 Students
- 3 Faculty (elected at-large by the Faculty for three-year terms, renewable once)
- 1 Faculty (appointed by the University Student Conduct Board from its membership)

The four students are elected at-large by the Student Senate for one-year terms, which may be renewed as long as a student remains matriculated. The Disciplinary Officer and the Director of Residential Life serve as nonvoting consultants. The Dean of the College annually appoints two additional staff members to serve as nonvoting consultants. The Board may appoint other nonvoting consultants as it deems appropriate.

The Chair is elected yearly by the membership of the Board and is entitled to vote on all matters. No proxy votes may be cast. If the President exercises the right to vote, it is in place of the Dean of the College.

The Student Affairs Board has the power to establish, reconstitute, and abolish standing committees. At least one member of each standing committee is drawn from the membership of the Student Affairs Board. The need for each standing committee must be reviewed every three years. All standing committees created by the Board consist of faculty members elected by the Faculty, students elected by the Student Senate, and other members as deemed appropriate by the Board.

3. Conference Board
The Conference Board is called into existence infrequently and only for extraordinary issues. The President may convene the Conference Board to consider unusually significant matters confronting the University. The Board has the responsibility of advising the President of the matter in question.

Also, decisions made by the Student Affairs Board which are declared by the President to be major policy decisions or departures affecting the overall nature of the University are remanded to the Conference Board. The Conference Board is empowered to make University policy on such issues, consistent with the Bylaws of the Trustees. Sufficient time should elapse in the Conference Board’s discussions of any issues so that the Faculty and Student Senate may pass independent sense of Faculty and sense of Senate resolutions if so desired by each body.

The membership of the Conference Board includes the President of the University (who chairs the Conference Board), all voting members of the Academic Affairs and Student Affairs Boards, and the Chair of the Faculty Affairs Committee. All members of the Conference Board have one full vote. The Associate Dean of the Faculty serves as nonvoting secretary.

4. Liaison Committees
The Liaison Committees have two main functions:
(a) Liaison The committees meet regularly with the responsible administrative officers to review and discuss matters which arise in each area and report directly to the Faculty and Student Senate. (b) Advisory The committees function as advisory bodies to the administrative officers involved. These committees may, on occasion, find it desirable to make proposals of a legislative policy nature. Such proposals are referred to the appropriate Board.
Membership on Liaison Committees is defined as below, but when issues emerge, the existing members of each committee may appoint additional members or consultants as they deem appropriate. Information and issues are discussed as determined by the administrative officers and members of the committees. It is the responsibility of the members of the committees to be informed about the issues in their area, with the cooperation of the administrative officers. The committees report their activities on a regular basis to the Faculty and Student Senate.

a. The Committee on Campus Planning and Physical Resources This Committee is concerned with plans for the use and renovation of existing facilities and other physical resources, and with the planning of new facilities. Its function includes broad consideration of the impact (including aesthetic features) of any project on the larger community—students, faculty, and staff. Some projects, once underway, may involve building committees, which will provide this committee with brief periodic updates about the projects they oversee. The membership of the Committee is as follows:

Vice President for Finance and Administration
3 Faculty (no more than one representing a single division or the library, elected at large by the Faculty for three-year terms)
2 Students (elected at large by the Student Senate for one-year terms)
President of the Student Association (or designate)
Provost (or designate)
Dean of the College (or designate)

The committee meets regularly, ordinarily once a month. The Chair is elected annually by the membership of the Committee.

b. The Committee on Admission and Financial Aid This Committee is concerned with the policies and implementation of policies governing the admission of students and the granting of scholarships and student aid. Legislative or policy proposals of the Committee are referred to the Academic Affairs Board. The membership of the Committee is as follows:

Dean of Admission
Director of Financial Aid
Associate Vice President for Budget and Financial Aid
4 Faculty (elected at large by the Faculty for three-year terms)
3 Students (elected at large by the Student Senate for one-year terms)

The Chair is one of the faculty members, elected for a two-year term by members of the Committee. The faculty membership was increased from 2 to 4 and the student membership from 2 to 3 by a vote of the Faculty on May 7, 1984.

c. The Committee on Budget and Financial Planning This Committee is concerned with long-range financial planning and projections and the preparation of yearly budgets. It has the responsibility of advising the President on yearly budgets and matters related to financial planning and projections. The Committee normally functions as an advisory committee on budget issues during the fall term and on financial planning issues during the spring term. The membership of the Committee is as follows:

The President of the University
Dean of the Faculty/Provost
Vice President for Finance and Administration
President of the Student Association or Vice President
4 Faculty (elected at large by the Faculty for three-year terms)
2 Students (elected at large by the Student Senate for one-year terms)

The Committee is chaired by the President of the University or the Provost, as determined by the President. Consultants to the committee are the Director of Budget and Decision Support, the Associate Provost, the Vice President for Administration, the Dean
of the College, and the Vice President for Institutional Advancement.

d. The Committee on ALANA Affairs This Committee is concerned with the quality of the experience of African American, Latin American, Asian American, Native American, and other ethnic communities at Colgate. The membership of the Committee is as follows:

Dean of the College
4 Faculty (elected at large by the Faculty for three-year terms)
4 Students (elected at large by the Student Senate for one-year terms)

The following individuals serve as consultants to the Committee on ALANA Affairs: the Vice President and Dean of Diversity, the Director of the Office of Undergraduate Studies, and Director of the ALANA Cultural Center. The Committee is chaired by the Dean of the College unless the Committee votes to elect one of its other members as chair.

e. The Committee on Information Technology This committee serves as a principal means of communication among faculty, students, administration, and staff on all matters relating to the use of information technology. It reviews College policies, plans, and priorities relating to computing, networking, and information technology resources, and when it deems appropriate, suggests revisions.

The membership of the Committee on Information Technology is as follows:

4 Faculty (one from each division: Humanities, Natural Sciences, Social Sciences and PERA)
Chief Information Technology Officer
University Librarian
Representative of the Core Curriculum
2 Students (elected by the Student Senate)
3 Non-faculty Employees

This committee was created by vote of the faculty in August 1997.

f. The Library Advisory Committee

5. Task Forces The Colgate Governance System has been developed to address issues that are of a recurring nature and/or that can be associated with a particular area of concern within the University. At times, however, significant issues arise that are all-University in nature or that encompass several areas of responsibility. In these cases, the President of the University may find it desirable to appoint ad hoc Task Forces, which report directly to the President. Such an action has official standing within the Governance System. Task Forces are appointed only for a specific period of time and have two functions: (1) they serve as advisory groups to the President of the University, and (2) they make legislative proposals to the Academic and/or Student Affairs Boards, if appropriate. The President appoints the chair and membership of the Task Forces.

6. Amendments Proposals for amending the Governance System will be directed to either the Academic Affairs Board or Student Affairs Board, as appropriate. Proposals receiving a majority vote from either Board will be referred to the Faculty. Before acting on a proposed amendment the Faculty will allow at least two weeks for the Student Senate to consider and react to the proposed amendment. Ratification by the Faculty requires a two-thirds vote by those present and voting at a regularly constituted Faculty meeting.
C. The Faculty

1. The Faculty Meeting

The Faculty meets once each month of the Fall and Spring terms:

a. to bring up and air matters which should be considered by one of the Boards, one of the Standing or Liaison Committees, or one of the Committees of the Faculty, and to consider any matter under discussion by any Board or Committee;

b. to act on policy proposals from the Academic Affairs Board and from Committees of the Faculty;

c. to direct the Academic Affairs Board to initiate a study on any matter under its jurisdiction and to inform the Faculty of its findings;

d. to direct the Academic Affairs Board to act upon any matter within the Board’s jurisdiction;

e. to receive regular reports from the various Boards and Committees of the Governance System;

f. to hear regular reports by the President on the state of the college and to hear reports and announcements by administrators and colleagues;

g. to vote degrees;

h. to vote “sense of the Faculty” resolutions;

i. to elect representatives to the various governance bodies and to elect members of standing and ad hoc Committees of the Faculty (no individual can be elected except by a majority of those present and voting);

j. to ratify amendments to the Constitution of the Colgate Governance System.

The business of the Faculty shall be conducted according to the procedures which have been customary to Colgate until they are amended by a majority of those present and voting at a meeting of the Faculty.

2. Standing Committees Of The Faculty

a. The Committee On Faculty Affairs

The Committee shall propose to the Faculty policies and recommendations of policies on faculty appointments, faculty promotions, academic freedom and tenure, all matters pertaining to professional standards and ethics, loads, leaves, grants for development and research, faculty welfare, and similar matters.

The Committee shall propose to the Faculty, procedures for faculty discipline and for hearing grievances from the faculty. The Committee shall consist of ten members of the Faculty (one each from the Divisions of the Humanities, Natural Sciences and Mathematics, Physical Education, Recreation and Athletics, Social Sciences, one from the library faculty, and five members at large for three-year, nonrenewable terms), the President, and the Dean of the Faculty. The Committee shall elect its own Chair. The Associate Dean of the Faculty acts as secretary.

Reporting to the Faculty Affairs Committee shall be the Research Council, members of which shall be appointed by the Dean of the Faculty and the Faculty Benefits Committee, the charge and membership of which is described below.

The Faculty Benefits Committee shall represent the faculty during the discussion of benefits, including Colgate’s health and life insurance, retirement and disability plans. The Committee will consist of one liaison from the Committee on Faculty Affairs and three continuing members of the Faculty recommended by the Faculty Affairs Committee and appointed by the Dean of the Faculty. In order to ensure that the Benefits Committee
has at its disposal the necessary experience and expertise, the Faculty Affairs Committee will consult with the Benefits Committee Chair when new appointments are to be made. The continuing members from the Faculty will serve three-year renewable terms which will be staggered. The Committee will meet with members of the Administration concerned with benefits issues, including but not limited to the Vice President for Administration, the Treasurer, and the Associate Vice President for Human Resources.

b. **The Committee on Promotion and Tenure** The Committee shall consist of three full professors elected for three-year, nonrenewable terms by the Faculty from the Divisions of the Humanities, Natural Sciences and Mathematics, and Social Sciences and one tenured associate professor elected at large by the Faculty for a nonrenewable three-year term. They shall advise the Dean’s Advisory Council, Dean of the Faculty, and, when necessary, the President, regarding administrative recommendations on third-year review, tenure, and promotion. The Committee shall elect its own Chair.

c. **The Faculty Nominating Committee** The committee shall nominate to the Faculty representatives to the various Boards and Committees of the Governance System and elected Committees of the Faculty. It shall consist of five members of the Faculty elected for three-year, nonrenewable terms from at least twice as many nominees as there are vacancies on the Committee. At least four of the members of the committee shall be tenured. Nominations for the Nominating Committee shall be made from the floor of the February meeting of the Faculty, and elections to the Committee shall be held at the March meeting. The Committee shall elect its own Chair.

d. **The Faculty Committee on Affirmative Action Oversight** The Faculty Committee on Affirmative Action Oversight shall consist of four elected faculty members, at least one of whom shall be a woman and at least one of whom shall be a member of a minority group as defined by federal affirmative action regulations; the Chair (if a faculty member) or other faculty representative of the Committee on ALANA Affairs; and a faculty member from the Committee on Faculty Affairs. All of the four elected Committee members will serve three-year terms. The Vice President and Dean of Diversity shall be an *ex officio* member and secretary (nonvoting) of the Committee. The Committee shall elect a chair from among its members.

The Faculty Committee on Affirmative Action Oversight shall be charged to work closely with academic departments, the Vice President and Dean of Diversity and the Dean of the Faculty in overseeing faculty recruitment and hiring from the standpoint of Colgate’s affirmative action program, and in rendering such assistance as it is able to all concerned. The Vice President and Dean of Diversity shall report regularly to the Committee and shall keep it fully informed as vacancies occur in academic departments and as faculty recruitment and hiring proceeds during the year. The Faculty Committee on Affirmative Action Oversight shall monitor the process of faculty recruitment and hiring in light of affirmative action procedures and goals, and shall report its findings and recommendations to departments and to the Dean of the Faculty as occasion warrants. At least once each year, the Committee shall report to the faculty.

e. **Advisory and Planning Committee** This committee is concerned with institution-wide planning at the University. It meets regularly to oversee the implementation of existing institutional plans, to examine issues of long-term planning, and to advise the President on matters of importance to the university community. A faculty member chosen by the faculty members of the committee reports to the Faculty at least once a year. The membership of the Committee is as follows:

President
Dean of the Faculty/Provost
Dean of the College
Vice President for Finance and Administration
4 Faculty (one member each from the divisions of Natural Sciences & Mathematics, Social Sciences, Humanities, and University Studies), elected to staggered 3-year, nonrenewable terms

Chair of the FAC
Chair of the Faculty Affirmative Action Oversight Committee
Vice President and Dean of Diversity

3 Faculty (appointed by the President, after consultation with the FAC, to 1-year terms, renewable for up to two additional years)

The President chairs the committee and will arrange for a member of the President’s staff to take minutes. Members of the committee who go on leave for a single semester shall not be replaced. The committee may invite to its meetings other members of the university community as consultants on particular issues, but no additional members of the committee shall be appointed.

3. Ad Hoc Committees When issues arise that cannot be handled within the existing committee system, the President or the Dean of the Faculty may involve faculty in university decision-making through the creation of temporary ad hoc committees. Such committees will normally be charged with matters that will require at least one month but no more than twenty-four months of consideration. The convener will whenever possible draw faculty representatives from the elected membership of relevant existing committees. At least half the faculty representatives on ad hoc committees will be so drawn or will be chosen by special election at a meeting of the Faculty. The convener will consult with the Nominating Committee or the Committee on Faculty Affairs, or both, prior to the appointment and election of faculty representatives on ad hoc committees. The creation of such committees will be promptly announced to the university community, with their charges and membership lists made publicly available.

D. The Student Senate

The Student Senate is elected by and from the Student Association, of which all Colgate students are members, under rules laid down in the Constitution of that Association. The Senate meets regularly:

1. to supervise all class elections and elections of all officers of the Association;
2. to allocate funds of the Association in such a manner as it deems advisable;
3. to interpret the Constitution of the Association and amend it as necessary;
4. to vote “sense of the Senate” resolutions;
5. to bring up and air matters which should be studied by one of the Boards or one of the Standing or Liaison Committees, to consider any matter under discussion by any of them, and to receive regular reports from the various Boards and Committees of the Governance System;
6. to direct the Student Affairs Board to initiate a study in any matter under its jurisdiction and to inform the Student Senate of its findings;
7. to direct the Student Affairs Board to act upon any matter within the Board’s jurisdiction;
8. to review legislation passed by the Student Affairs Board and request, when it wishes, that the Board reconsider a decision;

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4 But this provision shall not apply to committees formed for the purpose of planning capital projects (users’ committees).
9. to elect a Committee to consult with the Faculty Committee on Promotion and Tenure to devise procedures for determining student opinion regarding the evaluation of instruction;
10. to elect, through the Electoral College (all Senators and alternates), student representatives to the various Boards and Committees of the Colgate Governance System and other Committees. The Student Senate shall fill any unexpired terms that may fall vacant during the course of the year.

III. The Faculty

A. Organization

1. Bylaws of the Board of Trustees Article IX of the Bylaws of the Board of Trustees (1981) defines the ranks and responsibilities of the Faculty as follows:

Section 1. The Faculty shall consist of the President of the University and those whose duties are primarily instructional or in the direct supervision of instruction, classified by rank as follows:

Professor
Associate Professor
Assistant Professor
Instructor

It shall also consist of part-time appointees with similar duties who are classified by rank as follows:

Professor (part-time)
Associate Professor (part-time)
Assistant Professor (part-time)
Instructor (part-time)

The voting privilege shall be extended to all faculty members in the above mentioned ranks. In addition, library faculty, and members of the Administrative staff designated by the President and approved by the Board of Trustees shall be entitled to vote at meetings of the Faculty.

Section 2. The Faculty shall hold stated meetings while the University is in session, and in addition shall meet at the call of the President. The President or his or her designated alternate shall preside at such meetings. The Faculty shall appoint a Secretary who shall keep a record of the proceedings at their meetings. They shall make such rules of procedure and provide for and appoint such committees as in their judgment may be necessary. In the event of the absence of the President, the Provost may call a Faculty meeting at which he or she shall preside.

Section 3. The Faculty shall prescribe, subject to approval by the Board of Trustees, requirements for admission, courses of study, conditions of graduation, the nature of degrees to be conferred, rules and methods for the conduct of the educational work of the University, and shall recommend to the Board candidates for degrees in course; shall designate persons to receive the awards of fellowships, scholarships and prizes and, subject to primary authority of the President, may participate with the President, Deans, and other officers of administration in matters of student discipline through such committee structure and under such conditions as the Board of Trustees shall approve.

2. Faculty Meetings Faculty meetings are held four times each term. The President is the presiding officer; in his or her absence, the Dean of the Faculty/Provost presides.
The privilege to vote at faculty meetings is extended to the following groups:

a. All full-time personnel who hold the academic rank of Professor, Associate Professor, Assistant Professor, or Instructor. This includes members of the library faculty and physical education faculty, as well as teaching faculty. It also includes visiting faculty who can be expected to be at Colgate for more than one year (but not those with one-term or one-year visiting appointments).

b. All part-time faculty who hold Category I appointments.

c. Certain members of the administration designated by the President and approved by the Board of Trustees. This list includes the following:
   - Dean of the Faculty/Provost
   - Dean of the College
   - Associate Dean(s) of the College
   - Dean of Admission
   - Associate Provost
   - Associate Dean for Administrative Advising
   - Dean of First-Year Students
   - Vice President for Finance and Administration
   - University Chaplain
   - Vice President and Senior Philanthropic Advisor
   - Secretary of the Board of Trustees
   - Director of the Picker Art Gallery

The right to vote for new people in old or new administrative positions will be determined by the President as specified in the Bylaws of the Board of Trustees.¹

The privilege to attend Faculty meetings, a voice-but-no-vote basis, is also extended to the President or Vice-president of the Student Senate.

The quorum for the Faculty meeting is 70 voting members for matters which require a vote by the Faculty other than votes of a ceremonial nature. The quorum is 50 voting members to conduct routine business such as the receiving of reports, initial discussions of resolutions, announcements, and resolutions of a ceremonial nature. The chair will rule on the needed quorum when necessary.

The Faculty reserves the right to exclude students, the press, and the general public from the Faculty meeting under exceptional circumstances, as determined by a majority vote of the faculty present.

The function of Faculty meetings in University governance is described more fully in Chapter II, Section C.1.

3. Convocations Two all-University convocations are held during the year: Founders’ Day held at the beginning of the Fall term and Commencement, which is held in May. Members of the Faculty are expected to attend these convocations in academic dress. Any member of the Faculty who does not have academic costume can borrow one immediately preceding the convocation at an announced place.

4. Colgate Chapter of the AAUP The Colgate chapter of the American Association of University Professors is the national professional organization on campus for members of the faculty in matters primarily concerning academic freedom, and tenure. Membership in the AAUP is voluntary for all faculty members. Membership in the national organization is required for membership in the local. The local chapter is headed by an executive committee consisting of the President, Vice President, Secretary, Treasurer, the

¹ This statement became effective in September 1980. It was the result of a recommendation to the President from the Committee on Faculty Affairs (transmitted to President Langdon in a memorandum dated November 5, 1979, and accepted by the President in a memorandum dated November 29, 1979).
editor of the chapter’s newsletter, and two Members-at-Large. The members of the executive committee and the chairs of standing committees comprise the executive council, which meets regularly. Full chapter meetings are held as issues may require them. The annual meeting for elections, reports, and other business is held in May.

B. Academic Freedom and Professional Ethics

1. Academic Freedom: Statement of Principles

In 1948 the Board of Trustees approved, as Colgate policy, the 1940 “Statement of Principles” which was formulated and endorsed by the American Association of University Professors and the Association of American Colleges. The text below is reprinted from the AAUP Policy Documents & Reports, ninth edition (2001), pp. 3-4 and includes changes made in 1989 and 1990 to remove gender-specific references:

The purpose of this statement is to promote public understanding and support of academic freedom and tenure and agreement upon procedures to assure them in colleges and universities. Institutions of higher education are conducted for the common good and not to further the interest of either the individual teacher or the institution as a whole. The common good depends upon the free search for truth and its free exposition.

Academic freedom is essential to these purposes and applies to both teaching and research. Freedom in research is fundamental to the advancement of truth. Academic freedom in its teaching aspect is fundamental for the protection of the rights of the teacher in teaching and of the student to freedom in learning. It carries with it duties correlative with rights.2

Tenure is a means to certain ends; specifically: (1) Freedom of teaching and research and of extramural activities, and (2) a sufficient degree of economic security to make the profession attractive to men and women of ability. Freedom and economic security, hence, tenure, are indispensable to the success of an institution in fulfilling its obligations to its students and to society.

**Academic Freedom**

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

(b) Teachers are entitled to freedom in the classroom in discussing their subject, but they should be careful not to introduce into their teaching controversial matter which has no relation to the subject.

(c) College or university teachers are citizens, members of a learned profession, and officers of an educational institution. When they speak or write as citizens, they should be free from institutional censorship or discipline, but their special position in the community imposes special obligations. As scholars and educational officers, they should remember that the public may judge their profession and their institution by their

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2 In 1970 the AAUP added this Interpretive Comment: “The Association of American Colleges and the American Association of University Professors have long recognized that membership in the academic profession carries with it special responsibilities ... Of particular relevance is the Statement on Professional Ethics, adopted in 1966 as Association policy.” The Statement is reprinted following the “Statement of Principles.”

In 1970 the following Interpretive Comment was added: “The intent of this statement is not to discourage what is ‘controversial.’ Controversy is at the heart of the free academic inquiry which the entire statement is designed to foster. The passage serves to underscore the need for teachers to avoid persistently intruding material which has no relation to their subject.”
utterances. Hence they should at all times be accurate, should exercise appropriate restraint, should show respect for the opinions of others, and should make every effort to indicate that they are not speaking for the institution.

2. **Statement on Professional Ethics** The text below, reprinted from the AAUP Policy Documents & Reports, ninth edition (2001), pp. 133-34, was adopted by the Association’s Council in 1987:

1. Professors, guided by a deep conviction of the worth and dignity of the advancement of knowledge, recognize the special responsibilities placed upon them. Their primary responsibility to their subject is to seek and to state the truth as they see it. To this end professors devote their energies to developing and improving their scholarly competence. They accept the obligation to exercise critical self-discipline and judgment in using, extending, and transmitting knowledge. They practice intellectual honesty. Although professors may follow subsidiary interests, these interests must never seriously hamper or compromise their freedom of inquiry.

2. As teachers, professors encourage the free pursuit of learning in their students. They hold before them the best scholarly and ethical standards of their discipline. Professors demonstrate respect for students as individuals and adhere to their proper roles as intellectual guides and counselors. Professors make every reasonable effort to foster honest academic conduct and to ensure that their evaluations of students reflect each student’s true merit. They respect the confidential nature of the relationship between professor and student. They avoid any exploitation, harassment, or discriminatory treatment of students. They acknowledge significant academic or scholarly assistance from them. They protect their academic freedom.

3. As colleagues, professors have obligations that derive from common membership in the community of scholars. Professors do not discriminate against or harass colleagues. They respect and defend the free inquiry of associates. In the exchange of criticism and ideas professors show due respect for the opinions of others. Professors acknowledge academic debt and strive to be objective in their professional judgment of colleagues. Professors accept their share of faculty responsibilities for the governance of their institution.

4. As members of an academic institution, professors seek above all to be effective teachers and scholars. Although professors observe the stated regulations of the institution, provided the regulations do not contravene academic freedom, they maintain their right to criticize and seek revision. Professors give due regard to their paramount responsibilities within their institution in determining the amount and character of work done outside it. When considering the interruption or termination of their service, professors recognize the effect of their decision upon the program of the institution and give due notice of their intentions.

5. As members of their community, professors have the rights and obligations of other citizens. Professors measure the urgency of these obligations in the light of their responsibilities to their subject, to their students, to their profession, and to their institution. When they speak or act as private persons, they avoid creating the impression of speaking or acting for their college or university. As citizens engaged in a profession that depends upon freedom for its health and integrity, professors have a particular obligation to promote conditions of free inquiry and to further public understanding of academic freedom.
C. Regulations on Appointments, Tenure, and Academic Freedom

These REGULATIONS are designed to enable Colgate University to protect academic freedom and tenure and the requirements of academic due process. The principles implicit in these REGULATIONS are for the benefit of all who are involved with or are affected by the policies and programs of the institution.

1. Statement of Terms of Appointment
   a. The terms and conditions of every appointment to the faculty will be stated or confirmed in writing, and a copy of the appointment document will be supplied to the faculty member. Any subsequent extensions or modifications of an appointment, and any special understandings, or any notices incumbent upon either party to provide, will be stated or confirmed in writing and a copy will be given to the faculty member.
   b. With the exception of special appointments as described below, and reappointments of retired faculty members on special conditions, all full-time appointments to the rank of instructor or higher are of two kinds: (1) probationary appointments; or (2) appointments with continuous tenure.
   c. Continuous tenure shall normally apply only to staff members listed as full-time or Category I faculty whose duties are primarily instructional or in direct supervision of instruction.
   d. Faculty members whose duties are primarily administrative may be appointed to, and be retained in, any designated rank without limit of time. They may be granted tenure at the discretion of the President and with the approval of the Board of Trustees.
   e. Librarians are members of the faculty and have faculty rank and status. Contractual arrangements are defined in Section III.O. They may be granted tenure at the discretion of the President and with the approval of the Board of Trustees.
   f. Faculty members in the Division of Physical Education, Recreation and Athletics may be retained as instructors, or in any designated rank, without limit of time. Contractual arrangements are defined in Section III.N. Faculty members of the Division of Physical Education, Recreation and Athletics may be granted tenure at the discretion of the President and with the approval of the Board of Trustees.
   g. The provisions noted above are not to be construed as preventing the administration from making special contracts or short-term appointments.
   h. Except for faculty members who have appointments with tenure, every person with a teaching appointment of any kind will be informed each year in writing of his or her appointment matters relative to eligibility for the acquisition of tenure.

2. Appointments by Rank
   a. Faculty who have not completed the Ph.D. at the time the initial contract letter is issued are appointed to the rank of instructor. Promotions to the rank of Assistant Professor are normally entertained only after an individual has successfully completed the Ph.D. New members of the faculty are automatically promoted to Assistant Professor rank if written notification from the degree-granting institution is received prior to July 1, indicating that all Ph.D. requirements have been satisfactorily completed. After that date the promotion will take place on the first of the month following the first Board of Trustees meeting after official written notification has been received.
   b. Initial appointment to the rank of assistant professor shall be granted only to those whose potential worth as teachers and as productive scholars is sufficiently promising to warrant the confidence of their senior colleagues. An assistant professor should embody
maturity and achievement in scholarship, of which the doctor’s degree is the normal testimonial. There is no presumption in appointing an assistant professor that he or she will later be promoted, nor does reappointment as an assistant professor imply any subsequent appointment at a higher rank.

c. Initial appointment to the rank of associate professor shall be granted only to those who, in addition to all of the qualifications of an assistant professor, have proved their worth as teachers and given substantial evidence of productive scholarship. There is no presumption in appointing an associate professor that he or she will later be promoted, nor does reappointment as an associate professor imply any subsequent appointment at a higher rank.

d. Initial appointment to the rank of professor shall be granted only after careful consideration of a candidate’s scholarship, productivity, teaching ability, and reputation among peers in his or her own field. Length and quality of service may be taken into account. The rank should be granted only to individuals who have been so tested that there is reasonable certainty of their continued usefulness throughout the remainder of their working years.

3. Probationary Appointments

a. Probationary appointments may be made for one year or for other stated periods and are subject to renewal.3

The total period of full-time teaching service at Colgate prior to the acquisition of continuous tenure shall not exceed seven years, except as specifically described below. Except for Category I faculty (see 5 below), persons hired into the tenure stream at Colgate who have had one to three years of previous full-time teaching experience at Colgate or other comparable institutions will normally be credited with that service minus one year. Persons with more than three years of teaching experience will normally receive two years of credit toward the probationary period. However, at the time of hiring, a new faculty member may—with the agreement of the Dean of the Faculty and the Department Chair—choose to have more of his/her prior service counted. There may be circumstances where that prior service (or some portion of it) will not count toward the probationary period at Colgate—e.g., teaching that occurs before the attainment of the Ph.D.4, service at a community college, technical institute, or other institution very dissimilar to Colgate or where there has been a long break between the prior teaching experience and the commencement of service at Colgate.

The number of years of previous teaching experience that will be credited toward the probationary period at Colgate will be stated in writing at the time of initial appointment.

Scholarly leaves of absence for one or two terms—including junior faculty leaves and research leaves without pay—will normally count as part of the probationary period. When an individual is on scholarly leave for a total of three or more terms, a one-year extension of the probationary period will be granted.

An extension of the probationary period will be granted for other leaves including disability leaves and family and medical care leaves. The length of the postponement of tenure review will be based on the total number of terms the individual is on such leave:

3 The policies in Section (a) took effect in academic year 1989-90 and apply to all full-time faculty hired subsequent to July 1, 1987.

4 or the equivalent terminal degree; all future references to Ph.D. are inclusive of equivalent terminal degrees.
one or two terms will constitute grounds for a one-year postponement, while three terms or more will constitute grounds for a two-year postponement.

Although study group leadership will not, by itself, constitute grounds for an extension of the probationary period, first-time leadership of a study group may be counted as an additional term under either of the leave categories described above.

Postponements of tenure review for the reasons described above will be automatically granted unless the faculty member requests in writing to the Dean of the Faculty that there be no delay, and the request is submitted prior to March 1 of the year in which the tenure review was originally scheduled. (i.e., the earlier year). Except in the most unusual cases, the postponement of tenure review as a result of any combination of leaves will not exceed two years.

4. Continuous Tenure Appointments
   a. Appointments with continuous tenure are normally made for the seventh year of service at Colgate (or the equivalent as calculated according to the descriptions of 3(a) above) after the tenure review and recommendations of the Dean’s Advisory Council, the Dean of the Faculty, and the President are forwarded to the Board of Trustees for final action in the sixth year.
   b. Appointment with continuous tenure carries with it the promotion to the rank of Associate Professor, if not previously achieved.
   c. Appointments with continuous tenure are made to those who have satisfied the criteria set forth in Chapter III, Section D, and when there is every reasonable expectation for such standards to be maintained for a full and fruitful academic career.

5. Category I Appointments Persons whose instructional load is at least one-half the normal load spread through the academic year may be appointed Professor (part-time), Associate Professor (part-time), Assistant Professor (part-time), or Instructor (part-time). These part-time appointees will have responsibility for teaching, scholarly activity, and service to the University community, and will be extended full voting privileges. The conditions of appointment to a Category I part-time position are as follows:
   a. Appointment to one of the above-mentioned part-time ranks shall be granted only to those who meet the professional qualifications for appointment to the corresponding full-time rank.
   b. Appointments shall be for one year during the first four years of service. Notification of renewal of appointment for the first three years of service shall be made in March of the preceding year; for the fourth and subsequent years until the tenure review, notification shall be made at least twelve months before the expiration of the appointment.
   c. In the notification of terms and conditions of renewal, the appointee’s teaching load will be specified as a fraction of a normal full-time load. Annual salary and non-teaching responsibilities, such as governance, advising, and research, will be determined as that fraction of the salary and non-teaching responsibilities appropriate to the corresponding full-time rank.
   d. Standards for promotion of Category I faculty will be the same as for full-time faculty.
   e. Procedures for tenure and promotion of Category I faculty members are comparable to those for full-time, tenure stream faculty. However, because of the special importance of institutional need in these positions, normally no countable time will be given. Extensions of the probationary period will be made in accordance with the rules established for full-time faculty (see section III.C.3 of the Handbook).
i. Category I faculty members will undergo the first review in the spring of their fourth year of teaching at Colgate. The Fourth Year Review is based on the quality of the individual’s teaching, scholarly promise in addition to the Ph.D. dissertation, and service to the University. A decision to terminate a Category I faculty member in the tenure stream after the fifth year will be made on the basis of considerations (1) - (4) outlined for full-time faculty at Third Year Review (see section III.C.6 of the Handbook).

ii. In the spring of the sixth year of teaching, institutional need for the position by the department, program, and university (consideration (5) under Third Year Review for full-time tenure stream faculty, see section III.C.6 of the Handbook) will be evaluated. The evaluation of institutional need in the Sixth Year Review will be based on the original need for the position as well as the evolution of the position. If it is concluded that the position is no longer needed, then the Category I faculty member will be given a terminal contract for one additional year at Colgate.

iii. If institutional need for the position is established in the Sixth Year Review, then the Category I faculty member will stand for tenure and promotion to associate professor in the fall of his or her ninth year of teaching at Colgate. The tenure review will be based solely on the achievement of the faculty member; institutional need for the position will not be a consideration. As is the practice with other tenure-stream appointments at Colgate, unsuccessful Category I candidates for tenure will receive terminal contracts for one additional year at Colgate.

f. Dismissal procedures shall be the same as for full-time faculty members.

g. Appointees may apply for leaves of absence without pay on the same basis as full-time faculty. Such leaves of absence, while not counting as service, will not affect their standing with regard to notification and benefits.

6. Other Academic Appointments

a. Adjunct Professors On rare occasions, the title Adjunct Professor may be awarded to persons of unusual merit and prestige who have had a close association with or demonstrated a particular commitment to Colgate University. Normally, such persons will be recognized scholars who have a full-time position elsewhere. The title may also be awarded to persons of outstanding literary or artistic talent. An adjunct professorship carries with it no compensation but individuals who are appointed are expected to be of occasional service to the University. The period of appointment may not exceed three years. If an Adjunct Professor is appointed to a regular position at Colgate, he or she will receive compensation and be given the title “Visiting” at the appropriate rank.

b. Part-time Faculty Appointments Held by Administrators Some administrative positions carry with them part-time faculty appointments in an academic department or program. Appointment to appropriate faculty rank for these individuals is made by the Dean of the Faculty in consultation with the department chair or program director. Teaching responsibilities within the specific academic department or program are determined through discussions among the division director, chair of the department, the administrative supervisors, and the individual part-time faculty member. Part-time teaching for persons occupying such appointments is normally not more than half-time and does not normally count toward the probationary period for tenure consideration.

c. Non-academic Administrative Staff A member of the non-academic administrative staff who teaches a regularly scheduled course may be considered for the rank of Lecturer. The individual’s credentials will be reviewed by the appropriate department, by the division director, and the Dean of the Faculty. The Dean of the
Faculty will make the final determination concerning the award of the rank of Lecturer. Such an appointment will be for the academic term in which the course is taught.

d. **Category II** Persons who teach or assist with specified courses but carry no faculty responsibilities beyond their course-related duties are appointed to the rank of Lecturer. Salary is normally determined on a per-course basis. Those individuals with Category II appointments who teach at least four courses a year and at least two each fall and spring will be entitled to the benefits in the program for Administrators, Administrative Assistants, Part-time Faculty, and Professional Employees for the months of September through May.

e. **Laboratory Instructors in the Natural Sciences** Persons who teach or assist with laboratory courses in the Natural Sciences and Mathematics Division on a continuing basis may receive the title of Laboratory Instructor. Laboratory Instructors are appointed annually to positions that are full- or part-time, involve teaching of less than a normal faculty load and may carry additional duties beyond teaching and grading of laboratory sections. These additional duties are to be specified in the annual appointment letter. Those individuals holding positions that are at least half-time (20 hours per week combined instructional and other duties) will be entitled to the fringe benefits for benefit Group II employees. Laboratory Instructors receive an annual review by the department chair. This review is forwarded to the Division Director as a letter of consultation.

f. **Research Associates** The title of Research Associate may be awarded to persons who have established a cooperative research relationship with one or more continuing faculty members at Colgate. Such persons will normally hold faculty rank at another academic institution or hold a research position in government, industry, or with a research institute. Research Associates will normally be expected to be in residence at Colgate for some portion of their appointment, and they will usually be expected to provide some service to the institution in the form of an occasional departmental seminar or colloquium. The need for any university facilities or support services must be clearly specified by the sponsoring faculty member at the time of application. Research Associate status carries with it no compensation. The period of appointment is for one year and may be renewed.

7. **Termination of Appointment by the Faculty** A faculty member may terminate his or her appointment effective at the end of an academic year, provided that he or she gives notice in writing at the earliest possible opportunity, but not later than April 15, or three days after receiving notification of the terms of the appointment for the coming year, whichever date occurs later. The faculty member may properly request a waiver of this requirement of notice in case of hardship or in a situation where he or she would otherwise be denied substantial professional advancement or other opportunity.

8. **Termination of Appointments by the Institution**

   a. Termination of an appointment with continuous tenure, or of a special or probationary appointment before the end of the specified term, may be effected by the institution only for adequate cause.

   b. If termination takes the form of a dismissal for cause, it will be pursuant to the procedures specified in Regulation 9.

   c. **Financial Exigency**

      (1) Termination of an appointment with continuous tenure, or of a probationary or special appointment before the end of the specified term, may occur under extraordinary circumstances because of a demonstrably bona fide financial exigency, i.e., an imminent financial crisis which threatens the survival of the
institution as a whole and which cannot be alleviated by less dramatic means.

(2) If the administration issues notice to a particular faculty member of an intention to terminate the appointment because of financial exigency, the faculty member will have the right to a full hearing before a faculty committee. The hearing need not conform in all respects with a proceeding conducted pursuant to Regulation 9, but the essentials of an on-the-record adjudicative hearing will be observed. The issues in this hearing may include:
(a) The existence and extent of the condition of financial exigency. The burden will rest on the administration to prove the existence and extent of the condition. The findings of a faculty committee in a previous proceeding involving the same issue may be introduced.
(b) The validity of the educational judgments and the criteria for identification for termination; but the recommendations of a faculty body on these matters will be considered presumptively valid.
(c) Whether the criteria are being properly applied in the individual case.

(3) If the institution, because of financial exigency, terminates appointments, it will not at the same time make new appointments except in extraordinary circumstances where a serious distortion in the academic program would otherwise result. The appointment of a faculty member with tenure will not be terminated in favor of retaining a faculty member without tenure, except in extraordinary circumstances where a serious distortion of the academic program would otherwise result.

(4) Before terminating an appointment because of financial exigency, the institution, with faculty participation, will make every effort to place the faculty member concerned in another suitable position within the institution.

(5) In all cases of termination of appointment because of financial exigency, the faculty member concerned will be given notice or severance salary not less than as prescribed in Regulation 12.

(6) In all cases of termination of appointment because of financial exigency, the place of the faculty member concerned will not be filled by a replacement within a period of three years, unless the released faculty member has been offered reinstatement and a reasonable time in which to accept or decline it.

d. Discontinuance of Program or Department Not Mandated by Financial Exigency
Termination of an appointment with continuous tenure, or of a probationary or specified appointment before the end of the specified term, may occur as a result of bona fide formal discontinuance of a program or department of instruction. The following standards and procedures will apply:

(1) The decision to discontinue formally a program or department of instruction will be based essentially upon educational considerations, as determined primarily by the faculty as a whole or an appropriate committee thereof.

(2) Before the administration issues notice to a faculty member of its intention to terminate an appointment because of formal discontinuance of a program or department of instruction, the institution will make every effort to place the faculty member concerned in another suitable position. If placement in another position would be facilitated by a reasonable period of training, financial and other support for such training will be proffered. If no position is available within the institution, with or without retraining, the faculty member’s appointment then may be terminated, but only with provision for severance salary equitably adjusted to the faculty member’s length of past and potential service.

(3) A faculty member may appeal a proposed relocation or termination resulting
from a discontinuance and has a right to a full hearing before a faculty committee. The hearing need not conform in all respects with a proceeding conducted pursuant to Regulation 9, but the essentials of an on-the-record adjudicative hearing will be observed. The issues in such a hearing may include the institution’s failure to satisfy any of the conditions specified in this section. In such a hearing a faculty determination that a program or department is to be discontinued will be considered presumptively valid, but the burden of proof on other issues will rest on the administration.

e. Termination for Medical Reasons  Termination of an appointment with tenure, or of a probationary or special appointment before the end of the period of appointment, for medical reasons, will be based upon clear and convincing medical evidence that the faculty member cannot continue to fulfill the terms and conditions of the appointment. The decision to terminate will be reached only after there has been appropriate consultation and after the faculty member concerned, or someone representing the faculty member, has been informed of the basis of the proposed action and has been afforded an opportunity to present the faculty member’s position and to respond to the evidence. If the faculty member so requests, the evidence will be reviewed by the elected members of the Faculty Committee on Promotion and Tenure before a final decision is made by the Board of Trustees on the recommendation of the administration.

f. Review In cases of termination of appointment, the Board of Trustees will be available for ultimate review.

9. Dismissal Procedures

a. Adequate cause for a dismissal will be related, directly and substantially, to the fitness of the faculty member in his or her professional capacity as a teacher or researcher. Dismissal will not be used to restrain faculty members in their exercise of academic freedom or other rights of U.S. citizens.

b. Dismissal of a faculty member with continuous tenure, or with a special or probationary appointment before the end of the specified term, will, if desired by the faculty member, be preceded by: (1) discussions between the faculty member and appropriate administrative officers looking toward a mutual settlement; (2) informal inquiry by the Faculty Committee on Promotion and Tenure which may, failing to effect an adjustment, determine whether in its opinion dismissal proceedings should be undertaken, without its opinion being binding upon the President; and (3) a statement of charges, framed with reasonable particularity by the President or the President’s delegate.

c. A dismissal, as defined in Regulation 8.b, will be preceded by a statement of reasons, and the individual concerned will have the right to be heard initially by the elected faculty members of the Committee on Faculty Affairs. Members deeming themselves disqualified for bias or interest shall remove themselves from the case, either at the request of a party or on their own initiative. Each party will have a maximum of two challenges without stated cause. The remaining elected faculty members of the Committee shall elect replacements for members who are disqualified or challenged.

(1) Pending a final decision by the hearing committee, the faculty member will be suspended, or assigned to other duties in lieu of suspension, only if immediate harm to the faculty member or others is threatened by his or her continuance. Before suspending a faculty member, pending an ultimate determination of his or her status through the institution’s hearing procedures, the administration will consult with the Faculty Committee on Promotion and Tenure concerning the propriety, the length, and the other conditions of the suspension. A suspension, which is intended to be final, is a dismissal and will be treated as such. Salary will continue during the period of the suspension.
(2) The hearing committee may, with the consent of the parties concerned, hold joint pre-hearing meetings with the parties in order to (i) simplify the issues; (ii) effect stipulations of facts; (iii) provide for the exchange of documentary or other information; and (iv) achieve such other appropriate pre-hearing objectives that will make the hearing fair, effective, and expeditious.

(3) Service of notice of hearing with specific charges in writing will be made at least twenty days prior to the hearing. The faculty member may waive a hearing or may respond to the charges in writing at any time before the hearing. If the faculty member waives a hearing, but denies the charges or asserts that the charges do not support a finding of adequate cause, the hearing tribunal will evaluate all available evidence and rest its recommendation upon the evidence in the record.

(4) The committee, in consultation with the President and the faculty member, will exercise its judgment as to whether the hearing should be public or private.

(5) During the proceedings, the faculty member will be permitted to have an academic adviser and legal counsel of his or her own choice.

(6) At the request of either party or the hearing committee, a representative of a responsible educational association shall be permitted to attend the proceedings as an observer.

(7) A verbatim record of the hearing or hearings will be taken and a typewritten copy will be made available to the faculty member without cost, at the faculty member’s request.

(8) The burden of proof that adequate cause exists rests with the institution and shall be satisfied only by clear and convincing evidence in the record considered as a whole.

(9) The hearing committee will grant adjournments to enable either party to investigate evidence as to which a valid claim of surprise is made.

(10) The faculty member will be afforded an opportunity to obtain necessary witnesses and documentary or other evidence. The administration will cooperate with the hearing committee in securing witnesses and making available documentary and other evidence.

(11) The faculty member and the administration will have the right to confront and cross-examine all witnesses. Where the witnesses cannot or will not appear, but the committee determines that the interests of justice require admission of their statements, the committee will identify the witnesses, disclose their statements, and if possible provide for interrogatories.

(12) In the hearing of charges of incompetence, the testimony shall include that of qualified faculty members from this or other institutions of higher education.

(13) The hearing committee will not be bound by strict rules of legal evidence and may admit any evidence which is of probative value in determining the issues involved. Every possible effort will be made to obtain the most reliable evidence available.

(14) The findings of fact and the decision will be based solely on the hearing record.

(15) Except for such simple announcements as may be required, covering the time of the hearing and similar matters, public statements and publicity about the case by either the faculty member or administrative officers will be avoided so far as possible until the proceedings have been completed, including consideration by the governing board of the institution. The President and the faculty member will be notified of the decision in writing and will be given a copy of the record of the hearing.

(16) If the hearing committee concludes that adequate cause for dismissal has not been established by the evidence in the record, it will so report to the President. If the President rejects the report, he or she will state the reasons for doing so, in writing, to the hearing committee and to the faculty member, and provide an opportunity for response before transmitting the
case to the Board of Trustees. If the hearing committee concludes that adequate case for a dismissal has been established, but that an academic penalty less than dismissal would be more appropriate, it will so recommend, with supporting reasons.

10. Action by the Board of Trustees When dismissal or other severe sanction is recommended, the President will, on request of the faculty member, transmit to the Board of Trustees the record of the case. The Board’s review will be based on the record of the committee hearing, and it will provide opportunity for argument, oral or written or both, by the principals at the hearings or by their representatives. The decision of the hearing committee will either be sustained, or the proceeding returned to the committee with specific objections. The committee will then reconsider, taking into account the stated objections and receiving new evidence, if necessary. The Board of Trustees will make a final decision only after study of the committee’s reconsideration.

11. Procedures for Imposition of Sanctions Other than Dismissal
   a. If the administration believes that the conduct of a faculty member, although not constituting adequate cause for dismissal, is sufficiently grave to justify imposition of a severe sanction, such as suspension from service for a stated period, the administration may institute a proceeding to impose such a severe sanction; the procedures outlined in Regulation 9 shall govern such a proceeding.
   b. If the administration believes that the conduct of a faculty member justifies imposition of a minor sanction, such as a reprimand, it shall notify the faculty member of the basis of the proposed sanction and provide the faculty member with an opportunity to persuade the administration that the proposed sanction should not be imposed. A faculty member who believes that major sanction has been incorrectly imposed under this paragraph, or that a minor sanction has been unjustly imposed, may petition the elected faculty members of the Committee on Faculty Affairs as outlined in Regulation 17 below.

12. Terminal Salary or Notice If the appointment is terminated, the faculty member will receive salary or notice in accordance with the following schedule: at least three months, if the final decision is reached by March 1 (or three months prior to the expiration) of the first year of probationary service; at least six months, if the decision is reached by December 15 of the second year (or after nine months but prior to eighteen months) of probationary service; at least one year, if the decision is reached after eighteen months of probationary service or if the faculty member has tenure. This provision for terminal notice or salary need not apply in the event that there has been a finding that the conduct which justified dismissal involved moral turpitude. On the recommendation of the faculty hearing committee or the President, the Board of Trustees, in determining what, if any, payments will be made beyond the effective date of dismissal, may take into account the length and quality of service of the faculty member.

13. Academic Freedom All members of the faculty, whether tenured or not, are entitled to academic freedom as set forth in the 1940 statement of Principles on Academic Freedom and Tenure, formulated by the Association of American Colleges and the American Association of University Professors, and approved in 1948 by the Colgate University Board of Trustees (the 1940 Statement is reprinted in Section B above).

14. Administrative Personnel The foregoing regulations apply to administrative personnel who hold academic rank, but only in their capacity as faculty members. Where an administrator alleges that a consideration violative of academic freedom significantly contributed to a decision to either terminate or not reappoint him or her, he or she is
entitled to the procedures set forth in Regulation 3(f).

15. Political Activities of Faculty Members Faculty members are free to engage in political activities. Where necessary, leaves of absence may be given for the duration of an election campaign or a term of office, on timely application, and for a reasonable period of time. The terms of such leave of absence shall be set forth in writing, and the leave will not affect unfavorably the tenure status of a faculty member, except that time spent on such leave will not count as probationary service unless an agreement has been made otherwise.

16. New York State Oath Section 3002 of the Education Law of the State of New York requires that college instructors sign and subscribe to a statement to support the federal and state constitutions. New faculty members may obtain the necessary form from the Dean of the Faculty’s office. The statement must be signed and filed with that office soon after the faculty member arrives on campus.

![AMENDED OATH OF ALLEGIANCE]

Colgate University
Hamilton, New York

______________________________
Date

AMENDED OATH OF ALLEGIANCE

“I do hereby pledge and declare that I will support the Constitution of the United States of America and the Constitution of the State of New York, and I will faithfully discharge the duties of the position of ________________________ according to the best of my ability.”

______________________________
Name

17. Grievance Procedures [see also Section III.E.12.] It is the policy of Colgate University that all grievances alleged by faculty members should be heard and, if possible, resolved, informally and expeditiously, with the participation of all concerned parties. To that end, faculty members who have a grievance against the University or any of its officials are encouraged to speak directly to the appropriate official in an attempt to resolve the dispute amicably. If a resolution of the dispute is not forthcoming the faculty member is encouraged to bring the issue to the attention of his or her department chair or division director or, if circumstances warrant, directly to the Dean of the Faculty.

The University has also adopted formal grievance procedures in the foregoing Regulations; in particular, in Section 3, Probationary Appointments; Section 8, Termination of Appointments by the Institution; Section 9, Dismissal Procedures; and Section 11, Procedures for Imposition of Sanctions Other than Dismissal. In addition, the STATEMENT OF NONDISCRIMINATORY POLICY (reprinted in Section III.H.1 below) designates certain employees to coordinate Colgate’s efforts to comply with and carry out its responsibilities under Title IX of the Education Amendments of 1972, “including any investigation of any complaint alleging Colgate’s noncompliance with Title IX or alleging any actions which would be prohibited by Title IX.”

On December 2, 1985, the following procedures were adopted by the faculty for grievance related to third-year review, tenure, and promotion:
Grievance arising out of the Dean’s recommendation to the President on third-year review, tenure, or promotion should be taken by the candidate directly to the President. If the President, after consulting with the Committee on Promotion and Tenure, determines that the appeal warrants it, (1) The President may take appropriate action at that time, or (2) The President may appoint, after consultation with the elected members of the Committee on Faculty Affairs, an investigating officer or group to look further into the grievant’s concerns. The investigating officer or group will report to the President, who will then decide on the appropriate action.

If any faculty member feels that he or she has cause for grievance in any matter not covered by the procedures described above and in the foregoing Regulations, the faculty member may petition the elected faculty members of the Committee on Faculty Affairs. Such a petition should be directed to the Chair of the Committee. The petition shall set forth in detail the nature of the grievance and shall state against whom the grievance is directed. It shall contain any factual or other data which the petitioner deems pertinent to his or her case. The Committee will have the right to decide whether it is the proper body to hear such a petition and whether or not the facts merit a detailed investigation. Submission of a petition will not automatically entail investigation or detailed consideration thereof. The Committee may seek to bring about a settlement of the issue satisfactory to the parties. If in the opinion of the Committee such a settlement is not possible or is not appropriate, the Committee will report its findings and recommendations to the petitioner and to the Dean of the Faculty. The petitioner will, upon request, be provided an opportunity to present his or her case directly to the Dean of the Faculty.

D. Guidelines for Reappointment, Tenure, and Promotion

Decisions about reappointment, tenure, and promotion at Colgate University are based on the quality of performance in three areas: teaching, scholarship, and service to the University. Colgate University seeks a faculty of teacher-scholars of high quality. Excellence in teaching is the most important consideration. Yet excellence in teaching, though necessary, is not alone sufficient for retention or advancement; it cannot compensate for scholarship that is not of high quality. Similarly, no degree of excellence in scholarship and service to the University can compensate for teaching that is not of high quality. Service to the University is the third area of consideration. Different candidates may contribute to the University in different ways, but service of high quality is expected of all.

While performance in these three areas will govern decisions on all levels of retention and advancement, it should be understood that reappointment, tenure, and promotion represent different kinds of commitment on the part of the University and that expectations will consequently vary with the decision under question. It should further be understood that these decisions, especially those involving promotion with tenure, are made on a highly selective basis. In decisions about promotion to Associate Professor with tenure, excellence in teaching and scholarship are the principal criteria, while service is a third, though less, important criterion. Candidates for promotion to Full Professor are expected to demonstrate excellence in teaching and scholarship, and to have made significant service contributions to the University. The relative weighting of scholarship, teaching, and service may be different in decisions for promotion to Full Professor.

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5 Approved by the Faculty February 9, 1976. Revisions approved by the Faculty March 22, 2010.
Professor than in decisions for reappointment and tenure because tenured faculty may contribute to the University in ways that differ from junior faculty. The goal of the university is to promote qualified candidates between six and ten years after tenure; earlier promotion is contingent upon a record of outstanding scholarly achievement.

1. Teaching. Teaching is a complex task which helps a student gain knowledge, understanding, and skill in an academic subject or discipline, and enables the student to use ideas and think for him- or herself in a liberal, open-minded manner. Its evaluation requires consideration of several characteristics which should be reflected in the instructor’s performance: commitment to teaching, effectiveness as a teacher, and knowledge and mastery of the discipline.

Colgate considers teaching to be a professional commitment on the part of the instructor. Enthusiasm for teaching need not be overtly demonstrative. A quiet and deliberative manner may serve as well as a more dramatic approach, but there should be evidence of a sustained interest in teaching as a vocation.

An instructor should also be an effective teacher. Though difficult to measure, effectiveness should include an ability to inspire enthusiasm in students for the discipline and for independent work, an ability to convey central insights into the subject, and an ability to evaluate fairly and constructively the work of students, while maintaining high standards of excellence, as well as the ability to teach in a fashion that both reflects and encourages the spirit of critical intellectual inquiry and discourse consistent with principles of academic freedom and intellectual integrity.

The instructor should possess knowledge and mastery of the discipline. The instructor’s teaching should reflect both depth and breadth: a responsibility to the best and most rigorous work in the subject, as well as to the broader outlines of the discipline, including its connection with the liberal arts in general.

These qualities of teaching should be evident in departmental courses, as well as all other courses taught in the Colgate program.

Since the quality of teaching is an important criterion for reappointment, tenure, and promotion, solid evidence of it must be secured. (Peer Review of Teaching is described in Section E.3. below.) Tenured colleagues should be in a position to assess the classroom effectiveness of the instructor, particularly if they have participated in team-taught courses, attended several of the instructor’s classes, or discussed various approaches to teaching with the instructor. Senior members of the department and directors of other University programs in which the instructor participates should comment on the candidate’s knowledge of the discipline as a whole (in addition to his or her specialty), capacity to contribute courses that effectively articulate departmental or programmatic needs and objectives, and willingness to work with students in classroom functions, in advising, and outside of class.

Students are in a position to provide important evidence on teaching. Student evaluations of teaching from recent semesters form an important part of the dossiers of members of the faculty who are being considered for reappointment, continuous tenure, or promotion. In the evaluations, students are asked to describe the effort they put into their courses, how the teaching contributed to their intellectual growth and development, and to comment on the specific strengths and weaknesses of the teaching in the course. These evaluations, which reflect student perception, provide evidence regarding the degree to which the instructor’s teaching is challenging, demanding, and effective. They are one of several indicators of teaching quality. Additional evidence bearing upon the quality of an individual’s teaching may include the following: course development, curricular revision in a department or program, or pedagogical innovation; participation in Core, interdisciplinary courses, or First-Year Seminars; teaching on study groups;
directing senior theses, independent studies, or undergraduate research; incorporating service learning. As always, the standard of judgment in evaluating contributions of these kinds must be one of professional excellence.

Departments may also attempt to obtain outside evaluations of teaching excellence. Examples include student performance after graduation and evaluations of course-related materials prepared by the instructor. In addition, colleagues within the University might be asked to evaluate the individual’s contributions within the University which bear upon the qualities of teaching excellence discussed above.

2. **Scholarship** Colgate University expects that its faculty will be productive scholars of high quality. Scholarship is important in its own right for the advancement of knowledge; it is important also in the institution’s role as a leader of the educational community and for the improvement of teaching, as a means by which teaching is continually refreshed and revitalized. The quality of a candidate’s scholarship, therefore, is another important criterion for reappointment, tenure, and promotion.

In its highest form, scholarship denotes original research in a scholarly field or discipline, or its equivalent expression in the creative arts. At this level, research seeks to advance the frontiers of the field or provide new insights into old problems and dilemmas. Scholars seek to make the results of their research available to professional colleagues for their evaluation and judgment through publication. In music, theater and the visual arts, performances and exhibitions are among the means by which artists present their work to a critical audience of professional colleagues. Publication of original research in scholarly journals, chapters in edited volumes, monographs, book-length studies, edited volumes, integrative work that makes a genuine theoretical contribution to a field, and presentation of papers at scholarly conferences, serve to insure that faculty members have a continuing involvement with their professional peers and that their scholarly work has been subjected to the criticism and insights of those best able to evaluate it.

Scholarship may also be reflected in publications that examine pedagogical aspects of one’s scholarly field or interpret one’s scholarly field to a general audience, or in activities such as editing a journal or reviewing manuscripts. Textbooks and other publications that synthesize the original research of others provide evidence of scholarship. Scholarly activities such as editing a journal serve to ensure that faculty members have an ongoing connection with their professional peers.

The evaluation of the quality of scholarship is made in a number of ways. In all cases the University should seek evidence appropriate to each discipline. Members of the department should be asked to evaluate a candidate’s published and unpublished work, which may include work presented in divisional colloquia and departmental seminars. Reviews in professional journals of the candidate’s work offer an independent evaluation of that work by professional peers, and those reviews should be systematically collected. Awards and grants to support scholarly research and creative activity may be yet another measure of evaluation of scholarly endeavors by a candidate’s professional colleagues. In the creative arts, evidence of the quality of professional activity should be gathered from department peers, members of similar departments at other institutions, other artists in the same field, or published reviews.

Departments are asked to evaluate the quality of venues in which the faculty member’s work has appeared. Department chairs or, where appropriate, division directors should solicit confidential evaluations of a candidate’s scholarly work from professional peers outside the University. The candidate should be informed of the individuals who are being asked to make such evaluations. The procedures for soliciting external evaluations of scholarship depend on the type of review being conducted. For
promotion cases brought forward beyond the 15th year after tenure, the candidate, in consultation with the division director and department chair, shall have the option of selecting external reviewers who are appropriate for the appraisal of his/her scholarship after tenure. Specific procedures can be found in the guidelines (approved by the Committee on Promotion and Tenure and the Dean’s Advisory Council) that are sent to candidates and departments each year by the Dean of Faculty.

3. Service A faculty member contributes to the life of the University outside of the classroom in a number of ways — as a colleague, adviser, administrator, counselor, and participant in campus decision-making and governance. Such contributions are vital to Colgate as a residential college. The quality of a candidate’s service to the University community therefore constitutes a third important criterion for reappointment, tenure, and promotion.

Some types of service are very closely related to the teaching function. Advising students, whether academic, vocational, or personal, is an important responsibility of each faculty member. The accessibility of faculty members and their willingness to serve as undergraduate advisers help to distinguish the learning environment at Colgate. Furthermore, participation in departmental, divisional, and college-wide programs of lectures, seminars, colloquia, performances, exhibitions, readings, study groups, field trips, and the like enriches the entire intellectual life of the University. It is expected that each faculty member will help develop library and laboratory resources in his or her field.

A faculty member exists among colleagues. All members of a department contribute to the scholarly and intellectual growth of the others — by reading one another’s papers, exchanging views on issues of common professional concern, discussing scholarly books and articles. The common educational enterprise unites departmental colleagues in various ways, as in planning a departmental curriculum, recruiting new faculty members, working with concentrators, developing honors programs, etc.; a candidate interacts with colleagues outside his or her department in interdisciplinary endeavors, including the Liberal Arts Core Curriculum program. Colleagueship may be subtle and not always easy to evaluate, but it is important to developing and maintaining mutual respect, openness, and scholarly commitment.

Service on the various committees, commissions, task forces, planning groups, etc. is a normal part of each faculty member’s duties at the University. Activities that support the University’s goal of fostering a diverse and inclusive community are a valued component of service. Service is also valuable when extended beyond the campus. Activities such as serving as an officer in a scholarly organization or organizing a conference session, or advancing primary or secondary education, contribute to the intellectual community and bring recognition to the University. In such broader community service, as in direct service to the institution, judgment should be based on the quality of an individual’s contribution.

Considerable flexibility is needed in evaluating a candidate’s service to the University community because of the great variety of activities which are subsumed under this term. Departmental colleagues should be asked to evaluate the candidate’s contributions to the work and intellectual life of the department. Others in the University (or, perhaps, beyond it) in positions to evaluate the candidate’s contributions in other areas should be asked to do so by the department chair or division director. Care must be taken at all levels to insure that the evaluations of the quality of the candidate’s service are fair and based on adequate evidence and that the academic and personal freedoms of each faculty member have been preserved.
E. Procedures for Decisions on Reappointment, Promotion, and Tenure

1. Annual Appointments for Non-Tenured Faculty

It is the general practice of the college that non-tenured faculty members receive annual contracts. This is the case for (a) individuals who are appointed to continuing faculty positions in the “tenure stream”; (b) individuals who are appointed as visiting faculty members replacing members of the faculty who are on leave; and (c) individuals appointed to temporary positions created to meet short-term needs. Reappointments of non-tenured faculty members will necessarily depend on the needs of the college at the time that decisions on reappointment are made, but in all cases the appropriate standards of notice contained in the REGULATIONS ON APPOINTMENTS, TENURE, AND ACADEMIC FREEDOM (see Section III.C) will be followed.

2. Annual Consultations

Each faculty member who does not have tenure (including those on part-time appointments: Category I, laboratory instructors, and senior lecturers) receives, in a consultation with the department chair, an annual assessment of his or her teaching, scholarship, and service to the University community. A written record should be made of the consultation and signed by both the chair and the faculty member. The signature of the faculty member does not indicate that he or she accepts every judgment in that record. Rather, it merely indicates that the person has read it. Should that person choose to do so, he or she may respond, and/or comment on it in writing. This information is then shared with the division director and with the Dean of the Faculty. The purpose of these annual procedures is to give un-tenured faculty members a candid and constructive assessment of their performance at Colgate in the three areas — teaching, scholarship, and service to the University — considered relevant for all decisions on reappointment, promotion, and tenure.

Parallel procedures for athletic faculty were approved by the Dean’s Advisory Council and the Committee on Faculty Affairs in May 1987 and are on file in the Office of the Dean of the Faculty.

3. Faculty Evaluation of Teaching

is intended to help its members fully develop their abilities as teachers and to provide adequate information for tenure and promotion decisions.

Faculty evaluation of teaching can occur in many ways. For example, there may be evaluation of candidates’ syllabi and other teaching materials; of their work in redesigning old courses and designing new ones; of the quality of their comments on or criticism of student examinations, papers or other productions; of their effectiveness in working with students outside the regular classroom. Qualities of intellect, articulateness, organization of thought and range of knowledge and interest relevant to teaching can be observed in departmental, divisional, or university-wide presentations, or by visits to classrooms or during participation in various forms of joint teaching.

Departments select the modes of evaluation most appropriate to their discipline and pedagogy. Once selected, those modes should be registered with the Dean’s Advisory Council and the Committee on Promotion and Tenure. This procedure also extends to the Library and Department of Physical Education.

It is the responsibility of department heads to provide each un-tenured faculty member with a yearly assessment of his or her teaching. This assessment is part

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6 Annual Consultations are not mandatory for Category I faculty who have been promoted to Associate Professor.
of the letter of annual consultation. These assessments, like the letters of annual consultation, are for the information and assistance of the faculty member. They are not to become part of the dossier submitted for a decision on third-year comprehensive review, tenure, or promotion.

Third-year comprehensive review, and decisions on tenure and promotion, require a broadly based faculty evaluation of the candidate’s teaching. Faculty of higher ranks than the candidate’s participate in these evaluations. It is the responsibility of each department to collect and provide, in a timely way, the materials and information that faculty need to make their evaluations. These evaluations become part of the candidate’s dossier used by the Dean’s Advisory Council when it makes decisions.

The modes of faculty evaluation of teaching used within a given department are described in writing and are on file in the Office of the Dean of the Faculty where they are available to any faculty member. Department chairs are responsible for communicating the specific procedures to the new faculty members. Division Directors are responsible for seeing that these descriptions accurately describe each department’s procedures.

4. **Student Evaluations of Teaching** Although evaluations of teaching are made in a number of different ways, the college also utilizes student evaluations.

On December 4, 1984, the Faculty voted to adopt a new Student Questionnaire (see below). In May 1987, both the Dean’s Advisory Council and the Committee on Faculty Affairs approved a parallel form for student evaluation of coaches that is on file in the Office of the Associate Dean of the Faculty.
STUDENT QUESTIONNAIRE

STUDENT QUESTIONNAIRE COVER SHEET

Student evaluations are to be solicited in each course each term.

The individual administering this questionnaire must be a responsible person other than the course instructor. Administer the questionnaire during scheduled class time in the last two weeks of classes.

1. Please allow at least 20 minutes at the beginning of the class period for completion of SET forms. The following instructions are to be read aloud prior to distribution of SET forms to students:

   The faculty and administration of Colgate University pay close attention to student evaluations of teaching. Since these evaluations can help members of the faculty improve their courses and their teaching, your responses to the questions on this form will be made available to your instructor and to the chair of his or her department after final grades for the course have been received by the Registrar. Student evaluations of teaching from recent semesters will also form an important part of the dossiers of members of the faculty who are being considered for reappointment, continuous tenure or promotion. The extent to which student evaluations will influence such personnel decisions, enhance the quality of courses, and increase the effectiveness of teaching will depend on the thoughtfulness and clarity of your comments. We, therefore, ask for your constructive responses to the questions on this form. Please avoid using pens with blue ink and pencils, since they photocopy poorly.

2. It is very important that all information requested below on this cover sheet be completed. Be particularly careful to include course number, section and number of students enrolled.

3. Completed forms should be given to the department or program secretary to be kept locked in a file cabinet until brought to the Office of the Associate Dean of the Faculty. All completed SET forms should be hand delivered to 105 Mcgregory within a week of the last day of classes. Do NOT use campus mail.

4. The course instructor is not to have access to the handwritten student responses until after the course grades have been submitted to the Registrar’s Office.

5. Do not attach any department evaluations to the student questionnaires.

Name(s) of Instructor(s): ____________________________Department(s): ____________________________
(Please include all names if team taught.)

Course (Dept/Number/Section): ____________________________
(Please also include Cross-Listed Courses: Depts/Numbers/Sections, if any.)

Term and Year: ____________________________Class Meeting Times & Days: ____________________________
Total Number of Students Enrolled in the Course: ____________________________

Number of Students Completing the Questionnaire: ____________________________
Signature: ____________________________
(Person who administered SETs)

Position: ____________________________
Date: ____________________________

STUDENT QUESTIONNAIRE

Semester ______________ Course ______________ Instructor ____________________________

1. Why did you take this course?

2. Describe the effort that you put into this course.

3. What did you get out of this course? How has this course contributed to your intellectual growth or education?

4. Please describe in precise terms your opinion of the quality of teaching in this course, giving special attention to what you consider important strengths and/or weaknesses.
The following regulations for the administration of student questionnaires, voted by the faculty, are in effect: (a) the questionnaire shall be given in each course each term;\(^7\) (b) the questionnaire shall be given out in class by a responsible person other than the regular instructor; (c) the questionnaire shall be given out during the last two weeks of class, but not during the class period before or after an examination; (d) the questionnaire shall be administered at the beginning of the class period, and at least 20 minutes should be set aside to allow ample time for students to write comments; (e) the individual who administers the form is to read aloud the introductory statement prior to distribution of the forms to students; (f) to insure timely processing, for the benefit of both faculty and students, typing of student responses is required only in classes with an enrollment of fewer than 15 students; and (g) faculty will receive student comments only after grades for the course have been received by the Registrar.

In addition, the Faculty urges the Student Association to inform students regularly of the importance of SET forms.

Finally, the Faculty approved the following procedure to govern the use and distribution of the comments from the questionnaires:

a. The individual faculty member should be provided with one copy of the completed forms.

b. The department chair should receive one copy.

c. The faculty member shall also have the right to submit a written commentary on the questionnaires. This written commentary shall be attached to all copies of the departmental written evaluation for that faculty member.

d. The questionnaire reports may be used by appropriate faculty members in departmental discussions of individuals being considered for reappointment, promotion, and tenure.

5. Institutional Needs in Hiring and Third-Year Comprehensive Review

In its report

\(^7\) In its meeting of May 4, 1987, the Faculty voted that results of Student Evaluation of Teaching Forms for first-time participation in General Education [now titled Liberal Arts Core Curriculum] course will be excluded from materials used for purposes of third-year review and tenure evaluation, unless otherwise requested by the faculty member.
of June 28, 1978, which was endorsed by the Faculty at its meeting of September 11, 1978, the Committee on Faculty Affairs noted that:

It has become increasingly clear that certain institutional factors must help to guide our pre-tenure personnel decisions. Such factors as the field of specialization of the candidate, the future need of the college for that specific field, and the age structure and percentage tenured in a given department need to be considered at a number of points.

Obviously, the first time for such consideration is at the point of hiring. These institutional concerns need to be reflected in our hiring practices and shall be considered by departments, division directors and the Dean of the Faculty before authorization is given to recruit for a specific position. The Third-Year Review is the most appropriate time for the institution as a whole to reexamine those decisions. The Third-Year Review has taken on greater importance over the past few years and it is necessary that the University continue to make discriminations at this point in anticipation of eventual decisions on tenure .... The candidate's past and potential contribution to departmental and institutional needs shall be a part of the Third-Year Review ....

Following passage of the Faculty resolution endorsing the report, which had requested the Dean of the Faculty “to insure that appropriate actions are taken to implement the Committee’s recommendations on Hiring and Third-Year Review Practices,” the Dean’s Advisory Council developed a statement concerning implementation of those recommendations. The following excerpts are taken from the January 16, 1979 statement of the Dean’s Advisory Council:

It is the Dean’s Advisory Council’s understanding that the recommendations were meant to focus our attention on such institutional factors, but not meant to create an inflexible series of guidelines based solely on such factors as the percentage tenured or the number of students enrolled in a particular department. Such factors are important and need to be seriously examined; however, specific decisions will require a discussion of complex issues not easily reduced to numbers . . . .

Hiring We would expect that the most careful analysis of institutional need for a position would be done at the point of hiring. This analysis would benefit from periodic reviews of departmental programs and staffing . . . . Careful decisions at the point of hiring will decrease the possibility of institutional concerns being crucial factors in third-year review. Division directors now review requests for authorization to recruit personnel with chairs. At that point, they will also review the position in terms of departmental and institutional needs. The resulting recommendation made to the Dean will be submitted to the Dean’s Advisory Council for further discussion if desired by the Dean or a division director.

Third-Year Review The departmental evaluation of candidates for the third-year review will need to include a section on the relationship of departmental and institutional needs to the position and individual being considered. As pointed out in the Faculty Affairs Committee report to the faculty, the University has had this as a goal in third-year review for some time now, and the recommendation is simply to implement what has already existed as policy. Division directors will review the positions with chairs prior to the development of that evaluation and suggest questions which should be addressed.

6. Third-Year Comprehensive Review For individuals appointed to continuing faculty positions in the tenure stream, a comprehensive review of their performance is undertaken in the third year. For Category I faculty, this comprehensive review will take place in the fourth year of teaching at Colgate. Faculty members who come to Colgate as full-time faculty with credit for one year of previous teaching elsewhere will undergo comprehensive review in the fall of their third year at Colgate and tenure review in the spring of their fifth year. Faculty who have come with credit for two years of previous teaching elsewhere will undergo comprehensive review in the spring of their second year at Colgate and tenure review in the spring of their fourth year. Faculty who come with credit for three years of previous teaching elsewhere will normally be reviewed on the basis of the candidates’ potential contribution to departmental and institutional needs in the spring of their second year of teaching at Colgate, followed by a fall tenure review in the third year.

This comprehensive review, which is made by departments and submitted to the
Dean’s Advisory Council, is based on the quality of the individual’s teaching, scholarly promise in addition to the Ph.D. dissertation, and service to the University. The third-year review is meant to insure that individuals who pass this stage are of sufficient quality that continued appointment up to the tenure decision is warranted. In addition, as is the case with all reappointments of non-tenured faculty members, college-wide needs will properly be taken into account when making decisions at the third-year review level. The recommendations of the Committee on Faculty Affairs, which were approved by the Faculty in September 1978 (and which are quoted in the preceding Section III.E.5), underline the importance of the third-year review as “the most appropriate time” for the institution as a whole to reassess personnel decisions in light of institutional needs. As the Committee concluded, “it is necessary that the University continue to make discriminations at this point in anticipation of eventual decisions on tenure.”

It should be clear to all candidates that a positive decision at the third-year review stage does not have any necessary implications for an eventual decision on tenure, which is made in a candidate’s sixth year.

The following procedures and standards for the third-year comprehensive review have been approved by the Dean’s Advisory Council:

a. Departments should review individuals who are in the third year of their appointment at Colgate. This departmental review must be completed by the date set by the Dean of the Faculty.

b. The departmental review should be made by all tenured members of the department and is based on the individual’s teaching, scholarly promise in addition to the Ph.D. dissertation, and service to the University community. The review should also include an analysis of departmental and institutional needs in relation to the individual and position being considered. Chairs should consult with their division directors prior to the development of this evaluation.

c. Departmental recommendations should be made in writing to the division director by the date set by the Dean of the Faculty and should be accompanied by evidence or statements on all three areas of performance. The Dean’s Advisory Council, which will review the departmental recommendations and the evidence presented, makes its recommendation to the Dean of the Faculty on each case.

d. A decision to terminate a faculty member in the tenure stream after the fourth year will be made on the basis of one of the following considerations:
   (1) Inadequate teaching with insufficient evidence of potential for improvement.
   (2) Non-completion of the Ph.D. or insufficient evidence of significant scholarly promise beyond the Ph.D. (Successful candidates must have completed the Ph.D. by January 1 of the third year as documented by a letter from the Ph.D.-granting institution.)
   (3) Failure to satisfy or to show promise of satisfying reasonable expectations for service as expressed in Section D, “Guidelines,” concerning service to the university community.
   (4) Evidence that the candidate has not met the pedagogical or curricular or professional expectations established at the time of hire.
   (5) Institutional needs and priorities which would mandate a termination or redefinition of the position.

A checklist of items to be included in the third-year review recommendations has been developed by the Dean’s Advisory Council and is available from the division directors’ or Dean of the Faculty’s offices.

7. Tenure Guidelines The Board of Trustees, in January, 1979, accepted the faculty endorsement of the Committee on Faculty Affairs proposal on tenure guidelines. The following passage from the June 28, 1978 report of the Committee on Faculty Affairs outlines the revised Colgate Tenure Guidelines.

Tenure Guidelines We propose a flexible, long-term tenure guideline range of 55
percent to 65 percent of faculty in the tenured ranks. Tenure decisions for each class would be based on individual merit.

If a trend develops which suggests that we are making tenure decisions which would take us below 55 percent, this shall be taken as an indication that personnel policies are in need of review. Continued tenure decisions which would yield fewer than 55 percent of the faculty on tenure should raise questions about the future leadership of departments and the University, and about the quality of the applicant pool, our hiring practices, the possible need for senior-level appointments, and the effect on junior faculty morale. Similarly, a trend which would take us above 65 percent shall also indicate the need for a review of faculty personnel policies and an examination of the impact of such a trend on departments, the University, faculty quality, and faculty salaries. In considering either situation, we should differentiate between short-run aberrations due to the age structure of the faculty and changes in the retirement age and longer-run implications. Initial investigations shall be conducted by the Dean’s Advisory Council and the Faculty Committee on Promotion and Tenure, with results passed on to the Faculty Affairs Committee.

8. Promotion to Associate Professor with Tenure Decisions on tenure and promotion are made in accordance with the REGULATIONS ON APPOINTMENTS, TENURE, AND ACADEMIC FREEDOM (see Section III.C.) and the GUIDELINES FOR REAPPOINTMENT, PROMOTION, AND TENURE (see Section III.D.), both printed above. In the case of tenure and promotion to Associate Professor, recommendations, positive or negative, are normally made for full-time faculty by departments in and not later than the fall of a candidate’s sixth year (counting previous teaching experience as appropriate), after review by all tenured members of the department. Relevant evidence is compiled by the department chair; the individual faculty member under consideration has a right to supplement these materials with additional evidence if he or she desires (for more specific enumeration of the items to be included in tenure and promotion files, see Section III.E.11). The department’s recommendation, together with all the evidence, is reviewed with the division director, who forwards the materials to the Dean of the Faculty. Regardless of the departmental recommendation, all faculty members otherwise entitled to a tenure review by the Dean’s Advisory Council may have that review. The academic division directors and the Dean of the Faculty, meeting as a committee in the presence of the elected Faculty Committee on Promotion and Tenure and (if he or she chooses to be present) the President of the University, review the departmental recommendations and the evidence submitted for each candidate. Recommendations for tenure are made by this group to the Dean of the Faculty. The Dean of the Faculty, in turn, makes tenure recommendations to the President of the University, who may accept, modify, or reject them in submitting final proposals to the Board of Trustees. The Board of Trustees makes final decisions on tenure.

9. Promotion to Full Professor Associate professors are expected to continue to progress professionally, establishing records that qualify them to stand for promotion to Full Professor, typically six to ten years after receiving tenure.

A faculty member’s candidacy for promotion may be initiated in various ways. Typically, the full professors in a department will inform the division director that a candidate is being brought forward. In some circumstances, the candidate may initiate the process, in consultation with the division director; the division director may also, in consultation with the Dean of Faculty, initiate the process.

Recognizing that the timing for promotion to Full Professor is not fixed, and in the interest of providing clarity within departments and advice for potential promotion candidates, there should be periodic assessments of whether the promotion process for a particular candidate should move forward in the fifth year following tenure and every four years thereafter. These meetings should include the full professors of a given
department (or of the department and program, in the event of a joint appointment) and should be convened by the division director. (If there are no, or too few, full professors in the department, the division director should assemble a small group of full professors from within the Division.) These meetings should include a frank discussion of the standards and expectations for promotion within the department as well as an assessment of whether the candidate in question is ready to move forward. After this discussion, the division director should then meet with the associate professor (and, if the associate professor so desires, the chair/a full professor within the department and/or program) to discuss whether, or when, the case should move forward. These regular meetings are not meant to prevent individuals from coming forward for promotion in the intervals between the meetings.

The procedure for promotion to Professor is essentially the same as that for tenure and promotion to Associate Professor. Departmental recommendations are usually made in the fall after review by all members of the department who hold the rank of Professor. Recommendations, together with all the evidence, are reviewed by the Promotion and Tenure Committee and then the division director, who forwards the materials to the Dean of the Faculty. The academic division directors and the Dean of the Faculty, meeting as a committee in the presence of the elected Faculty Committee on Promotion and Tenure and (if he or she chooses to be present) the President of the University, review the departmental recommendations and the evidence submitted for each candidate. Recommendations in promotion cases are based on the quality of the faculty member’s teaching, scholarship, and service.

In addition to the criteria contained in the GUIDELINES FOR REAPPOINTMENT, TENURE, and PROMOTION and in Regulation 2 of the REGULATIONS ON APPOINTMENTS, TENURE, AND ACADEMIC FREEDOM, the department, division directors, and the Dean of the Faculty may take into account time in rank.

The recommendations of the academic division directors and Dean of the Faculty are forwarded to the President of the University, who may accept, modify, or reject them in submitting final proposals to the Board of Trustees. The Board of Trustees makes final decisions on promotions.

10. Timetable for Tenure and Promotion Review

In recognition that the scheduling of early tenure and promotion meetings is a critical activity of the University and should be given a high priority by all concerned, the Faculty Committee on Promotion and Tenure has recommended, and the Dean’s Advisory Council has approved, the following timetable for tenure and promotion review:

a. In the spring, each candidate for tenure or promotion in the fall and his or her department chair should be given a copy of the “Checklist of Items to be Included in Tenure and Promotion Files” (available on request from the Office of the Dean of the Faculty). They should also be informed at this time of the tentative calendar for the fall tenure and promotion meetings.

b. Early in September, the same information should be redistributed with a cover letter from the Dean of the Faculty confirming the calendar for tenure and promotion decisions.

c. Each candidate for tenure and promotion should meet with his or her chair and division director to review the preparation of the candidate’s dossier before it is submitted to the Dean’s Advisory Council.

d. All tenure and promotion material should be in the division director’s office by September 24 and to the Dean of the Faculty’s Office by October 1.

e. Tenure and promotion meetings should start in the second week of October and continue at an average of twice a week until all decisions have been made.
11. Items to be Included in Tenure and Promotion Files The following is meant to identify significant kinds of evidence which should be collected regularly about a candidate’s teaching, scholarship, and service to the University community. In most instances this evidence should be collected yearly and should be evaluated in the annual consultation with the faculty member. In other cases the evidence should be sought early in the spring preceding the actual decision on tenure or promotion, in order to give sufficient time to collect and evaluate the information received. This is particularly important for evidence which must be obtained from outside the University. It is the responsibility of the department chair on the one hand and the candidate for tenure or promotion on the other to make sure that all relevant evidence is requested and obtained before the fall in which the actual tenure or promotion decision is made. Questions and problems should be addressed in the first instance to the relevant division director.

a. Teaching Each candidate for tenure or promotion is requested to prepare a statement reviewing and describing his or her development as a teacher and commenting (if the candidate wishes) on the department’s evaluation of his or her teaching competence. It is the responsibility of the department chair, after consultation with other tenured members of the department, to prepare a statement for the department reviewing and evaluating the activities, accomplishments, and contributions of the candidate in the area of teaching. This evaluation should draw upon the kinds of evidence described in the GUIDELINES FOR REAPPOINTMENT, PROMOTION, AND TENURE (Section III.D.1) and the report of the Committee on Faculty Affairs on faculty evaluation of teaching (Section III.E.3.), both of which have been endorsed by the Faculty.

In addition, it is the responsibility of the department chair to summarize and interpret the evidence generated by student evaluations of teaching. Candidates for tenure or promotion are encouraged to submit their own statements (if they wish) interpreting the student questionnaires.

b. Scholarship Each candidate for tenure or promotion is requested to prepare a general statement reviewing his or her scholarly activities: past development, current projects, and future plans. This statement should include a full description of all publications, presentations at professional meetings, presentations at Colgate colloquia and faculty seminars, research grants, and other awards, and any institutional research performed for (or any services as a consultant at) Colgate or other institutions. In addition, candidates are requested to submit any evidence bearing on the assessment of their scholarly work by other scholars in the field; e.g., reviews, citations, frequency of requests for reprints, etc.

It is the responsibility of the department chair, after consultation with other tenured members of the department, to prepare a statement for the department evaluating the quality and significance of the candidate’s scholarship. This evaluation should draw upon the kinds of evidence described in the GUIDELINES FOR REAPPOINTMENT, PROMOTION, AND TENURE (Section III.D.2).

c. Service to the University Community Each candidate for tenure or promotion is requested to prepare a statement reviewing and describing his or her service to the University community, whether departmental, divisional, or University-wide. Included as part of this statement may be a description of the candidate’s involvement in his or her professional field beyond the University and in community service more broadly considered.

It is the responsibility of the department chair, after consultation with other
tenured members of the department, to prepare a statement for the department evaluating the quality and significance of the candidate’s service. Such an evaluation should draw upon the kinds of evidence described in the GUIDELINES FOR REAPPOINTMENT, PROMOTION, AND TENURE (Section III.D.3) and in the “Checklist of Items to be Included in Promotion and Tenure Files.” In preparing this evaluation, department chairs should take into account, in the words of the Guidelines statement, that “considerable flexibility is needed in evaluating a candidate’s service to the University community because of the great variety of activities which are subsumed under this term . . . . Care should be taken at all levels to insure that the evaluations are fair and based on adequate evidence, and that the academic and personal freedoms of each faculty member have been preserved.”

It is also the responsibility of the department chair, after consultation with the candidate, to solicit evaluations of the candidate’s service from others (both inside and outside of the University community) who are in a position to evaluate the quality and significance of such service. The candidate may also (if he or she wishes) ask others to submit similar evaluations to be included in the tenure or promotion file.

Chairs of candidates for promotion should, with the candidates, revise and update previously submitted tenure material, where appropriate, in preparing a file for consideration for promotion.

12. Faculty Committee on Promotion and Tenure In a statement of policy distributed to the Faculty in November 1985, the elected Faculty Committee on Promotion and Tenure (the so-called “Watchdog Committee”) set forth the following guidelines:

a. The Committee will meet with each third-year review, tenure, and promotion candidate once the dossier has been assembled but before the deliberations begin, in order to inquire about concerns the candidate might have about fair treatment in regard to the preparation of the file.

b. The Committee will attend all meetings of the Dean’s Advisory Council when that Council is involved in making decisions on promotion, tenure, and third-year review. Our purpose is to protect the interests and welfare of the faculty as a whole, and to assure ourselves that fair treatment is accorded members of the faculty eligible for promotion, tenure, and third-year review.

c. The Committee will participate in these meetings as observers, to see to it that University policy regarding tenure, promotion, and third-year review is fairly interpreted and administered, and that all relevant evidence is presented and discussed. The Committee does not have responsibility for making decisions concerning promotion, tenure, and third-year review, and therefore the members do not discuss the candidates nor take part in the voting.

d. The Committee will receive complaints, prior to the Dean’s recommendation for promotion, tenure, or third-year review, from any member of the faculty who may feel his or her file for promotion, tenure, or third-year review has not been accorded fair treatment, and when warranted, will investigate the situation. If the Committee finds that the aggrieved member has a case, it will so advise the Dean. In the event of disagreement between the Dean and the Committee, the Committee will report to the Faculty.

e. Under no circumstances will the Committee reveal to anyone beyond those authorized to participate in the review or appeal processes any information relative to third-year review, promotion or tenure.

f. Complaints from members of the faculty concerning preparation or content of a third-year review, tenure, or promotion dossier should be addressed to the Committee through its Chair. The members of the Committee individually will not feel free to discuss any aspects of such complaints with members of the Faculty.

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8 The phrase “fair treatment” includes nondiscrimination as defined in section III.H.1.
The Committee on Promotion and Tenure also has an important role in the University’s grievance procedures. See above, Sections III.C.9(b) and III.C.17.

13. Grievance Procedure Grievances arising out of the Dean’s recommendation to the President on third-year review, tenure, or promotion should be taken by the candidate directly to the President. If the President, after consulting with the Promotion and Tenure Committee, determines that the appeal warrants it, (a) the President may take appropriate action at that time or (b) the President may appoint, after consultation with the elected members of the Committee on Faculty Affairs, an investigating officer or group to look further into the grievant’s concerns. The investigating officer or group will report to the President, who will then decide on appropriate action.

F. Compensation and Benefits

1. Compensation
   a. Faculty Appointments and Salary Payments Annual faculty appointments generally commence on July 1 and extend through June 30 of the following year. The annual appointment presumes a nine-month teaching obligation during the fall and spring terms on the part of teaching faculty members (usually late August - May) and a twelve-month working obligation on the part of library faculty, although the precise terms of each appointment may vary. Salaries are paid on a monthly basis on the 25th of each month.

   New faculty members must complete personnel records in the Office of the Dean of the Faculty and sign a statement prescribed by the State of New York to support the federal and state constitutions. In addition, they must complete other employment records in the Human Resources Department, including enrollment in the various benefit programs of the University. It is important that these records be completed prior to July 1, since no compensation payments can be processed without this information. The first paycheck for new faculty members is paid on July 25. The benefit programs for new faculty members go into effect on July 1.

   b. Salary Advances Salary advances are made at the discretion of the University and may only be requested for emergency circumstances. A request for a salary advance may not exceed 50 percent of the gross monthly base payroll and will be withdrawn from regular paychecks over a period of time not to exceed four months. Requests for salary advance are reviewed by the Associate Provost. If a request is approved, only one salary advance will be made by the University to respond to a particular emergency.

   c. Policies Governing Compensation Increases Since the early 1960’s, Colgate has made a determined effort to maintain faculty salaries and benefits comparable to those of other leading liberal arts colleges. The Faculty Compensation Guideline, a policy statement first approved by the Board of Trustees in 1973 and later reviewed and modified in 1979, provides a formula for the aggregate budgeting of salary and fringe benefit increases each year. It ties the average increase in faculty compensation to the two-year average increase of national per capita disposable personal income.

   Individual salary increases, including recognition of merit, promotion, and overall salary structure, are recommended by the President to the Board of Trustees on the advice of the Dean of the Faculty. The Dean’s recommendation is based on consultation with department chairs and division directors.
2. Benefits  The description of the benefit program available to Colgate faculty is described in the Faculty Benefits Summary, available at the Human Resources Department.

G. Retirement

Colgate provides for voluntary normal retirement at age 65 through a carefully administered pension plan. Depending on individual circumstances, members of the faculty may wish to retire before attaining age 65. The University recognizes the importance of flexibility in retirement planning and encourages members of the faculty to consider a variety of options. Questions concerning retirement planning should be directed to the Associate Provost or to the Human Resources Department.

H. Equal Opportunity, Nondiscrimination, Sexual Harassment, and Other Forms of Harassment

1. University Policy on Nondiscrimination
The following statement of the University’s policy on nondiscrimination is reprinted here for the information of members of the faculty:

STATEMENT OF NONDISCRIMINATORY POLICY

Colgate University fully subscribes to all federal and state civil rights laws banning discrimination in private institutions of higher education. Colgate will not discriminate against any employee or applicant for employment because of race, color, sex, pregnancy, religion, creed, national origin (including ancestry), citizenship status, physical or mental disability (including AIDS), age, marital status, sexual orientation, status as disabled veteran or veteran of the Vietnam era, or any other protected category under applicable local, state or federal law, such as opposing discrimination or participating in any complaint process at the Equal Employment Opportunity Commission or other human rights agencies.

The Board of Trustees has also approved the following policy statement:

All procedures and mechanisms to admit applicants to the student body of the College and to deal with them as students of the College shall be conducted and operated fairly and impartially without discrimination based upon race, color, national or ethnic origin, or handicap.

When the final implementing Regulation of Title IX of the Education Amendments of 1972 became effective in 1975, the President issued the following statement regarding Colgate’s policy with respect to prohibiting sex discrimination in its educational programs:

It is the policy of Colgate University not to discriminate on the basis of sex in the educational programs and activities which it operates. Colgate University will comply with all applicable provisions of Title IX of the Educational Amendments of 1972 and its implementing Regulation.

Inquiries concerning this policy may be directed to the Vice President and Dean of Diversity, who oversees implementation of Colgate’s Affirmative Action and Equal Opportunity plan and the University’s policy on discrimination and harassment, or to the
Director, Office for Civil Rights, U.S. Department of Health and Human Services, Cohen Building, 330 Independence Avenue, SW, Washington, D.C. 20201. The Associate Provost coordinates the University’s efforts to comply with and carry out its responsibilities under Title IX of the Educational Amendments of 1972 as amended.

Colgate University is committed to full compliance with the Americans With Disabilities Act of 1990 (ADA), which prohibits discrimination against qualified persons with disabilities, as well as other federal and state laws pertaining to individuals with disabilities. Under the ADA, a person has a disability if he or she has a physical or mental impairment that substantially limits a major life activity. The ADA also protects individuals who have a record of a substantially limiting impairment. A substantial impairment is one that significantly limits or restricts a major life activity such as hearing, seeing, speaking, breathing, performing manual tasks, walking, or caring for oneself.

The Director of Academic Program Support and Disability Services has been designated as the officer responsible for coordinating efforts to comply with this Act, including investigation of any complaint alleging noncompliance.

Pursuant to the ADA, Colgate will provide reasonable accommodation(s) to all qualified employees with known disabilities, where their disability affects the performance of their essential job functions, except where doing so would be unduly disruptive or would result in undue hardship.

An employee with a disability is responsible for requesting an accommodation in writing from his or her supervisor, who will consult with the individual and the Associate Provost to identify which essential functions are affected by the employee’s disability and what reasonable accommodation could enable the employee to perform those duties.

Employees requesting an accommodation may be required to provide medical certification from the employee’s health care provider that includes: (1) identification of the health care provider; (2) the health care provider’s diagnosis of the disabling condition; (3) specific limitations and/or suggested restrictions and their relation to the disability; and (4) suggested accommodations.

Colgate University reaffirms its commitment to promote the goals of fairness and equality in all aspects of the educational enterprise.

2. University Policy on Harassment
   a. Sexual Harassment At its faculty meeting held on December 1, 1986, the faculty passed a resolution supporting the Final Report of the Committee on Sexual Harassment. The complete report may be obtained upon request through any of the following offices: the Dean of the Faculty, the Dean of the College, or the Human Resources Department.

   The final report states, in part:
   “Colgate University explicitly prohibits harassment of one member or group of the community by another member or group. Students, staff, administrators, and faculty are entitled to a professional working environment. Those in positions of responsibility must exercise a sensitivity that precludes abusive or unprofessional actions. In particular, faculty and supervisors must avoid relationships that can compromise their evaluations of students and supervisees. Discrimination, coercion, and harassment, especially sexual harassment, have no place in the University.”
Both the Equal Employment Opportunity Commission and the New York State Division of Human Rights regard sexual harassment as a form of sex discrimination and, therefore, as an unlawful discriminatory practice. The EEOC offers the following guideline for defining “sexual harassment”: “Harassment on the basis of sex is a violation of Section 703 of Title VII. Unwelcome sexual advances, requests for sexual favors, and other verbal or physical conduct of a sexual nature constitute sexual harassment when (a) submission to such conduct is made either explicitly or implicitly a term or condition of an individual’s employment, (b) submission to or rejection of such conduct by an individual is used as the basis for employment decisions affecting such individual, or (c) such conduct has the purpose or effect of substantially interfering with an individual’s work performance or creating an intimidating, hostile, or offensive working environment.”

Colgate accepts the EEOC definition of sexual harassment, amended to address the special needs of an academic community, which consists not only of employer and employees but of students as well. The amended definition is as follows:

Unwelcome sexual advances, requests for sexual favors, and other verbal, visual, or physical conduct of a sexual nature constitutes sexual harassment when (1) submission to such conduct is made either explicitly or implicitly a term or condition of an individual’s employment or academic status, (2) submission to or rejection of such conduct by an individual is used as the basis of employment or academic decisions affecting such individual, or (3) such conduct has the purpose or effect of unreasonably interfering with an individual’s work or academic performance or creating an intimidating, hostile, or offensive working, educational, or social environment.

Faculty and administrators need to be especially sensitive to the power/authority relation in their interactions with students. Actions or remarks which emphasize the sexuality or sexual identity of a student can take on a proportion that they would not have in other contexts, one that could ultimately impair the student’s access to the educational opportunities available at Colgate. Furthermore, amorous relations between teacher and student or between administrator and student are fundamentally asymmetrical and contradict both professional ethics and Colgate policy.

b. Other Forms of Harassment

Colgate University is committed to treating all members of the University community in an equitable manner. Students, staff, administrators, and faculty are entitled to a professional working and educational environment. Colgate is committed to providing a work and educational environment free of harassment. Consistent with the university’s policy on academic freedom (Section III.B) however, Colgate’s harassment policy is not meant to inhibit or prohibit discussions inside or outside of the classroom that include controversial or sensitive matters.

Colgate’s harassment policy explicitly prohibits any form of illegal harassment, by any member or group of the community, that creates a hostile environment. A hostile environment may be created by oral, written, graphic, or physical conduct that is sufficiently severe, persistent or pervasive so as to interfere with or limit the ability of an individual to participate in or benefit from programs or activities. Colgate condemns
and will not tolerate harassment against any employee or student because of race, color, sex, pregnancy, religion, creed, national origin (including ancestry), citizenship status, physical or mental disability (including AIDS), age, marital status, sexual orientation, status as disabled veteran or veteran of the Vietnam era, or any other protected category under applicable local, state or federal law, such as opposing discrimination or participating in any complaint process at the Equal Employment Opportunity Commission or other human rights agencies.

c. Confidentiality Colgate will make every effort to handle complaints and investigations with sensitivity to both the rights of the person who complains and the rights of the accused, and will endeavor to maintain confidentiality throughout the investigatory process, to the extent practicable and appropriate under the circumstances. However, in order to conduct an effective investigation, Colgate may need to discuss the allegations with the alleged harasser or other potential witnesses. Records relating to harassment and discrimination complaints and investigations will be maintained only in confidential files, and all individuals receiving information about the allegations will be warned of the consequences of retaliation.

d. Retaliation and Disciplinary Action Retaliation against an individual for alleging harassment or for assisting in providing information relevant to a claim of harassment is a serious violation of Colgate’s policy and will be treated as another possible instance of harassment. Acts of alleged retaliation should be reported immediately and will be promptly investigated. Colgate is prepared to take appropriate steps to protect individuals who fear that they may be subjected to retaliation.

Colgate will take prompt remedial or disciplinary action against any member of the community who has been found to engage in harassing or discriminatory behavior or retaliation. For employees, remedial action may include any measures that Colgate believes will be effective in ending the misconduct and correcting the effects of the harassment. Responsive action may include, for example, mandatory training or referral to counseling, and disciplinary action such as warnings, reprimands, withholding of a promotion or pay increase, reassignment of the offender, temporary suspension without pay, or termination of employment. The Student Handbook describes disciplinary action against students. Deliberately false and malicious accusations of harassment, as opposed to complaints which, even if erroneous, are made in good faith, are just as serious an offense as harassment and will be subject to appropriate disciplinary action, up to and including termination.

3. Procedure for Dealing Informally with Complaints of Discrimination or Harassment Colgate encourages, but does not require, individuals who believe they are being harassed by a member of the community to promptly notify the person that his or her behavior is unwelcome. If for any reason an individual does not wish to confront that person directly, or if such a confrontation does not successfully end the harassment, the individual should notify the University Harassment Officer, a Harassment Advisor, a supervisor, or a dean, who may, if the individual so requests, speak to the alleged harasser on the individual’s behalf. An individual alleging harassment should be aware, however, that Colgate may decide it is necessary to take action to address the harassment beyond an informal discussion. This decision will be discussed with the complainant.

The best course of action in any case will depend on many factors and, therefore, the informal procedure will remain flexible. However, attempting to deal with a complaint informally is not required before filing a formal complaint (see section 4, below) nor does it preclude filing such a complaint.

**Harassment Advisors** In addition to existing supervisors and deans, a group of Harassment Advisors has been designated to provide advice and guidance to individuals who believe that they have been the targets of harassment. These advisors have been specially trained so that they are familiar with procedures and can be particularly helpful in explaining the definitions of harassment, identifying the various procedures available (including direct action, mediation, and/or complaint investigation), and providing information about psychological counseling and support services that exist for students, faculty and staff.

There will be nine Harassment Advisors appointed by the President to staggered two-year terms. The President shall select the Advisors for their integrity, their ability to serve as honest brokers, and their approachability by various campus populations.

Each spring in preparation for the following Fall term, the President will confirm and appoint members as necessary so that there are two principal facilitators and seven other advisors, including at least two advisors from each of the following groups: students, administrators, faculty, and support staff. The two facilitators will be expected to marshal information about sexual harassment and discrimination harassment respectively. The pool of Harassment Advisors will include at least one tenured faculty member. Since the majority of sexual harassment incidents are directed toward women, it is recommended that at least half of the members of the pool be women. There will also be at least one Harassment Advisor from the ALANA community at Colgate. Harassment Advisors will undergo annual training conducted by the University Harassment Officer, including a review of Colgate policies and procedures so that they are able to provide accurate information to members of the community. All Harassment Advisors are required to attend this annual training.

**Functions of the Harassment Advisors**

- **Listening and Providing Information** Any member of the Colgate community may talk with any Harassment Advisor about harassment or discrimination. The purpose of these meetings is to provide an objective, non-threatening environment in which the individual can voice the complaint and articulate the effects of the offensive behavior. Complainants may, if they wish, have a friend or advisor accompany them when they discuss a problem with a Harassment Advisor. As stated above, Harassment Advisors will provide the complainant with information about University policies and about available procedures and their possible outcomes.

- **Informal Mediation** Persons considering proceeding to mediation should ask a Harassment Advisor to suggest a mediator. Appropriate mediators depend on circumstances, but may include the University Harassment Officer, one of the two Harassment Advisors who also serve as facilitators, the Associate Vice President for Human Resources, or other appropriate University Official. If the complainant so desires, the Harassment Advisor will accompany the person seeking advice to the meeting with a possible mediator and at other steps in the mediation process. In mediation, the mediator will describe the complaint to the person against whom it is lodged and attempt to resolve the complaint informally.

A person seeking mediation will usually need to agree to be identified to the person against whom the complaint is lodged. The mediator should begin mediation efforts
promptly and shall report the results of mediation promptly to the complainant. The mediation process will normally be completed within 10 working days of the request for mediation to occur. If the mediator needs to consult third parties, the complainant should be notified in advance and such consultation should make every effort to protect the identity of the principals involved. After completed mediation, the mediator should follow up by contacting the complainant within thirty days and again within six months to determine whether the issues have been resolved.

c. Education of the Community Harassment Advisors will try to be educative in response to all of their contacts. In addition, they will advise on and participate in the education of the community as a whole in matters of harassment and discrimination.

d. Record Keeping and Annual Report It shall be the duty of the two facilitators to the Harassment Advisors group to prepare an annual report and submit it to the President no later than the middle of September. This report shall have two parts: (1) an outline of the number and nature of contacts, i.e. requests for information, initiations of informal mediation, complaints which have been pursued through a formal grievance procedure; (2) recommendations developed by the Harassment Advisors pertaining to Harassment and Nondiscrimination Policies or any other relevant university policy.

Harassment Advisors will forward to the facilitators a brief log of contacts made during the year. Records kept for this purpose will be kept in a confidential file in the office of the University Harassment Officer.

e. Meetings of the Harassment Advisors The Harassment Advisors shall meet as a group at least once a semester to review Nondiscrimination and Harassment Policies, to discuss the annual report and make recommendations to be included in that report, and to review the educational initiatives of the group. Individual cases will not be discussed at these meetings, and every effort will be made to respect privacy and confidentiality.

4. Procedure for Filing Formal Complaints of Discrimination or Harassment

At any time, for any level of complaint, a complainant may lodge a formal complaint through the appropriate channels whether or not a Harassment Advisor has first been approached and whether or not mediation has been tried. Harassment Advisors do not handle formal complaints.

Colgate encourages the prompt reporting of any potential violations of its harassment policy, so that it can take appropriate steps to maintain an educational and workplace environment free of harassment, and to ensure that its procedures are effective in promoting this goal. While no fixed reporting period has been established, early reporting and intervention has proven to be the most effective method of resolving actual or perceived incidents of harassment.

The procedure described below is used to resolve all formal complaints of discrimination or harassment involving university employees or students, with the following exceptions: (1) those involving persons employed under a union contract that covers these areas; (2) complaints by students against other students, procedures for which are described in the Student Handbook. This procedure is not a substitute for the appeals procedure concerning decisions in faculty promotion, tenure, or third-year or comprehensive reviews (described in Chapter III, Section C.17); however, filing an appeal under that process does not preclude access to the procedure for formal claims of discrimination and harassment. Similarly, the procedure described below is not a substitute for the review of grade procedure (described in Chapter IV, Section E.2) but going through the grade review process does not preclude access to the procedure for formal claims of discrimination and harassment.
**University Harassment Officer** Formal complaints of discrimination or harassment should be made to the University Harassment Officer. Upon receiving a complaint, the University Harassment Officer will promptly investigate the complaint and make a preliminary determination as to whether or not the available evidence appears to support the complainant’s charge; during the academic term, this will normally take place within 20 working days. If the complaint appears to have merit, and resolution attempts are unsuccessful, the University Harassment Officer will refer the case to the Discrimination and Harassment Hearing Committee, defined below. Where, in the opinion of the University Harassment Officer, the case lacks merit, the complainant will be so advised, but the complainant may nonetheless request a formal review by the Hearing Committee.

**Discrimination and Harassment Hearing Committee** The Discrimination and Harassment Hearing Committee will consist of six members: three elected members of the Committee on Faculty Affairs, appointed annually; and three members of the clerical, technical, and administrative staff, appointed to three-year terms by the Provost of the University with the advice of the University Harassment Officer. The Hearing Committee will elect its own Chair.

Hearings will be convened as soon as is practicable and will be conducted in private. Participants will include members of the Committee, the University Harassment Officer, the complainant and any respondents (or their representatives), as well as called witnesses. The complainant and the respondents shall exchange names of called witnesses two days prior to the hearing. All parties will have ample opportunity to present facts and arguments in full, and may invite other persons to testify, including the University Harassment Officer. Formal rules of evidence will not apply; any evidence which the Committee believes is relevant may be admitted. The Committee may also exclude irrelevant or immaterial evidence. The Chair will rule on all matters of procedure and admissibility of evidence.

After hearing evidence and arguments, within 10 days the Hearing Committee will forward to the Provost a written statement summarizing the evidence and presenting the Committee’s findings and recommendations. In case of a tie vote, the Committee will forward the reasons on both sides of the issue to the Provost. The University Harassment Officer will also forward his or her opinion. Where issues of competency or performance are concerned, the Committee will not substitute its judgment of competency or performance for the judgment of appropriate officials; the function of the Hearing Committee is to determine whether those policies, processes, and criteria used in arriving at judgments of competency or performance were consistent with the University’s policies regarding harassment and nondiscrimination.

**Role of the Provost** Within a prompt and reasonable time frame, normally no more than 30 days after receiving the report of the Hearing Committee, the Provost will formally notify the Committee, the University Harassment Officer, the parties to the grievance, and appropriate administrative and supervisory officers of his or her conclusions and specify what actions, if any, shall be taken. If his or her decision departs from the recommendations of the Hearing Committee, the Provost will provide a written explanation to the Dean, the complainant, and the chair of the Committee. The final decision of the Provost is binding and shall not be subject to review under any other grievance procedure in force in the University.

5. **Employment of Spouses and Other Relations** Colgate does not discriminate on the basis of marital status. It will consider applications from spouses or other relatives of employees in terms of professional criteria. Colgate expects all individuals to remove
themselves from functioning as either advocate or judge in employment matters whenever there is apparent conflict of interest. Employees should neither initiate nor participate in institutional decisions involving a direct benefit (initial appointment, retention, promotion, salary, leave of absence, etc.) to members of their immediate families or persons with whom they hold comparable relationships.

Colgate attempts to assist relatives of faculty and administrators in exploring opportunities for employment by making the resources of the Office of Career Services available to them. The Office of the Dean of the Faculty also assists spouses and other members of the household seeking employment as college faculty by providing information about opportunities both at Colgate and at local area colleges.

6. Policies Concerning Pregnancy and Infant Care Leave Faculty-approved policies concerning Family and Medical Leave — available to faculty members of either sex — are contained in the section below on LEAVES OF ABSENCE (Section III.K.4).

I. Affirmative Action

1. Affirmative Action Plan for Faculty Recruitment In the Affirmative Action Plan of Colgate University, adopted November 4, 1974, the President of the University stated that:

   In its employment practices Colgate University has adopted an affirmative action policy under which it attempts to recruit women and minority group members in accordance with the goals and timetables described in the Affirmative Action Plan of Colgate University. All persons responsible for recruitment, supervision, promotion, and termination of employment of any University employee are charged with the effective implementation of the University’s affirmative action and nondiscrimination policies.

   At its meeting of November 6, 1978, the faculty, acting on the recommendation of the Faculty Committee on Affirmative Action Oversight, reaffirmed its commitment to the affirmative action goals adopted in 1974. In its meetings on November 2, 1981 and, again, on April 9, 1984, the faculty adopted revised goals for three-year periods. The plan adopted by the faculty on April 3, 1989 was thoroughly reviewed, brought up-to-date in a revised form, and formally adopted by the faculty vote on November 4, 1996 (for full text see http://offices.colgate.edu/aa/). It includes the Affirmative Action Plan, the Equal Opportunity, Nondiscrimination, Sexual Harassment and Other Forms of Harassment Policy listed above, and Faculty Goals which are based on availability statistics. The Vice President and Dean of Diversity provides the chair of all faculty searches with the latest statement of procedures used to implement these policies.

Affirmative Action Policy

   We are also committed to policies of affirmative action designed to increase the employment of minorities, women, persons with disabilities, disabled veterans, and veterans of the Vietnam era. We aspire to broaden the diversity of our educational community. We recognize that this will require that we offset geographical isolation in order to create a rich representation of racial/ethnic minorities in order to attract other members of these groups. We also aim through affirmative action to help overcome the effects of both conscious and unconscious discrimination as well as the under representation experienced by these groups and women.

Faculty Goals

   While we recognize that numerical goals cannot be the sole measure of our success, we
adopt the following goals to guide our good faith efforts as we recruit and select faculty from pools of qualified applicants.

1. Hiring and Appointments
   a) The University will make every good faith effort to achieve the goal that at least 20 percent of the faculty hired at the instructor and assistant professor levels shall be minorities. This goal applies to overall hiring and separately to hiring into the tenure stream.
   b) The University will make every good faith effort to achieve the goal that at least 40 percent of the faculty hired at the instructor and assistant professor levels shall be women. This goal applies to overall hiring and separately to hiring into the tenure stream.
   c) The University will ambitiously seek to fill positions at the associate or full professor rank, including visiting distinguished chairs, with African-American and other Blacks, Hispanics, other national minorities, or women, in accordance with our commitment to diversity, to nondiscrimination and to affirmative action.

2. Retention, Opportunities, and Development
   a) The University will make every good faith effort to improve its retention of women and minority faculty members. To that end it recommends the plans for action in VI.B in the Equal Opportunity and Affirmative Action Employment Plan of October 1996.
   b) Appointments of women faculty and faculty of color to positions of leadership, such as Academic Deans, Division Directors, Department Chairs, and Program Directors shall increase as the numbers of women and people of color increase at the associate and full professor level.
   c) The University will ensure that there is equal opportunity for opportunities for professional growth, such as leaves of absence and attendance at workshops and conferences.
   d) The University will ensure that teaching, research, and administrative assignments are made in accordance with our policies of nondiscrimination and affirmative action.

2. Implementation of Affirmative Action Policy
Since adoption of the Affirmative Action Plan of Colgate University in 1974, directors of affirmative action have been responsible for helping to implement University policy. For the first few years, the Assistant Dean of the Faculty served as affirmative action director for academic personnel, while the Director of Nonacademic Personnel functioned as affirmative action director for administrative and nonacademic personnel.

In the spring of 1976, following a request made at the April Faculty Meeting, the Dean of the Faculty appointed a faculty committee to recommend “ways of improving the Faculty’s achievement of its affirmative action goals.” In May 1977, after a full-year’s study, the Dean’s Committee on Affirmative Action delivered a comprehensive final report with recommendations addressed to “the Faculty, Academic Departments, and the Dean of the Faculty.” At its meeting of September 19, 1977, the Faculty established a standing Faculty Affirmative Action Oversight Committee, as recommended in the 1977 report. The Committee works closely with the Director of Affirmative Action and reports at least once a year to the faculty. In the fall of each year, the Director of Affirmative Action reports to the Faculty on the previous year’s recruitment and hiring in light of affirmative action goals.

In January 1978, acting on the recommendation of the Dean’s Committee on Affirmative Action, the Dean of the Faculty created a new half-time position of Director of Affirmative Action for Academic Personnel, reporting directly to the Dean of the Faculty.

In January 1979, the President of the University named the same officer Director of Affirmative Action for all employment on the Colgate campus, thus adding administrative and staff personnel to the other responsibilities. In this latter capacity, the Director of Affirmative Action reports to the Dean of the Faculty/Provost. At the same
time an advisory committee on affirmative action oversight for administrative and staff personnel, whose membership includes three faculty members from the Faculty Affirmative Action Oversight Committee, and three persons holding administrative positions, was appointed by the President.

In 1985, the position of Coordinator of Affirmative Action for administrative and staff personnel was created. The Coordinator works closely with the Director of Affirmative Action and administers the Affirmative Action and Equal Opportunity policy of the University as it affects the administrative and staff personnel. This division of labor allows the Director to concentrate mainly on the faculty in administering Affirmative Action Policy.

In April 1989 and again in November 1996, the Faculty adopted Equal Opportunity and Affirmative Action Employment Plans which each included specific goals and plans for action for recruiting, hiring, and retention of faculty, administration, and staff.

In 2005, the positions of Dean for Institutional Diversity and Director of Staff Affirmative Action were created. The Dean’s responsibilities include those of the former Director of Affirmative Action. The Director’s responsibilities include those of the former Coordinator of Affirmative Action for administrative and staff personnel.

J. Professional Activities

Within the limit of its resources Colgate University attempts to assist faculty members in their professional development as teachers and as scholars. Some of the more important mechanisms by which the University provides such assistance are outlined below.

1. Travel to Professional Meetings

Faculty members wishing to attend or participate in professional meetings are eligible to apply for travel grants. Funds are allocated by the Dean of the Faculty’s Office but application is made through the divisional offices.

The current policy on travel funding was approved by the Dean’s Advisory Council and is distributed to all faculty members in a memorandum from the Dean. Regulations governing participation and attendance grants are as follows:

**Participation Grants** A faculty member will be reimbursed by the University for travel costs associated with active participation in one or more professional meetings. Participation will be defined as presenting or reading a paper or being a discussant on a panel. The following costs will be reimbursed up to a maximum of $1,250 per year:

- a. Transportation: for air or train fare, limousine service, or mileage (at the standard mileage rate set by the Internal Revenue Service)
- b. Local travel at convention site: from airport or station to meeting and return
- c. Registration Fee
- d. Accommodations and Meals: Allowance toward cost is $180/day. Maximum unreceipted expense of $25/day for meals.

**Attendance Grants** Faculty members who wish to attend one or more professional meetings without actively participating may request reimbursement up to a maximum of $1,250 a year.

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11 A faculty member who attends one meeting and participates in another may apply for reimbursement for both meetings but total reimbursement for expenses connected with both trips may not exceed $1,250 a year.
$500 per year to help defray expenses of the following: transportation, registration fees, accommodations, and meals. The same limits for reimbursement apply within these categories.

Faculty members who anticipate applying for participation or attendance grants are advised to do so well in advance of the meeting. Normally, travel advances are available one week prior to the date of the trip. Advances should be cleared within seven days from the date of the return.

2. Grant Support The Office of Corporate, Foundation, and Government Relations (Grants Office) is part of the Division of Institutional Advancement and provides the primary contact for faculty with external funding sources. The office will assist faculty members in identifying potential sources of support for research and in completing applications. The Grants Office also maintains a reference library of grant sources for both individual and institutional projects which faculty members are invited to use. For additional information about this office, including the procedure for submission of all grant applications to corporations, foundations, or state or federal government agencies, see Section V.A.

3. Council for Faculty Development The following description of the purposes of the Council for Faculty Development is taken from its memorandum of February 2, 1976, to the Faculty:

   Our main interest will be the improvement of teaching and academic advising. Curriculum improvement will also be our aim if the development represents a new departure for a faculty member and promise to increase the scope of his or her teaching in significant ways. We will not be directly concerned with research as such, since that is the special interest of the Research Council. The Council for Faculty Development has two specific functions. First, to encourage discussion of how teaching and academic advising can be improved at Colgate. Second, to fund worthy projects for the improvement of teaching and advising ….

   The Council for Faculty Development sponsors individual projects as well as programs for curricular innovation and improvement which affect a sizable number of faculty and students at Colgate. Proposals generally fall into one or more of the following categories: improvement and expansion of teaching skills; attendance at conferences or workshops outside the faculty member’s area of expertise; experiential travel related to course development; development of workshops and conferences at Colgate; and development of ideas about student academic advising.

   The Council has also initiated programs to engage Colgate faculty in discussions of general intellectual, curricular, and pedagogical issues that extend across departments and divisional lines. These programs can take the form of panel discussions among faculty members, informal seminars and discussion, and two or three day short courses.

   Large grant proposals are considered by the Council twice a year, while smaller discretionary grants are made by the Council Chair. Questions concerning the Council for Faculty Development should be directed to its chair or to any of its members.

4. Humanities Division Faculty Development Fund The Division of Humanities has available a limited fund for members of the Humanities faculty for projects involving substantial research and professional self-development not funded by the Research Council. Support is also granted for invited participation in professional conferences and symposia not eligible for funding by the Dean of the Faculty’s Office, and library
privilege fees and the acquisition of special materials. Modest subsidies for support of publication or creative production may also be requested. Recommendation for support from the applicant’s chair should accompany every request.

Each proposal for assistance will be considered on its own merits; larger awards must include copies of proposals sent to other funding agencies and will be reviewed in consultation with senior members of the Division. No applicant will ordinarily be considered whose project or proposal has already received support from the Colgate Research Council or from the Council for Faculty Development.

Questions and applications should be directed to the Director of the Division of the Humanities.

5. Research Council

The Research Council is a faculty committee appointed by the Dean of the Faculty to establish policies for and disburse that part of Colgate’s budget which is allocated to the support of faculty research. Members of the Council are chosen from each division to present a balanced representation of divisional and departmental interests. Questions should be directed to the Chair or to members of the Research Council.

a. Definition and scope of activities

“Research” is understood by the Council to mean scholarly endeavor that has as its objective the publication of the results of that effort. In the case of visual and performing arts projects, the work is expected to be displayed through public presentation. Activities aimed directly at the improvement of teaching are not eligible for funding by the Research Council; requests for support of these activities should be directed to the Faculty Development Council (see Section III.J.2.).

Within its budgetary limits, the Council provides discretionary, student wage, and major grant funds to support research activities (e.g., research-related travel, limited purchase of equipment, research assistants) and the preparation and dissemination of final manuscripts (e.g., computer loans, typing and photographic work, publication charges, reprints). The Research Council Guidelines outline the activities and items that are and are not eligible for funding. In addition, the Research Council is involved in the decision-making process for Associate Professor and Senior Faculty Leave support. (Faculty leaves are described in Section III.K.).

b. How and when to apply

Guidelines for applying for discretionary grants, student wage grants, major grants, Associate Professor and Senior Faculty Leaves are distributed to all faculty members at the beginning of the academic year. Requests for discretionary funds (up to $1,000 per year) and for student wages (up to 300 hours per year) may be submitted to the Chair of the Research Council in the form of a letter at any time. Applications for major grants (usually up to $4,000), Picker Fellowships, Associate Professor and Senior Faculty Leaves should be submitted to the Chair of the Research Council in the manner outlined in the Guidelines by the announced deadline, which is generally early in January. Funding for major grants, Picker Fellowships, Associate Professor and Senior Faculty Leaves is limited and based on the merit of the submitted proposal.

6. Institutional Review Board

To aid in compliance with the Department of Health and Human Services Code of Federal Regulations concerning Protection of Human Subjects, in 1980, the Office of the Dean of the Faculty created an appointed committee, the Institutional Review Board, to review all research involving human subjects conducted by faculty and by students for research projects in courses or independent study at Colgate. Faculty and students seeking to conduct research using human subjects should consult the IRB web pages on Colgate’s website for current
information and procedures. Research projects that require review may not commence until approval of the Board is received.

7. Animal Care and Use Committee Colgate seeks to meet the standards of the Public Health Service Policy on Humane Care and Use of Laboratory Animals. Since 1986, the Animal Care and Use Committee has been composed of several faculty members of the Division of Natural Sciences and Mathematics, the Associate Provost, a veterinarian in the private practice, and a member of the Hamilton community. Any member of the faculty intending to use living animals for teaching or research must contact the Chair to submit a plan for use of animals for review by the committee. Use of animals cannot proceed until the Director of the Division of Natural Sciences and Mathematics is notified in writing of the approval of the plan.

8. Scientific Misconduct The Health Research Extension Act of 1985 (P.L. 99-158) requires applicant organizations to establish a set of administrative procedures for investigating reports of scientific misconduct in biomedical and behavioral research occurring within the organization. The Public Health service defines “scientific fraud” as “(1) serious deviation, falsification, or plagiarism, from accepted practices in carrying out research or in reporting the results of research; or (2) material failure to comply with Federal requirements affecting specific aspects of the conduct of research, e.g., the protection of human subjects and the welfare of laboratory animals.”

Accordingly, the following procedures were established by the Dean of the Faculty in January 1990 to comply with Federal Final Rule 42 CFR Part 50, as published as 54 FR 32446, August 8, 1989.

   a. Inquiry Whenever a suspected case of scientific misconduct arises, the particulars are to be reported immediately to the Dean of the Faculty. The Dean, or a delegate, will promptly initiate an inquiry to determine whether or not there is sufficient evidence of possible misconduct to conduct a formal investigation of the charges. The inquiry and written report (part c below) shall be completed within 60 days of receipt of the allegation.

   b. Investigation If an inquiry of alleged scientific misconduct provides sufficient basis for conducting a full investigation, such investigation shall begin within 30 days of the completion of the inquiry, and shall be completed, including preparation of the written final report, no later than 120 days after it is begun.

   The investigatory panel shall consist of four persons: an Associate Dean of the Faculty, the Director of the Division of Natural Sciences and Mathematics, a faculty member chosen by the Dean, and a faculty member chosen by the faculty member against whom the allegations have been made. The two faculty members should be persons familiar with the discipline in which the alleged misconduct has arisen, but must not be persons who have been involved in the conduct of the research project or who have any other apparent conflict of interest. The need for impartiality and objectivity must be honored.

   The investigatory panel will be permitted to obtain the advice and testimony of experts, either from within or without the University, when that becomes important to the proper conduct of an investigation.

   c. Record keeping and reporting Written records shall be kept of each inquiry and its result, and of each subsequent investigation and its result. These records, and all appropriate documentation, shall be kept on file in the Dean’s Office for at least five years after completion of the inquiry or investigation, or at least three years after the acceptance of a written final report of an investigation by a federal funding agency, whichever is later. These records must be provided upon request to any federal
agency which provided funding for research projects related to the alleged scientific misconduct.

When an inquiry into an allegation of scientific misconduct results in a finding that there is cause for a full investigation, any external agency which provided funding for a research project related to the alleged scientific misconduct will be promptly notified that an investigation is to be conducted. The University will cooperate with the funding agency to protect unexpended funds and to insure that the purposes for which funding was provided are being carried out.

When an investigation of alleged scientific misconduct discloses facts that are relevant to the consideration of pending requests for continued research funding from an external agency, those facts will be conveyed to that agency promptly. If evidence of criminal wrongdoing is found, that evidence will be forwarded to the agency within 24 hours.

At the completion of an investigation into alleged scientific misconduct, a full written report which thoroughly documents the investigative process and findings will be sent to any agency which funded research related to the case.

d. Protections Under all of the proceedings described above, utmost care will be given to protect, to the maximum extent possible, the positions and reputations of persons who have in good faith brought forward allegations of scientific misconduct, and of persons who have provided documentation, testimony or evidence.

Likewise, these same protections shall extend to persons against whom allegations of scientific misconduct have been made but not confirmed. Any inquiry or investigation arising from allegations of misconduct should be carried out with the utmost concern for confidentiality. Any person against whom allegations are made must be given the opportunity to review and respond to the allegations and any evidence produced in either an inquiry or an investigation. Should the reputation of any person be damaged by an inquiry or investigation in which allegations of misconduct are not confirmed, the University shall make sincere efforts to restore that person’s reputation.

e. Sanctions When an investigation confirms that scientific misconduct has occurred, the President will be informed of the details and will impose appropriate sanctions.

9. Conflict of Interest Policy, with regard to financial and family matters, was passed by FAC on April 23, 1996, as required of institutions receiving grants from the National Science Foundation and other governmental granting agencies. A copy of this policy is on file with the Dean of the Faculty and the Office of Corporate, Foundation, and Government Relations. This policy was distributed to the full faculty in a memo dated April 25, 1996.

K. Leaves of Absence

12

12 While on leave, faculty may not receive salary or supplemental payments from Colgate when the total compensation, including compensation from fellowships or other such sources, exceeds the individual’s approved Colgate salary. Additional funds for research, travel, or other expenses may be accepted, but the Dean’s specific approval is needed for any income that affects taxable income. Faculty should submit a leave request in the fall of the previous academic year, in anticipation of receiving a Junior or Senior Faculty Leave. The purpose of this is to better project staffing requirements for the following year. A faculty member’s request for a leave (e.g., without pay, sabbatical, accelerated, junior, senior, research) shall be approved for no more than two years in a row. No more than a total of three years out of seven may be spent on leave.
In recognition that leaves of absence can be highly beneficial for the continued professional growth and development of its faculty, Colgate University provides a number of such opportunities as outlined below:

1. **Junior Faculty Leave Program** Since the spring of 1979, Colgate has supported leaves, designed to provide junior faculty in the tenure stream and in Category I appointments with the opportunity to pursue full-time research for one term at their normal salary. As of academic year 1986–87, such a leave is granted automatically upon successful passage of the third-year comprehensive (or the fourth year review for Category I faculty) review. A description of the research to be carried out, the methods to be applied, and the location of the research should be included in the candidate’s personal statement in the third-year review dossier. Leaves will normally be taken during the fourth or fifth year of teaching at Colgate.

   The Junior Faculty Leave Program is administered by the Office of the Dean of the Faculty. Departments of successful applicants will receive funds to staff the two courses which would have been taught by the faculty member granted leave, if such replacement staff is needed. Although the normal leave period is a spring or fall term, it is also permissible to arrange a course reduction each term if it facilitates proposed research and if the department chair approves. There is an expectation that individuals taking a Junior Faculty Leave will return for at least a year of continued full-time service at Colgate.

2. **Leaves of Absence Without Pay** Colgate faculty members often compete successfully for grants and fellowships from foundations and government agencies such as the National Endowment for the Humanities and the National Science Foundation. The University will continue to grant scholarly leaves of absence without pay for periods up to one year, so long as the leaves are compatible with the staffing needs of the departments and the University as a whole. Faculty members who wish to apply for a leave of absence without pay should first discuss it with their department chair, who will forward the request with a recommendation to the division director and the Dean’s Advisory Council. An application for a leave of absence without pay should be made as early as possible, in order that arrangements can be made for replacing the faculty member while he or she is on leave.

   The following policies apply to the provisions of benefits for faculty on leave of absence without pay:

   a. Faculty members who are on a leave without pay to perform scholarly activities and who have received salary support for those activities in the form of a grant from an external agency (not an external employer) will continue to have premiums for life insurance and their own medical insurance paid by Colgate for up to one year if the grant does not allow such benefits to be claimed and if the grant awarded for salary exceeds $10,000 per year.

   b. Faculty members who are on a leave without pay to perform scholarly activities and who do not have grant support for their salaries may apply to the Colgate Research Council for a grant to pay the premiums of their Colgate life insurance and personal medical insurance policies. The Research Council will assess each case on the merits of the scholarly proposal, just as it does in the consideration of each major grant application.

   c. Except for the above provisions, faculty members will not receive benefits from the University while on a leave of absence without pay. If they wish, they may make other arrangements for themselves and their families with the Human Resources Department by continuing payments through the University at their own expense.

Normally, no leave of absence will be extended beyond two years. Scholarly
leave of absence for one year or less will count as part of the probationary period unless the individual and the institution agree in writing to an exception to this provision at the time leave is granted.13

3. Family and Medical Leaves14
   a. Federal Law Under the 1993 Family and Medical Leave Act (FMLA), full-time and Category I faculty members are eligible to take unpaid family or medical leave of up to 12 weeks for the following reasons:
      • the birth of a child or the placement of a child with the faculty member either through adoption or foster care;
      • the care of the faculty member’s spouse,15 own parent, or child who has a serious health condition requiring either inpatient care or continuing care by a health care provider; or,
      • a serious health condition of the faculty member.
      Colgate will continue the individual’s health, dental, and life insurance benefits on the same basis as before the leave during a FMLA leave; faculty members who are responsible for a portion of the insurance premiums must continue to make those payments or coverage may be canceled.
      A maximum of 12 weeks of FMLA leave may be taken in any 12-month period, with the exception described below for childcare.
      Faculty members who take or plan to take family or medical leave must notify the Human Resources Department.
   b. Colgate Family and Medical Leave Policy During any period of a FMLA leave that a health care provider certifies a faculty member as medically disabled, salary and benefits will continue in accordance with New York State law and the University’s medical disability program. While pregnancy itself is not normally a disability, the period following childbirth (usually six weeks following an uncomplicated birth) is a disability period. A certificate of fitness to return to work is required to establish that the faculty member is able to return to work.
      Any full-time or Category I faculty member may extend, on an unpaid basis, the usual 12-week maximum duration of FMLA leave to one or two college semesters if the purpose of the leave is to care for a newly born or newly adopted or foster child. In this case, Colgate will pay its share of the cost of health, dental, and life insurance during the semester or semesters that include all or part of a disability period and/or up to the first 12 weeks of the leave. Following a birth or adoption full-time faculty may also elect to work part-time for one or two semesters, with salary adjusted accordingly. Parents who are both faculty at Colgate are entitled to a combined total of two semesters of such leave per child.16
   c. Redefined Work Arrangements If an anticipated FMLA leave, such as a

13 See Chapter III, Section C.3.a for an updated procedure on the timing of tenure review after certain leaves.
14 Faculty policies for postponement of tenure review because of such leaves are described under Probationary Appointments. (III.C.3.a)
15 In the administration of this policy, Colgate extends the term “spouse” to include “domestic partner” as defined under Colgate’s domestic partner policy (available in the Human Resources Department).
16 Childcare leaves are included under the rule (section III.K) that limits all leaves to no more than two consecutive years and to no more than three years out of seven.
childbirth leave, occurs at a time that will be disruptive to instruction, the work arrangement for the academic term during which the faculty member takes the leave will be redefined. A redefined work arrangement will result in a two-course load reduction in the term in which the leave occurs. During the part of the semester not covered by the leave, the faculty member will be expected to continue with non-teaching obligations, e.g., advising and scholarship. Faculty whose leave might necessitate a redefined work arrangement should contact the office of the Dean of Faculty as far in advance as possible.

Mothers who have taken FMLA disability leave (including summer leaves) due to pregnancy and childbirth may also reduce their teaching load in the term following birth without reduction in pay by deferring a course to a later year. The deferred course should be made up by teaching an overload within two years of the FMLA leave.

d. Pregnancy and Childbirth Leaves To summarize, the policies regarding leaves associated with pregnancy and childbirth are as follows (full details are described in sections a-c):

- mothers will receive salary and benefits in accordance with Colgate’s disability policy during the time they are certified as medically disabled;
- parents may take up to two semesters of unpaid leave after the birth, adoption, or fostering of a child;
- parents may elect to work part-time for reduced pay for up to two semesters after the birth, adoption, or fostering of a child;
- if an anticipated FMLA leave includes three or more weeks of a semester, the faculty member will receive a two-course load reduction in that term; and
- mothers may defer one course from the semester following birth to a later year.

4. Sabbatical Leaves In order to further the scholarly productivity of the faculty and to enhance teaching, the Board of Trustees in 2003 approved a Sabbatical Leave Account (SLA) Program.

Under the SLA, tenured faculty members will accrue one-half course of release time for each year of completed teaching or service. Subject to the approval of the Department Chair, Division Director, and Dean of the Faculty, tenured faculty members may redeem accrued course credits on a schedule that they believe best enhances their scholarly productivity.

The following regulations were approved by the Faculty to administer the Sabbatical Leave Account (SLA) Program:

a. The SLA program applies to tenured faculty; credits begin accruing in the first full year of teaching after the post-tenure sabbatical.

b. Faculty members are expected to use the SLA program as an opportunity for research or other scholarly work. When applying, the faculty member should indicate the scholarly purpose of the leave, describe the work to be performed, and indicate what publications, performances or works are expected as a result of the leave.

17 A leave is normally deemed to disrupt instruction when the anticipated period of the leave will result in an absence from the classroom of three or more weeks.
c. All leaves must be approved by the Department Chair, Division Director, and the Office of the Dean of Faculty and should normally be included in two-year projections. The pattern of leaves with pay must be compatible with the staffing needs of departments and the University Studies Division; approval of applications for paid leave will take into consideration the quality of the proposal and merit of the proposed project. Normally, any faculty member presenting a meritorious application will be granted a semester leave at least once in a seven year period.

d. Faculty members are expected to submit an application for sabbatical in October of the year prior to taking the leave and meet with the Department Chair and Division Director to discuss their leave plans prior to “cashing in” any SLA credit.

e. Full-time tenured faculty members earn 0.5 credits per year of completed teaching or service. Faculty holding endowed chairs that do not provide a reduced course load earn 0.75 credits per year. Category I tenured faculty earn 0.4 credits per year of teaching or service.

f. The University will continue its contributions to insurance programs during the period of sabbatical leave and will continue retirement contributions on the basis of the faculty member’s actual salary paid.

g. Normally, a replacement will not be engaged for a faculty member who uses SLA credits to take a leave at full pay. If the budgetary situation permits, an instructor may be engaged as a replacement for a faculty member who uses SLA credits to take a full year leave at reduced pay.

h. Faculty will not be allowed to round up or borrow credits, except in truly exceptional circumstances.

i. SLA credits are not exchangeable for salary or research stipends.

j. Overloads must be taken as salary or a research stipend and cannot be converted into SLA credits. The accelerated leave program is no longer in effect.

k. No SLA credits are earned during the year that two or more credits are used.

l. SLA credit will accrue during leaves without pay for only one semester during any six year period.

m. Accumulated leave credits are lost if a faculty member resigns from Colgate. Except in the case of a negotiated retirement arrangement, a faculty member is expected to return to Colgate for at least one full year of teaching following a year in which SLA credits are used.

n. Normally, a faculty member with five credits in the SLA account will not continue to accrue credits.

o. A faculty member taking a scholarly leave with full pay may not accept a teaching appointment in the United States or Canada. One who takes a leave of absence at reduced pay may not accept such an appointment for more than one semester. These restrictions do not apply to teaching abroad, research activities, or summer teaching.

p. Faculty members who serve as Division Director, Department Chair, Program Director, University Professor, or Associate Dean of the Faculty will earn an additional 0.5 SLA credit for each full three-year term.

q. Faculty sponsoring student summer research or creative projects or directing intensive independent study during the academic year may be eligible to earn additional SLA credits. See “Support for Faculty Sponsoring Student Summer Research or Creative Projects,” which is available from the Dean of the Faculty Office, for full details. Over a six year period, a maximum of 1 SLA credit may
be earned for sponsoring summer research or creative projects or directing intensive independent study.

r. Each year, up to four SLA credits (divisible to 0.5) may be granted to Associate or Full Professors, on a competitive basis, by application to the Research Council. Guidelines and application forms may be obtained from either the Research Council or the Dean of the Faculty’s Office.

s. Exceptions to these regulations may be made by order of the President. Subject to the President’s approval, the interpretation of their application in any situation will be made by the Dean of the Faculty.

5. Senior Faculty Leaves Each year one or more Associate Professor and Senior Faculty Leaves may be granted, on a competitive basis, by application to the Research Council. Only tenured members of the faculty are eligible to apply. Guidelines and application forms may be obtained from either the Research Council or the Dean of the Faculty’s Office.

L. Teaching and Advising Responsibilities of Faculty Members

A faculty member at Colgate is expected to participate actively in the life of the college, both inside and outside of the classroom. The responsibilities of faculty members for teaching and advising students, scholarly activity, and service to the University community cannot easily be divided, counted, and credited. The following is then intended to serve as a guideline for faculty members. Questions should be directed to department chairs or division directors.

1. Teaching Loads and Load Credits The normal teaching load is five units (or "load credits") per year with no more than three load credits in a single semester. The teaching of one course usually equals one load credit, although the Dean’s Advisory Council has approved the following standard variations:

   a. With prior approval from the Division Director and Associate Dean of Faculty, a faculty member may earn two load credits for courses with an enrollment limit of at least 70 students and an actual enrollment of 60 or more students.

   b. Load credit for team-taught classes will normally depend on the level of the course. Two load credits will normally be given for a 100 or 200 level course with 50 or more students, a 300 level course with at least 40 students, or a 400 level course with at least 25 students. Faculty should secure approval from the appropriate division director prior to scheduling a team taught course.

   c. Laboratory sessions receive fractional load credit: 1/3 if regularly scheduled for less than three hours per week, 1/2 if regularly scheduled at least three hours per week.

   d. In the event that a faculty member earns more or less than the expected load over a given year, an adjusted teaching assignment should be arranged by the faculty member, department chair, and division director within the following academic year. Over- and under-load credits may not be carried over for more than one year without prior permission from the Division Director and Associate Dean of Faculty.

   With prior approval from the Associate Dean of Faculty, courses taught by full-time faculty beyond the usual five may be compensated at 10 percent of the faculty member's current salary (with an upper and lower limit that changes annually). Because overload teaching may detract from a faculty member’s scholarly time, compensated overloads should occur no more than once every three years.

   Load credit is also earned for certain administrative assignments, such as department chair or division director, subject to rules established by the Dean of the Faculty. Load credits may only be earned in the fall or spring terms.
In addition to the regular classroom responsibilities, it is assumed that members of the faculty will be willing to supervise a limited number of undergraduate independent study and/or honors projects. Normally, a faculty member should not supervise more than five such projects in any one term.

2. **Load Cards** At the beginning of each term, faculty members complete load cards providing data on courses taught, the number of students in each, office hours, and location of classes. These load cards are distributed by the Office of the Dean of the Faculty and should be completed and returned to department chairs for review. The load cards will then be sent to division directors, who will forward them to the Dean of the Faculty.

3. **Scheduling of Teaching Responsibilities** Advance planning of teaching responsibilities is essential in order to adequately staff the various University academic programs. Such planning is usually done two years in advance on a tentative basis. Scheduling of teaching responsibilities is primarily the task of department chairs, working with faculty and leaders of other University programs.

4. **Academic Advising** Every student at Colgate has two advisers, a faculty academic adviser and an administrative adviser. The general responsibility of faculty advisers is to help students formulate and fulfill their academic plans. To meet this advising goal, faculty are asked to assume responsibility for discussing and processing academic record forms in areas such as course registration, course withdrawal, and academic leaves of absence.

   a. **First-Year Student and Sophomore Advising** The student’s first-year seminar instructor will become his or her academic adviser for the student’s first two years. One of the principal goals of advising for first-year students is to ensure that students, in consultation with their first-year seminar instructor, begin to plan their academic program for the next three terms. The Colgate curriculum features a wide variety of choices for students, and the multitude of programs, requirements, and options may tend to overwhelm the beginning student. Careful planning in consultation with the student’s academic adviser is essential if the student is to take full advantage of the range of educational experiences offered by Colgate.

   Special attention should be paid to designing a program of study which will permit the student to satisfy general education and physical education requirements, complete prerequisite courses for particular concentrations, study groups or pre-professional programs (especially in the health sciences), and explore a number of different disciplines in the liberal arts.

   If the first-year seminar instructor will be on leave or away from campus for other reasons for one or more of the following terms, the seminar instructor, with the assistance of his or her department chair, will reassign the students to another adviser within the same department. Based upon a student’s projected class year, area of interest and projected concentration and in consultation with academic departments, the administrative adviser to transfer students, and the Associate Registrar, the Director of Academic Support and Disability Services assigns each transfer student to an academic adviser.

   b. **Junior and Senior Advising** Faculty members also serve as academic advisers for juniors and seniors in the department of concentration, and assist students in making postgraduate plans.

   Students select an official “concentration” or major no later than March of the sophomore year, prior to Early Course Registration for the following fall term (for details
on selecting a concentration, see Section IV.A.3). After the student decides on a concentration, the department or topical concentration program will assign a faculty adviser who will advise the student on course selections for the next term and sign his or her course registration form. It is suggested that the new adviser and student also tentatively plan the student’s academic program for the final two years, taking care that all concentration and other University requirements have been or will be met, and that the student has carefully considered the various Colgate programs and courses which are still available in the final two years.

5. Office Hours Each member of the faculty is expected to post and keep reasonable and regular office hours during the term (three to four hours/week is a minimum).

6. Other Responsibilities In addition to their teaching and advising responsibilities, faculty members are expected to participate in the necessary work of departmental, divisional, and college-wide committees and groups. First-year faculty do not normally serve on University or Faculty committees, but do participate in departmental meetings and in meetings of the Faculty. Elections to University and Faculty committees are held at Faculty Meetings. The Faculty Nominating Committee generally attempts to survey faculty members’ interests in particular governance units prior to making nominations.

M. Teaching in Other Programs

1. Graduate Studies Program Colgate is primarily an undergraduate college, but it does offer a program leading to the Master of Arts in Teaching and a few select students may also enroll in M.A. programs in academic subjects. Graduate students enrolled in advanced courses and seminars (300 and 400 level) are expected to do appropriate extra work (as determined by the instructor) for graduate credit. Departments in which a relatively large number of graduate students are enrolled may establish one or more 500-level courses and seminars with the permission of the Dean’s Advisory Council.

   Faculty members who supervise independent study courses for graduate students will be compensated for each independent study course completed, provided that the independent study program has been approved in advance. The supervisors of M.A. and M.A.T. special projects and theses are appointed by each department chair. Other faculty members may be asked to serve as readers for theses.

   Further information on policies regarding graduate programs is contained in the Graduate Study Manual, available from the Associate Dean of the Faculty.

2. Other Colgate Programs Teaching in other Colgate programs — such as, the Office of Undergraduate Studies (OUS) Summer Program, and the Colgate Seminar Program (conducted from October to April for able high school students in the area) — is arranged by the director of each program. Faculty who may be interested in participating in one or more of these programs should direct inquiries to the appropriate director.

3. Non-Colgate Teaching Teaching and research at Colgate is considered to be a full-time obligation. Faculty members who are considering teaching at another college or university during a term in which they are also teaching at Colgate should gain approval in advance from their department chair and division director. Faculty members who are on paid leave from Colgate — e.g., sabbatical — may teach at another institution
only under very limited circumstances (see above, in the section LEAVES OF ABSENCE, Section III.K). Any questions concerning Colgate’s policies on non-Colgate teaching should be explored with department chairs or division directors, or with the Dean of the Faculty, in advance of making any commitments with another college or university.

**N. Regulations on Appointments for Division of Physical Education, Recreation and Athletics**

For faculty serving in the Division of Physical Education, Recreation and Athletics (PERA), the following regulations shall apply:

1. **Graduated Appointments**
   
a. Graduated appointments shall be awarded to all full-time PERA faculty members, except coaches in the athletic scholarship sports and football.
   
b. The graduated appointment, designed to reward sustained high standards of performance and to provide progressively greater employment security, shall be made on three levels:
      
      1) **Level I** Initial one-year contract, normally renewable annually for a maximum of two additional years.
      2) **Level II** Three-year contract, normally commencing with the fourth year of employment and renewable once.
      3) **Level III** Five-year contract, normally commencing with the tenth year of employment and renewable indefinitely.
   
c. New Faculty shall normally begin employment at Level I. Under special circumstances, however, a new faculty member may enter at a higher level than I upon the recommendation of the Director of PERA and with the approval of the Dean of the Faculty.
   
d. Evaluation of a faculty member shall be by an administrative review committee comprised of the Director of Athletics, both senior Associate Directors of Athletics, and the Assistant Director of Athletics. The collective recommendation derived from the administrative review committee shall be forwarded by the Director of Athletics to the Dean of the Faculty for his/her consideration.

   e. Faculty members will be evaluated in terms of their effectiveness within their particular job definition and expectations. Criteria considered shall include the administration and management of the individual’s program; concern for the academic performance, health and safety of the athletes; management of their budget and restricted gift accounts; teaching; coaching; professionalism; colleagueship; recruiting; and service to the University through such things as committee membership, alumni relations and community relations. In addition, the evaluation process shall encompass the institutional concerns expressed in the first paragraph of the Committee on Faculty Affairs report on June 28, 1978, in Section E.5 (above). Details of the evaluation process and criteria, as they relate to the position categories, are available in the Office of the Director of Athletics.

   f. When in the collective judgment of the administrative review committee the faculty member has not met the Division’s performance expectations nor has demonstrated sufficient promise of performing up to these standards in the future, a recommendation for a shorter term contract than would normally be granted to the employee or a recommendation to terminate may be made to the Dean of the Faculty. In addition, changes in institutional needs and/or priorities, as described in the paragraph in Section E.5 cited above, can mandate the termination or redefinition of the position.
g. Procedures for renewal or termination:
   (1) The University shall notify faculty members in writing of the terms and
       conditions of renewals in March.
   (2) In the event of termination during the first or second year of appointment,
       written notification shall be given to the faculty member by March 31,
       with termination effective at the end of that same academic year.
   (3) In the event of termination after two or more continuous years of service,
       the faculty member shall be given written notification at least twelve
       months prior to termination.

h. Grievance Procedure: Grievance procedures for graduated contract
   appointment decisions shall follow those established for grievance of third-year review,
   promotion, and tenure. See Section C.17.

2. Negotiated Contracts
   a. Negotiated contracts shall be awarded to head coaches of athletic scholarship
      sports and football in recognition of the high visibility of their sports and the consequent
      expectation that these programs bring credit to Colgate University.
   b. These contracts shall be negotiated between the coach and the Director of the
      Division of PERA, subject to approval of the Dean of the Faculty.
   c. When negotiated contracts are renewed, the Director of the Division of PERA
      shall make a recommendation to the Dean of the Faculty.
   d. Termination of negotiated contracts shall be at the discretion of the Director of
      the Division of PERA, subject to approval of the Dean of the Faculty. Written
      notification of termination shall be given no later than March 31, effective at the end of
      that same academic year.
   e. Head coaches of athletic scholarship sports and football are eligible for Level
      III status after nine consecutive years of employment as Head Coach. Their future
      contracts shall continue to be negotiated contracts and normally they will be of five
      years’ duration.

3. Annual Contracts
   a. Annual contracts shall be awarded to assistant coaches with faculty status in
      athletic scholarship sports and football.
   b. Assistant coaches in these sports shall be evaluated annually by their
      respective head coach, who in turn shall make recommendations for renewal or
      termination to the Director of the Division of the Division of PERA. The Director’s
      recommendation, in turn, shall be subject to approval of the Dean of the Faculty.
   c. Written notification of renewal or of termination, effective at the end of the
      same academic year, shall be given no later than March 31.

O. Appointment, Reappointment, and Promotion of Library Faculty

The following summarize the regulations, guidelines, and procedures for appointment,
reappointment, and promotion of librarians. Details of these guidelines and procedures
are contained in the Library Faculty Handbook, which replaces, for librarians, the
following parts of Chapter III of this Handbook: Sections C (parts
2–4), D, E, and N.

The Master of Library Science (MLS), Master of Library and Information Science (MLIS),
Master of Science in Library Science (MSLS), or an equivalent degree are
recognized as the appropriate terminal degrees for librarians at Colgate. Librarians may
be hired at one of four ranks: Instructor, Assistant Professor, Associate Professor, or Professor.

1. Appointments by Rank
Appointment at the rank of Instructor will be made in exceptional cases only. Librarians appointed at the rank of Instructor must:
   a. be within one academic term of completing an appropriate terminal degree at a school accredited by the American Library Association (ALA)
   b. submit references and demonstrate academic achievement and other characteristics that evidence potential for successful overall performance as a librarian at Colgate.

   Instructors are hired for one year only. Instructors who perform satisfactorily, and who complete the requirements for their terminal degree by the end of their appointment, receive one-year probationary appointments as Assistant Professors.

   Assistant Professor is the normal appointment for entry-level librarians. Librarians appointed at the rank of Assistant Professor must:
   a. hold an appropriate terminal degree from a school accredited by the ALA
   b. submit references and demonstrate academic achievement and other characteristics that evidence potential for successful overall performance as a librarian at Colgate.

   Assistant Professors receive a maximum of two, three-year appointments. Assistant Professors must stand for promotion by December of the last year of their second appointment. After consultation with their supervisor and the University Librarian, they may stand for promotion during the fall semester of any year.

   Librarians appointed at or promoted to the rank of Associate Professor must:
   a. satisfy all requirements for appointments at the lower rank
   b. demonstrate, through documented past performance, success in independent performance of library responsibilities, commitment to the library profession, and service to the university.

   Associate Professors receive five-year appointments. Associate Professors may stand for promotion during the fall semester of any year.

   Librarians appointed at or promoted to the rank of Professor must:
   a. satisfy all requirements for appointment at the lower ranks
   b. demonstrate, through documented past performance, successful independent performance of library responsibilities, outstanding commitment to the library profession as evidenced by a national reputation, and service to the university.

   Professors receive seven-year appointments.

2. Probationary Appointment
   All librarians, regardless of rank, initially receive one year probationary appointments. Librarians on probationary appointments must undergo a Comprehensive Review by the end of their third probationary appointment. After consultation with his/her supervisor and the University Librarian, a librarian may undergo Comprehensive Review during their second probationary appointment.

   Upon successful completion of the review, librarians will receive the multiple-year appointment for their rank. Librarians who fail to pass Comprehensive Review by the end of their third probationary appointment are awarded a one year terminal appointment.
3. Guidelines for Reappointment and Promotion

Decisions about reappointment and promotion of library faculty at Colgate University are based upon the quality of performance in three areas: university library responsibilities, commitment to the library profession, and service to the university community. The quality of performance in these three areas will be evaluated in three ways: annual consultation, Reappointment Review, and Comprehensive Review.

Librarians will receive an annual assessment of their performance. Librarians will undergo Reappointment Review during the last year of each multiple year appointment. Librarians will undergo Comprehensive Review by the end of their third probationary appointment, and when they stand for promotion.

Reappointment Review and Comprehensive Review are conducted by a Review Committee of librarians in accordance with policies and procedures defined by The Library Faculty Handbook. For each Comprehensive Review Committee, the Faculty Committee on Promotion and Tenure appoints a tenured member of the instructional faculty to serve as an observer in an oversight capacity.

IV. Academic Information

For the most part, the Faculty Handbook will not reprint information from the Colgate University Catalogue concerning the curriculum and academic rules and regulations. Faculty members are requested to consult the latest Catalogue for more detailed information on academic programs, concentration requirements, courses offered by various departments, and academic regulations.

A. Academic Program

1. Liberal Arts Core Curriculum

The Liberal Arts Core Curriculum consists of four required courses plus optional Distinction and High Distinction courses. The four required courses include one Scientific Perspectives course (Core 100–149), the Western Traditions course (Core 151), the Challenge of Modernity course (Core 152), and one Cultures of Africa, Asia, and the Americas course (Core 160–199). Students normally take all four courses in their first two years, with no prescribed sequence. Students are also required to satisfy a distribution requirement. A fuller description of the Liberal Arts Core Curriculum Program may be found in the University Catalogue.

Colgate’s Core Curriculum continues to be an important part of the liberal arts curriculum, and faculty members coming to Colgate can expect to be asked to participate in the program. The Liberal Arts Core Curriculum is administered by the Division of University Studies.

2. First-Year Seminars

One of the courses every first-year student takes during the fall term is the first-year seminar, designed to combine exploration of an academic subject with the opportunity for developing a closer student-faculty relationship than would otherwise be possible for students beginning their first term at Colgate. The seminars range in size from 12 to 18 students. The first-year seminar instructor becomes the student’s academic adviser for the first two years or until a student declares a concentration in the spring of the sophomore year (for more information on first year student and sophomore advising, see Section III.L.4). Each first-year seminar satisfies one of several University graduation requirements. Many first-year seminars are drawn
from the Core curriculum and satisfy a requirement within the Liberal Arts Core Curriculum. Other seminars serve as introductory departmental courses and count for concentration requirements, and still others fulfill distribution requirements. Students receive a grade for the first-year seminar in the conventional manner.

Many members of the faculty teach in the First-year Seminar Program, since forty or so seminars are offered every fall. Because of the two-year advising responsibility, faculty members usually do not find it desirable to teach first-year seminars in consecutive years. Over a two- or three-year period, therefore, many continuing members of the faculty are involved in the First-year Seminar Program. Assignment of first-year seminar instructors is made by department chairs in consultation with members of their departments (see Section III.L.4(a)).

The First-year Seminar Program is administered by the Office of the Dean of the Faculty in coordination with the Universities Studies Division Director.

3. Concentration Programs Concentrations (majors and minors) at Colgate fall into one or two categories: departmental and topical. Departmental concentrations, as the name implies, are supervised by academic departments, with some departments, such as Philosophy and Religion and Romance Languages, having more than one such program. The Department of Physical Education does not offer a concentration. Specific requirements for each departmental concentration may be found in the chapter on “Courses of Study” in the University Catalogue.

Topical concentrations encompass more than one discipline. The various topical concentration programs are administered at the divisional level — Humanities, Natural Sciences and Mathematics, Social Sciences, and University Studies, although some topical concentrations cross divisional lines. Student topical concentration programs are approved by the respective division directors or, in the case of interdisciplinary programs, by the program director. Descriptions of the individual topical concentration programs, including the requirements for each, may be found in the chapter on the “Undergraduate Program” in the University Catalogue.

A full description of University rules for all major and minor concentration programs is found in the Catalogue. The minor concentration is optional.

Students select an official concentration no later than April of the sophomore year (during Early Course Registration for the following fall term). At that time, the department or topical concentration program assigns a new faculty adviser who will advise the student for the next two years. In order to declare concentrations officially, students must complete a Declaration of Concentration form (available from departmental offices), have it signed by the new faculty adviser and the department chair or program director, and submit it to the Registrar. (Students may elect to have a single major, a double major, or a major and a minor.)

4. Off-Campus Study Group Program Colgate’s program of off-campus study includes groups which are offered annually or biennially. Each group is directed by a Colgate faculty member who assumes responsibility for the total program while away from campus. In addition to providing academic leadership, the director must act in the capacity of an administrative adviser with respect to the members of the group.

Faculty directors of study groups must submit proposals to the Off-Campus Study Group Committee for review of program and budget. The director is financially accountable to the University for all expenditures which must be supported by adequate documentation. Faculty members who cannot accept the responsibilities of providing sound academic leadership, student counseling, and financial accountability will not be permitted by the Dean of the Faculty to lead future study groups.
Student members of each study group are asked to fill out a form evaluating and giving comment on the content of the program and courses, and the director’s leadership performance. Faculty directors distribute the evaluation forms to all students in the group with the request that one student take responsibility for returning all of the forms in one packet directly to the Office of Off-Campus Study.

Helpful advice and assistance in planning and budgeting for a study group is available from the Director of Off-Campus Study and the Associate Dean of the Faculty in the Office of the Dean of the Faculty. Financial budgets are administered from that office.

**Administration of the Off-Campus Study Group Program** A faculty committee, responsible to the Dean of the Faculty, administers the Off-Campus Study Group Program. The committee includes the Director of Off-Campus Study and several faculty members who have served as study group directors. All existing and proposed study groups must be reviewed by the Off-Campus Study Group Committee each year. This review concerns all aspects of study groups — program, director, budget, etc. Matters of study group curriculum should be directed to the Chair of the Off-Campus Study Group Committee. The Dean’s Advisory Council is ultimately responsible for the curriculum.

All study groups must have a clear educational purpose and be of demonstrable academic value to students. Groups must also demonstrate that they have continuity of leadership, whether they are sponsored by a department or by an interdisciplinary staff. All groups must be economically feasible to operate, and each must have a minimum enrollment of twelve qualified students 90 days before departure. These four considerations will help guide the Off-Campus Study Committee in making recommendations to the Dean of the Faculty.

**Creation of New Study Groups** Faculty members and departments interested in proposing new study groups should speak first with the Chair of the Off-Campus Study Committee. Written proposals should be sent to the Chair, who will review them with the Committee before sending them, with recommendations, to the Dean of the Faculty. No costs for a proposed study group may be incurred before the Dean has granted “approval in principle” to the group. Written proposals must:

a. Provide a clear statement of the educational goals of the proposed group.

b. List the sponsors of the proposed group and describe briefly the qualifications of potential group leaders. If departmentally-sponsored, the written proposal must describe how the department anticipates staffing the group in relation to its staffing requirements on campus. If the proposed group is not departmentally-sponsored, the written proposal must indicate how the sponsors plan to staff it and whether the concerned departments have approved the participation of their faculty members in such a group.

c. Describe fully the academic content of the proposed study group program: courses, methods of instruction, methods of evaluation, resources to be used on location. If non-Colgate personnel are to be used for instruction, a full description of the background and credentials of the instructors is required.

d. List the courses for which academic credit is to be given. Students are expected to enroll in four courses on study groups. Each course should be clearly distinguishable and is graded separately; students cannot receive a grade for the entire study group experience. University rules concerning S/U courses also apply to study groups. Study group courses are subject to same approval procedures as on-campus courses.

e. Describe the kinds of cultural and social activities planned for the group: lectures, visits to museums and other institutions, and other co-curricular or pertinent extracurricular activities.

f. Outline the calendar for the group, specifying the reasons for any deviations from the academic calendar in use on campus.
g. Describe the preparation which students must have to be eligible for the study group (e.g., prerequisite courses), the criteria and timetable for selection of members, and the plan for orientation of study group members to local customs and laws (which should take place before leaving the Colgate campus).
h. Submit a proposed budget for the new study group.

The Off-Campus Study Committee will not recommend a proposal for a new study group unless it is assured that the educational goals of the study group are clear and worthy of University support; that the group is departmentally-sponsored or has at least three interested faculty members as sponsors and potential leaders; and that the budget for the group is financially sound.

5. Extended Study Courses

Extended Study programs provide a way to extend courses beyond the traditional semester, either in May, August, or January, with an off-campus component. Extended Study offers an intensive off-campus experience preceding or following the on-campus portion of a course (the full course model) or following one or more on-campus prerequisite courses (the half-course model). Three to five weeks in duration, Extended Study courses complement and/or supplement students’ academic experience by providing access to sites and institutions not available on campus. The program offers students experiences, therefore, that are best explored off campus but do not warrant an entire semester away. Extended Study courses are approved by the Dean’s Advisory Council. Guidelines for proposing Extended Study courses are available from the Off-Campus Study Office.

6. Summer Programs

There are academic and non-academic programs conducted each summer at Colgate. They include the five-week summer session sponsored by the Office of Undergraduate Studies/HEOP in which students take credit-bearing courses in writing, the humanities, social sciences, science and mathematics, and physical education. They also participate in seminars and advising sessions designed to assist in the transition to college. Each University division sponsors numerous undergraduate research initiatives of up to ten weeks duration. The Colgate Writers’ Conference attracts novelists, poets, screenwriters, and journalists of international renown for a week each June. Conferences and colloquia conducted by professional organizations are held at Colgate in the summer as time and facilities permit. Faculty interested in developing summer programs at Colgate University should contact the Dean of the Faculty.

B. Organization of Courses and Registration Procedure

1. Numbering of Courses

Courses are numbered according to plan, with the first digit indicating the level of the course. The 100-level courses are primarily for first-year students and the 200-level courses for sophomores. However, first-year students may in many instances elect 200-level courses and sophomores 300-level courses; they may even elect courses above these levels with permission of the instructor. Although 300-level courses are primarily for juniors and 400-level courses for seniors, they are open to graduate students with faculty permission.

With regard to language courses, the first digit indicates language level: courses designated 100 are first-year level, courses designated 200 are second-year level, and so on. Students from any class who possess the appropriate background may take language courses at any level, except that students who have not had third-year level courses at Colgate need faculty permission to take advanced-level courses.

The numbering of independent study courses should reflect the appropriate level
of the course and be listed in the following series: 291, 391, or 491. If an independent study course is given which is identical to a regular course, it should be numbered and titled the same as that course, except that the letter Z is added to the course number to indicate that the course is being offered independently.

2. Scheduling of Courses The primary responsibility for scheduling of courses rests with the department chair, who, after consulting with the faculty, submits a list of scheduled courses, instructors, meeting times, and rooms to the Associate Dean of the Faculty and division director for approval. Tentative projections are done two years in advance, with the final schedules being submitted for approval before Early Course Registration for a term (in February for the fall term, and in September for the spring term). Any change in this final schedule requires the approval of the division director and the Associate Dean of the Faculty. When a change is approved, it is the responsibility of the department chair to report it to the Registrar.

3. Early Course Registration Students are expected to participate in Early Course Registration (known at other institutions as “pre-registration”) at the time announced by the Registrar, usually in November for the spring term and April for the fall term. In advance of these dates the Registrar distributes Early Course Registration booklets containing a list of scheduled courses, instructors, meeting times, and room assignments. Students select their primary and alternate courses, and complete the registration form in the back of the Early Course Registration booklet. Students also use this form to obtain faculty signature for permission-only courses. In order to register themselves online using Banner Web for Student, students must obtain a six-digit “registration PIN” from their faculty adviser. This PIN permits them access to the web-based registration program.

Registration is done by class, with seniors first and first-year students last, and within each class, by alphabetic groups which are rotated each term in order to give all students a fair and equal opportunity in course selections.

4. Registration and Drop/Add Procedures Students will receive their official course schedules in their mailboxes on the Friday before the term begins. On the day before classes begin, faculty representatives from each department are present at the registration arena in order to advise students and record additional dropping and adding of courses. After classes begin, students may add a fifth course.

Students may drop and/or add courses at no charge up to the end of the regular drop/add period, which is usually eight days after the beginning of a term. All registrations, including drop/add and satisfactory/unsatisfactory grade options, must be approved, completed, and submitted to the Registrar by the announced deadline of the drop/add period for a term. After the end of the drop/add period, students are not permitted to register at Colgate or to add any course, although they may withdraw from courses until the end of the ninth week of the term. Students withdrawing from a course receive a W on their transcript.

Additional information about registration and drop/add procedures is contained in the section on “Academic Regulations” in the University Catalogue.

5. Meeting Times of Courses A new daily class schedule was approved by the Faculty in the Spring of 2001. Standard class meeting times vary by days of the week. Exceptions to the schedule must be approved by the Associate Dean of the Faculty. Seminars and laboratories usually run for three class periods on a given afternoon or meet twice a week for double periods. Seminars may also be scheduled during the evening. Faculty should
note, however, that classes scheduled after 4:00 p.m. and through the dinner and evening hours may conflict with clubs, music, theater, and also official team practices, and are therefore discouraged.

6. **Common Periods** The daily class schedule also includes a common period to accommodate department and student meetings, colloquia, and examinations in multi-section courses. Classes may not be scheduled or conducted during the common period. The common period may be used, although infrequently, for an extra class in a course. On occasion, the University may schedule campus-wide meetings during the common period.

7. **Size of Courses and Prerequisites** University policy requires that classes with an enrollment of ten or fewer students must have the permission of the division director and that classes with an enrollment of five or fewer students require the permission of the Associate Dean of the Faculty. Courses with low enrollments will be reviewed by the department chair, division director, and Dean of the Faculty in order to determine future frequency of scheduling (it may be necessary, for example, to schedule low enrollment courses in alternate years). Classes with enrollments under 3 are expected to be taught as independent studies.

   Placing upper limits on the size of courses should be done with care and only for good cause. All such limits should conform reasonably to the overall needs of the University and must have the approval of the department chair and division director. Department chairs should notify the division director and the Associate Dean of Faculty of any changes from semester to semester in enrollment limits.

   Prerequisites for admission to a course should be clearly designated by the instructor, approved by the department chair, and listed for the information of students in the course description in the Colgate University *Catalogue* and in the Early Course Registration booklet issued by the Registrar. Only in exceptional cases (such as independent study courses) should written permission of the instructor be required for admission to a course.

8. **New Courses** All new courses, i.e., those not listed in the University *Catalogue*, must be approved by the Curriculum Committee before being offered. A faculty member who wishes to have a new course approved should complete the appropriate form (available from the Office of the Associate Dean of the Faculty) and secure the approval of the department or program chair and the division director, who will forward the request to the Curriculum Committee for action. This should be completed by early February for inclusion in the next *Catalogue*.

9. **Independent Study Courses** The rules for independent study courses are contained in the section on “Academic Regulations” in the Colgate University *Catalogue*. A faculty member should not normally supervise more than five independent study projects in any one term. Faculty members are not expected to supervise independent study and/or honors projects during a term in which they are not teaching.

   In order to enroll for independent study courses, students must complete an Independent Study Application Form which is available in departmental offices. The completed form must be approved by the supervising faculty member and submitted to the department chair for approval no later than the end of the drop/add period. The department chair then forwards copies of the approved projects to the Registrar who officially enrolls students.
C. Regulations Governing Classes

1. First Class Meeting and Statement of Course Requirements On the first day of the term instructors should distribute course syllabi and reading lists to their classes and make any necessary corrections to their class lists (corrections which are necessary because of dropping and/or adding of the course by students).

Syllabi should state clearly requirements for the course, including:

- Policy on class attendance (if any).\(^1\)
- A description, including scheduled times when possible, of any additional out of class activities, e.g., films, lectures, class trips, that will be required.
- A description of requirements including such matters as reading assignments and the number and nature of all written and oral examinations, term papers, quizzes, projects, and any other work that will be required of the student.\(^2\) Instructors are encouraged to include in the syllabus the due dates for assignments and examinations, especially exams given outside of the regular class meeting time.
- A description of the basis for grading in the course including the weights given to course requirements and class participation.

The course syllabus is a plan rather than a fixed contract and faculty may adjust syllabi as needed during the course of a semester. However, because students do rely on syllabi in planning their own work schedules, faculty should take care in making sure that any adjustments to course requirements or changes in the schedule of required work do not add unreasonably to students’ expected workloads. Faculty should also give appropriate advance notice of changes and make reasonable accommodations for students who have legitimate time conflicts because of any changes in the schedule of activities beyond the normal dates and times of the class.

2. Official Class Lists Class lists are prepared by the Registrar and distributed to department chairs at the beginning of the registration and drop/add process. Departments and instructors usually record drops and adds on the class list for each course. As soon as possible in a term, usually shortly after the drop/add period, the Registrar sends each instructor an updated class list which reflects information in the Registrar’s records. Each instructor is required to check this list carefully, adding any names not included and indicating which students are no longer in the course. The corrected class list should be returned promptly to the Registrar, and students who are the subject of any necessary corrections should be asked by the instructor to check with the Registrar to insure that they are accurately recorded in the official records for the course. Corrected lists will be used by the Registrar to send official final class lists for the recording of final grades at the end of the term.

3. Auditing a Course Auditing a course is an informal matter between the student and

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\(^1\) There is no University-wide policy concerning class attendance. Faculty members, however, are requested to report to the administrative adviser any student whose continued absence from class, usually three consecutive absences, might give cause for concern for the student’s welfare. (See the Catalogue section on Class Attendance regarding resolution of scheduling conflicts and health-related absences.)

\(^2\) Policies governing final examinations are described in Section IV.D.4.
the instructor. No record of an audit should be made on the official class lists, and no record of an audit will be made by the Registrar on student transcripts. Permission to audit a course is at the discretion of the individual instructor.

4. Absence of the Instructor From Class Faculty members are expected to meet their classes promptly at the scheduled times. In case of illness or other emergency which requires that a class be canceled, the department chair should be informed and the department administrative assistant asked to post a notice of the cancellation in the classroom. In the event of a necessary absence from the campus on professional business, or because of an emergency or prolonged illness which requires that a faculty member be absent from campus for an extended period, the department chair should be notified as soon as possible and arrangements made for the classes to be conducted by a colleague or for make-up classes to be arranged by the instructor.

5. Observance of Religious Holidays In order that no student at Colgate suffer academic penalty because of his or her conscientious observance of a major religious holiday, it is important that faculty members follow a uniform policy regarding such observance.

For scheduling purposes involving the student body, Colgate considers major religious holidays to be the following: Rosh Hashanah, Yom Kippur, the first two days of Passover, Good Friday, and Easter. Quizzes or exams should not be scheduled, and papers should not become due, on any of these holidays or on the subsequent two weekdays. In addition, every effort will be made not to schedule major college events on these days.

Please also note that students observing the festival of Ramadan may need accommodation for their fasting arrangements. Please consult the University Chaplain for details.

Students whose conscientious religious observance requires that they observe religious holidays in addition to those named above, for example Orthodox Good Friday, and Orthodox Easter, should inform their instructors well in advance. In such cases, each instructor and student shall arrange an accommodation consistent with the policy described for the major religious holidays listed above.

D. Grading Policies

1. Grading In all Colgate courses, the final grades used to indicate the quality of the student’s performance are as follows: A means excellent, B means good, C means satisfactory, D means poor but passing, F means failing. Final course grades reported to the Registrar must be recorded as follows: A+, A, A-, B+, B, B-, C+, C, C-, D+, D, D-, F, S, U, W, or I. Policies governing the grades of S, U, W, and I are explained below.

2. Course Warnings Any student experiencing academic difficulties in a course should be identified and counseled by the professor well in advance of the end of the course. The student’s administrative adviser should also be advised as he/she also tracks the student’s academic performance. At mid-semester the Registrar will generate a Mid-Semester Course Warning Report for each class and forward it to professors. Professors should complete the report by checking the appropriate boxes for each student experiencing problems and returning the completed report to the Office of the Dean of the College by the deadline indicated. The appropriate administrative advisers send a formal Course Warning to the student and his/her faculty adviser. The course warning system is
relatively easy to administer and provides valuable information to the student that can result in dramatic improvement in academic performance.

3. Completion of Student Work in Courses Work in all courses, including independents, must be completed by the last day of classes, so that faculty can grade papers and students can study during the review period prior to exams.

4. Examinations A normal pattern of examinations in a course includes one or two in-class hour examinations and a final examination or its equivalent. Other courses and seminars may use additional modes of evaluation, including take-home exams, reflective essays, individual or group projects, homework assignments, research papers, oral presentations, or examinations, etc. Whatever the pattern, it is important that all students, especially first-year students and sophomores, be given adequate periodic assessments of their work during the term, so that they are aware of the progress they are making or of the academic difficulties they are experiencing.

Except in seminars, a two-hour final examination or its equivalent is required of all students in all courses. During reading and exam period students should be able to devote their full attention to final examinations; therefore, all other work for a course, including research and seminar papers, work for independent study courses, and other assignments or projects must be due no later than 5:00 p.m. on the final day of classes. The final exam or its equivalent must be given during the exam period and not during the final week of classes.

The final exam or its equivalent should normally be cumulative and/or integrative. Instructors who give a traditional two-hour final exam must do so either by giving the exam at the time set by the Registrar or by allowing students to take self-scheduled exams. Traditional two-hour final exams may not be scheduled at other times without the permission of the Associate Dean of the Faculty. The Office of the Associate Dean of the Faculty provides administrative support for self-scheduled finals.

Faculty who choose a format other than a two-hour final should be mindful of the burdens that alternative formats might impose. In general, alternative formats should achieve the same purposes, allowing students to demonstrate cumulative and integrative mastery of course material, while not imposing overall time demands on students that exceed those of studying for and taking a traditional final. Faculty who wish to give written, and untimed, take-home exams, or reflective final assignments, are strongly encouraged to observe the following guidelines. Take-home exams should normally: be due on the final exam date scheduled by the Registrar; be distributed at least one week prior to the due date; not require more than minimal reading or research beyond the class syllabus; and be of reasonable length, e.g., 2000 words maximum, or less if the final exam is part take-home and part in traditional format. Other formats should follow the spirit of these rules. In particular, oral presentations or examinations should be scheduled flexibly to accommodate students’ final exam week workloads.

It is a general rule that a student who has three final examinations scheduled in a single day has a right to request that he or she be allowed to take one of them at a different time. This is usually accomplished informally with a request to one of the instructors involved. In some cases the student may ask his or her administrative advisor to intervene with the instructor(s), and faculty members are asked to cooperate with such a request. If the problem cannot be resolved in this manner, it will be referred to the Associate Dean of the Faculty, who will determine which of the student’s three examinations will be rescheduled.

Except in the unusual case of a student having three examinations scheduled in a single day, however, students are expected to take the final examinations in their courses
at the regularly scheduled times. *Students should not make end-of-semester travel plans prior to the publication of the final exam schedule (or should schedule travel for after the end of the final exam period).* Faculty members are strongly discouraged from giving “make-up” or special final examinations for students except in very unusual cases and for compelling reasons.

It is requested that faculty members inform a student’s administrative advisor if the student fails to appear for a scheduled final examination in a course.

5. Reporting Final Grades Final grades for all students are to be reported on the official final class lists distributed by the Registrar for that purpose. Final grades for *seniors* who expect to graduate at the end of a term *must be reported to the Registrar within 48 hours after the final examination* in a course or, if no final examination is scheduled, *24 hours after the final day of the examination period (or sooner).* Grades for Independent Study Projects are due on the third day of the examination period. Final grades for all other students are due in the Registrar’s Office by the date specified in the memorandum accompanying the final class list. *Late grades create undue problems for students, the Committee on Standards and Academic Standing, and numerous offices which rely on academic results.* They must be conscientiously avoided. All special arrangements which have to be made for the submission of grades must be made through the department chair in advance of the deadline.

Final grades are officially reported to students by the Registrar only after all grades have been submitted by the faculty. It is therefore extremely important that instructors adhere to the Registrar’s specified deadlines for submission of final course grades.

6. Incompletes The University’s policy on “incompletes” is contained in the section on “Academic Regulations” in the Colgate University *Catalogue*. The last sentence in the statement below was added to the *Catalogue* statement by the Dean’s Advisory Council in May 1982.

The temporary status of “incomplete” in a course is given only when the student has not finished the work in the course. It is used rarely and only for sufficient cause, such as illness or absence necessitated by emergency. *A student’s request for an incomplete, which should be made in advance, must be directed to his or her administrative advisor, who will consult with the instructor in the course before approving the request.* An incomplete must be made up within 20 days of the end of the term in which it was granted, unless an extension has been granted by the student’s administrative advisor as a consequence of extenuating circumstances beyond the student’s ability to predict or control. The instructor will submit a grade to the Registrar within 10 days of the date the make-up is completed, or, if the make-up is not completed, submit the appropriate grade to the Registrar within 10 days of the final day granted by the student’s administrative advisor; otherwise the incomplete is converted to an F.

7. Changes of Grade Once a grade has been reported to the Registrar (or converted from an incomplete to an F), an instructor who wishes to request a change of grade for a student must obtain the approval of the Associate Dean of the Faculty. Requests for a grade change must be based on reevaluation of work completed by the student during the term and not additional work completed after the end of the term.

The request for a change of grade should be made in writing to the Associate Dean of the Faculty with an explanation of the reason for requesting the change of grade. The request should be accompanied by a Special Grade Report Card (available in department offices or from the Registrar), which must be signed by the instructor and the
department chair (signifying departmental approval) before it is sent to the Associate Dean. If the request for a change of grade is approved, the Associate Dean will inform the Registrar who will make the change in the student’s official records. See also Chapter IV, Section E.2, Review of a Grade.

8. Academic Honors A description of the academic honors awarded at Colgate may be found in the section on “Academic Regulations” in the Colgate University Catalogue. Reporting honors and high honors to the Registrar is the responsibility of the department chair or concentration program director. Because a number of students complete graduation requirements at times other than May, the Dean’s Advisory Council has issued the following ruling regarding the dates for reporting of honors and high honors to the Registrar:

Departments must report honors and high honors to the Registrar no later than five calendar days after the end of the fall semester examination period if the student completes his or her graduation requirements in the fall term. If the student completes his or her graduation requirements in the spring term, the department must inform the Registrar no later than the end of the regular examination period. University honors are based on the final grade point average.

9. Satisfactory–Unsatisfactory (S/U) Option This option is designed to encourage students to explore new areas outside their concentration in the true spirit of a liberal education.

Students with junior and senior standing, who have been accepted in a concentration, may elect to take up to four courses which are evaluated “satisfactory” or “unsatisfactory” instead of by the usual letter grades. The following conditions apply to this option.

a. The satisfactory/unsatisfactory option rests with the student and is restricted to students with junior or senior standing.

b. A student may take no more than one course per term on a satisfactory/unsatisfactory basis.

c. Liberal Arts Core Curriculum courses when taken toward the fulfillment of the general education requirement may not be taken under the satisfactory/unsatisfactory option. Also courses taken toward the fulfillment of a concentration and distribution requirements may not be taken satisfactory/unsatisfactory.

d. The choice to take a particular course under satisfactory/unsatisfactory must be made prior to the end of the drop/add period and must be officially recorded by the student with the Office of the Registrar. The use of the satisfactory/unsatisfactory option will be indicated on all class lists distributed to faculty.

e. In the event of limited enrollment possibilities, a student’s desire to take a course on a satisfactory/unsatisfactory basis shall not be a criterion in determining his or her eligibility for the courses or section.

f. To achieve the grade of satisfactory, the student must perform at a level that would warrant a grade of C- or better in an A through F grading system.

g. Satisfactory completion of a course shall be entered on the student’s permanent transcript as an S (satisfactory), but shall in no way enter the computation of the grade point average. The same procedure shall apply to the unsatisfactory completion of a course. The unsatisfactory completion of a course is entered on the student’s transcript as a U, and no course credit will be awarded.
10. Other Academic Rules and Regulations  
Other academic rules and regulations may be found in the section on “Academic Regulations” in the Colgate University Catalogue or in other sections of the Catalogue.

E. Academic Standards

1. Students’ Freedom of Expression and Inquiry  
At its meeting of January 21, 1974, the Committee on Faculty Affairs approved the following statement for inclusion in the Faculty Handbook:

The professor in the classroom and in conference should, consistent with the nature of the course, encourage free discussion, inquiry, and expression. Student performance should be evaluated solely on an academic basis, not on opinions or conduct in matters unrelated to academic standards.

Students should be free to take reasoned exception to the data or views offered in any course of study and to reserve judgment about matters of opinion, but they are responsible for learning the content of any course of study for which they are enrolled.

Students should have protection through orderly procedures against prejudiced or capricious academic evaluation. At the same time, they are responsible for maintaining standards of academic performance established for each course in which they are enrolled.

2. Review of a Grade  
Although the individual faculty member is the sole judge of students’ academic performance in a course, students have a right, consistent with the statement printed above, to be informed of the basis for the evaluation of their academic performance in courses of instruction.

The Dean of the Faculty and the Dean’s Advisory Council have established the following procedure for students who desire a review of an instructor’s evaluation of their academic performance in a course: The student should first discuss the matter with the instructor in the course, who should endeavor to explain the basis for his or her evaluation of the student’s academic performance. If the student finds this to be unsatisfactory, he or she may request that the division director (or department chair) convene a meeting of the instructor, student, and division director (and/or chair), at which the instructor will explain the standards and criteria used in evaluating the student’s academic performance in the course in question. At this meeting, the student may present reasons why he or she feels that the evaluation was incorrect or improperly made. The final responsibility for evaluating students’ academic performance in a course, however, rests with the instructor.

If the division director (or department chair) finds that there is reason to believe that the instructor’s evaluation of the student’s academic performance was prejudiced or capricious, the division director (or chair) should immediately bring the matter to the attention of the Associate Dean of the Faculty for such action as the Associate Dean finds appropriate.

3. Academic Dishonesty  
In May 1999, the Colgate University Board of Trustees approved a new Academic Honor Code that went into effect in the Fall semester, 2000:

At Colgate University, we believe honesty and integrity are fundamental in a community dedicated to learning, personal development, and a search for understanding. We revere these values and hold them essential in promoting personal responsibility, moral and intellectual leadership, and pride in ourselves and our University. As Colgate students, we will represent ourselves truthfully, claim only work that is our own, and engage honestly in all academic
assignments. Since articulated standards and expectations can influence attitudes, and because each of us shares the responsibility for maintaining academic integrity, we are committed to upholding the Academic Honor Code.

Along with the code, the reporting procedures and an outline of the forms of academic dishonesty as defined and recognized by the University discussed below can also be found in the Colgate Student Handbook 2007-2009. A separate Academic Honor Code booklet, which is distributed to first-year students through the first-year seminars and can also be obtained through the office of the Dean of the College, contains the Academic Honor Code, articles on college-level writing and academic honesty, and other information.

Upon matriculation to Colgate, students sign a statement agreeing to abide by the Academic Honor Code. Students are responsible for knowing and understanding the procedures associated with the University’s Academic Honor Code and the definitions of academic dishonesty as recognized by the college. Each first-year seminar at Colgate devotes at least one class period to a discussion of the University policy on academic dishonesty. In addition, all instructors are strongly urged to inform their students in advance, preferably in writing, of their specific policies and procedures concerning examinations, especially “take-home” exams, as well as papers, tests, laboratory assignments, and other academic exercises in a course.

Under the provisions of the Honor Code, faculty may choose to offer self-scheduled examinations. Self-scheduled final examinations are administered under the direction of the Office of the Associate Dean of the Faculty.

Members of the Colgate community who misrepresent themselves or their work, or who suspect another of such misrepresentation are expected to acknowledge their concerns to the instructor in the class or to their academic or administrative adviser. A student who observes what may be academically dishonest behavior on the part of another student is expected to share that concern with the other student in a timely fashion. If the observer and the other student determine that no violation of the academic honor code has occurred, no further action is required. However, if either student believes that an academic honor code violation may have occurred, the student observed is expected to self-report the incident immediately to the instructor in the class or to his or her academic or administrative adviser. Self-reporting does not constitute an admission of guilt but is an essential step, necessary to prevent misunderstanding and apprehensions. Within three class days, the observer will also contact the Associate Dean for Administrative Advising to insure that the self-report has indeed taken place. The instructor will review the elements of the complaint, and if the instructor believes that the academic honor code has been violated, he or she will contact the university Judicial Officer, who will convene a University Student Conduct Board hearing as outlined in the Student Handbook.

Colgate University defines academic dishonesty as any attempt to misrepresent one’s performance on any academic exercise submitted for evaluation. Departments, at their option, may further clarify this general definition in writing (and distribute this clarification in courses in that department), and a violation of the department’s statement shall be considered a violation of the academic dishonesty policy of the University as a whole. In any situation where a student questions the appropriateness of representing a work as his or her own, it will be the student’s responsibility to raise the question with the instructor. Ignorance of University policy concerning academic dishonesty shall not be a defense in any Conduct Board proceeding.
Colgate University recognizes four forms of academic dishonesty: cheating, fabrication (of data or sources), facilitating academic dishonesty, and plagiarism. They are defined in the Student Handbook. All students are urged to read these definitions carefully to gain a complete understanding of behavior that the University considers academically dishonest. Ignorance of the definitions will not be seen as a defense in University Conduct Board proceedings.

**Cheating** is defined as attempting to use prohibited materials, information, or study aids in any academic exercise. To prevent possible claims of cheating, there should be strict adherence to the following guidelines:

1. Faculty members should state, in advance, their policies and procedures concerning examinations and other academic exercises. Students should request such information if a faculty member neglects to offer it.
2. It is especially important that clear guidelines be established and followed concerning the use of “take home” examinations.
3. Students completing an “in class” or “take home” examination should assume that any external assistance (e.g., books, notes, calculators, conversations with others) is prohibited unless specifically authorized by the instructor.
4. Substantial portions of the same academic work may not be submitted for credit or honors more than once without the permission of the instructor(s).
5. Students must not allow others to conduct research or prepare any work for them without advance authorization from the instructor. This comment includes, but is not restricted to, commercial term paper companies and files of past papers.

**Fabrication** is defined as the attempt to falsify or invent without authorization any information or citation in an academic exercise. To prevent possible claims of fabrication, there should be strict adherence to the following guidelines:

1. “Invented” information may not be used in any laboratory experiment or other academic exercise without notice to and authorization from the instructor. It would be improper, for example, to analyze one sample in an experiment and covertly “invent” data based on that single experiment for several more required analyses.
2. A student should acknowledge the actual source from which he or she obtains cited information. For example, a writer should not reproduce a quotation found in a book review and indicate that the quotation was obtained from the book itself.

**Facilitating academic dishonesty** is defined as attempting to help another to commit an act of academic dishonesty. For example, if a student gives another student a specific answer to a homework assignment and knows that such assistance was either prohibited or would not be acknowledged, he or she is facilitating academic dishonesty.

**Plagiarism** is the act of using another person's work without clearly acknowledging the debt to the original source. This includes the borrowing of words, ideas, images, tables, charts, etc., from, books, articles, web pages, interviews, television shows, films, songs, or any other medium.\footnote{The precise forms for providing citations (whether, for example, to use in-text citations or footnotes) vary across academic disciplines. Students are expected to consult with their professor about the type and form of citations expected on a particular assignment.} To avoid plagiarizing, students must always
provide a specific citation to the original source in each instance of borrowing from another’s work. In addition, they must

- always use quotation marks when phrases or sentences are borrowed directly and
- put summaries and paraphrases in their own words (because merely rearranging someone else’s words in order to avoid using quotation marks is neither honest nor good scholarship).

Students are expected to consult with their professor if they have questions about proper scholarly procedures or what might constitute plagiarism on a particular assignment.

Colgate expects all students to understand what plagiarism is and to produce work that is both honest and meets the high standards expected for scholarly discourse. *Ignorance is not an excuse and any failure to acknowledge sources properly constitutes plagiarism.* Nevertheless, plagiarism in an assignment may vary in extent – ranging from an isolated instance to being pervasive throughout an assignment – and in intent – ranging from some level of disregard for proper scholarly procedures to a clear and obvious intent to deceive.

Colgate’s procedures for handling cases of plagiarism and sanctions depend on the nature of the offense. Instances of plagiarism that are less serious are normally handled directly by the faculty member for the course with a penalty in the form of an appropriate grade reduction on the particular assignment. In such cases, faculty must turn in a form, signed by the student, which remains on file in the office of the Dean of the College through the student's career at Colgate and is used to inform decisions on any later complaints of academic dishonesty against the student. Students who are dissatisfied with the resolution proposed by the faculty member may choose to exercise their right to a Conduct Board hearing. Cases where plagiarism in an assignment is egregious or where it seems likely that the student’s work exhibits academic dishonesty in the form of an intent to deceive are referred to the Student Conduct Board for a hearing. The usual standard is that if a student makes no obvious attempt to provide a citation or source for any significant borrowed material, then there is a presumption that the student has committed an act of academic dishonesty. If the Board determines that the nature of the plagiarism in the assignment and the evidence presented in the hearing warrant a finding of academic dishonesty, then the minimum penalty will be failure in the course and either warning or probation. If the Board determines that plagiarism has occurred but that the plagiarism does not constitute academic dishonesty, then the penalty in first-offense cases will be warning. If a warning is issued, then the faculty member will determine the appropriate penalty for the particular assignment. In the event that the Conduct Board finds the student not responsible, *i.e.*, that plagiarism has not occurred, then the faculty member will grade the assignment without imposing any penalty.

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**Report of Resolution of Incident of Plagiarism**

Faculty who wish to resolve a case of plagiarism without a hearing must, after consulting with the Judicial Officer (J.O.), complete this form and submit it to the J.O., who will keep it in a confidential file. If this is the only incident of plagiarism in which the student is involved during his or her time at Colgate, the J.O. will destroy this record once the student has left the institution.
Students must be allowed at least three business days from the date of conversation indicated below to decide whether to accept the resolution offered by the faculty member. This form will be used to inform decisions regarding any later complaint of academic dishonesty and may in that event become part of the student’s permanent record. Students should be advised that the J.O. is available to them to discuss their options. Faculty should retain a copy of this report and give a copy to the student.

**Student Name:**

**ID#:**

**Class Year:**

**Course:**

**Name of Instructor:**

**Date of Conversation in Which Resolution Was Offered:**

**Description of Incident:**

**Resolution of Incident:**

**Instructor Signature:**

**Date:**

**Student's statement:** The student must read and sign **one** of the statements below.

I acknowledge my responsibility for this incident of plagiarism, and I waive my right to a hearing on it before the University Student Conduct Board. I understand how this form may be used: if I become involved in another incident of plagiarism, this form will be used to help determine how to handle the case. If the Judicial Officer currently has a form on file for me from a prior incident, or if I have been found responsible for a prior incident, or if additional facts emerge from this incident, I realize that I may still be required to face a hearing on this incident.

**Student Signature:**

**Date:**

I do not acknowledge that I am responsible for plagiarism in this case, and I request a hearing on the charge before the University Student Conduct Board. I understand that the Board may impose the penalties of warning, suspension, or expulsion if they find me responsible, depending on the seriousness of the offense. I also understand that, if they find me responsible and if additional evidence, for example an earlier finding of responsibility for academic dishonesty is presented or a report of plagiarism is on file, that evidence may be considered by the Conduct Board in their determination of a penalty.

**Student Signature:**

**Date:**
V. Support Services and Miscellaneous Information

A. Office of Corporate, Foundation, and Government Relations (Grants Office)

The Office of Corporate, Foundation, and Government Relations, also known as the Grants Office, is part of the Division of Institutional Advancement. The Director of Corporate, Foundation, and Government Relations serves as a liaison between the Division and the Dean’s Office in matters concerning support for academic programs and research. In this capacity, the Director is responsible for the coordination of all grant proposals to foundations, corporations, and state and federal agencies. The office works with faculty members and administrators to identify potential funding sources for projects and programs, to develop and write proposals for building, equipment, and program grants, and to coordinate the submission of institutional proposals. The office disseminates to the faculty information about potential funding sources, maintains a small library of reference works, which faculty members are invited to use, and maintains a website with resources for faculty at http://offices.colgate.edu/grants/. Guidelines for preparing grant proposal budgets and for submitting proposals are published annually and are available on the Grants Office website.

The following procedure has been established for submission of all institutional grant applications to foundations, corporations, or government agencies: All faculty-initiated proposals must be approved by the department chair, division director, and Dean of the Faculty before they are forwarded to the Grants Office (administrative proposals should be approved by the senior administrator in the individual’s area). A “Grant Application Approval” cover sheet with the signatures of the department chair, division director, and Dean of the Faculty must be attached to the proposal when it is sent to the Grants Office at least 5 business days before the submission deadline. The Grants Office will review the proposal for compliance to University policy, will forward the proposal to the Controller’s Office for review, and will notify the faculty member or administrator submitting the proposal when all approvals and signatures have been obtained. The Grants Office will send copies of the signed cover sheet to all signatories when the application is complete.

The Grants Office is the “Office of Record” for all proposals. The Grants Office keeps on file a copy of the proposal, an acceptance or rejection letter from the grant source, copies of all correspondence pertaining to the proposal, and a copy of all progress and final reports to the grant source. The cooperation of faculty members in forwarding these materials to the Grants Office is vitally important in the administration of every grant. Faculty members are responsible for submitting all performance progress reports

1 Institutional grants are defined as those for projects in which (a) Colgate facilities or personnel will be used; (b) there is a provision for indirect costs or matching funds; (c) payment will be made to Colgate rather than directly to the researcher or project director; or (d) the grant source requires the signature (or nomination) of a University official on the proposal. “Institutional” grants include most NSF, NIH, and other federal agency research grants; National Endowment for the Arts project grants; and Summer Stipends of the National Endowment for the Humanities. Most fellowship grants (e.g., Guggenheim, Fulbright, ACLS, NEA Fellowships, and other fellowship programs of the National Endowment for the Humanities) are not “institutional.”
and a final report to the grant source. Faculty are also responsible for developing and submitting, with the Controller’s assistance, any financial reports that may be required.

In applying for grants, faculty members must consult the Office of Corporate, Foundation, and Government Relations before preparing the proposal or contacting the grant source to make certain there is no conflict with any other proposal submitted from Colgate.

B. Administrative Assistants

Faculty members in a department usually rely on the assistance of a single departmental administrative assistant, who must try to accommodate the various requests for support services which come from the several members of the department. It is important, therefore, that faculty members plan their work in advance so that the departmental administrative assistant is given adequate time to complete assignments when needed.

The following order of priorities for faculty administrative assistant services is generally accepted:

1. Course-related work: syllabi, examinations, assignments, requests for books to be placed on reserve, bookstore orders, preparation of course manuals, or collections of readings, etc.
2. Department business: memoranda, schedules, correspondence, etc.
3. Committee business: minutes, reports, correspondence related to University committees.
4. Individual professional correspondence: letters of recommendation, requests for examination copies of books, library book orders, applications for research grants, correspondence concerning professional meetings, etc.
5. Professional papers, speeches, and other manuscripts, as time permits (see Typing of Professional Manuscripts below).
6. Business of a professional association, as time permits.

The University cannot provide typing services for personal correspondence, and administrative assistants are not normally responsible for faculty personal mail while on leave.

Since there may be times when a departmental administrative assistant has an overload of top priority work, faculty members who find that their departmental administrative assistant cannot take care of their work within a reasonable period of time should check with their divisional administrative assistant to see if other help is available.

Typing of Professional Manuscripts The procedure to be followed when requesting typing of professional manuscripts is described in the section above on PROFESSIONAL ACTIVITIES, Section III.J.5.

C. Travel Policies

The purpose of the Colgate University travel policy is to provide faculty and staff with specific guidelines covering travel, entertainment and other business expenses as well the documentation required to substantiate such expenses and/or reimbursement.

It is not possible to anticipate all situations that may occur traveling for or entertaining on behalf of Colgate. As a result, these policies are meant to serve as guidelines to follow when incurring work related expenses. It is expected that employees will interpret these
polices to keep expenses to a minimum and ensure that such expenses are directly related to an employee’s job responsibilities and the mission of the University. The primary responsibility for adherence to these guidelines rests with the individual and his/her respective department head/supervisor.

1. Transportation

   a. Air Travel: Employees must fly coach class and should coordinate air travel needs with one of the university preferred travel agencies:

<table>
<thead>
<tr>
<th>BTI, The Travel Consultants (BTI)</th>
<th>OR</th>
<th>AAA Western and Central New York (AAA)</th>
</tr>
</thead>
<tbody>
<tr>
<td>800-472-7447</td>
<td>315-453-5914</td>
<td></td>
</tr>
</tbody>
</table>

If the use of BTI or AAA is not considered the best option, university personnel may utilize the services offered through Internet sites or other travel agencies. If an alternate travel booking method is used, the following guidelines must be followed:

1. All charges for alternate travel methods are to be billed either to the University supplied Chase MasterCard travel card (Colgate Chase Card) or an employee’s personal credit card. Individuals choosing to use their own personal credit card should be aware that reimbursement will not take place until after the trip is completed.

2. A comparable quote from BTI or AAA should be obtained. Please be advised that most of the additional services offered through BTI or AAA are not available when using an Internet site for travel related purchases. Especially important are the 24-hour emergency services and the assistance of BTI or AAA travel professionals which are not available when using Internet travel providers.

3. Colgate University will not be responsible for travel related problems, including monetary losses that occur from the selecting of travel through the internet or use of any unapproved travel agency.

Monetary advances are not permitted for air travel. Payments will not be made directly to any unapproved travel bureau. If an employee wishes to use an agency for group or team travel other than BTI or AAA they must obtain approval from the Director of Purchasing before any commitment is made.

   b. Auto

   1. Rental Car Employees should rent a car only when it is required for daily use at the business destination or if there is no other reasonable means of transportation. Arrangements can be made through BTI or AAA. Individuals should go to the Colgate Accounting Office website for a detailed outline of procedures to be followed when renting a car for business purposes.

   2. Personal Car The use of an employee’s personal car for business travel will be reimbursed at the federally approved mileage rate as communicated by the Accounting Office. Effective January 1, 2009 the reimbursable mileage is 55 cents per
mile, in accordance with IRS guidelines. Mileage reimbursement should never exceed the cost of alternative transportation.

It is important for employees to be aware that the vehicle owner’s insurance policy will always provide the primary liability coverage. The University will not provide reimbursement for the deductibles associated with the primary insurance under these circumstances. All incidents should be reported to the Risk Management and Endowment Coordinator for review by the University’s insurance carrier to determine whether there is secondary liability coverage under the University’s automobile liability policy.

The University’s commercial automobile policy will not provide collision or comprehensive coverage when an employee’s vehicle is used for business travel. The vehicle owner’s policy will provide the only coverage for these types of claims.

2. Lodging
The University will reimburse employees the actual cost of moderately priced accommodations. Arrangements can be made through BTI or AAA or by contacting the hotel directly. The hotel billing statement must be attached to the Travel Expense Summary report or to an employee’s Colgate Chase Card activity statement.

New York State (NYS) sales tax will not be reimbursed. Sales tax exemption certificates are available at the Accounting Office and should be presented at the hotel when checking in to a NYS hotel. Please note that the NYS sales tax exemption number is located in the lower left portion of the Colgate Chase Card which may be honored by the vendor to eliminate the sales tax. Certificates are also available in the Accounting Office for lodging in New Jersey, Massachusetts, Michigan, Pennsylvania and Florida. Please contact the Accounting Office for further information.

The University will not reimburse for any mini-bar charges.

The University will not reimburse charges for laundry services or in-room movies for stays of four consecutive nights or less.

3. Gratuities to Hosts
When it is convenient for the employee to stay with friends or relatives, the reasonable cost of a gift or meal is reimbursable. A receipt and an explanation of the gift or meal must be attached to the Travel Expense Summary report. The maximum amount is $50.00 and cannot be a “cash payment”. Only one gift or meal per trip to a host is permitted.

4. Meals and Entertainment
   a. General Meals and entertainment expenses are allowable expenditures if they are reasonable and necessary expenses directly related to the business or functions of the University and consistent with Colgate’s not-for-profit status. Departments may choose to be more restrictive than this policy due to budget constraints or other reasons; however, the maximum amounts set forth in this policy may not be exceeded unless there is an extraordinary circumstance.
While it is not encouraged, a limited amount of alcohol in connection with a traveler’s meal is reimbursable. Please note however, that reimbursement for alcohol purchases is prohibited under government grants.

b. Meals While Traveling  Employees have the option of choosing one of two options: (a) the per diem allowance; or (b) actual expenditure reimbursement. The per diem allowance is a daily rate that may be selected in lieu of submitting receipts. The actual expenses method requires the submission of receipts to support expenses claimed.

1. Per Diem Allowance  An employee traveler may be reimbursed for meals and incidentals based on the amount computed per the federal continental U.S. (“CONUS”) guidelines for meal and incidental expenses for selected high cost cities ($64) and all other cities ($39)

<table>
<thead>
<tr>
<th>Per Day Reimbursement</th>
<th>Standard</th>
</tr>
</thead>
<tbody>
<tr>
<td>Meals (Max per day)</td>
<td>$39</td>
</tr>
<tr>
<td>$64</td>
<td></td>
</tr>
<tr>
<td>Breakfast</td>
<td>$7</td>
</tr>
<tr>
<td>$12</td>
<td></td>
</tr>
<tr>
<td>Lunch</td>
<td>$11</td>
</tr>
<tr>
<td>$18</td>
<td></td>
</tr>
<tr>
<td>Dinner</td>
<td>$18</td>
</tr>
<tr>
<td>$31</td>
<td></td>
</tr>
<tr>
<td>Incidentals</td>
<td>$3</td>
</tr>
<tr>
<td></td>
<td>$3</td>
</tr>
</tbody>
</table>

♦ The University has determined the following to be the most frequently traveled high cost cities for Colgate employees: Boston, Chicago, Dallas, Detroit, Los Angeles, Las Vegas, New York City, Philadelphia, San Diego, San Francisco, and Washington D.C.

♦ Meal reimbursement for travel to all other cities will be made at the standard per diem.

The per diem rate must be reduced when a colleague, vendor, alumnus or other third party vendor pays for a meal. An example of a per diem rate adjustment is as follows:

When the conference attended provides some meals as part of the conference registration fee. For example: A traveler attends a 3-day conference. The conference provides breakfast for all attendees of the conference at no charge to participants. Since the cost of breakfast is part of the conference registration fee, the traveler is not entitled to reimbursement for breakfast during the days it is provided. If the full day rate is $39, the partial per diem allowed for the days the conference serves breakfast is $32 ($39 less $7).
2. **Actual Expenses.** The employee traveler may be reimbursed for the actual cost of meals and gratuities. Standard practice allows for tipping ranges from 15% to 20% of the bill. Tips for meals in excess of 20% of meal cost will not be reimbursed.

**Original receipts are required for all meal expenses, regardless of amount, if this option is chosen.** If a group of colleagues splits a bill and original receipts are not readily available, the traveler should document the cost of their individual portion of the bill as well as the circumstances.

Costs incurred for meals must be reasonable. Meals may not be either lavish or extravagant. For high cost cities the maximum that can be claimed per person in any single day is $85.00. For all other cities the maximum is $60.00.

5. **Non-Travel Business Related Meals**

   a. **Meals with a clearly substantiated business purpose:** In cases where University employees meet over a meal when not traveling, the cost of the meal is considered a non-reimbursable personal expense unless: 1) the primary purpose of the meeting is to conduct business, and 2) there is a clear and compelling reason to meet over a meal. Generally, these conditions are met when it is not possible for employees to meet during other working hours, and the purpose of the meeting is to conduct business in accordance with a formal agenda.

   b. Non-travel related meals eaten alone do not qualify for reimbursement.

   c. Infrequent, occasional meals provided to a group of employees, such as a holiday parties should generally serve the purpose of promoting goodwill, employee relations, morale, or to celebrate retirements, or major (e.g., 25 year) anniversaries of employment with the University. They must be reasonable and should not be extravagant. Meals which may be classified as personal events such as birthdays, weddings, showers, etc. are not allowable expenditures.

   d. Meals that do not fall into one of the classifications outlined above will be considered taxable wages with the appropriate federal, state and FICA taxes deducted from the employees wage payment.

   e. Required documentation for business related meals includes the date, time, location, nature of the gathering and names and titles of those in attendance. In cases where there are more than 6 people in attendance, the name of the committee or organization and the number of participants is sufficient. Original receipts must accompany the request for reimbursement of actual meal costs.

   f. Meal costs must be approved by the employee’s department head/supervisor whether submitted through the travel summary form or as part of the Colgate Chase card monthly statement of activity.

6. **Business Entertainment** Individuals conducting fund raising are limited to a maximum of $100.00 per day for each person entertained. Entertainment expenses greater than $100.00 per day/per person must be approved by the Vice President for Finance & Administration or the President of the University.
Personal entertainment expense (other than meals) is not normally reimbursable. If an employee is entertaining University guests for business purposes, names of those being entertained should be provided along with the purpose of the entertainment. Failure to provide that information may result in the IRS treating the reimbursement as taxable income to the employee.

7. Other Expenses

a. **Companions** Expenses for a companion are not reimbursable unless the companion’s attendance is necessary for business purposes.

b. **Telephone** For those employees not eligible for a University cell phone stipend, business calls made while away from the office will be reimbursed. Calls home will be reimbursed at the rate of one call per day (of reasonable length). Direct long distance calls from a hotel room can be expensive and should be avoided.

c. **Miscellaneous** Any necessary expense over $10, not previously described must be receipted and described.

d. **Non-reimbursable Expenses**

The following **will not** be reimbursed by the University:

- Fines for parking or moving violations
- Movies or other personal entertainment for stays of 4 consecutive nights or less.
- Laundry services (for stays of 4 consecutive nights or less)
- Lost or stolen personal property (including cash)
- Costs incurred at home, such as childcare
- Life, flight or baggage insurance
- Companion expenses

8. **Travel Advances and Settlements** It is now University policy that all requests for employee reimbursements must be approved by the employee’s department head/supervisor. This change is noted below. This is common practice in most organizations are represents good fiscal management protecting both the interests of the organization and the employee.

a. **Obtaining Advances:** Advances for the estimated cost of a business trip are available. All advances & reimbursements will be provided via ACH transfer to the employee’s personal bank account and must be approved by the **employee’s department head/supervisor**. A budget manager must have his/her advance approved by their supervisor. In no case can an employee approve their own advance. Amounts under $350.00 may be picked up at the cashier’s window. Amounts over $350.00 should be submitted to the Accounts Payable Department one-week in advance of the date the payment should be issued. A voucher that is submitted where the desired issue date is not listed will have the payment produced within 5 business days after receipt by the Accounts Payable Department.
b. Clearing Advances: Upon completion of the trip, a Travel Advance Summary must be submitted, approved by the employee’s department head/supervisor and sent to the Accounting Office for review. A budget manager must have his/her Travel Advance Summary report approved by their supervisor. In no case can an employee approve their own expenditures. Reimbursement will be made after documentation is submitted and reviewed by the Accounting Office. All expenditures must have supporting documentation. All expense receipts must be converted to U.S. funds.

It is expected that all advances should be cleared within 30 days from the date of the completion of the trip or activity. In order to meet IRS regulations, an advance not cleared within 120 days of the due date must be considered a salary advance and the full advance amount deducted from the employee’s next scheduled paycheck.

Travel Expense Summaries will be reviewed in a timely manner by the Accounting Office personnel. If a refund is due to Colgate, a check payable to Colgate University should be attached to the Travel Expense Summary Form. When travel occurs outside of the U.S. and foreign currency is involved, please indicate the exchange rate in effect during the travel period to expedite processing.

9. Reporting Requirements

The University must implement and adhere to regulations issued by the Internal Revenue Service and other governmental agencies. All travel expense summaries must include the following:

- Information to establish the business purpose of the travel, entertainment or other expenditure
- The amount, date, and place for each expenditure
- Substantiation of the expenditure with original receipts (except for per diem meal expenses).
- The return of any unused cash advances within 30 days of completing the trip

D. Libraries

Two major libraries serve the Colgate community. The Case Library and Geyer Center for Information Technology houses collections on humanities and social sciences, and the George R. Cooley Library houses collections in the sciences. The two libraries have combined collections of more than 700,000 volumes and 1,900 periodicals and newspapers, in addition to 16,000 online periodicals and extensive collections of digital databases, government documents, microfilms, and sound and video recordings. Hours and additional information can be found on the libraries’ website: http://exlibris.colgate.edu.

1. Borrowing Privileges Circulation staff at either library can activate borrowing status for faculty and their partners using the Colgate ID cards. Faculty loan periods are:

- Books: Due semiannually
- Periodicals: two days
- CD-ROMS: two weeks
- Sound Recordings: five weeks
- Govt. Documents: five weeks
Reference books, atlases, and materials requiring special handling do not circulate. Renew each item up to two times on the libraries’ website using your Colgate ID barcode. Items recalled for use by others are due immediately. All notices, including overdues, are sent by e-mail.

Colgate faculty also have direct borrowing privileges at Hamilton College, Herkimer County Community College, LeMoyne College, Morrisville State College, and SUNY Institute of Technology at Utica/Rome.

2. Requesting Library Materials Faculty are encouraged to submit requests for materials of interest. First priority will be given to materials that support the curriculum. Recommendations should be sent to the Head of Collection Department, Case Library, using one of these options:

- Circle items in publishers’ catalogs and include your name to identify the source of the request.
- Use the forms on the libraries’ website.
- Send e-mail or a memo.

Periodicals requested by faculty are added as funds permit, with higher priority given to titles that will receive heavy use, that are indexed, and that will support the curriculum.

3. Library Reserve Faculty members may place books, photocopies, software, and sound and video recordings needed for extensive class use on reserve in Case Library (for humanities and social science courses) or Cooley Library (for science courses). Required reading materials are usually placed on 2-hour reserve. When several students need to share reserve materials for written projects, the 3-day reserve period is recommended. Materials not subject to copyright restrictions may also be placed on electronic reserves.

Reserve lists should be sent to the Case Circulation Department or Cooley Library at least one month before the term begins. After that time, lists will be processed in order of arrival. While every attempt will be made to have materials available for students when needed, this cannot be guaranteed for late lists. If materials need to be ordered, at least six weeks’ advance notice is required. These orders should include the fact that the item(s) will be placed on reserve and the name of the course for which they will be needed. The library will purchase one or two copies per course. Additional copies will be billed to the department.

The Federal Copyright law (PL 94–554, October 19, 1976) places certain limitations on the reproduction of reserve materials.

4. Reference/Research Services Librarians provide reference service and research support in both Case and Cooley libraries. Reference librarians:

- Construct effective search strategies,
- Find answers to questions,
- Provide training in the use of library resources, and
- Provide consultation regarding your research needs.

Librarians are available at the reference desk or by individual appointment.

The libraries’ home page provides access to library services and resources through the libraries’ catalog (Mondo, journal finder, online reference sources, online databases, reserve readings, and other electronic media).
5. **Interlibrary Loan** Items not available on campus can be requested through interlibrary loan. ConnectNY, a statewide lending program, allows faculty and students to request books directly from cooperating libraries, with delivery in 2-3 days. For other interlibrary loan requests forms are available on the libraries’ website and within many online databases. Materials requested from libraries in the region usually take 2-3 days, while other libraries outside the region usually arrive within two weeks. International requests may take longer. Books are delivered to the appropriate campus administrative assistant; articles are sent by campus mail.

6. **Information Literacy** The Information Literacy program supports the mission of the library to "provide and strengthen Colgate's educational programs and to facilitate learning, research, and the creation and dissemination of knowledge." Information literacy librarians are here to support and assist faculty, students, and the community by providing the following resources and services:
   - Orientation tours
   - Online tutorials (SearchPath)
   - Class-related instruction
   - Credit courses
   - Specialized workshops
   - Individual student consultation
   - Faculty collaboration and consultation
   - Print and online guides to resources and services

   To arrange a library instruction session for a class, please contact the Head of Reference and Information Literacy (ext. 7867), the Science Librarian (ext. 7311), or the library liaison for the faculty’s department.

7. **Special Collections Department** This department has approximately 8,000 rare and unique books, as well as major manuscript collections covering a wide range of subjects. Special Collections is especially strong in 20th century British literature—particularly the Henry A. Colgate Collection of Joseph Conrad, the Richard S. Weiner Collection of George Bernard Shaw, and the Powys Family Collection. Other strong book and manuscript collections feature T. S. Eliot and James Joyce. The department also has extensive collections of 17th century English pamphlets, John Dryden, the publications of Jacob Tonson, World Wars I and II, and the history of radio and television. The department also houses the Colgate History Collection, which consists of over 5,000 linear feet of materials related to the history of Colgate.

E. **Bookstore**

In 2002, Colgate renovated a large corner building in downtown Hamilton and moved its bookstore off campus. The new Colgate Bookstore is now the largest independent downtown bookstore and music store in central New York. This four-story, 25,000 sq. ft. store provides all of the course books, both new and used, that students need for their classes, as well as an impressive general book department with 30,000 fiction and non-fiction books, scholarly titles, antiquarian books, a large children's book department, and a unique international book collection. In addition to providing Colgate clothing, giftware, and memorabilia, the Bookstore carries 12,000 CDs and DVDs, a large selection of school, art, dorm, and office supplies, newspapers, magazines, fun and
unique gifts for every occasion, and computer hardware and software at educational pricing. Additional amenities include book signings and readings by nationally known and local authors, hundreds of family-friendly events and weekly children’s programs, a full-service café, a gift registry service, gift cards, frequent buyer clubs, high speed Internet access, music listening stations, comfortable seating, a conference room, and an art gallery.

Faculty receive a 10 percent discount on most Bookstore items and can access a two million book online database to securely order general books for private research and personal reading. Visit the Bookstore’s website at www.colgatebookstore.com for the complete list of services and upcoming events or to quickly and securely purchase books and merchandise online.

A small satellite convenience store is located in the O’Connor Campus Center.

The following services are of specific interest to faculty:

1. **Books and Related Course Supplies for Students** All new and used textbooks, study guides, course packets, art supplies, and any other items to be purchased by students for use in a course should be ordered through the Colgate Bookstore as outlined below:
   a. Textbook adoptions can be submitted electronically through the Colgate portal at [http://cu.colgate.edu](http://cu.colgate.edu). This fast and easy method allows faculty and administrative assistants to review past adoption histories for specific courses and dramatically increases the fill rate for new and used textbooks. Complete instructions for submitting online adoptions are located in the textbook portion of the Bookstore's website at [www.colgatebookstore.com](http://www.colgatebookstore.com). The Bookstore also hosts an annual training seminar for academic administrative assistants and interested faculty.
   b. Orders for the fall term and fall study groups are due by April 1, spring term and spring study groups are due by October 15. Submitting course adoptions by these dates allows students to receive more money for their books during textbook buyback each semester, gives the Bookstore a competitive edge in obtaining quality used books for students, and ensures that required textbooks will be on the shelves by the first day of class. Between used book sales and buyback, the Bookstore returned more than $250,000 to students in 2003. By submitting adoptions on time (even partial adoptions), faculty can have a direct impact on how much money students save on textbooks each semester. Faculty are requested to inform the textbook department of courses in which no text is required.
   c. Though the Bookstore obtains early registration figures for courses from the Registrar, faculty are advised to contact the textbook department whenever new figures become available to ensure that the correct quantity of books has been ordered.
   d. The Textbook Department will contact faculty directly whenever a textbook goes out of print, out of stock, or is delayed, so that an alternate text may be selected.
   e. Special course materials, such as art supplies, may be ordered from the Bookstore general merchandise department at 315-228-6956 or 315-228-7482. Please include as much description as possible to facilitate the ordering process.
   f. To obtain photocopied materials (course packets) for a class, faculty should contact Document Services at 315-228-7487 then notify the textbook department so that adequate shelf space is reserved for packets.
   g. To assist faculty and administrative assistants in locating accurate publication information, the Bookstore has provided a link to *Books in Print* within the adoption portion of the portal.
h. Textbooks will be removed from the shelves and returned to the publisher beginning November 1 for the fall term and March 15 for the spring term. The Bookstore issues a notice to this effect to faculty and students prior to these dates.

i. Instructors must not collect money from students for special materials to be used in a course.

2. Department Requirements Books charged to a Banner code for departments or individuals must be ordered through the Colgate Bookstore, as detailed in the Colgate Purchasing Handbook. These purchases may be made in person, by phone, or online at www.colgatebookstore.com.

3. Special Orders The Bookstore can order any book, CD, DVD, or video currently in print and will do out of print book searches as well at no extra charge. Free freight is offered on all books and CDs ordered through the Bookstore’s primary distributors, and most domestic special orders arrive in less than one week. Orders placed directly to publishers take slightly longer and incur publisher shipping and handling fees. Overnight, Next Day Air, and 2-day Air shipping options may be requested for an additional charge. The Bookstore also processes special orders for specific school, art, or computer supplies, with most arriving in 2–3 days. Purchasing discounts are available on bulk orders. Please see the Bookstore's website at www.colgatebookstore.com for details.

4. Examination or Desk Copies To obtain a complimentary examination or desk copy of a book, faculty members must communicate directly with the publisher’s representative or the publisher.

5. Course Examination Booklets Course examination booklets, or blue books, may be purchased from the Bookstore by contacting the General Merchandise Department at 315-228-7482.

6. Faculty and Staff Discount on Cash Purchases The Bookstore offers a 10 percent discount to faculty and staff on the majority of items stocked in the store. The Colgate ID card must be presented at the time of purchase to ensure the discount.

7. Books for Visiting Authors The Bookstore provides books for nearly 100 readings and lectures on campus each year. Faculty involved in bringing authors to Colgate may contact the general book department with the relevant information (name of author, location, date, and time of event, expected attendance, and requested titles), and the Bookstore will order, display, and sell books at your event at no charge to the department.

8. Scheduling Events at the Bookstore The Class of 2003 Event Room, located on the 3rd floor of the Colgate Bookstore, may be reserved at no charge for department meetings and special events by contacting the Bookstore Event Coordinator at 315-228-6943. This room accommodates up to 100 guests. Tables, chairs, podium, flip charts, audio visual equipment, high speed Internet access, and coffee service are available with this room. A smaller conference room that comfortably seats 10 is also available for department or private meetings upon request.

F. Information Technology Services (ITS) Facilities and Support

ITS provides resources for the Colgate community in support of academic,
extracurricular and administrative applications of technology.

Extensive computing facilities and a pervasive high-speed campus network connected to the Internet are available at Colgate for the academic and research needs of students, faculty, and staff. The network runs to every office, classroom, and room in the residence halls. In addition to the high-speed wired network, 85 percent of the campus, indoor and outdoor, is wireless including all student residences. Nearly 100 percent of Colgate students purchase their own computer, and approximately 300 public computers are available in computing clusters and classrooms throughout the campus.

Full-time faculty members are provided with a desktop or laptop computer that is connected to the network. Many classrooms have computer projection and other multimedia equipment for use in teaching. Scanners, digital editors, and other specialty equipment are available in the Case Library and Geyer Center for Information Technology.

The largest public computing facilities are in the O’Connor Campus Center and the Case Library and Geyer Center for Information Technology (Case-Geyer). Case-Geyer, where most of the public workstations can be found, is open from 8:00 a.m.–2:00 a.m. Monday through Thursday, 8:00 a.m.–10:00 p.m. on Friday, 10:00 a.m.–10:00 p.m. Saturday, and 10:00 a.m.–2:00 a.m. on Sunday. For the last six weeks of each semester, Case-Geyer is open 24 hours a day, and computing help is available whenever the lab is open. Please see the ITS web pages at http://computing.colgate.edu/ and http://computing.colgate.edu/ for more information about this and other ITS facilities.

All members of the community are required to abide by Colgate computing policies. These include policies for responsible use of computers and networks as well as individual obligations related to copyright laws. The full policy manual is available from the Office of the Chief Information Technology Officer (ext. 7224) and is available online at http://computing.colgate.edu/ and http://computing.colgate.edu/. Colgate strongly urges members of the community to adopt current software standards to help assure seamless collaboration between members of the community. The Committee on Information Technology, a subcommittee of the Academic Affairs Board, makes recommendations to the Dean regarding strategic planning and policy development for computing and technology.

Support for computing and phone service is provided by ITS through a two tiered approach. The Colgate Helpline (ext. 7111) is the first point of contact for all technology support including phones, printers, computer hardware, and software. The Helpline resolves 70 percent of all calls. The remaining calls are elevated to the 2nd tier of support. Technology Support Analysts (TSAs), for faculty and staff, solve more difficult problems and can assist employees on-site. Students are supported by SOURCe, student employees who are trained by ITS staff to provide technology related help to their peers. In addition to calling the Helpline, support is available. For more information on ITS support and services, please visit the ITS channel in Colgate’s portal.

Faculty desiring to use software in their classes should discuss their plans with their TSA as early as possible to assure adequate time for installation and testing — both on their own desktops and for installation on lab machines. Special support and grants exist for faculty members who want to incorporate technology into their teaching. Contact the Chief Information Technology Officer (ext. 7224) for more information. Instructional technologists, from the Academic Computing team, and librarians provide coordinated support to faculty who wish to rethink courses and curricular approaches and use emerging technologies to enhance student learning. Interested faculty should contact the Director of Academic Computing at extension 7467.

Beyond the services already mentioned, workshops are offered by instructional technologists at the beginning of each semester. Announcements about upcoming
workshops are distributed through campus mail. Faculty may also request individual instruction on a variety of hardware and software topics.

G. Instructional Technology

More than 90 percent of Colgate’s classrooms are technology enhanced. Most public spaces are wireless, including both libraries and the majority of student residences. There are over 250 wireless access points on campus, covering student residence halls, dining halls, and public and outdoor areas. The newly renovated Case Library and Geyer Center for Information Technology Services is home to separate sound-isolated audio and video studios, digital media post-production suites, and media editing and conversion workrooms. The W.M. Keck Humanities Resource Center provides technologies and staff support for language learning and instruction.

The Collaboration for Enhanced Learning (CEL) provides coordinated support to faculty who wish to utilize current and emerging technologies to enhance student learning and to develop more creative connections among teaching, learning, and technology. In the Case-Geyer building, faculty, staff, and students have access to an extensive media collection including films, videotapes, audiotapes, slide sets, video laserdiscs, and DVDs. Facilities for media editing and viewing are also available. Members of the Colgate community also have access to high-end laptops, digital cameras, audio recording devices, and digital video cameras for on- and off-campus curricular work and research. Training in a variety of formats is offered throughout the year. ITS also provides support for general computing problems or questions, technology planning, and course-related projects and research.

H. Campus Mail Services and Distribution of University Notices

1. Mail Services The Mail Services Department, located on the lower level of the O’Connor Campus Center, provides services through the campus mail delivery system and through its role as a contract station of the U.S. Postal Service. Postal services include money orders, registered mail, certified mail, parcel post, and the sale of all postal supplies. All incoming mail to the University as well as outgoing mail is processed through Colgate Station. During the academic year, the Station’s hours are from 10:00 a.m.–4:00 p.m. weekdays and from 9:00 a.m.–noon on Saturday.

Postage for professional correspondence is usually paid by the University or charged to a department. Official University mail entering the U.S. Postal system must be marked to identify the appropriate department or account to be charged for the postage costs. Personal correspondence to be sent through the U.S. Postal system must be stamped before placing in outgoing mail. It is suggested that faculty members contact Mail Services for advice on mailing manuscripts, books, or overseas mailings.

In addition to the U.S. Mail, the Mail Services Department distributes official University mail and notices to departments, employees, and students. Outgoing mail and interoffice communications are picked up and delivered to University offices twice a day. This service is designed to provide an efficient internal distribution system for University business correspondence. This system is not intended to serve as a means of distributing personal correspondence. Other campus sources are available for personal communications. For example, employees may use the Personnel Advisory Council forum, or submit letters for publication in the Open ’Gate or the student newspaper to express personal opinions. Questions or concerns regarding whether or not campus mail meets the criteria as official University business may be directed to the Office of the
Dean of the Faculty and Provost or the Director of Document and Mail Services.

In addition, the following materials will not be delivered via campus mail: advertising, solicitations, or promotional material for commercial or private activities or for personal gain; bulk mailings of materials that do not identify the originator and are not addressed to the recipient by name and full address; and any type of material, correspondence, or literature that would be illegal for distribution through the U.S. Postal Service (e.g., chain letters).

Mail items may be delayed or stopped if it is obvious that they are in violation of the policies listed above. However, sealed material will not be opened to review the contents, unless required by competent judicial or law enforcement authority. Complaints regarding receipt of personal or inappropriate mail delivered via the campus system should be directed to the Office of the Dean of the Faculty and Provost or the Director of Document and Mail Services.

All campus mail pieces should either be in envelopes or be letter size. Pieces which are folded should be taped or stapled shut. Interoffice envelopes may not be used to send mail to student boxes and Colgate envelopes may not be used for personal correspondence. Reusable campus mail envelopes are available from departmental offices and from the mail center. The name of the person and the departmental address should be used when sending interoffice communications.

2. General Mail Distributions

For ecological and economical reasons, Colgate attempts to minimize the amount of paper that is generated and distributed on campus. People needing to communicate events or broadly disseminate information are encouraged to use Colgate This Week, the Open ’Gate, the student newspaper, and/or posters. When approved as necessary, the following are the types of mass mail distributions that can be used on campus:

A — All Employees or to the Colgate Community (approximately 900 copies). Requires approval by the Office of the Dean of the Faculty and Provost. Copies are distributed to each member of the faculty, administration, and members of the secretarial, clerical, technical, and buildings and grounds staffs. No names or labels are required.

B — Faculty Only (approximately 450 copies). Requires approval by the Office of the Dean of the Faculty and Provost. Copies are distributed to all faculty members, including part-time, members of the Dean of the Faculty’s staff, and appropriate Deans.

C — All Faculty and Administrators (approximately 510 copies). Requires approval by the Office of the Dean of the Faculty and Provost. Copies are distributed to all faculty and administrators.

D — All Divisions and Departments (102 copies). Requires approval by the department or division head. One copy is distributed to departments for general information for all employees in the department and posting on a departmental bulletin board.

E — All Students (approximately 2,675 copies). Requires approval by the Office of the Dean of the Faculty and Provost.

F — One of the Four Classes of Students (approximately 700–800 copies). Requires approval by the Office of the Dean of the Faculty and Provost.

G — Special Distributions. Requires approval by the department or division head and the use of specific labels.

3. Mailings to Students

Each registered Colgate student is assigned a mailbox in Colgate Station. Student’s box numbers are given in the Student Directory, which is
published in the fall term and distributed to faculty and departmental offices. 
Correspondence to a student may be sent without charge to his or her mailbox in Colgate 
Station by showing the student’s name, box number, and “Campus Mail” on the 
envelope. Colgate “campus mail” envelopes, which are used for interoffice 
communications, may not be used to send mail to Colgate Station mailboxes for students. 
All mail to Colgate Station boxes should be banded together and separated from other 
outgoing mail.

4. Employee Address Labels Labels are available for use in distributing official 
information to each employee, either with campus or home addresses. The request for 
access to this information requires the approval of the Director of Human Resources. 
Additional guidelines on the use of the available mail services are available from 
the Mail Services Department.

I. Document Services

The Office of Document Services, located in the basement of the O’Connor Campus 
Center, provides a number of printing, copying, and imaging services to members of the 
faculty.

Printing of course manuals and/or collections of articles for classroom use is done 
by this office. Jobs requiring fewer than 500 copies will generally be done on a 
photocopying machine. The per-copy rate for these jobs is determined each year. Larger 
jobs will generally be done on an offset press. Charges for photo-offset depend on the 
nature of the job; price quotations will be given on request.

All work done by Document Services must be charged against the department 
budget code number and the charge approved in advance by the department chair. Course 
manuals and collections of articles for student use in a course are sold to students through 
the University Bookstore in order to recover costs of printing and handling (although on 
occasion an instructor may distribute a short article gratis to the class).

Educational material to be purchased by students must be processed through the 
University Bookstore. For material which requires copyright permission, a special form 
available from Document Services must be completed and handed in at the time of the 
request for reproduction. Permission for copyrights can be requested electronically 
through Academic Permission Services. Document Services will assist in this procedure. 
All work done by Document Services for resale in the bookstore to students will be 
charged against the bookstore account. Any additional charges incurred, such as typing or 
copyright charges, must be given to Document Services at this time via voucher or an 
invoice. These extra expenses will be added to the printing costs and will be reflected in 
the selling price to students.

Materials so prepared for use in courses will be sold to students by the University 
Bookstore. Normally, reproduced materials will not be kept longer than one term. 
Instructors are requested to confer with the book department manager when exceptions to 
this practice might appear in order. In all cases, the actual quantity of reproduced packets 
of materials will be determined by the bookstore, according to procedures followed in 
ordering texts.

Although Document Services gives priority to printing course materials, the 
volume of work makes it imperative that sufficient lead time be given for work to be 
completed when needed. This is especially important for long course manuals or 
collections of articles, for materials needed at the beginning of a term, and for work 
which is to be distributed to a sizable portion of the student body. To recognize the 
additional costs associated with “rush” jobs, a premium charge will be added to such
Faculty members should be aware of the limitations on copying set forth in the federal copyright law (PL 94–553, October 19, 1976), which went into effect January 1, 1978. Manuals should not create, replace, or substitute for anthologies, compilation, or collective works, nor should they include extensive amounts of copyrighted text unless permission has been granted. The concept of “fair use” as defined in the law provides some latitude to make limited use of copyrighted material for educational purposes which does not affect the market for the copyrighted work. Any questions should be referred to the Associate Provost or Document Services.

Notices for distribution by departments may also be printed by the copier or by offset press. Charges for such printing are made to a departmental budget code number and must be approved in advance by the department chair. For distribution of such notices through campus mail, see the section on Campus Mail Services and Distribution of University Notices.

The Office of Document Services in coordination with the Office of Public Relations and Communications, also has facilities for typesetting, design, and layout of brochures, booklets, programs, posters, flyers, and tickets. The procedures to be followed for such services are described below in the section on Office of Public Relations and Communications, Section V.L. Charges for these services are made to a departmental budget code number and must be approved in advance by the department chair.

Additional information on imaging, copying and printing is available from Document Services by telephone, e-mail or web page.

J. Purchasing

The Purchasing Department (located in the Maintenance Building) is responsible to provide necessary services and programs for ordering all equipment, supplies, and services for the University. As a centralized purchasing operation, the department can obtain equipment and supplies in the most economical and efficient fashion.

Departmental requests for equipment and supplies must be submitted via paper requisition form or electronically via Banner Web to the Purchasing Department and have the approval of the department chair (or other authorized person). Departments or individuals should not attempt to purchase items themselves except for local purchases of less than $500. Vendors must follow certain billing and shipping instructions when dealing with Colgate, and the Purchasing Department is the authorized representative of the institution in such transactions. All requests over $10,000 in estimated value must be bid through the Purchasing Department. The exception is established contracts with vendors that purchasing has negotiated or state contract pricing. It is appropriate to contact purchasing before committing the order to any vendor.

Faculty members should inspect all merchandise as soon as it is received, report any damages or shortages and forward all packing slips to the Purchasing Department as soon as possible. Any delay could void claims against the vendor or freight carrier involved. Faculty should call the Purchasing Department for assistance in all purchasing matters.

The Purchasing Department also disposes of all surplus equipment through the University Salvage Program. Departments that have University owned equipment being replaced or disposed of must notify the Purchasing Department to make arrangements for removal and salvage. Any remaining value will be reclaimed and a transfer of charge created to credit the departmental budget.

All basic office supplies can be ordered directly with the designated vendor of the
Colgate University Office Supply Program. All program highlights are available from the Purchasing Department by contacting extension 7474 and requesting information for Office Supply ordering online. Additional information on all the above procedures is available on the Purchasing Department website at http://offices.colgate.edu/purchasing/.

K. Telephone Service

The telephone system owned by Colgate University is a NEC 2400ICS system. We are beginning a transition to a Cisco VoIP system, which will take 1-2 years to complete. To learn the special features available in the system, as well as the proper use of the telephone, faculty should refer to the first three pages of the Colgate Faculty-Staff Directory. Voicemail is available for all employees.

Dialing capability to outside telephones (off-campus) depends upon the class of service assigned to each telephone. Because of different requirements, not all telephones have the same capability or class of service. Telephones in public areas are restricted to local use only. Most office telephones may be used for local and long distance calls. Long distance dialing requires a seven-digit access code assigned to each faculty and staff member. If you need help in retrieving or using your access code, contact the ITS Helpline (315-228-7111).

The telephone system is a Direct Inward Dialing system which allows outside callers to reach campus offices directly by dialing 228 and the four digit office extension. If individual extensions are not known, the caller may dial 228-1000, the university’s main number, which is answered by an operator who assists the caller or transfers the call to the desired extension. Alternatively, callers may dial 228-7000 to use our “dial by name” service. Outbound calls bypass the switchboard. Calls between campus telephones on the system are dialed directly by using the four-digit extension.

A Colgate staff directory of telephone extension numbers is distributed each fall to all University staff members by the Office of Communications. The directory also contains additional information about telephone service at Colgate. There is an online directory as well, at http://people.colgate.edu.

Questions about telephone service should be directed to the Associate Director of Telecommunications, extension 7352. Problems with a telephone, voicemail, or completing calls should be reported to the ITS Helpline at 315-228-7111. Employees using Colgate telephones for personal calls are expected to reimburse the University when the monthly e-mail statements for each caller are received.

L. Office of Public Relations and Communications

The Office of Public Relations and Communications has responsibility for campus and external communications, publications, and media relations, including editorial oversight of Colgate’s web page.

1. External Communication The Colgate Scene is the University’s regular link to some 40,000 alumni, parents of undergraduates, and friends. It is also distributed to faculty and seniors and, periodically, to prospective students. Since the periodical’s purpose is to provide an accurate, rounded, and vivid picture of Colgate, faculty contributions of writing, story ideas, photography, and graphics are strongly encouraged. Contributions may include such subjects as faculty or student profiles, book reviews and essays on special courses, programs or events of special interest that are noteworthy at Colgate.
Faculty members interested in contributing to *The Colgate Scene* should contact the managing editor.

2. **Publications** The Colgate University *Catalogue*, student and staff directories, reports of the President and Treasurer, *Faculty Handbook*, and *Student Handbook*, and admission viewbook are all produced with the assistance of the Office of Public Relations and Communications. Advice on publications projects should be sought early in the planning stages from the Assistant Director of Communications for Publications.

3. **Printing** The Office of Communications, in coordination with the Office of Document Services, has facilities for the design and layout of brochures, booklets, programs, and posters. Routine publications for the on-campus community may be arranged directly with Document Services in the O’Connor Campus Center where typesetting and layout services are available. Publications requiring editorial and design service should be arranged through the Director of Publications.

4. **Media Relations** Within the Office of Public Relations and Communications, the media relations staff promotes information about faculty grants, research projects, study groups, and other subjects for local and national news media. Faculty members are urged to notify the office of newsworthy happenings or feature story possibilities that may be of interest to the media and other outlets. The office maintains a file of faculty vitae and will send biographical material and photographs as requested when a faculty member is to be a speaker at a meeting. Faculty members are urged to advise the office of potential newsworthy areas of their expertise.

5. **Photographic Services** The university photographer in the Office of Public Relations and Communications supports photography for publicity and University publications. The Technical Photographer provides photography in support of academic teaching, research, and journal publications. Advice on academic photography projects may be obtained from the photo technician. Users will be billed for the cost of materials.

6. **Calendar of Events** The University publishes a weekly calendar of events, *Colgate This Week*, when the college is in session. The procedure for listing events in the calendar is as follows: (a) In order to avoid scheduling conflicts, the first step in organizing campus events is to check with the Office of Public Relations and Communications before setting a firm date for the particular event. This should be done as early as possible in the planning stages. (b) Once it is determined that a proposed date is clear of conflicts, the event may be scheduled and should be reported to the Office of Public Relations and Communications. Faculty should check with that office for deadlines for submission of information.

7. **World Wide Web** *Colgate This Week*, *The Colgate Scene*, press releases and other items of general interest are also available through the university’s home page: [www.colgate.edu](http://www.colgate.edu), which is coordinated by the web editor/writer in the Office of Public Relations and Communications.

**M. Reserving Rooms**

EMS (Events Management System) is a software solution that is used to schedule all campus events (classes, colloquia, special events) that use campus facilities.
The web interface at **http://ems.colgate.edu** provides Colgate users with a comprehensive schedule of campus events and tools to request spaces for their use.

- To create an account in EMS which allows you to make reservation requests, you must have a Colgate network account and enter your network username and password when prompted.
- When off-campus, you must connect using a VPN (Virtual Personal Network) for security.
- Web reservation requests cannot be submitted within three (3) working days of an event. Contact a scheduler directly to make a request. A list of schedulers can be found on the virtual EMS site.

Questions about the system should be logged with the Colgate Helpline.

## N. Use of University Facilities

### 1. Lectures, Plays, Films, and Concerts

A wide range of cultural activities is offered throughout the year by departments and student groups. These events are usually well-publicized in advance through advertisements, campus mail flyers, and notices in *Colgate This Week*. Most of the events are open to the public. Many of them are free, while others have a nominal admission charge.

### 2. Athletic and Recreational Facilities

A wide variety of athletic and recreational facilities is available to members of the faculty. The use of most of these is without charge, although some require a user’s fee.

Huntington Gymnasium, named in honor of Ellery Channing Huntington, Director of Physical Education at Colgate from 1900 to 1935, was erected in 1926 by alumni and friends. It houses a basketball court, offices, squash and racquetball courts, a large auxiliary gymnasium, the Angert Family Climbing Wall, and the Wm. Brian Little Fitness Center. The Lineberry Natatorium is an indoor-outdoor facility adjoining the gymnasium which provides a 50-meter pool, one- and three-meter diving boards, and bleachers for spectators. On the hill above Huntington Gymnasium is a 10 km trail system for hiking, jogging, mountain biking, and cross country skiing.

Reid Athletic Center, named in memory of William A. Reid, Director of Physical Education and Athletics from 1935 to 1955, was added to Colgate’s expanding athletic facilities in 1959. The Center houses the Starr Hockey Rink, the Cotterell Basketball Court, four modern bowling lanes with automatic pin setters, team rooms, training rooms, offices, and indoor practice facilities for fall and spring teams. Located behind Reid Athletic Center is Sanford Field House, with an astroturf surface, indoor tennis courts, and indoor track.

The intercollegiate athletic fields include 27.7 acres and contain the following: Whitnall Field, named in recognition of the generosity of the Whitnall family and particularly of the late H.O. Whitnall, which accommodates the intramural program; Andy Kerr Stadium with seating accommodations for over 10,000 spectators; a modern all-weather quarter-mile elliptical track with a 220-yard straight-away, and additional facilities for training and competition in the field events; Tyler’s Field, an astroturf surface with lights; lighted football practice field for varsity and junior varsity squads; Van Doren Field, a lighted soccer field; Eaton Street Field, home to the softball team; and five auxiliary fields for touch football and intramural play. Nine tennis courts are cork-turf.

The Seven Oaks Golf Course, which replaced one of the same name constructed in 1917, was opened in 1958 and completed in 1965. It is a championship course of
eighteen holes designed by Robert Trent Jones and is named for the ancestral home of the Colgate family in Kent, England. An annual interfraternity tournament is held in competition for the Jerome Cup, donated by the late William Travers Jerome, Jr. An annual alumni golf tournament is held in mid-July.

Many formal and informal participatory opportunities are available in a wide variety of activities sponsored through the Department of Recreational Sports. For additional information on programs or facilities, interested faculty are invited to contact the appropriate office.

3. Admission to Home Basketball, Football, and Hockey Games University faculty, administrative staff, and employees will be admitted free of charge upon presentation of their own Colgate identification card at the specified gate at the site of the home contest. In addition, all Colgate employees may purchase discount tickets for each member of their immediate family by presentation of their own Colgate identification card at the athletic ticket office in Reid Athletic Center. Specific details pertaining to hours, when and where to obtain tickets are distributed annually to all faculty/staff employees.

4. Colgate Camp In 1953 the University acquired, by gift of Mr. S. Bayard Colgate and members of his family, a camp and lodge on Upper Saranac Lake, New York with nine cottages, a central lodge and kitchen, main dining room, lounge, and boathouse. The facilities can comfortably accommodate nine families, about 45 to 50 people. From late May through June, the camp may be used for seminars and meetings of Colgate faculty and staff. During the months of July and August, the camp operates under the supervision of a resident director, and meals are prepared by the camp cook and served in the main dining room. Out-of-season reservations, especially for college groups, may also be made when circumstances permit. Faculty members and their families interested in making reservations for Colgate Camp should complete the reservation form circulated in January, or they may call the Director of the Colgate Camp (listed in the Colgate staff directory). Reservations may be made for a minimum of one week. Charges are reasonable and include room, meals, and use of the facilities. Charges are computed on a per person basis. Further information is available from the Vice President for Administration.

5. Faculty Club in Merrill House The facility includes a small private dining room, a main dining room, and a living room on the first floor available for members of the Colgate community. The Office of the Provost and Dean of the Faculty sponsors social events for faculty, administration, and friends throughout the academic year.

The dining facility is open to university employees and their guests for lunch five days a week from 11:30 a.m.–1:00 p.m. when classes are in session. Students are welcome as lunch or special guests of faculty or administrators. Group reservations for tables or private rooms should be made at least one day in advance. Take-out lunches may also be ordered.

Parties and receptions not sponsored by the university or Faculty Club may be held at Merrill House with the approval of the Vice President for Finance and Administration. There is a charge for private functions.

6. Motor Vehicle Regulations and Parking

Faculty All Colgate faculty must register their cars with the Campus Safety Department and obtain a parking decal. Applications are available at the Campus Safety Department Office. Parking decals are valid during the length of employment or affiliation. Decals are applied to the left rear side window of the vehicle. Information
needed to complete the registration: name, social security number, department, phone extension, year, make, color, and license plate number of the vehicle(s) being registered.

**Temporary Permits** The Campus Safety Department also has temporary permits which can be used for short durations. These can be used while a faculty or staff member’s own vehicle is not available and a different vehicle is being used. In addition, temporary permits are available for short-term visiting faculty members and guests.

**Return decals** When a faculty or staff member changes cars, the decal should be removed and returned to the Campus Safety Department at the time of registering the new car. This provides an accurate count of all registered vehicles and assures that decals are only on Colgate faculty and staff vehicles.

**Faculty/Staff Parking** There are some parking areas which are designated faculty and staff only, although faculty and staff may park in any legal parking space not otherwise restricted. Legal parking spaces are clearly designated with painted white lines on each side of the parking space. “No Parking” areas are posted or have yellow pavement painting. Parking reserved for the handicapped is marked with blue lines and signs.

Parking tickets are issued to vehicles in violation of the University’s parking regulations. Parking violation fines vary, depending upon the severity of the violation. Penalties for illegally parking in a handicap space, fire lane or fire hydrant are $30, and may also result in the vehicle in violation being towed at the owner’s expense. All fines must be paid at the Office of the Controller within 7 days. Tickets may be appealed within 7 days by completing an appeal form at the Campus Safety Department Office.

The University also enforces an overnight parking prohibition (between 3–7 a.m.).

**Vehicle and Traffic Laws** All members of the Colgate community are reminded that state and village traffic laws are in effect on campus.

**Motor Vehicle Accidents on Campus** Under New York State law, auto accidents involving property damage are not required to be reported to a police agency, unless damage is in excess of $1,000 or personal injury has resulted. In such incidents, immediately call Campus Safety Emergency at 911. All on-campus motor vehicle accidents, regardless of their severity, should immediately be reported to the Campus Safety Department so an investigation and report can be completed.

**Disabled Motor Vehicles** Disabled motor vehicles should be reported to the Campus Safety Department. The Campus Safety Department provides, at no cost, battery jump starts and vehicles unlocks. If other assistance is necessary, arrangements can be made through Campus Safety. Vehicles which create a hazard or are blocking a roadway or fire lane will be towed.

**Tow-Away Service** A tow-away service is used on campus. During winter months, snow removal crews must be able to plow roads, paths, and parking areas during early morning hours. In this season, parking regulations must be strictly enforced. Therefore, vehicles parked overnight (between 3–7 a.m.) will be towed. In addition, vehicles parked in violation of handicapped parking, fire lane, or fire hydrant regulations may also be immediately towed.

See the **Colgate University Motor Vehicles Handbook** for more specific information.

**O. Campus Safety**

1. **Campus Safety Department** The Campus Safety Department is located at 88 Hamilton Street. For emergencies from on-campus phones, dial 911, or 228-7999,
from off-campus phones. For routine business, dial 7333, or 228-7333.

The Director of Campus Safety has a professionally trained staff, augmented by student assistants. The Campus Safety Department is staffed 24 hours-a-day, 7 days-a-week.

While Colgate is a relatively safe campus, preventive measures should be taken to prevent you and your belongings from harm. Some of the safeguards we recommend are:

a. Never leave wallets or purses on top of desks or in plain sight; keep them in a locked cabinet or closed desk drawer.

b. Never lend keys or equipment to strangers.

c. When leaving the office, make sure that all windows which are accessible from the outside are closed and locked. All valuable items should be stored out of sight if possible. Doors should be locked, even if you will only be away for a few minutes.

d. Never prop open an outside door for someone who does not have a key to the building. Do not lend keys to the building to others.

e. Record serial numbers, model and brand names and descriptions of valuable items in the office. Keep a duplicate list in a separate location.

f. When alone in the office after hours and in the evening, it is best to keep the office door locked.

Immediately report all thefts, break-ins, vandalism, or suspicious persons or activities to the Campus Safety Department by calling 228-7333.

2. Fire Procedures

If you have any reason to believe there is a fire:

a. Immediately sound the fire alarm by activating a fire alarm pull station at the nearest exit.

b. Notify the Campus Safety Department at 911.

c. Leave the building. Wait outside to direct the first emergency responder. The building must be evacuated when the fire alarm system is activated. No one is to reenter the building until the alarm system has been silenced and you are advised by Campus Safety that it is safe to do so.

3. University Fire Safety

The Campus Safety Department provides fire prevention/fire safety information to all university constituencies on the campus and conducts fire drills in all buildings as required by the New York State Department of Education.

4. Speed Limits and Auto Safety

All users of campus roadways must obey posted speed and traffic signs. The maximum allowable speed on campus is 25 mph, with certain sections or roads posted at 15 mph.

VI. General University Policies

A. Policy on Public Order

All members of the Colgate community are expected to adhere to local, state, and federal laws and regulations. In addition, on May 31, 1969, the Board of Trustees adopted a Policy on Public Order and/or Hazing. The policy, as amended by the Board on November 12, 1980, is as follows:

The University is committed to the conduct of its affairs in an orderly manner and to maintain a sense of community. It is also committed to the discharge of legal and moral responsibilities, especially as they relate to the rights of freedom of speech and peaceful
assembly in the University community. However, lawlessness in any form or for any reason, will not be tolerated. Specifically prohibited is any action or situation which recklessly or intentionally endangers mental or physical health or involves the forced consumption of alcohol or drugs for the purpose of initiation or affiliation with any organization.

Individuals or groups who engage in acts which, in the judgment of the President of the University or designated representatives, violate public order on University property, or property supervised by the University, or who ignore or refuse to comply with specific University directives designed to maintain public order, or who pose a threat to the lives or safety of themselves or others, will be advised of the following consequences of such acts.

1. Visitors or licensees will be directed to leave the University property, or be subject to immediate arrest and removal.
2. Students, faculty, staff, or other employees will be suspended from whatever status the individual has with the University and/or be subject to such other penalties deemed to be more effective. Disciplinary actions will be subject to review by the appropriate body; by procedures adopted by the faculty for faculty members, by the University Student Conduct Board, and by the President of the University or designates for all others.
3. Failure by students, faculty, staff, or other employees to comply with University directives will result in civil or criminal prosecution of the individuals or groups concerned including, if necessary, ejection from the University property or property supervised by the University. Other disciplinary action including expulsion or dismissal will be taken by the University as deemed appropriate.
4. Any organization which authorizes or permits proscribed conduct referred to above shall be subject to rescission of permission for that organization to operate on campus property.

On July 11, 1985, the Board of Trustees supplemented the above policy by the following resolution:

Having adopted a Policy for Public Order and/or Hazing pursuant to Section 6450 of the Education Law and recognizing its final responsibility for the conduct of the University under the Charter and By-Laws as well as its statutory responsibilities under Section 6450, the Board of Trustees hereby reserves its authority to review, by the Board as a whole or a committee designated for the purpose, disciplinary actions taken pursuant to the Policy following the review by the appropriate body provided for in the policy.

On May 18, 1991, the Board of Trustees approved, through formal resolution, a separate anti-hazing policy. This policy is printed in its complete form in the Student Handbook.

B. Communication about Hazardous Materials

The New York State Right-to-Know Act of 1980 grants to all employees in the state the legal right to information about toxic substances in their workplace. Informed employees can observe symptoms of toxicity in themselves and understand the relationship between the symptoms and exposure and can therefore evaluate the need for any corrective action. For further information, supervisors should consult the following two documents available from either the Associate Provost or the Manager of Environmental Health and Safety: Colgate University Hazardous Waste Management Program and Colgate University Chemical Hygiene Plan.

The New York State Department of Health has been given the responsibility for implementing and enforcing the law in cooperation with the Department of Labor. Official information packets on the Right-to-Know Act may be obtained upon request from the New York State Department of Health, Bureau of Toxic Substances Management, Empire State Plaza Tower Building, Room 372, Albany, New York 12237.

The Hazard Communication Compliance Plan for Colgate University is in written form and is kept at the following locations: Office of the Associate Provost, Hazard
Communication Coordinator (105 McGregory Hall); Office of Environmental Health and Safety (SB-4 McGregory Hall); and Office of the Assistant Director of the Physical Plant (Maintenance Building).

A complete list of all hazardous chemicals used by Colgate University will be kept with the Hazard Communication Program. Each department will maintain and post a list of chemicals it uses for employee information. Supervisors are responsible for making sure that employees are informed about the Hazard Communication Program, and that Material Safety Data Sheets are available to any employee on any work shift, that protective equipment is available and used, and that engineering controls, such as ventilation are in place and operating properly. The determination of which employees will be selected to receive Hazard Communication training will be based upon their exposure. Those employees who have actual as well as potential exposure to hazardous chemicals will receive training.

C. Acquired Immune Deficiency Syndrome

The University treats the Acquired Immune Deficiency Syndrome (AIDS) the same as any other disease that may be contracted by students or staff. Any faculty or staff member identified as having AIDS or AIDS-Related Complex (ARC) will not be barred from working, teaching, attending classes, or participating in activities unless it is determined by appropriate administrative officers, in consultation with the individual’s personal physician or state health officers, that the person is unable to perform the duties assigned or presents a danger to the public health. All such decisions will be made on a case-by-case basis and will remain open to reexamination in light of new information as it becomes available. Confidentiality will be maintained in each case: no information about individuals will be released to the community. If an employee’s ability to perform assigned duties is restricted or diminished to a point where disability benefits are applicable, his or her physician should inform the supervisor and Director of Human Resources.

Federal and New York State laws prohibit an employer from discharging or refusing to hire an individual because he or she has AIDS, ARC, or is perceived to have AIDS. Employees who become aware that a coworker has AIDS or ARC cannot refuse to work with that individual.

Counseling will be made available to employees as appropriate, and educational and informational programs will be provided as well.

D. Smoking

It is a goal of the University to reduce the health risks of faculty, staff, and students. A significant means of accomplishing this goal is to reduce the exposure to smoke and its adverse effects. Therefore, it is the policy and goal of the University to achieve a working and learning environment as close to smoke-free as possible and to comply with New York’s Clean Indoor Air Act.

To achieve this goal, all indoor areas of the University are designated as no-smoking areas, where no person shall smoke or carry a lighted cigar, cigarette, pipe, or any other form of smoking object. No-smoking areas include, but are not limited to classrooms, all offices, hallways and entranceways, restrooms, elevators, lecture and meeting rooms, lounges, libraries, bookstore, dining areas, gymnasiums, theater, bowling alley, student health center, and athletic facilities. Smoking is also prohibited in Colgate-owned vehicles. Smokers are expected to stay a reasonable
distance from building entrances and open windows.

Although all persons are strongly encouraged not to smoke at all on campus, exceptions to the above policy, where smoking technically is permitted, will be individual student dormitory rooms and outdoors.

This policy seeks the mutual cooperation, consideration, and thoughtfulness of smokers and nonsmokers. All faculty, staff, and students share in the responsibility for adhering to and enforcing this policy and have the responsibility for bringing it to the attention of visitors. Supervisors are expected to implement this policy in their areas.

A complaint or concern regarding this policy should be promptly referred to the immediate supervisor or appropriate Dean or Vice President for resolution. Colgate prohibits any retaliatory action to be taken against you for reporting a perceived violation of this policy. Your complaint will be given serious attention and a timely, objective investigation will be initiated. Violations of this policy will be dealt with in a manner similar to violations of other University policies, with an attempt to resolve the problem as simply as possible, but allowing for the possibility of disciplinary action if necessary.

E. Drug and Alcohol Prohibition

A separate, annual mailing distributes Colgate’s complete policy on drug and alcohol prohibition to all employees. The policy applies to all employees, including full- and part-time, temporary or regular members faculty and staff and to student employees and interns. Students are also informed about Colgate’s alcohol policy through the Student Handbook distributed by the Dean of the College. Agreeing to comply with the policy is a condition of employment.

Colgate University is committed to creating and maintaining a drug-free workplace and does not permit or condone the unlawful possession, use, consumption, sale, or distribution of illegal drugs and/or alcohol by employees on its property or as part of any of its activities. The University expects that all members of the Colgate community who serve or consume alcoholic beverages will do so in a responsible, lawful, and non-abusive manner. The University also expects all members of the Colgate community to comply with the laws of New York State as well as local statutes and ordinances pertaining to alcohol.

Employees are prohibited from working, or operating any Colgate vehicle or equipment, while under the influence of alcohol or controlled substances. In addition, no passenger in a Colgate vehicle may consume alcoholic beverages or use controlled substances while in the vehicle. Employees using medication are also prohibited from operating Colgate vehicles or equipment at any time when their ability to do so might be impaired by the medication.

Further, the use, consumption, sale or distribution of alcohol during working hours is prohibited except on occasions when the consumption of alcoholic beverages in a social setting is authorized by the University. Employees who violate this policy will be subject to appropriate disciplinary action, consistent with local, state, and federal law, which may include counseling, mandatory participation in an appropriate rehabilitation program, unpaid suspension from employment, loss of the privilege of operating a Colgate vehicle, and/or termination of employment and referral for prosecution. In addition, there are additional requirements for employees who are directly engaged in the performance of work pursuant to the provisions of a federal grant or contract.

The purpose of this policy is to produce a workplace and campus environment that discourages the unauthorized or illegal use of drugs and/or alcohol by employees and to support the requirements of the Drug-Free Schools and Communities Act Amendments

F. Pets

With the exception of guide dogs and animals specifically approved for the educational purposes of the University, pets are not allowed in campus buildings.