1. Faculty Handbook Home .......................................................... 2
  1.1 Faculty Handbook - Table of Contents .................................. 2
  1.2 I. Organization of the University ........................................ 3
      1.2.1 A. Academic Calendar .................................................. 3
      1.2.2 B. Administrative Offices .......................................... 3
      1.2.3 C. Academic Administration ........................................ 6
  1.3 II. University Governance .................................................. 8
      1.3.1 A. Introduction ....................................................... 8
      1.3.2 B. Constitution of the Colgate Governance System .............. 9
      1.3.3 C. The Faculty ........................................................ 14
      1.3.4 D. The Student Senate .............................................. 17
  1.4 III. The Faculty ............................................................. 17
      1.4.1 A. Organization ........................................................ 18
      1.4.2 B. Academic Freedom and Professional Ethics ................... 19
      1.4.3 C. Regulations on Appointments, Tenure, and Academic Freedom 21
      1.4.4 D. Departments, Programs, and Divisions ......................... 31
      1.4.5 E. Mentoring .......................................................... 31
      1.4.6 F. Guidelines for Reappointment, Tenure, and Promotion .......... 32
      1.4.7 G. Procedures for Decisions on Reappointment, Promotion, and Tenure 34
      1.4.8 H. Compensation and Benefits .................................... 42
      1.4.9 I. Retirement ......................................................... 43
      1.4.10 J. Equity Grievance Policy ....................................... 43
      1.4.11 K. Professional Activities ....................................... 43
      1.4.12 L. Leaves of Absence .............................................. 47
      1.4.13 M. Teaching and Advising Responsibilities of Faculty Members 50
      1.4.14 N. Teaching in Other Programs .................................... 52
      1.4.15 O. Regulations on Appointments for Division of Physical Education, Recreation, and Athletics 52
      1.4.16 P. Appointment, Reappointment, and Promotion of Library Faculty 54
  1.5 IV. Academic Information ................................................... 55
      1.5.1 A. Academic Program ............................................... 55
      1.5.2 B. Organization of Courses and Registration Procedure .......... 58
      1.5.3 C. Regulations Governing Classes ................................ 59
      1.5.4 D. Grading Policies .................................................. 60
      1.5.5 E. Academic Standards .............................................. 62
  1.6 V. Support Services and Miscellaneous Information .................... 65
      1.6.1 A. Office of Corporate, Foundation, and Government Relations (Grants Office) 65
      1.6.2 B. Administrative Assistants ...................................... 66
      1.6.3 C. Travel Policies ................................................... 66
      1.6.4 D. Libraries .......................................................... 67
      1.6.5 E. Bookstore .......................................................... 68
      1.6.6 F. Information Technology Services (ITS) Facilities and Support 70
      1.6.7 G. Instructional Technology ....................................... 70
      1.6.8 H. Campus Mail Services and Distribution of University Notices 71
      1.6.9 I. Document Services .............................................. 72
      1.6.10 J. Purchasing ....................................................... 73
      1.6.11 K. Telephone Service .............................................. 73
      1.6.12 L. Office of Communications .................................... 73
      1.6.13 M. Reserving Rooms ............................................... 74
      1.6.14 N. Use of University Facilities .................................. 74
      1.6.15 O. Campus Safety ................................................. 76
  1.7 VI. General University Policies ........................................... 77
      1.7.1 A. Policy on Public Order ......................................... 77
      1.7.2 B. Communication about Hazardous Materials .................... 78
      1.7.3 C. Acquired Immune Deficiency Syndrome ........................ 78
      1.7.4 D. Smoking ........................................................... 78
      1.7.5 E. Drug and Alcohol Prohibition .................................. 79
      1.7.6 F. Pets ............................................................... 79
  1.8 Tracking Recent Changes .................................................... 79
Faculty Handbook Home

I. Organization of the College
- A. Academic Calendar
- B. Administrative Offices
- C. Academic Administration

II. University Governance
- A. Introduction
- B. Constitution of the Colgate Governance System
- C. The Faculty
- D. The Student Senate

III. The Faculty
- A. Organization
- B. Academic Freedom and Professional Ethics
- C. Regulations on Appointments, Tenure, and Academic Freedom
- D. Departments, Programs, and Divisions
- E. Mentoring
- F. Guidelines for Reappointment, Tenure, and Promotion
- G. Procedures for Decisions on Reappointment, Promotion, and Tenure
- H. Compensation and Benefits
- I. Retirement
- J. Equity Grievance Policy
- K. Professional Activities
- L. Leaves of Absence
- M. Teaching and Advising Responsibilities of Faculty Members
- N. Teaching in Other Programs
- O. Regulations on Appointments for Division of Physical Education, Recreation, and Athletics
- P. Appointment, Reappointment, and Promotion of Library Faculty

IV. Academic Information
- A. Academic Program
- B. Organization of Courses and Registration Procedure
- C. Regulations Governing Classes
- D. Grading Policies
- E. Academic Standards

V. Support Services and Miscellaneous Information
- A. Office of Corporate, Foundation, and Government Relations (Grants Office)
- B. Administrative Assistants
- C. Travel Policies
- D. Libraries
- E. Bookstore
- F. Information Technology Services (ITS) Facilities and Support
- G. Instructional Technology
- H. Campus Mail Services and Distribution of University Notices
- I. Document Services
- J. Purchasing
- K. Telephone Service
- L. Office of Communications
- M. Reserving Rooms
- N. Use of University Facilities
- O. Campus Safety

VI. General University Policies
- A. Policy on Public Order
- B. Communication about Hazardous Materials
- C. Acquired Immune Deficiency Syndrome
- D. Smoking
- E. Drug and Alcohol Prohibition
- F. Pets

Faculty Handbook - Table of Contents
I. Organization of the University

A. Academic Calendar
B. Administrative Offices
C. Academic Administration

II. University Governance

A. Introduction
B. Constitution of the Colgate Governance System
C. The Faculty
D. The Student Senate

III. The Faculty

A. Organization
B. Academic Freedom and Professional Ethics
C. Regulations on Appointments, Tenure, and Academic Freedom
D. Departments, Programs, and Divisions
E. Mentoring
F. Guidelines for Reappointment, Tenure, and Promotion
G. Procedures for Decisions on Reappointment, Promotion, and Tenure
H. Compensation and Benefits
I. Retirement
J. Equity Grievance Policy
K. Professional Activities
L. Leaves of Absence
M. Teaching and Advising Responsibilities of Faculty Members
N. Teaching in Other Programs
O. Regulations on Appointments for Division of Physical Education, Recreation, and Athletics
P. Appointment, Reappointment, and Promotion of Library Faculty

IV. Academic Information

A. Academic Program
B. Organization of Courses and Registration Procedure
C. Regulations Governing Classes
D. Grading Policies
E. Academic Standards

V. Support Services and Miscellaneous Information

A. Office of Corporate, Foundation, and Government Relations (Grants Office)
B. Administrative Assistants
C. Travel Policies
D. Libraries
E. Bookstore
F. Information Technology Services (ITS) Facilities and Support
G. Instructional Technology
H. Campus Mail Services and Distribution of University Notices
I. Document Services
J. Purchasing
K. Telephone Service
L. Office of Communications
M. Reserving Rooms
N. Use of University Facilities
O. Campus Safety

VI. General University Policies

A. Policy on Public Order
B. Communication about Hazardous Materials
C. Acquired Immune Deficiency Syndrome
D. Smoking
E. Drug and Alcohol Prohibition
F. Pets

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

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 the Board of Trustees should be directed to the Secretary to the Board of Trustees.

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 **Provost and Dean of the Faculty** 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 assume the presidential duties, 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, Campus Safety, the ALANA Cultural Center, Counseling and Psychological Services, Residential Life, Fraternity and Sorority Affairs, Center for Outreach, Volunteerism, and Education, the Chaplain’s Office, 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 Vice President and 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 Financial 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 and 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 Financial 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 and Treasurer is responsible for the financial and business operations of the university. The Division of Finance and Administration includes budgeting and financial planning, investment management, capital project finance, accounting and control, risk management, environmental health and safety, financial aid, human resources, community affairs, physical plant, construction and renovation of facilities, purchasing, document and mail services, bookstore, dining, and other miscellaneous auxiliary service enterprises, such as faculty housing, campus weddings, the Colgate Cemetery and Colgate Camp. Reporting to the Vice President for Finance and Administration are the Associate Vice President for Finance and Assistant Treasurer, Associate Vice President for Community Affairs and Auxiliary Operations, Associate Vice President for Budget and Financial Aid, Associate Vice President for Facilities, Director of Investments, Associate Vice President and Controller and the Associate Vice President for Human Resources.

The Vice President for Institutional Advancement has overall administrative responsibility for the offices of Advancement, Alumni Relations and Career Services. Reporting to the Vice President are the Associate Vice President for Institutional Advancement, Associate Vice President and Director of Planned Giving, Associate Vice President and Director of Career Services, Associate Vice President and Director of Alumni Relations, and Associate Vice President and Director of Advancement Operations and Stewardship.

The Advancement Office is charged with planning and executing comprehensive, multiyear campaigns and is 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 Alumni Relations is the liaison to Colgate’s 28,000 alumni and coordinates annual events through 60 alumni clubs, maintains a web-based alumni community, provides career networking opportunities and alumni admissions programs, organizes the annual alumni reunion, and sponsors alumni travel and merchandise programs. The office staffs the Alumni Council and the Associate Vice President and Director of Alumni Relations serves as Executive Secretary for that group of 55 volunteers.

The Center for Career Services engages students and alumni in a reflective career development process to identify and pursue diverse career interests. Through actively cultivating relationships with alumni, employers, and graduate and professional schools, the staff facilitates the intersection of students’ preparation with internship and post-graduate opportunities.

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 Vice President for Communications oversees a division responsible for the public identity and major messages from the university. It manages media and public relations, the university website, publicity, social media, photography, graphic design, writing and production of materials for admissions, advancement and other campus departments. It also produces special projects like mobile, map and tablet applications, live-streaming, and video production in concert with Information Technology (IT). It also produces the Scene, Colgate’s quarterly magazine, and over 200 print and web projects each year for the campus community, prospective students, parents, alumni, donors, and the media.

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.

A listing of Administrative Offices is found in Chapter XI, Organization of the University, in the *Colgate University Catalogue*.

**C. Academic Administration**

The **Dean of the Faculty and Provost** 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 Dean for International Initiatives supports scholarship, curricula, and programs that are global in scale.

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

The **Chief Information 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 **Associate Provost for Equity and Diversity** assists the university in assuring the success of equal employment opportunity and affirmative action programs and objectives, oversees implementation of Colgate’s Affirmative Action and Equal Opportunity plan, and serves as compliance officer for the Americans with Disabilities Act (ADA) and Title IX. The director is also responsible for providing prompt and equitable response to complaints of harassment and discrimination in accordance with institutional policies and procedures. The director provides EEO/AA and harassment prevention trainings for the campus community and partners with departments across the university on matters having to do with equity, diversity, and inclusion.

The **Director of Off-Campus Study/International Programs** has responsibility for administering Colgate Study Groups and Extended Study Programs, assisting Faculty Study Group and Extended Study Directors, and facilitating strategic development of Colgate’s study abroad and other off-campus study initiatives, including Approved Programs. The Director also counsels students interested in study abroad opportunities. The Director is a member of and works closely with the Off-Campus Study Committee and reports to the Dean of the Faculty.

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. Academic division directors assist department chairs in each of their divisions in assembling cases for third-year review, tenure, and promotion, sit with the elected Promotion and Tenure Committee for cases in their division (See *III.G.8.*), and resolve procedural issues that may arise in the preparation and review of the cases.

**Divisions and Academic Departments** The five divisions of the University include the Arts and 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>Arts and Humanities</td>
<td>Art and Art History, The Classics, East Asian Languages and Literatures, English, German, Music, Philosophy, Religion, and Romance Languages and Literatures</td>
</tr>
<tr>
<td>Natural Sciences and Mathematics</td>
<td>Biology, Chemistry, Computer Science, Geology, Mathematics, Physics and Astronomy, and Psychological and Brain Sciences</td>
</tr>
</tbody>
</table>
Social Sciences | Economics, Educational Studies, Geography, History, Political Science, and Sociology and Anthropology  
University Studies | 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, LGBTQ Studies, Linguistics, Medieval and Renaissance Studies, Middle Eastern Studies and Islamic Civilization, Peace and Conflict Studies, Russian and Eurasian Studies, Women’s Studies, and other interdisciplinary programs  
Physical Education | Department of Physical Education, club sports, the intercollegiate athletics program, the recreation program, and management of the athletic facilities

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 Provost and Dean of the Faculty.

The Director of University Museums 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 Provost and Dean of the Faculty.

Other Dean of Faculty and Dean of College Administrative Units of Interest to Faculty

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 Provost and Dean of the Faculty.

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.

The Office of Undergraduate Studies/Higher Education Opportunity Program provides students with services designed to promote academic success. These include academic and personal counseling, career mentoring programs, community-building activities, study skills workshops, as well as various forms of tutoring. OUS also runs the pre-first-year Summer Institute. The Academic Director of OUS reports to the Associate Dean of Faculty.

The Center for Learning, Teaching, and Research (CLTR) provides academic support for students, encourages new faculty to develop effective teaching strategies, is available to support experienced faculty in exploring new teaching methods, and promotes undergraduate research across the disciplines. The Director of CLTR reports to the Dean of Faculty.

Director of Academic Program Support and Disability Services provides assistance to students in need of academic support, including students with learning disabilities, and students in need of course-based tutoring.

University Chaplain The University Chaplain coordinates all aspects of religious life on campus, including services and programming for the diverse religious faiths and organizations represented within the campus community, and ministers primarily to the Catholic community. There is also a full
time Associate University Chaplain/Director of Jewish Life, who leads programming and services within the Jewish community, and a full-time Protestant Campus Minister, who leads services for University Church and coordinates Protestant life on campus. The University Chaplain reports to the Vice President and Dean of the College.

The **Center for Outreach, Volunteerism, and Education (COVE)** supports volunteer organizations, service learning classes, internship programs, residential life initiatives, and social change oriented career counseling.

The **Upstate Institute** has the mission of creating linkages between the university and the regional community in order to engage students, faculty, staff and residents in research and a reciprocal transfer of knowledge that will enhance the economic, social and cultural capacity of the area and sustain the environment.

The **Picker Interdisciplinary Science Institute** supports internal and external collaborations among faculty who bring expertise from different disciplines to bear on current and emerging scientific problems that remain intractable to the methods used within a single discipline. The institute also encourages interdisciplinary approaches to learning through innovative curricular and research opportunities for students that may arise from the pursuit of interdisciplinary research projects.

The **Lampert Institute** provides a forum for study and debate in the areas of civic affairs and public leadership, applying insights from the liberal arts to the important challenges facing human beings around the world.

A listing of Administrative Offices is found in Chapter XI, Organization of the University, in the *Colgate University Catalogue*.

### II. University Governance

- **A. Introduction**
- **B. Constitution of the Colgate Governance System**
- **C. The Faculty**
- **D. The Student Senate**

#### 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 defined areas; and, in extraordinary circumstances, special Task Forces appointed by the President of the University.1

#### Footnotes

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.
B. Constitution of the Colgate Governance System

Preamble The Colgate Governance System is the mechanism by which the campus community deals with matters of significance. 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, or 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 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.¹ 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:²

- Dean of the Faculty (chair)
- 5 Faculty (one each from the Divisions of the Arts and Humanities, Natural Sciences and Mathematics, Social Sciences, Physical Education, Recreation and Athletics, and University Studies; elected by the faculty for three-year terms, which are renewable once)
- 3 Faculty (elected at-large by the faculty for three-year terms, renewable once)
- 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)
- Registrar (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 eight 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 eight 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.

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 four 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
- 4 Faculty members (one each from the Divisions of the Arts and Humanities, Natural Sciences and Mathematics, Social Sciences, and University Studies; elected to staggered three-year terms by the Faculty
- 2 Students elected by the Student Senate
- The Chair of the First-Year Seminar Program
- A representative of the Academic Affairs Board
- Dean of First-Year Students (ex officio)
- Director of Academic Program Support (ex officio)
- Registrar (ex officio)

Examples of individuals who might act as 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, and the Chair of the Committee on Standards and Academic Standing.

b. The Assessment Committee

The Assessment Committee is responsible for supporting the learning assessment coordinator in overseeing the annual assessment reports of departments and programs; developing and proposing for consideration by the AAB policies and procedures for appropriate uses of learning assessment data; developing and proposing for consideration by the AAB means of assessing the university-wide learning goals established in the Spring of 2010 and the residential education goals of the dean of the college; overseeing the implementation of those measures going forward; and contributing to self-studies and periodic reports in connection with reaccreditation. The Committee also acts as an advisory group for the Office of Institutional Planning and Research. This may include: reviewing institution-wide student and faculty survey data not otherwise restricted, advising on policies for use of survey data, and advising on the circulation of survey data for the review of faculty and/or student requests for institutional data. The Associate Vice President for Institutional Planning and Research will normally provide a report to the committee once each term.

The membership of the Assessment Committee is as follows:

- Assessment Coordinator, a faculty member appointed by the Dean of the Faculty
- Associate Vice President for Institutional Planning and Research
- Associate Dean of the Faculty
- Representative from the office of the Dean of the College (to be appointed by the Dean of the College)
- University Studies Division Director or his/her appointee representing the CORE
- Four faculty (one each from the Divisions of the Arts and Humanities, Natural Sciences and Mathematics, Social Sciences, and University Studies; elected by the faculty for staggered three-year terms, which are renewable)
- University Librarian or his/her appointee
- Student representative from the Academic Affairs Board

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, and (c) appoints faculty liaisons to each athletic team for one-year terms (which may be renewed) in consultation with the Athletic Director and Office of Student Athlete Academic Services. 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
- 5 Faculty (one each from the Divisions of the Arts and Humanities, Natural Sciences and Mathematics, Physical Education, Recreation and Athletics, Social Sciences, and University Studies; elected by the faculty for three-year terms, which are renewable)
- 1 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 (2 students elected by the Student Athlete Advisory Committee for one-year terms, which are renewable; and 1 student elected by Student Senate for a one-year term)
- Director of Student Athlete Academic Services
- Patriot League Policy Member Representative
- Colgate Faculty Athletic Representative to the NCAA
- Head Coach (appointed by the Committee on Athletics)
• Dean of the Faculty (or designate)
• Dean of the College (or designate)
• Title IX Deputy
• University President (ex officio)

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

d. 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:

- 4 Faculty (one each from the Divisions of the Arts and Humanities, Natural Sciences and Mathematics, Social Sciences, and University Studies)
- 1 Student representative from the Academic Affairs Board
- 1 Student (elected by the Student Senate)
- Associate Dean of Faculty (ex officio, nonvoting)
- Registrar (or designate; 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 Colgate University Catalogue, must be approved by the faculty on the Curriculum Committee before being offered. A faculty member who wishes to have a new course approved should complete the appropriate form (available online) 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. University Property Committee
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 include (1) the broad consideration of the impact (including aesthetic features) of any project on the larger community—students, faculty, and staff; and (2) the sharing of information regarding such projects within the University community. Some projects, once underway, may involve building committees, and a faculty member from this committee will serve as a liaison on all such committees.

The membership of the Committee is as follows:

- Vice President for Finance and Administration
- 6 Faculty (elected for three-year terms; one from each of the following: Arts and Humanities, Natural Sciences and Mathematics, Social Sciences, University Studies, Physical Education, Recreation and Athletics, and at-large)
- 2 Students (elected at large by the Student Senate for two-year terms)
- President of the Student Association (or designate)
- Provost (or designate)
- Dean of the College (or designate)
- Director of Sustainability
- Director of Equal Opportunity and Affirmative Action.

The committee meets regularly and normally once per month. The Committee will report regularly, and no less than once a year, to the faculty. The Chair is elected annually from the faculty members by the membership of the Committee.

b. 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.

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 Associate Vice President for Budget and Financial Aid, the Associate Provost, the Dean of the College, and the Vice President for Institutional Advancement.

d. The Committee on ALANA (African American, Latin American, Asian American, Native American) Affairs This Committee is concerned with the quality of the experience of African American, Latin American, Asian American, Native American, and other communities of color 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 Director of the Office of Undergraduate Studies and the 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: Arts and Humanities, Natural Sciences and Mathematics, 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

f. The Library Advisory Committee This committee serves as a principal means of communication among faculty, students, and administration on matters relating to the library. It functions to support library and teaching faculty relationships, advise the library staff on acquisitions policies and priorities, and provide advice on other issues of interest to the teaching faculty and student body.

The membership of the Library Advisory Committee is as follows:

• 5 Faculty (elected from each division: Arts and Humanities, Natural Sciences and Mathematics, Social Sciences, University Studies and PERA)
• University Librarian
• Chief Information Officer
• 2 Students (elected by the Student Senate)

The chair will be selected from the faculty elected to serve on the 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.

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**Footnotes**

1 Legislation Flow Chart:

1. Academic Affairs Board passes legislation; sent to the Faculty.
2. 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.
3. 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.
4. 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.

2 The President of the University sits as an ex officio, voting member on all Boards and Committees.

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**C. The Faculty**

1. **The Faculty Meeting** The Faculty meets once each month of the Fall and Spring semesters:
   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 nominate candidates for election to the various governance bodies and to committees of
the Faculty; elections will take place electronically before the next Faculty Meeting with the same voting eligibility as at Faculty Meetings;

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 Arts and 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. The Faculty Affairs Committee also recommends faculty to serve on the University Benefits Committee.

b. The Committee on Promotion and Tenure The committee shall consist of one full professor representing each of the four academic divisions and one position at large. Members will serve three-year terms. The at-large position will be open to both full and associate professors in those four divisions; associate professors must have at least three years in rank before serving. The Committee will choose a chair from among the full professors. The chair will normally have at least one year of experience on the Committee or as a division director. The division director (or directors, in the case of a joint appointment) will be present at all of the meetings pertaining to the candidate in his or her division. The Committee on Promotion and Tenure will review and make recommendations to the dean of faculty and president on all cases for third-year review, promotion to associate professor, the granting of tenure, and promotion to full professor. Because recommendations are reached through careful evaluation of the dossier according to the Guidelines for Reappointment, Tenure, and Promotion (see Section III. F.), the dean of faculty and the president should treat the elected committee’s recommendations with a high degree of deference.

The elections for the Promotion and Tenure Committee will be conducted by means of instant run-off voting by the entire faculty, who will be able to vote for all five positions regardless of division. Because faculty elected to the committee may need to make adjustments in teaching schedules, elections should be held two semesters prior to the semester in which a term on the committee begins. A list of all full professors by division will be posted online approximately two weeks before the election, beginning with a one-week opt-out period for those unable or unwilling to serve. The Nominating Committee will supervise this process, resolve any problems that may come up, and verify the final online voting ballot.

University Studies: Those eligible to represent University Studies will include the following categories:

- Members of departments or programs located in University Studies
- Current holders of joint appointments in University Studies
- Recent directors of University Studies interdisciplinary programs (within the last ten years)
- Recent university professors or University Studies division directors (within the last ten years)

The At-Large Position: This position will be elected in the manner described above from among all full professors and all associate professors with at least three years in rank who have chosen not to opt out, regardless of division.

If someone is elected in more than one category: Candidates may run in the at-large position or for the appropriate divisional position. If a candidate wins in more than one category, the Nominating Committee will determine which category that candidate will represent. The division or position not chosen will go to the second-place candidate in that category. The Nominating Committee will supervise this process.

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 Committee shall consist of five elected faculty members, at least one of whom shall be a woman and, in addition, at least one of whom shall be a member of a racially/ethnically underrepresented group per the Equity and Grievance Policy (III. Definitions). At least two of the members of the Committee shall be tenured. In addition, the Committee will include 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 five elected Committee members will serve three-year terms. The Associate Provost(s) for Equity and Diversity and the Director of Equal Employment Opportunity and Affirmative Action shall be ex officio members (nonvoting) and (one) shall serve as secretary 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 Director for Equal Employment Opportunity and Affirmative Action, 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 Associate Provost for Equity and Diversity and the Associate Dean of the Faculty 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. The FAAOC will also assign a tenured representative to serve on the Advisory and Planning Committee and the Due Process and Oversight Committee, which can be two different members.

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 and Mathematics, Social Sciences, Arts and Humanities, and University Studies), elected to staggered 3-year, nonrenewable terms
- Chair of the FAC
- Chair of the Faculty Affirmative Action Oversight Committee
- 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.

f. The Committee on Intellectual Property The committee on intellectual property serves as an advisory committee to the Provost on all University intellectual property issues. The committee’s responsibilities will include the review of intellectual property issues affecting the University, determination of ownership of intellectual property, recommendation of policies for allocation of revenues, and review or development of policy recommendations pertaining to intellectual property. The membership of the committee is as follows:

- Associate Provost
- Financial Vice President and Treasurer (or delegate)
- Chief Information Technology Officer
- Four of the elected members of the Faculty Affairs Committee selected by the Faculty Affairs Committee (including one each from the Divisions of the Humanities, Natural Sciences and Mathematics, and Social Sciences)
- University Librarian (or designate)

Either the Faculty Affairs Committee or the Provost determines when an issue arises that
the committee needs to be constituted to address. The Associate Provost chairs the committee.

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.\footnote{But this provision shall not apply to committees formed for the purpose of planning capital projects (users’ committees).} 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.

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Footnotes

\footnote{But this provision shall not apply to committees formed for the purpose of planning capital projects (users’ committees).}

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;
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
- B. Academic Freedom and Professional Ethics
- C. Regulations on Appointments, Tenure, and Academic Freedom
- D. Departments, Programs, and Divisions
- E. Mentoring
- F. Guidelines for Reappointment, Tenure, and Promotion
- G. Procedures for Decisions on Reappointment, Promotion, and Tenure
- H. Compensation and Benefits
- I. Retirement
- J. Equity Grievance Policy
- K. Professional Activities
- L. Leaves of Absence
- M. Teaching and Advising Responsibilities of Faculty Members
- N. Teaching in Other Programs
- O. Regulations on Appointments for Division of Physical Education, Recreation, and Athletics
- P. Appointment, Reappointment, and Promotion of Library 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 semester. The President is the presiding officer; in his or her absence, the Provost and Dean of the Faculty 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, recreation and athletics 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:

- Provost and Dean of the Faculty
- Vice President and 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
- Secretary of the Board of Trustees
- Director of the University Museums

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 on 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 semester 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 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.

Footnotes

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).

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 and Reports, ninth edition (2001), pp. 3–4.

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.¹

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 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 and 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 citizens. They 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.P. 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.O. 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.\(^1\)

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 will normally undergo third-year comprehensive review in the spring of their third year and tenure review in the fall of their sixth year. At the time of hire, faculty with previous full-time teaching experience, at either Colgate or another college or university, may request that they be credited with time toward the probationary period based on that prior experience. The review schedule for faculty who have been credited with prior experience is described in III.G.6 below.

Requests to count prior full-time teaching experience towards the probationary period must be made at the time of hire: the number of years that will be credited will be stated in writing at the time of initial appointment. All requests are subject to approval by the Department Chair (or Program Director) and the Dean of the Faculty, but requests will usually be granted subject to the following provisions:

- New hires with one to three years of previous full-time teaching experience may be credited with a maximum of that service minus one year.
- New hires with more than three years of full-time teaching experience will normally be granted up to two years of credit toward the probationary period. Requests to have more than two years of previous experience credited will be considered on an individual basis.
- Some prior service (or some portion of it) cannot count toward the probationary period at Colgate - e.g., teaching that occurs before the attainment of the Ph.D. \(^2\), 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.

Faculty will stand for tenure with at least two semesters of teaching beyond the semester in which third-year review occurs. Leaves or combinations of leaves (including combinations of junior faculty leave, other scholarly leaves, leaves without pay, study group leadership semesters, or other non-teaching semesters) that prevent a tenure evaluation with this requisite teaching will result in a delay of tenure review. The postponement of tenure review in such cases will be non-discretionary.

Tenure review postponements are also granted for leaves that negatively impact a faculty member’s scholarly activities. A one-year extension of the probationary period will be automatically granted for any FMLA leave of six weeks or more (childbirth or other certified disability periods during the summer months also trigger this provision, regardless of whether FMLA is officially taken). More than one such leave will normally result in a two-year postponement of tenure review. First time leadership of a semester-length study group also impacts scholarship and will result in a one-year postponement of tenure review.

Postponements of tenure review for leaves that impact scholarship 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).

In unusual cases, such as ongoing serious issues that do not result in an extended FMLA leave, the Dean of Faculty may, at his or her discretion, grant a faculty member’s request for a one-semester or one-year postponement of tenure review.

Except in the most unusual cases, the postponement of tenure review as a result of any combination of circumstances will not exceed two years. Postponement based on study group leadership (whether under the teaching or scholarship category) will not exceed one year.
b. The faculty member will be advised, at the time of initial appointment, of the substantive
standards and procedures generally employed in decisions affecting renewal and tenure. The
faculty member will be advised of the time when decisions affecting renewal or tenure are
ordinarily made, and will be given the opportunity to submit relevant material. The institution will
normally notify faculty members of the terms and conditions of their renewals by March 15.

c. Regardless of the stated term or other provisions of any appointments, written notice that a
prolongation of the term is not to be renewed will be given as follows: (1) not later than March
1 of the first academic year of service if the appointment expires at the end of that year; or, if a
one-year appointment terminates during an academic year, at least three months in advance of
its termination; (2) not later than December 15 of the second academic year of service if the
appointment expires at the end of that year; or if an initial two-year appointment terminates
during an academic year, at least six months in advance of its termination; (3) at least twelve
months before the expiration of an appointment after two or more years of service at the
institution. (These provisions on nonrenewal do not apply to faculty in the Division of Physical
Education, Recreation and Athletics. See Section O, Regulations on Appointments for Division
of Physical Education, Recreation and Athletics.)

d. In the case of non-renewal of a probationary appointment (i.e. not reviewed by the
Promotion and Tenure Committee), faculty members may request the Dean of the Faculty to
state in writing the reasons which contributed to the decision within 30 days of the date of the
notice. The Dean of the Faculty will respond within 30 days of the date of the request, at which
point the faculty member may also request reconsideration of the decision within 30 days from
the date of the Dean's written response. The Dean of the Faculty will notify the
case on reconsideration within 30 days.

e. Decisions on promotion (third year review and tenure) will follow the REGULATIONS ON
APPOINTMENTS, TENURE, AND ACADEMIC FREEDOM (contained in this Section, III.C.)
and the GUIDELINES FOR REAPPOINTMENT, TENURE, AND PROMOTION (III.F). The
current guidelines, which may be modified at the discretion of the Promotion and Tenure
Committee, Division Directors, and Dean of the Faculty, are described in Chapter III.G.10.

In the case of a negative decision, the faculty member may request the Dean of the Faculty to
state in writing the reasons that contributed to the decision within 30 days of the date of the
notice. The Dean of the Faculty will respond within 30 days of the date of the request. A faculty
member may decide to appeal in writing to the Faculty Due Process Oversight Committee
(hereafter Due Process Committee) within 60 days of the date of notice of the negative
decision or within 30 days of the date of the Dean's written explanation of the negative
decision, whichever is later. The candidate's department or program may choose to make a
separate appeal to the Due Process Committee within 60 days of the date of notice of the
negative decision, but is not required to do so. Appeals to the Due Process Committee will only
be considered on the grounds of:

1. Procedural error (III.C.3.f), which applies only to cases involving the Promotion and
Tenure Committee: Third Year Review, Tenure, Promotion to Full;

2. Violations of Academic Freedom or Discrimination (III.C.3.g), which applies to all
prolongation appointments and promotions to Full Professor.

The Due Process Committee shall ensure due process for probationary and promotion appeals
and will not substitute its judgment on the merits of the case for that of the Promotion and
Tenure Committee. The Due Process Committee shall consist of five members of the Faculty,
including the chair of the Committee on Faculty Affairs (or a designee), a tenured member of
the Faculty Affirmative Action Oversight Committee (or a designee) and three Professors who
have served as elected members of the Promotion and Tenure Committee. The three former
Promotion and Tenure Committee Professors will come from at least three different Academic
Divisions. In all, the committee members will represent the four academic divisions. The Due
Process Committee will be assembled by the elected members of the Faculty Affairs
Committee each Spring for the following academic year. Excluded from the committee will be
those faculty who are current Division Directors or members of the Promotion and Tenure
Committee, faculty who are on leave for either semester, or who have a conflict of interest as
determined in line with the practice of the Promotion and Tenure Committee. Appeals that are
received after May 15th will be considered in the Fall Semester.

f. Appeals Process: Procedural Error (Third Year Review, Tenure and Promotion to Full) If the
faculty member alleges that the decision against renewal was based on procedural error, the
Due Process Committee will review the written appeal and decide if it is the proper body to
deliberate the case. If the Due Process Committee deems it is not the correct committee to
review the case, it will report the reasons it is not the correct committee to the faculty member,
the Dean of the Faculty, the Promotion and Tenure Committee, and the President. If the Due
Process Committee deems it is the correct committee, it will review the materials relevant to the
appeal. The Due Process Committee will report its findings and recommendation to the faculty

23
member, the Dean of the Faculty, the Promotion and Tenure Committee, and the President. The Due Process Committee may make one of two recommendations to the President based on its findings:

1. Finding - No Significant Procedural Error: Dismissal of the appeal;

2. Finding - Significant Procedural Error: Recommendation for reconsideration by the Promotion and Tenure Committee indicating the respects in which it believes a procedural error may have influenced the case. In the unlikely event that the procedural error originated in the Promotion and Tenure Committee, the President may appoint the Due Process Committee to reconsider the case.

The President will make a decision that either adopts or rejects the recommendations of the Due Process Committee, and supply a written statement to the faculty member and the Due Process Committee. The President will afford each an opportunity to respond. The final decision is that of the President. The President should treat the Due Process Committee’s recommendation with a high degree of deference.

In evaluating an appeal on the grounds of Procedural Error, the Due Process Committee should first consult with the appropriate division director (or directors, in the case of a joint appointment). The Due Process Committee may, depending on the nature of the appeal, consult with all division directors as a group. If the Due Process Committee decides that the appeal warrants further consideration, the Due Process Committee should meet with elected members of the Promotion and Tenure Committee and the Dean of the Faculty in the presence of the relevant division director(s). The Due Process Committee may also consult with the candidate’s department(s) or program(s). The purpose of any consultation is for the Due Process Committee to gain a fuller understanding of the basis for the committee recommendation and of the intersection between the committee recommendation and procedural issues raised in the appeal.

g. Appeals Process: Violation of Academic Freedom or Discrimination (All Probationary Appointments and Promotion to Full)

If a faculty member alleges in writing that a decision not to reappoint them, or to grant them continuous tenure or promotion to Full Professor, was based in whole or in part on violations of (1) academic freedom (as defined in Section III.B.1) or (2) Colgate’s policies on non-discrimination/Title IX, (especially with respect to race; color; creed; religion; age; sex; pregnancy; national; origin; marital status; disability; protected veterans status; sexual orientation; gender identity, language, and expression; genetic information; being or having been a victim of domestic violence and stalking; familial status; and all other categories covered by law), the Due Process Committee will review the written appeal and decide if it is the proper body to deliberate the case. The written appeal shall be accompanied by a statement that the faculty member agrees to present to the appropriate faculty committees such reasons and evidence as the institution may allege in support of its decision. If the Due Process Committee deems it is not the correct committee to review the case, it will report the reasons it is not the correct committee to the faculty member, the Dean of the Faculty, the Promotion and Tenure Committee (if reviewed by this committee), and the President. If the Due Process Committee deems it is the correct committee, it will review the relevant materials. Should the Due Process Committee believe that the facts merit a detailed investigation and formal hearing, at its discretion the matter will be adjudicated in a manner similar to that set forth in Dismissal Procedures (III.C.9), except that the faculty member making the complaint is responsible for stating the grounds upon which the appeal is based, and the burden of proof shall rest upon the faculty member.

The Due Process Committee will report it findings and recommendation to the faculty member, the Dean of the Faculty, the Promotion and Tenure Committee (if reviewed by this committee), and the President. The Due Process Committee may make one of two recommendations based on its findings:

1. Finding: No violation of Academic Freedom or Discrimination Recommendation: Dismissal of the appeal;

2. Finding: Recommendation for reconsideration by the Promotion and Tenure Committee indicating the respects in which it believes a violation of academic freedom or discrimination may have influenced the case. In the unlikely event that the violation of academic freedom or discrimination originated in the Promotion and Tenure Committee, the President may appoint the Due Process Committee to reconsider the case.

The President will make a decision that either adopts or rejects the recommendations of the Due Process Committee, and supply a written statement to the faculty member and the Due Process Committee. The President will afford each an opportunity to respond. The final decision is that of the President. The President should treat the Due Process Committee’s recommendation with a high degree of deference.
In evaluating an appeal on the grounds of violations of Academic Freedom or Discrimination, the Due Process Committee may request evidence and testimony from or consult with the Dean of the Faculty, the chair of the Committee on Promotion and Tenure, Division Director(s), department(s), programs(s), the chair of the Faculty Affirmative Action and Oversight Committee (or designee), or administrators in the Office of Equity and Grievance or other appropriate parties.

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 Promotion and Tenure Committee, 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 F, 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 fulltime 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.G.6).

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.G.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.

d. 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. Lecturers 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 appointments who teach at least four courses a year and at least two each in the fall and spring will be entitled to benefits for the months of September through May.

e. Senior Lecturers Lecturers who have taught at least four courses annually over a period of at least four years may be promoted, after review by their department/program and the DAC, to Senior Lecturer. Promotion is based on a continuing institutional need for the position and demonstrated excellence in teaching. Senior Lecturers receive annual salary and, when teaching at least four courses, full-year benefits. Senior Lecturers receive renewable annual contracts, but, because the positions do not carry scholarly obligations, are not eligible for tenure even if their teaching load is fulltime. Any additional non-teaching duties will be specified in the contract letter. Senior Lecturers undergo annual reviews in their department or program. This review is forwarded to the Division Director as a letter of consultation.

f. Laboratory Instructors Persons who teach or assist with laboratory courses 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 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 full-year benefits. Laboratory Instructors receive an annual review by the department chair. This review is forwarded to the Division Director as a letter of consultation.

g. 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 department or program 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.

h. Research Affiliates The title of Research Affiliate may be awarded to persons who have established an institutional relationship with Colgate that may involve adjunct teaching or cooperative research with Colgate faculty or students. The need for any university facilities or
support services must be clearly specified by the sponsoring department or program at the time of application. Research Affiliate 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 two weeks after receiving notification of the terms of the appointment for the coming year. 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 Section III.C.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 Section III.C.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 Section III.C.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 Section III.C.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 Section III.C.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 cause 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 Section III.C.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 a 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 Section III.C.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).

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 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 Section III.C.5.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

“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 my the best of my ability.”

17. Grievance Procedures 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 Equity Grievance Policy 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.”

In the case of a negative decision in a Promotion and Tenure Committee review, or non-renewal of a probationary appointment, the faculty member may decide to appeal (see Sections III.C.3.d-g.).

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.

Footnotes

1 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.

2 or the equivalent terminal degree; all future references to Ph.D. are inclusive of equivalent terminal degrees.

D. Departments, Programs, and Divisions

Tenure-stream faculty are members of departments and/or programs, groups of faculty who share recognized academic disciplines or scholarly fields. These departments and programs foster scholarship, design curricula, and offer courses in support of the University’s major and minor concentrations. Within their departments/programs, faculty strive to maintain an intellectual community that is a source of mutual support and mentoring.

Chairs of departments and directors of programs oversee personnel, budgets, and curricula. They work with Division Directors on various initiatives and promote collaboration with the Core and other interdisciplinary programs. Chairs/directors also have crucial roles in the mentoring of faculty over the course of their careers (see III.E.1) and in the creation of constructive, welcoming, and intellectually vibrant departmental cultures.

Academic departments and interdisciplinary programs are grouped into divisions. The division director (DD) is a member of the teaching faculty and normally serves a three-year term. The DD is the chief administrative officer of the division, coordinating the division’s personnel, curricula, and budgets. As a member of the Dean’s Advisory Council, the DD thinks strategically about a variety of issues and works with the Dean to set policy that affects the academic mission of the University. The DD meets regularly with the division’s chairs/directors and serves as liaison between department(s)/program(s) and the Promotion and Tenure Committee. In addition, the DD meets with assistant and associate professors to advise them in their progress towards promotion. (See also III.G.12–13.)

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.” As such, the dean appoints DDs and chairs, after proper consultation with all interested parties. In exceptional circumstances, the dean may intervene in a department/program that is unable to resolve its problems satisfactorily.

E. Mentoring

1. Mentoring in Departments and Programs: departments and programs create a supportive and constructive atmosphere in which faculty members can develop their teaching, scholarship, and service, as they advance through their careers. In consultation with the division director, each department/program devises its own plan for mentoring new colleagues; these plans necessarily vary with the size and structure of the department/program. Departments/programs submit their current plans to the Office of the Dean of the Faculty where they are available to all faculty. It is the responsibility of the chair/director to ensure that untenured colleagues understand the mentoring policy and know to whom they can turn for mentoring, and to ensure that untenured colleagues know the expectations for third-year review and tenure.

With regard to teaching, good mentoring can take many forms, including regular conversations about syllabi, teaching goals, assignments, grading, and SET forms. Such mentoring is also grounded in classroom observation, and—other than in exceptional circumstances—it is the responsibility of tenured faculty to observe the classroom teaching of untenured colleagues. Such observation may be done through classroom visits or video recording, in accordance with the department’s/program’s mentoring policy. As mentoring and evaluation (see section III.G.3) necessarily run parallel, it is important that departments/programs give serious thought to the timing and manner of their classroom observations. Classroom observations and discussions of pedagogy are intended to create a positive atmosphere in departments and programs that will improve the teaching of junior and senior colleagues alike. Materials outlining good mentoring practices are available from the Office of the Dean of the Faculty and the Center for Learning, Teaching, and Research.
With regard to scholarship, departments/programs strive to create an atmosphere in which untenured colleagues can seek advice about scholarship, especially about the timing and publication of research, involvement in learned societies and professional organizations, opportunities for funding at Colgate and beyond, and expectations for third-year review and tenure. During the annual consultation (see III.G.2), the chair/director verifies that the untenured colleague is receiving adequate mentoring about scholarship. Informal discussions of scholarship are helpful for all members of the department/program; these discussions continue after tenure and help faculty towards promotion to full professor, so that mentoring of associates is not limited to the periodic consultations with DDs and chairs (see III.G.9).

With regard to service, the chair/director ensures that untenured colleagues get advice about the time commitments involved in different forms of service and which forms of service may be the most gratifying. New colleagues should be helped to find a balance between service and their other responsibilities.

Note: should any faculty member wish to have informal mentoring from outside his/her department, he/she should approach a division director or an associate dean of the faculty for guidance.

2. Mentoring by Division Directors: division directors play an important role in mentoring of faculty of all ranks, both through formal promotion and tenure processes (see III.G.12) and as needed at other times.

3. The Core Mentoring Program: untenured faculty members are encouraged to take part in the mentoring program included in the Core Junior Faculty Incentive Program as early as possible. Classroom shadowing can be one of the most helpful ways to reflect on pedagogy, and interdisciplinary contacts are extremely fruitful in promoting the liberal arts model of teaching. Details of the program may be obtained from the Office of the Dean of the Faculty or the University Studies office.

4. The Center for Learning, Teaching and Research (CLTR): the CLTR provides space and resources for confidential consulting for faculty seeking individualized help with teaching, outside the realm of personnel decisions. The CLTR will also provide guidance on the reading of SETs (Student Evaluation of Teaching forms) including the Likert graphs. The center offers advice on effective teaching methods as well as help with new pedagogies and support for innovative classroom experiments.

The CLTR is a resource for junior and senior faculty alike. It is hoped that all faculty will participate in its activities from time to time.

F. Guidelines for Reappointment, Tenure, and Promotion

Approved by the faculty February 9, 1976. Revisions approved by the faculty March 22, 2010.

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 in 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 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 that helps students gain knowledge, understanding, and skill in an academic subject or discipline, and enables students to use ideas and think for themselves in a liberal, open-minded manner. Its evaluation requires consideration of several characteristics which should be reflected in the instructor’s performance:

   1. commitment to teaching
   2. effectiveness as a teacher
   3. knowledge and mastery of the discipline(s)
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. Departments and programs are responsible for evaluating teaching through a variety of methods and adhering to their Peer Review of Teaching and Mentoring policies, which should be reviewed every three years (see Section G.3). 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 the candidate’s 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 faculty members will help develop library and laboratory resources in their 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.; candidates interact with colleagues outside their departments 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 that 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.

G. 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 or program director, an annual assessment of teaching,
scholarship, and service to the University community.¹ For tenure-stream faculty, 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 the faculty member accepts every judgment in
that record. Rather, it merely indicates that the person has read it. The faculty member may choose to
respond to the record 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. A full description of the procedure is issued annually by the office of the Dean
of Faculty.

Parallel procedures for athletic faculty are on file in the Office of the Dean of the Faculty.

3. Faculty Evaluation of Teaching is an essential part of third-year comprehensive review and
decisions on tenure and promotion. Effective evaluation should involve observation and critical
reflection over the course of time and necessarily runs parallel to mentoring (see section III.E).
Tenured colleagues should show care in giving proper, careful, and timely feedback so that
evaluation does not harm the mentoring process.

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,
etc.; of their use of technology both in the classroom and on-line; or of their effectiveness in working
with students outside the regular classroom.

Other than in exceptional circumstances, evaluation should be grounded in observation of classroom
teaching. Each department/program should work out appropriate timing, frequency, and class level for
the observation of the candidate. It is expected that a candidate’s teaching will have been observed
by a significant number of tenured departmental colleagues. Faculty colleagues are in an important
position to evaluate aspects of teaching that students cannot fully evaluate, such as mastery of the
field, commitment to teaching, selection and organization of course content, and appropriateness of
course objectives, methods, and materials.

It is the responsibility of department chairs to provide each untenured faculty member with a yearly
assessment of his or her teaching. This assessment is part of the letter of annual consultation (see III.
G.2). These assessments, like the letters of annual consultation, are intended to offer constructive
and helpful advice to assist the faculty member to improve his/her teaching. They are not to become
part of the dossier submitted for a decision on third-year comprehensive review, tenure, or promotion.

In line with these expectations, departments/programs design Peer Review of Teaching and
Mentoring policies for evaluation appropriate to their discipline and pedagogy. These policies are on
file in the Office of the Dean of the Faculty where they are available to any faculty member, to the
Dean’s Advisory Council, and to the Committee on Promotion and Tenure. Department chairs and
program directors are responsible for communicating and providing in writing the specific procedures
to the new faculty members. Division directors are responsible for seeing that these descriptions
accurately describe each department/program’s procedures. This procedure also extends to the
Libraries and Division of Physical Education, Recreation, and Athletics.

4. Student Evaluations of Teaching are an important component of faculty development with
respect to teaching, and also provide useful information for promotion and tenure decisions.² Student
evaluations are one of the many ways in which evaluations of teaching are made. Student- athlete
evaluation of coaching faculty is performed annually through a different process on file with the Office
of the Dean of the Faculty.

The Likert SETs will be used in conjunction with the narrative SETs for salary recommendations
beginning the 2019-20 academic year. The Likert SETs will be used with narrative SETs for all third
year review cases beginning in the Spring of 2021 and all promotion and tenure cases beginning in
The faculty and administration of Colgate University pay close attention to student evaluations of teaching (SETs). These student responses help members of the faculty improve their courses and their teaching, and the University uses SET forms for development and evaluations. After the Registrar has received final grades for this course, your responses will be made available to the instructor(s) and to the appropriate department chair and program director without identifying you. We ask for your clear, constructive, and thoughtful responses to all items on this questionnaire.

Regulations for the use and distribution of data from the student questionnaires: (a) the instructor shall be provided with electronic access to the completed forms organized by anonymous individual student responses (side-by-side reporting of narrative comments and Likert responses quantitative ratings for each item from each student) after final grades for the course have been received by the Registrar; (b) for the Likert responses, the instructor shall also be provided with a distribution for each item (22 questions) and composite distribution of each overarching dimension (5 dimensions of teaching) for each class in addition to normative information on the Likert SETs in the form of a distribution for each item (22 questions) and composite distribution of each overarching dimension (5 dimensions of teaching) for the University; (c) the Office of Institutional Planning and Research shall be the holder of data from student questionnaires and shall be charged with providing results to the Committee on Faculty Affairs, which will determine whether the requested study will be used for the benefit of the institution and whether it will maintain instructor anonymity; (e) the appropriate department chair / program director and division director shall receive the SETs for the purpose of mentoring discussions with the faculty member, and will maintain those in confidence; (f) the SETs shall be used in departmental, program, and Committee on Promotion and Tenure discussions, and by the Provost and Dean of the Faculty and President in their respective evaluations of faculty members being considered for promotion and tenure, and in the consideration of salary recommendations; (g) the instructor shall have the right to submit a written commentary on the SETs during the processes for reappointment, promotion and tenure.

The dimensions of teaching, which shall guide the organization of summary reporting of the Likert SETs to the regular instructor, and the items that make up each dimension are as follows:

**Effectiveness at Conveying Course Material**
(a) The instructor explained the material clearly and understandably; (b) The instructor is well organized and prepared; (c) The instructor presented material in class in an interesting way; (d) The instructor used methods that were effective in conveying the course material; (e) The instructor handled questions well.

**Teacher-Student Interaction and Rapport**
(a) The instructor was accessible; (b) The instructor showed respect and concern for students; (c) The instructor was open to contributions from all class members.

**Course Standards/Challenge**
(a) I was challenged by this course; (b) I have put a great deal of effort into my learning in this course; (c) The instructor had high standards for achievement in this class.

**Grading/Evaluation**
(a) The instructor designed and used fair grading procedures; (b) The instructor’s standards for grading were clear; (c) The instructor returned assignments with enough time to benefit my learning.

**Student Self-Rated Learning**
(a) I have gained a good understanding of this course material; (b) This course inspired and motivated my interest in the subject matter; (c) I have grown in
conceptual understanding and/or critical thinking as a result of this course; (d) My appreciation for this topic has increased as a result of this course; (e) This course helped me to think independently about the subject matter.

Other Aspects of Teaching (a) The instructor was effective in facilitating class discussions; (b) The instructor fostered an environment in which I was able to learn from my peers.

Reasons for Taking this Course (a) Major or minor requirement; (b) Exploration of possible major or minor; (c) Elective within major or minor; (d) Elective outside major or minor; (e) Core or Areas of Inquiry (distribution) requirement; (f) Other requirement; (g) Reputation of the instructor; (h) Interest in the course material.

Initial Interest in the Course (a) I had a strong desire to take this course when I registered for it.

5. Institutional Needs in Hiring and Third-Year Comprehensive Review In its report 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 ensure 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 Promotion and Tenure Committee, 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.G.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.

a. Departments should review individuals who are in the third year of their appointment at Colgate.

b. The review is based on the individual’s teaching, scholarly promise in addition to the Ph.D. dissertation, and service to the University community. The departmental review should be made by all tenured members of the department. Review of candidates whose primary home is in an interdisciplinary program should be made by all tenured faculty who either have appointments/joint appointments in the program or who are formally associated with the program for the purposes of Promotion and Tenure. Each program maintains an annually updated list of all faculty associated with the program for the purposes of promotion and tenure on file with the Dean of Faculty’s office. This interdisciplinary group of faculty constitutes the home “department.”

c. Each third-year review case will be assembled by the candidate’s chair (in conjunction with the program director in the case of joint appointments) with the help of the division director. The dossier is reviewed by the division director(s), before being forwarded to the dean of the faculty’s office. The process for third-year review will follow the procedures in sections III.G.8d-j below.

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 F, “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 is issued every semester by the Dean’s Advisory Council and the Promotion and Tenure Committee, and is available from the offices of the division directors and the Dean of the Faculty.

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

a. 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.F.), 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 or, in the case of candidates whose primary home is an interdisciplinary program, by all faculty who either have appointments/joint appointments in that program or who are formally associated with the program for the purposes of Promotion and Tenure.

b. Colgate is committed to a policy that balances transparency with the need for confidentiality. As a consequence, candidates for tenure will be given the following information as the process proceeds:

i. A letter summarizing the department’s views of the case. The letter will maintain confidentiality but will include a summary of external evaluations of scholarship and a summary of the department’s views on strengths and weaknesses in the candidate’s record of teaching, scholarship, and service. The candidate will be provided with the summary letter prior to further review beyond the department in a meeting with the division director (or division directors, in the cases of joint appointments). At this meeting the division director will present the candidate with the chair’s summary letter, prepared after consultation with the division director. The candidate may decide, after discussion with the division director, to provide a written response to the summary for inclusion in the dossier.

ii. The separate recommendations of the Promotion and Tenure Committee, the dean of the faculty, and the president will be made known to the candidate and the tenured members of the candidate’s department and/or program after all case reviews have been completed.

iii. In order to receive frank appraisals from external scholars, external reviewers will be informed that their letters will remain confidential, except as required by law or as necessary to protect the interests of the University. With the letter writer’s permission, excerpts may be shared anonymously with the candidates when the process is completed.

c. Each case for promotion to associate professor and/or the granting of tenure will be assembled by the candidate’s chair (or chairs, in the case of joint appointments) with the help of the division director. The division director will be responsible for contacting outside reviewers from the list assembled by the department or program and will provide a final review of the dossier before it is forwarded to the Dean of the Faculty’s office. Regardless of the departmental recommendation, all faculty members otherwise entitled to a tenure review by the Promotion and Tenure Committee may have that review.

d. The review will be conducted by the Promotion and Tenure Committee, who will sit in the presence of the candidate’s division director (or directors, in the case of a joint appointment). The committee will not engage in any discussion of the contents of a review dossier except with the division director(s) present. The division director will act as a source of clarification and offer explanations of the content of the dossier without rendering an evaluative judgment. The division director will not vote.

e. On occasion it may be necessary to replace a division director or a member of the promotion and tenure committee in regard to a particular case. Such a replacement will be required if a division director or a member of the Promotion and Tenure Committee has voted on the case at the department or program level. If there is a conflict of interest, as determined by the division director or Promotion and Tenure Committee member concerned, or by the members of the
Promotion and Tenure Committee, the division director and/or Promotion and Tenure Committee member will participate in the departmental/program discussion and vote but not in the deliberations of the Promotion and Tenure Committee; the division director and/or Promotion and Tenure Committee member will normally be replaced for this case only with a previous division director or with a previous elected member of the Promotion and Tenure Committee. The replacement division director or Promotion and Tenure Committee member will be chosen by the Committee members (excluding the member with a conflict), in consultation with the dean of the faculty.

f. Resolutions of procedural questions in preparation of the cases will be resolved by the relevant division director, who will normally consult the other division directors in coming to a resolution.

g. The Promotion and Tenure Committee will deliberate with a concern to ensure a thorough and fair hearing for the cases, while maintaining an efficient process. It should be understood that each case is to be considered on its own merits; there shall be no comparison of cases. Only the material in the dossier is up for discussion, and it will be considered a potential procedural error in the case if extraneous material is discussed. Except as required by law or as necessary to protect the interests of the University, the Promotion and Tenure Committee will maintain confidentiality in regard to the cases and the deliberations, beyond the information described in section III.G.8.b.

h. The dean of the faculty will meet with the Promotion and Tenure Committee after it has taken an initial vote on the cases. The division director will first address any issues of procedure related to the case. In the presence of the full committee and the division director, the Committee chair will report the vote and summarize the Committee’s discussion, articulating explicitly its judgments of how the candidate has performed with respect to the Handbook standards in the areas of teaching, scholarship, and service. The dean will then join in the discussion with the committee. After the discussion with the dean of the faculty, and outside of his or her presence, the Promotion and Tenure Committee will take a final vote. The chair will report the final numerical vote and recommendation to the dean of the faculty. Either the Promotion and Tenure Committee or the dean of faculty may request a follow-up meeting on any case.

i. When the final vote of the case has been reported by the Committee chair to the dean of the faculty, the dean will communicate to the Committee chair their recommendation to the president. In each case, the dean of faculty will report the Committee vote to the president, but may make a different recommendation from that of the Committee. If the dean of the faculty’s recommendation is different from that of the Committee in any particular case, the president will consult with the Committee before making his or her decision. The president of the university may accept, modify, or reject the recommendations received from the Promotion and Tenure Committee and the dean of faculty in submitting final proposals to the Board of Trustees. If the president is considering a reversal of a recommendation from the committee that is supported by the dean then the president will meet with the committee and the dean prior to making a final decision. The Board of Trustees makes final decisions on tenure and promotion.

j. The candidate will meet with the dean of the faculty and the relevant division director or directors to discuss the outcome of the review as soon as possible after the candidate has been informed of the decisions of the Committee, the dean of faculty, and the president. The dean of the faculty and division director(s) will also meet with the department chair (and program director in the case of joint appointments) to discuss the outcome of the review as soon as possible after the meeting with the candidate.

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/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 process for promotion to full professor will be the same as that outlined for promotion to associate professor with tenure: see above, III.G.8.b-j, except that there will not be a departmental summary letter provided to the candidate, i.e., section III.G.8.b.i does not apply.

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, the Promotion and Tenure Committee, and the Dean of the Faculty may take into account time in rank.

10. Guidelines and Dossiers for Review Cases The Dean of Faculty’s office issues guidelines each spring that specify timelines, procedures, and dossier contents for reviews in the following academic year. These annual guidelines are issued with the approval of the Promotion and Tenure Committee and academic division directors. Dossiers provide information needed for a full and fair review of a candidate’s achievements in view of university standards on teaching, scholarship, and service. Dossiers are assembled by the candidate’s home department or program (usually by the department chair, but sometimes by another senior faculty member in the department/program) with collaboration from the second department or program in the case of joint appointments. Dossiers are reviewed for completeness and adherence to the annual guidelines by the relevant division director(s). Guidelines vary by the type of review, but dossiers normally include

- Information about the candidate’s record (a cv, courses taught, scholarly accomplishments, a record of service activities, etc.)
- A statement from the candidate providing context and interpretation for accomplishments in the three areas being evaluated.
- Student evaluations of teaching from recent semesters, including student evaluations from off-campus study, together with evidence/conclusions derived from departmental peer evaluation of teaching.
- Internal letters evaluating teaching, when appropriate, and, in tenure reviews and promotion reviews, letters evaluating service.
- External evaluations of scholarship
- A formal record of the department’s meeting(s) to review the case, including the departmental vote/recommendation, and individual letters from those eligible to participate in the review. For faculty holding joint appointments, the record of the program’s meeting(s) and letters from individual program faculty are also included.

11. The Role of the Division Director in decisions on third year review, tenure and promotion. In a policy statement distributed to the Faculty in November 1985, the following guidelines for the ombudsperson role (then held by the elected Promotion and Tenure Committee when it served as the non-voting “watchdog” committee) set forth the following guidelines, which will now be carried out by the division directors:

a. The division director (or directors, in the case of a joint appointment) will meet with each third-year review, tenure, and promotion candidate once the dossier is complete or near completion 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 relevant division director (or directors, in the case of a joint appointment) will attend all meetings of the Promotion and Tenure Committee when that Committee is involved in making decisions on promotion, tenure, and third-year review for the candidates in their division. Their purpose is to protect the interests and welfare of the faculty as a whole, and to assure that fair treatment is accorded members of the faculty eligible for promotion, tenure, and third-year review.

c. The division director 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 Division Director 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. Complaints from members of the faculty concerning preparation or content of a third-year review, tenure, or promotion dossier should be addressed to the relevant division director.

The Promotion and Tenure Committee and the division directors have a role in the University’s grievance procedures. See Sections III.C.9(b) and III.C.17.
12. Role of the Division Director in Supporting Faculty Development  The division director should be an active partner with departments and programs, working with them to develop and sustain plans for mentoring and the peer evaluation of teaching (III.G.3). Division directors are a resource for both junior and senior faculty members, who may request meetings with them at any time.

The division director makes certain that annual consultations (III.G.2) take place, and convenes an annual meeting with each department chair for a candid and constructive assessment of the progress of untenured members of that department.

The division director initiates a meeting before Third-Year Review (III.G.6) and a meeting immediately following Junior Faculty Leave (III.L.1) with each untenured faculty member in the division. These meetings are meant to be formative rather than evaluative, and to provide a useful opportunity for the untenured faculty member to ask questions, register any concerns about departmental issues, and to take a broad view of their status and career development.

In the third year following tenure, and every four years thereafter, the division director initiates a meeting with each associate professor in the division for a candid and constructive discussion of their progress towards promotion to full professor (III.G.9). These meetings are not evaluative, but instead are intended to provide mentoring towards promotion to full professor in the intervals between departmental and program assessments, which should occur in the fifth year following tenure and every four years thereafter (III.G.9).

Footnotes

1 Annual consultations are not mandatory for category I faculty who have been promoted to associate professor.

2 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.

3 For the purposes of this section, in the case of joint appointments in two divisions, the term division director refers to the two division directors.

H. 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 1960s, 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 compensation 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.

I. 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.

Colgate also offers a Voluntary Phased Retirement for Teaching Faculty, which provides a means to move by one intermediate step into normal retirement through the reduction of teaching obligations and salary for a fixed period of time of up to three years duration. With approval of the Dean of the Faculty eligible faculty members (tenure-stream teaching faculty—full-time and Category I) may enter the program, which entails teaching two courses per year and continuing to serve the University through their scholarly activities, advising of students and committee and departmental service, for which they receive 50% of their notional annual salary. Benefit coverage continues through the period of phased retirement; elections to enter the program are irrevocable. See the document entitled “Colgate Voluntary Phased Retirement for Teaching Faculty” available from the Office of the Dean of the Faculty for a full program policy description and application form.

J. Equity Grievance Policy

The Equity Grievance Policy is maintained by the Office of Equity and Diversity and can be accessed from that office's webpage.

K. Professional Activities

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 is approved by the Dean’s Advisory Council and is distributed to all faculty members in an annual memorandum from the Dean. Regulations governing participation and attendance grants are described in the annual memorandum.

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 Council for Faculty Development is a faculty committee appointed by the Dean of the Faculty dedicated to the improvement of teaching and academic advising. The Council 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 may also address curricular improvement if proposed projects represent a new departure for faculty members and opportunities to increase the scope of their teaching in significant ways. The Council for Faculty Development is not directly concerned with research, as that is the special interest of the Research Council.

The Council for Faculty Development sponsors individual projects as well as programs for curricular innovation and improvement that 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.

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

4. Arts and Humanities Division Faculty Development Fund The Division of the Arts and Humanities has available a limited fund for members of the Arts and 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. 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 Arts and 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.K.3.).

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) 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.L.)

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 $1,500 per year as of 2016–17) 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 $7,500), 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. Intellectual Property The following policies apply to the ownership of patents and copyrights in works invented or created by Colgate students, staff, and faculty, including academic, library, and athletic faculty, using University funds, facilities, or other resources. The Committee on Intellectual Property oversees the policies.

a. Copyright

Ownership Traditional Academic Works. Colgate University has historically waived any copyright interest it may legally have to traditional academic works created by faculty. Examples include class notes and syllabi, books and articles, works of fiction and nonfiction, poems and dramatic works, musical and choreographic works, pictorial, graphic, and sculptural works, computer programs and educational software, but not on-line courses for credit.

Colgate University has also waived any copyright interest it may legally have to works created by students. Examples include materials produced for a class assignment or honors theses.

This policy, shared by most other colleges and universities, recognizes a long-standing tradition of encouraging scholarship and innovation in teaching. Although technological advances have changed the media in which ideas may be fixed, Colgate’s fundamental policy with regard to such works remains one in which copyright ownership shall be held by the individual(s) who create(s) the work subject to the provisions of section b.

Exceptions
1. Institutional Works (or Works Made for Hire). The University shall own intellectual property rights in institutional works, such as those produced in service activities, except as provided in prior written agreements. This includes works created by non-faculty employees (either staff or student employees) within the scope of their employment. However, this does not include traditional academic works created by non-faculty employees under the supervision of a faculty member in his or her research or teaching projects. In this case the faculty member would usually retain copyright ownership, unless the University can claim ownership rights under exception II.C. The University shall also own intellectual property rights in works created by faculty members made pursuant to a specific direction or assigned task other than normal teaching or research activities.

2. Patentable Works. Colgate’s Patent Policy will apply to encoded works or computer software where the work is developed in the normal course of the relationship between an employee and the University and where the encoded work is patentable, even if the work could also be copyrighted.

3. University-Sponsored Materials. Colgate shall own intellectual property rights when it provides substantial and specific support to a project or when substantial use is made of University resources. The following conditions provide a useful guide:

   a. Routine support available to all faculty will not generate university claims of ownership. A traditional academic work will not be treated as “made for hire” merely because it is created with University resources, facilities, or materials of the sort traditionally and commonly made available to faculty members. Examples of routine support include office or laboratory space, secretarial services, divisional travel grants, and access to generally available computer facilities and support.

   b. Similarly, nearly routine support available to selected faculty will not normally generate University claims of ownership. Examples of nearly routine support include sabbatical leaves, start-up funds at the time of hire, discretionary grants, student wage grants, major grants, Picker fellowships, senior faculty leaves and other grants from the Faculty Research Council or the Faculty Development Council.

   c. Routine support available to all students will not generate university claims of ownership. Examples of routine support include student laboratory space and access to generally available computer facilities and support.

   d. Colgate will share ownership of the copyright with the author(s) when it funds specific projects with substantial grants of money or resources other than those listed above. Prior to the project commencing there should be an agreement signed by the principal parties describing the specific expected copyrightable project and how the copyright for that product is to be shared.

4. Third-Party Agreements. Works created in agreement with or under the sponsorship of a third party will be governed by the agreement with the third party. The Provost and Financial Vice President & Treasurer must approve any agreement with a third party that requires the substantial use of Colgate resources.

b. Patent Policy

1. Disclosure. Inventions conceived or first reduced to practice using University facilities or developed under a sponsored research agreement shall be promptly disclosed in writing to the chair of the Committee on Intellectual Property. The inventors shall complete appropriate patent disclosure forms supplied for this purpose.

2. Ownership

   a. All patentable inventions conceived or first reduced to practice using University facilities or developed under a sponsored research agreement, by faculty, staff or students, as well as non-employees who participate in research projects at the University, shall belong to the University. The inventor shall assign all such inventions and any applications or patents resulting therefrom to the University. The inventor shall execute documents of assignment to convey to the University all of the employee’s interest in the invention owned by the University and cooperate and assist the University in all phases of the patent application process. On request, each person covered by this policy will sign an appropriate agreement to implement this policy.

   b. Abandonment. If the University cannot, or decides not to, proceed in a timely manner to patent and/or license an invention, it shall reassign ownership to the inventors upon request to the extent possible under the terms of any agreements that support or relate to the work.

3. Exceptions
a. Third-Party Agreements. Works created in agreement with or under the sponsorship of a third party will be governed by the agreement with the third party. The Provost and Financial Vice President & Treasurer must approve any agreement with a third party that requires the substantial use of Colgate resources.

4. Revenues. Royalty distribution for patents owned by the University shall be as follows: All administrative and legal expenses incurred in connection with the patent will be deducted from the gross royalty income. After these deductions, the royalty income is divided 40% to the inventor, 40% to the University, and 20% to the inventor’s department.

Colgate anticipates that a portion of its proceeds will be used to support education or scientific research.

7. 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.

8. 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, a veterinarian in 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.

9. Institutional Biosafety Committee The role of the Institutional Biosafety Committee (IBC) is to provide advice and recommendations to the Colgate community by reviewing protocols and approving procedures that will provide for the safe conduct of teaching and research while ensuring compliance with government requirements regarding the use of biological materials. Members of the IBC are selected for their area of expertise, and the committee includes members from the surrounding community. The IBC will meet once every semester to review protocols, and in the intervening time the IBC chair will consult with members to address questions generated from any new protocols.

The IBC can approve or disapprove protocols, make recommendations for corrective action for protocols, and facilitate development of appropriate protocols; if it is not possible to comply with regulations, the IBC will stop further teaching or research. The committee is the link between Colgate University and regulatory agencies, and reports as required to regulatory agencies.

All teaching and research with biological materials must have protocols registered with the IBC for approval and review. The includes the use of transgenic organisms, recombinant DNA, human blood or tissues, or other potentially biohazardous materials. The IBC has an overlapping role with other committees, i.e., Institutional Review Board and the Institutional Animal Care and Use Committee, and will communicate with them as necessary and appropriate.

10. Policy and Procedures for Responding to Allegations of Scientific Misconduct At Colgate University, we believe that honesty and integrity are fundamental values in a community dedicated to learning, personal development, and a search for understanding. Colgate University is committed to upholding the highest standards of research integrity and does not condone, nor will it tolerate, scientific misconduct by any member of the University community. While breaches in such standards are rare, they must be dealt with promptly and fairly in order to preserve the integrity of the research community and of the University.

This policy applies to allegations of scientific misconduct, which means fabrication, falsification, or plagiarism in proposing, performing, or reviewing research, or in reporting research results. Research misconduct does not include honest error or differences of opinion.

- Fabrication is making up data or results and recording or reporting them.
- Falsification is manipulating research materials, equipment, or processes, or changing or omitting data or results such that the research is not accurately represented in the research record.
- Plagiarism is the appropriation of another person’s ideas, processes, results, or words without giving appropriate credit.

Policies and procedures were established by the Dean of the Faculty in February 2014 to comply with
Public Health Services Policies on Research Misconduct (Federal Register 42 CFR Part 93).

A full description is found in a policy statement titled Colgate University Policy and Procedures for Responding to Allegations of Research Misconduct, available online at the Corporate, Foundation, and Government Relations website. This policy statement is updated regularly to reflect federal regulations and university policies.

11. 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.

Footnotes

1 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 the maximum per year.

L. Leaves of Absence

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. [Please note: 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.]

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, a two-course leave has been 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. Candidates may also arrange to take a full year’s leave at 50% pay. 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 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 leaves 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.1

3. Family and Medical Leaves2

a. Federal Law The 1993 Family and Medical Leave Act (FMLA) makes it possible for eligible faculty to take unpaid family or medical leave of up to 12 weeks in any 12 month period. Common reasons for FMLA include:

- 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,3 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.

A full description of the categories of FMLA leaves, eligibility to take such leaves, limits on leaves, and required documentation of reasons for leave may be found in the Staff Handbook — available online at the Human Resources website — which is regularly updated to reflect current federal regulations and university policies.

During any period of an 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 disability program. Faculty should contact Human Resources for details on establishing grounds for disability leave and certification of ability to return to work at the end of a disability leave. While pregnancy itself is not normally a disability, the period following childbirth (usually six weeks following an uncomplicated birth) is a disability period.

For FMLA leaves other than disability leaves Colgate will continue an employee’s health, dental, and life insurance benefits on the same basis as before the leave during a FMLA leave. During a non-disability FMLA leave that occurs during an academic term, annual salary is reduced, based on a 36-week academic year, by 2.75% per week of leave.

Faculty members who take or plan to take FMLA leave must provide 30 days notice in advance of the leave, if practicable, to Human Resources and The Dean of Faculty office.

b. Redefined Work Arrangements Short FMLA leaves of less than three weeks will be handled in the same ways as other temporary absences of faculty from the classroom, e.g., through guest lectures, make-up classes, etc., without any redefinition of teaching load. If, however, an anticipated FMLA leave will be disruptive to instruction (normally defined as a leave that results in an absence from the classroom of three weeks or more) the semester in which the leave occurs will be considered to be a two-course semester and teaching arrangements for the term may be redefined.4 During a semester in which teaching arrangements are redefined, a faculty member will be expected to continue with all non-teaching obligations — service activities and scholarship — and devote normal hours to Colgate work during any part of the semester in which the faculty member is not on FMLA leave.

For leaves that will disrupt instruction for 3–6 weeks, a redefined work arrangement will normally include a one-course load reduction and a rearranged teaching schedule for a second course. The way in which the teaching schedule for the second class may be rearranged depends on department and instructor circumstances. By way of example, the course may be taught on an accelerated schedule outside of the FMLA leave period; or missed classes may be covered by guest lectures; or arrangements may be made for the faculty member’s schedule to include team-teaching or partial-credit courses. In cases where a rearrangement of teaching for a course is not possible, the university may require that the course be deferred and taught as an overload within two years.

For leaves that will result in an absence from the classroom of 6 weeks or more, a redefined work arrangement will normally result in a two-course load reduction in the semester of the FMLA leave.

In the academic year following a birth or adoption, a new parent who is an eligible
tenure-stream faculty member may also request that one course be deferred, without reduction in pay, and taught as an overload within two years. This course deferral may be in conjunction with an FMLA leave (to replace the course that would normally be taught in a semester with a one-course load reduction) or to reduce teaching load in the semester following an FMLA leave. A new parent may also request, subject to department and Dean of Faculty approval, a course deferral even if the faculty member does not take an FMLA leave.

Faculty who anticipate that a leave might necessitate a redefined work arrangement should contact the office of the Dean of Faculty well in advance so that course schedules may, in consultation with the department chair, be rearranged. All redefined teaching arrangements are subject to final approval by the Dean of Faculty.

In the academic year following birth or adoption any tenure-stream faculty member may also 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 12 weeks of the FMLA leave. The faculty member will be responsible for the full cost of benefits beyond the 12 weeks of FMLA leave. Alternatively, a tenure stream faculty member may request a part-time teaching schedule for one or two semesters, with annual salary adjusted accordingly (20% of annual salary per course reduction). Parents who are both faculty at Colgate are entitled to a combined total of two semesters of such extended arrangements per child.\(^5\)

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. (Any faculty member who has served one year with continuous tenure will be eligible to apply for a two-course post-tenure sabbatical leave with pay after he/she has been a member of the Colgate faculty for six consecutive years.)

- **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.

- **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.
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. While SLA credits earned for sponsoring student summer research or creative projects do not expire, only 1 SLA credit may be earned over a six-year period, regardless of the number of student projects a faculty member sponsors. Junior faculty may accrue SLA credits in this manner prior to tenure, but credits accrued cannot be applied toward leave until after a successful tenure review.

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 are distributed via e-mail to all faculty at the outset of each academic year and are also available online.

Footnotes

1 See Chapter III, Section C.3. for an updated procedure on the timing of tenure review after certain leaves.

2 The current FMLA leave policy was approved by the faculty on January 30, 2012. Faculty policies for postponement of tenure review because of such leaves are described under Probationary Appointments. (III.C.3.)

3 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).

4 Redefined work arrangements and course-load reductions are policies that are based on the difficulty of covering for an instructor’s absence from the classroom; these arrangements are neither mandated by the FMLA law nor considered employee benefits. Redefined work arrangements for childcare leaves are limited to once per child in the 12 months following birth or adoption and to only one parent if both parents are Colgate faculty. Work rearrangements for unanticipated FMLA leaves or leaves where the return date is uncertain are handled on an individual basis.

5 Childcare leaves that extend beyond the 12 weeks of FMLA leave are included under the rule (section III.L) that limits all leaves to no more than two consecutive years and to no more than three years out of seven.

M. 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 standards:

   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 the 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. Load cards 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 insure 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 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 reallocate the student to another adviser within the same department. Each transfer student is assigned an academic adviser based upon that 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.

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

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.

N. 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 available from the Registrar.

2. Other Colgate Programs

a. Teaching in the Office of Undergraduate Studies (OUS) Summer Institute (SI) is arranged by
the Director of the Program.

b. Teaching in the Colgate High School Seminar Program (conducted from October to April for
eligible high school students) — is arranged by the Director of the Program.

c. Through the Community Student Program, area high school juniors and seniors who meet
establish criteria are eligible to take Colgate courses. Students are permitted to enroll in a
course once matriculating Colgate students have had the opportunity to register, and they
should not be given priority over a current Colgate student. High school students are not
permitted to take FSEMs, and access to off- campus learning experiences associated with
courses is not guaranteed.

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.L). Any questions concerning Colgate’s policies on
non-Colgate teaching should be explored with department chairs or division directors, and with the
Dean of the Faculty, in advance of making any commitments with another college or university.

O. 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; collegiality; 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.

P. Appointment, Reappointment, and Promotion of Library Faculty

The language of this section was approved in its current form by the faculty at its meeting of April 30, 2012.

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 2–12, 17, D, and E.

The Master of Library Science (MLS), Master of Library and Information Science (MLIS), Master of Science in Library Science (MLSLS), Master of Information Science (MIS), or an equivalent degree is recognized as the appropriate terminal degree for librarians at Colgate. Normally, the degree must be from a program accredited by the American Library Association or other appropriate accrediting agency. 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

   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

   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 three one-year appointments followed by one three-year appointment. Assistant professors must stand for promotion by December of the sixth year of their employment. 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 who have passed a comprehensive review will receive continuing appointment. 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 who have passed a comprehensive review will receive continuing appointment.1

2. Probationary Appointment All librarians, regardless of rank, initially receive one year probationary appointments. Librarians on probationary appointments must undergo a comprehensive review in accordance with the schedule in the Library Faculty Handbook. Upon successful completion of the review, librarians will receive either a multiple-year appointment at the rank of assistant professor or continuing appointment. Librarians who fail to pass comprehensive review are awarded a one year terminal appointment or a single additional probationary appointment followed by an additional comprehensive review.

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 two ways: annual evaluation and Comprehensive Review. In addition, comprehensive review — other than for promotion to professor — may take into account institutional need in relation to the candidate's area of specialization.

Comprehensive reviews 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.

Footnotes

1 The term “continuing appointment” denotes an appointment that is no longer subject to periodic comprehensive peer review. All librarians are subject to annual contracts and annual evaluations.

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, major requirements, courses offered by various departments, and academic regulations.

A. Academic Program

B. Organization of Courses and Registration Procedure

C. Regulations Governing Classes

D. Grading Policies

E. Academic Standards

A. Academic Program

1. Liberal Arts Core Curriculum Revised by vote of the faculty in spring 2009, the Liberal Arts Core Curriculum consists of four required interdisciplinary components: Legacies of the Ancient World, Challenges of Modernity, Scientific Perspectives on the World, and Communities and Identities. Students are also required to take one Global Engagements (GE) course drawn from departments and programs across the University, and two courses from each of the Areas of Inquiry: Human Thought and Expression; Social Relations, Institutions, and Agents; and Natural Sciences and Mathematics. A course taken to fulfill GE credit may also fulfill an Area of Inquiry Requirement. A fuller description of the Liberal Arts Core Curriculum Program may be found in the 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 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 are normally capped at 18 students. The first-year seminar instructor becomes the student’s academic adviser for the first two years or until a student declares a major by the spring of the sophomore year (for more information on first-year student and sophomore advising, see Section III.M.4). 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 Area of Inquiry 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.M.4.a).

The first-year seminar program is administered by the office of the dean of the faculty in coordination with the university studies division director.

3. Major/Minor Programs Department and program majors, as the name implies, are supervised by academic departments and interdisciplinary programs, with some, such as biology and romance languages, having more than one such program. The department of physical education does not offer a major. Specific requirements for each department and program majors may be found in the chapter on “Courses of Study” in the Colgate University Catalogue.

On rare occasions, students may also develop a topical major. Topical majors encompass more than one discipline. The various topical major programs are administered at the divisional level — Arts and Humanities, Natural Sciences and Mathematics, and Social Sciences — although some topical majors cross divisional lines. Student topical major programs are approved by the respective division directors. Descriptions of the individual topical major programs, including the requirements for each, may be found in the “Undergraduate Program” and “Courses of Study” chapters in the Colgate University Catalogue.

Every department and nearly every program at Colgate offers an optional minor. A full description of University rules for all minor programs is found in the Catalogue. Students must declare an official major in their fourth term, prior to course registration (typically mid-March). At that time, the department or program assigns a new faculty adviser who will advise the student for the next two years. In order to declare a major or minor officially, students complete a Declaration of Major/Minor form (available in the Office of the Registrar), 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, a major and a minor, or a major and two minors.

4. Off-Campus Study Program Colgate’s program of off-campus study includes semester-long Colgate study groups that are offered annually or biennially, approved programs (fully implemented for the Class of 2016 and beyond), and extended study opportunities. The strength and diversity of these programs are rooted in the initiative, energy, and commitment of faculty directors who develop and lead individual groups and in the faculty who invest their time in the careful review of approved programs.

Administration of the Off-Campus Study Program The Off-Campus Study Committee (OCSC) is appointed by the Dean of the Faculty and is comprised of several faculty members who have served as study group directors. The committee reviews all proposals for off-campus study programs and conducts periodic assessments of longstanding study groups and approved programs. Matters of study group curriculum should be directed to the Chair of the OCSC, but the Dean’s Advisory Council is ultimately responsible for the curriculum. The Director of Off-Campus Study/International Programs (OCS/IP), who serves on the committee and reports to the Dean of the Faculty, is responsible for the general oversight and logistical support of the Program.

Colgate study groups and extended study programs are directed by a faculty member who assumes responsibility for the program while away from campus. In addition to providing academic leadership, the faculty director must act in the capacity of an administrative adviser with respect to the members of the group. The faculty 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 off-campus study programs. Faculty may not normally lead study groups in a semester that coincides with or directly follows a third-year review or tenure decision.

Creation of New Programs
A. Colgate Study Groups  Faculty members and departments interested in proposing new Study Groups should speak first with the Chair of the Off-Campus Study Committee and the Director of Off-Campus Study/International Programs. Proposals are reviewed by the OCSC on an annual basis in the fall, but faculty who wish to propose a new group should consult with the director of OCS/IP well before this. No costs for a proposed study group may be incurred before the Dean has granted “approval in principle” to the group.

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, and each proposed group should list a steering committee. All groups must be economically feasible to operate, and each must have a minimum enrollment of twelve qualified students 120 days before departure. These four considerations will help guide the OCSC in making recommendations to the Dean of the Faculty.

Detailed guidelines for study group program and budget proposals are provided in the Director’s Manual for off-Campus Study Groups available from OCS/IP.

B. Extended Study Programs provide a way to extend courses beyond the traditional semester with an off-campus component in either May, August or January. 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. Extended study may precede or follow the on-campus portion of a course or follow one or more on-campus prerequisite courses.

Faculty members interested in proposing a new extended study course should submit a one-page preliminary plan to the director of OCS/IP and to the chair of the OCSC with copies to their department chair (and interdisciplinary program director, if applicable), division director(s), and to the associate dean of the faculty. The preliminary plan should be a short description of the program that the faculty member will be asked to develop more fully if the idea of the new extended study is approved in principle.

Full proposals are reviewed annually at the end of the fall semester by the OCSC, the Dean’s Advisory Council and in the case of high-risk destinations, Risk Management. Colgate will normally try to offer four to six extended study programs each year. In the event of a large number of proposals, please refer to the Extended Study Guidelines available from OCS/IP for criteria that will be used to balance offerings.

C. Approved Programs  Starting with the Class of 2016, students wishing to study abroad, but whose academic interests are not best served by one of Colgate’s study groups, will be able to choose from a list of vetted and approved non-Colgate programs. Identification of new approved programs usually will occur at the request of interested faculty and academic departments/interdisciplinary programs. Ideally, faculty from several departments will collaboratively recommend a destination or program to the OCSC that they believe will serve curricular needs.

Programs under consideration for the approved programs list will be vetted by the registrar and academic departments/interdisciplinary programs for credit transferability and by OCS/IP for appropriate risk management and student administrative support. In addition, the OCSC will take into account the program’s academic rigor, the extent to which credit from the program can be integrated into a Colgate student’s academic plan, and the potential impact on relevant Colgate departments and study groups.

Review of Programs  Students enrolled in off-campus study programs are expected to complete an evaluation of the off-campus study experience, which addresses the content of their program, the courses, the director’s leadership performance and the program administration. When the off-campus study program includes a credit-bearing component on campus, such as may be the case with extended study courses, both the standard SET form and evaluation of off-campus study experience will be completed. Evaluation forms are distributed by faculty directors of Colgate study groups and extended study programs and by OCS/IP for approved programs. Completed evaluation forms are returned to OCS/IP.

Faculty directors of Colgate study groups and extended study programs must submit a financial report and final general program report to OCS/IP upon the conclusion of the program. Details regarding the content of these reports are available from OCS/IP. A copy of the final general report should also be filed with the faculty director’s department chair or chair of the interdisciplinary program, and made available to the next director.

Study groups of long standing are reviewed in full once every four years. This assessment is conducted by members of the study group’s steering committee, academic department(s) or interdisciplinary programs(s) who review past directors’ reports and submit a written self-study to the chair of the OCSC. The self-study highlights the strengths, discusses the challenges, and suggests recommendations for the future of the study group. Detailed information regarding the content of the full review is available from OCS/IP.
The OCSC will review each approved program every four years, as it does Colgate study groups. Review will include a careful consideration of the number of students participating in the approved program; student evaluations of the program; a list of all courses transferred into Colgate from the program in the previous four years, including major and minor credits earned; comments solicited by OCS/IP from departments whose majors have studied on the program as to their view of the academic experience; and any demonstrated effect on Colgate study groups.

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.

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 division director for approval. General guidelines for scheduling courses are conveyed to the chairs by the division directors. 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, in November for the spring term and April for the fall term. In advance of these dates the registrar posts online a searchable list of scheduled courses, instructors, meeting times, and room assignments. Students select their primary and alternate courses, and complete the registration form (available on the registrar’s office web page). Students also use this form to obtain faculty signature for permission-only courses. In order to register themselves online using Banner self-service, 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. Drop/Add Procedures Drop/Add starts the day before classes begin. Students may drop courses and add open courses online. Students who wish to register for courses that are closed or require instructor permission must obtain the instructor’s signature on their drop/add schedule and bring it to the registrar’s office for processing before the end of the drop/add period (see the Academic Calendar for full-term, first-half-of-term, and second-half-of-term drop/add deadlines). All registration changes must be approved, completed, and submitted to the registrar’s office by the announced drop/add deadline. After the drop/add period students are not permitted to add or drop courses. However, students may withdraw from courses (with a grade of W) until the deadlines published in the academic calendar.

Full information about registration and drop/add procedures is available on the registrar’s website (www.colgate.edu/registrar) and in the “Academic Regulations” section of the Colgate 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 Period 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 list published online 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 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 online) 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 March 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 and the registrar’s office. 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. At the end of the drop/add period, the instructor should review for accuracy the class list available in the portal (faculty dashboard). The registrar’s office should be notified immediately of any discrepancies. 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 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 Colgate is committed to providing a welcoming and supportive environment for students from all cultural and religious backgrounds. All members of the community should ensure that students do not suffer adverse consequences for practicing their religions. Colgate's policy regarding the observance of religious holidays conflict is available in the Religious Life section of the Colgate website.

Footnotes

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.

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 Students experiencing academic difficulties in a course should seek assistance well in advance of the end of the course. Faculty with concerns about a student's course progress are encouraged to submit a course warning which notifies the student, academic adviser, and administrative dean. Instructors will have access via AdviseStream (colgate.advisestream.com) to a course warning form and may complete the report by checking the appropriate boxes for each student experiencing problems. 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. Cumulative and/or Integrative Assignments/Examinations It is essential that some substantial component of the work in every class be cumulative and/or integrative in nature. One way this expectation may be fulfilled is by one or more in-class examinations (midterm or midterms) and a two-hour final examination. Alternatives to this model may take many forms, including (but not limited to) take-home exams, reflective essays, individual or group projects, research papers, oral presentations, or multiple, small, in-class examinations.

It is expected that every class, with the exception of senior seminars, will have one and only one major assignment due or exam take place at the time set by the Registrar for the final exam. All other coursework must be submitted by 5 pm on the last day of classes. The Office of the Associate Dean of the Faculty provides administrative support for self-scheduled exams.

As faculty design their final assignments, they should be mindful of students' final-exam-week
5. **Reporting Final Grades** Final grades for all students are to be submitted online through the Faculty Dashboard. Final grades for seniors who expect to graduate at the end of a term are due by 9 a.m. on the Monday following the exam period. Final grades for all other students are due in the Registrar's Office by the date specified on the academic calendar.

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 dean, 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 dean 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 dean; 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.

Grades appearing on a student's academic record may normally not be changed after one semester from the end of the term in which the grade was awarded. Under extraordinary circumstances, grade changes beyond one semester but before graduation may be approved by the associate dean of the faculty.

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 decision to use the S/U 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 S/U basis.

   c. A student on academic warning may not use the S/U option.

   d. Courses in the Common Core, when taken toward the fulfillment of the Common Core requirement, may not be taken under the S/U option. Also courses used to fulfill the Global
Engagements requirement, the areas of inquiry/distribution requirement, the language requirement, the writing requirement, and the major or minor requirements may not be taken S/U.

e. The choice to take a particular course under S/U must be made prior to the end of the withdrawal period and must be officially recorded by the student with the Office of the Registrar.

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

g. To achieve the grade of S, the student must perform at a level that would warrant a grade of C– or better.

h. Satisfactory completion of a course is entered on the student’s permanent transcript as an S, but does not enter into the computation of the grade point average. Unsatisfactory completion of a course is entered on the student’s transcript as a U, but does not enter into the computation of the GPA. No course credit is awarded for a grade of U.

i. Seniors, during their final semester, should not take a course using the S/U option unless they will have a total of 32 course credits without the S/U course.

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. The associate dean of the faculty will inform the division director (or chair) of a decision within two weeks of receiving the request, and the division director (or chair) will share the outcome with the faculty member and the student.

Grades appearing on a student’s academic record may normally not be changed after one semester from the end of the term in which the grade was awarded. Under extraordinary circumstances, grade changes beyond one semester but before graduation may be approved by the associate dean of the faculty.

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 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 responsibility 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. 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 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.
Footnotes

1 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.

V. Support Services and Miscellaneous Information

A. Office of Corporate, Foundation, and Government Relations (Grants Office)
B. Administrative Assistants
C. Travel Policies
D. Libraries
E. Bookstore
F. Information Technology Services (ITS) Facilities and Support
G. Instructional Technology
H. Campus Mail Services and Distribution of University Notices
I. Document Services
J. Purchasing
K. Telephone Service
L. Office of Communications
M. Reserving Rooms
N. Use of University Facilities
O. Campus Safety

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 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.

Footnotes

\(^1\) 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.”

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. Many administrative assistants support multiple departments/programs. 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.

Since there may be times when a departmental administrative assistant has an overload of top priority work, faculty members who find that the 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.

The full job description for Academic Administrative Assistants is provided by Human Resources. A more detailed description of the competency tasks is available from the chair of the department, program chair, or your administrative assistant.

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 faculty member. Questions about expenses should be directed to the appropriate division director (for travel to professional meetings), the Grants office, or the office of the Dean.
of Faculty and Provost. Information on Colgate's policy for purchasing, including travel policy information, can be found on the Purchasing Department's webpage. The full travel policy, including per diem reimbursement limits, can be found on the travel policy webpage.

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:

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<th>Item</th>
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<td>Books</td>
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<td>Periodicals</td>
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<td>CD-ROMs</td>
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<td>Sound Recordings</td>
<td>Five weeks</td>
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<td>Government documents</td>
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<td>Videos</td>
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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 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 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, 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. 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: http://www.colgatebookstore.com/textbooks/. 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 on the Colgate Purchasing website. These purchases may be made in person, by phone, or online.

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.

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. 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.
6. 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.

7. 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, 100 percent of the campus is wireless including all student residences. 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.

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. For the most up to date policies go to http://www.colgate.edu/offices-and-services/information-technology/policy. 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 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.

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.

Beyond the services already mentioned, workshops are offered by instructional technologists at the beginning of each semester. Announcements about upcoming workshops are distributed through e-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, meaning at minimum a computer and projector are available. The Case Library and Geyer Center for Information Technology 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), a team of librarians and instructional technologists, provides coordinated support to faculty who wish to utilize current and emerging technologies to enhance teaching and student learning.

In the Case-Geyer building, faculty, staff, and students may borrow laptops, digital cameras, audio...
recording devices, and digital video cameras for on- and off-campus curricular work and research. Training in a variety of applications and technologies is offered throughout the year.

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. 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 Staff Affairs Committee 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 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 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 940 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 540 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 610 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 (115 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 2,750 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. All work done by Document Services for resale in the bookstore to students will be charged against the bookstore account. 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 jobs.

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.

Also be printed by the copier or Notices for distribution by departments may any 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 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 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, email 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://www.colgate.edu/offices-and-services/purchasing.

K. Telephone Service

The telephone system owned by Colgate University is a Cisco VoIP system. 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 at 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 available online 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 Communications

The Office of 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, Faculty Handbook, Student Handbook, and admission viewbook are all produced with the assistance of the Office of Communications. Advice on publications projects should be sought early in the planning stages from the Director of 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 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 Communications supports photography for publicity and University publications.

6. Colgate Website The Colgate Scene, press releases and other items of general interest are also available through the university’s home page: www.colgate.edu, which is coordinated by the web editor/writer in the Office of 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 the online calendar. 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, which is used primarily by varsity athletes. The Trudy Fitness Center, a 14,825 square foot facility next to Huntington Gymnasium, opened in January 2011. It contains over 50 cardiovascular machines on the upper level, and an extensive weightroom on the lower level. The Lineberry Natatorium is an indoor-outdoor facility adjoining the Huntington Gymnasium and Trudy Fitness Center 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 court-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 prices, 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 11:45 a.m.–1:15 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.

   Returning 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. Illegally parking in a handicap space, fire lane or fire hydrant 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.).

Carpooling Colgate University is part of the Purpool ride-sharing network. Colgate employees can register at www.purpool.com. Purpool is an online tool that makes it easy to organize carpools and to track savings. Because Purpool is workplace-based, employees will interact only with other Colgate employees.

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.

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**VI. General University Policies**

- A. **Policy on Public Order**
- B. **Communication about Hazardous Materials**
- C. **Acquired Immune Deficiency Syndrome**
- D. **Smoking**
- E. **Drug and Alcohol Prohibition**
- F. **Pets**

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**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 properly 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 McGregor Hall); Office of Environmental Health and Safety (SB-4 McGregor 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, including vaping, e-cigarettes, and similar devices. 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, student health center, and athletic facilities. Smoking is also prohibited in Colgate-owned vehicles.

Although all persons are strongly encouraged not to smoke at all on campus, smoking is allowed outdoors except in areas that are marked as being smoke-free and near doors and open windows.

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 of 1989 and the Drug-Free Workplace Act of 1988.

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.