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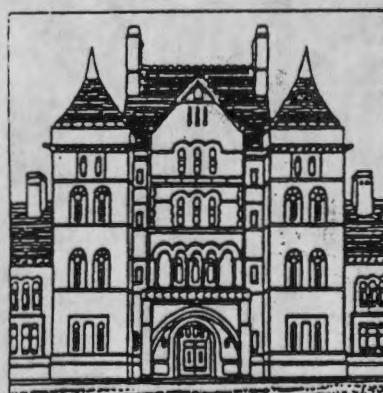
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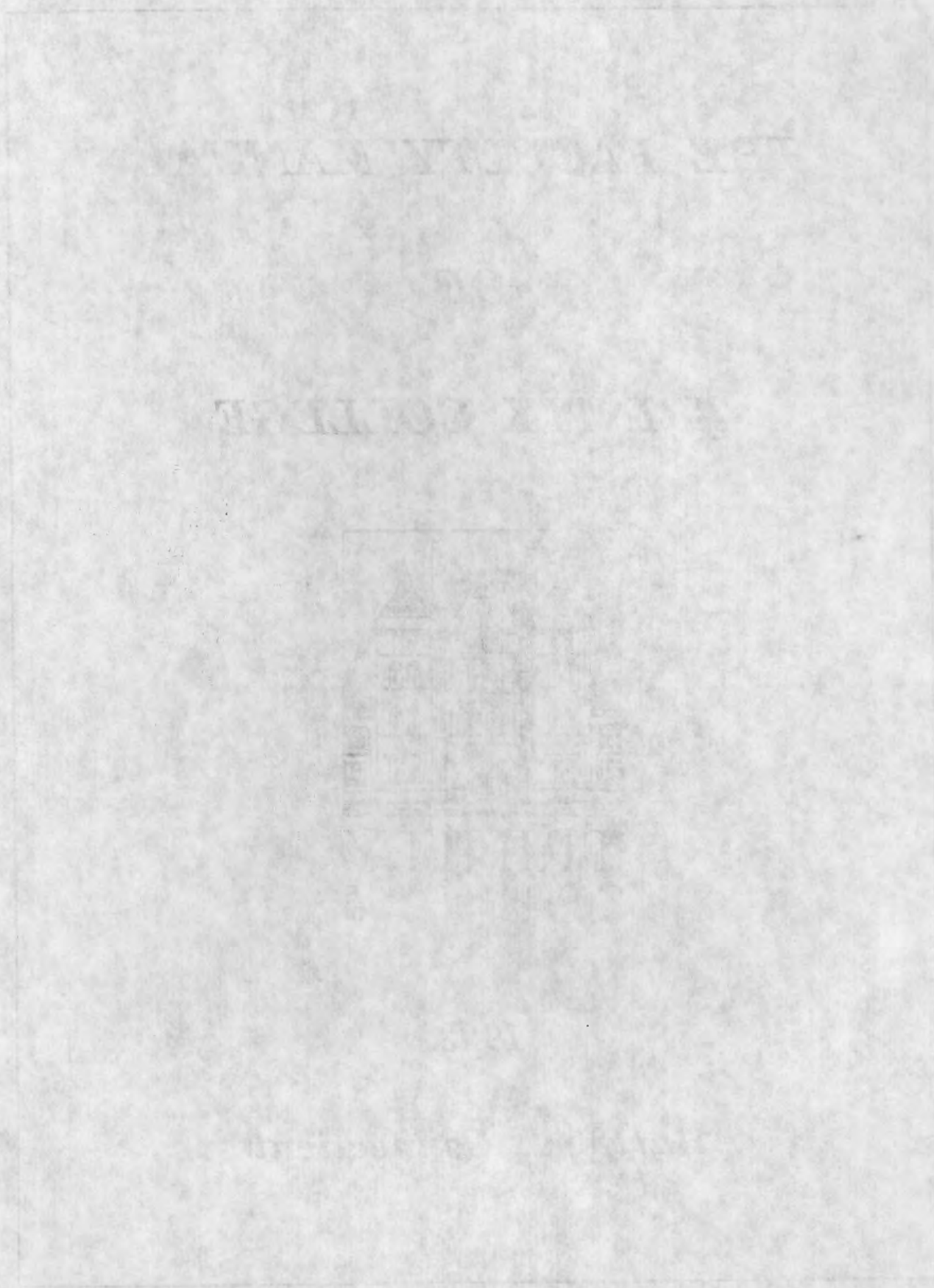
**THE FACULTY MANUAL**  
**OF**  
**TRINITY COLLEGE**



**TRINITY**  
**COLLEGE**

**1993**

***Hartford, Connecticut***



THE UNIVERSITY OF CHICAGO



CHICAGO, ILLINOIS



## PREFACE

The Faculty Manual defines the instruments by which the Faculty conducts its own business, participates in College-wide governance, and defends its rights, prerogatives, and interests. The Faculty has exclusive responsibility for editing the Faculty Manual. Specific responsibility for editing the Faculty Manual shall be retained by the Academic Freedom and Grievance Committee, in consultation with the Faculty Secretary. The contents of the Manual shall be limited to description of the Faculty powers, rights, benefits, and organizations. (Passed March 17, 1987)

As noted in the Preface to the fourth edition of the Faculty Manual which was published in 1970:

The idea of a Faculty Manual was first proposed by Trinity's chapter of the American Association of University Professors and persistently pursued by one of its committees under the determined direction of Professor Paul Smith. The proposal received the endorsement of the College administration and the cooperation of Dean Robert Vogel. The first two editions (published in 1966 and 1967) were prepared by the officers of the AAUP Chapter under the direction of Professor Richard Lee. In 1968 a third edition was prepared (again by Professor Lee) for the Trinity Faculty which accepted the Manual's 'overseeing' from the AAUP Chapter. During the academic year 1969-70, the numerous changes which were occurring in Faculty organization and status made a new edition seem premature. Accordingly, a short list of 'corrections' and subsequent additions was made available to the Faculty. As a result of the Faculty committee reorganization, completed in the spring of 1970, the preparation of the Manual was assigned to the Committee on Academic Freedom and Grievance.

Under the Academic Freedom and Grievance Committee's auspices, a fourth edition appeared in 1970, a fifth edition in 1975, a sixth in 1978, a seventh in 1983, an eighth in 1988, and a ninth in 1990. *+ 10/2 1991*

We gratefully acknowledge the invaluable assistance of Mrs. Gay Weidlich, Administrative Assistant for Area Studies, Anthropology, Educational Studies, Philosophy and Religion and Ms. Dawn Zоргdrager, Office Coordinator of the Life Sciences Center, in the preparation of this eleventh edition of the Faculty Manual.

### Academic Freedom and Grievance Committee

George Higgins, Chair  
Dina Anselmi  
Helen Lang  
Ken Lloyd-Jones  
Jane Nadel-Klein





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ORGANIZATION OF THE FACULTY AND ACADEMIC STATUS

1. DEFINITION OF THE FACULTY

1.1 Voting rights on the Faculty shall be granted to:

- (1) Those persons with tenured, tenure-track or other multiple-year, full-time faculty appointments. (Passed February 12, 1991)
- (2) Other persons with teaching or research responsibilities at Trinity who are elected by a majority vote of the Faculty as it is constituted at any given time. This membership shall continue as long as such responsibilities remain unchanged. Persons wishing to be made Faculty members under this provision may at any time submit their names and pertinent information to the Secretary for presentation to the Faculty.
- (3) The President, the Dean of the Faculty, the Librarian. Changes in category (3) shall be made only by a majority vote of those persons covered by categories (1) and (2).

(Passed November 11, 1969)

- (4) Those Trinity Faculty who have gone from full-time teaching to phased retirement will automatically retain their voting privileges within the Faculty. (Passed February 25, 1986)



## 2. FACULTY MEETING RULES

- (1) The Faculty meeting is the principal instrument by which the Faculty discharges its responsibility for ruling on curriculum and educational policy, Faculty status, aspects of student life which relate to the educational process, and all other matters that fall under the duties and prerogatives of the Faculty. The Faculty meeting is also the principal instrument for formulating Faculty recommendations to the Administration and the Trustees. Resolutions adopted by the Faculty meeting are statements of Faculty policy which bind Faculty committees and which serve to express the will of the Faculty to the Administration and Trustees. (Passed March 17, 1987)
- (2) Faculty meetings shall be designated stated or special. (Passed October 13, 1970)
- (3) Meetings will be conducted in accordance with Robert's Rules of Procedure. (Passed October 13, 1970)
  - (3)a. A quorum shall consist of fifty faculty members with voting rights. (Passed December 6, 1994)
  - (3)b. Two classes of resolutions pose particularly serious issues and therefore require for their approval the affirmative vote of at least three-fifths of the voting members in attendance. These are (1) motions calling for the creation or elimination of departments or programs, or for changes in the overall size of the Faculty, and (2) motions calling for changes in policies or procedures for appointments and promotions. (Passed March 17, 1987)
  - (3)c. At the beginning of each regularly scheduled Faculty meeting, following the approval of minutes, any old business will be taken up, followed by an inquiry of the chairpersons of each standing committee as to whether the committee has a report to present. (Passed March 17, 1987)
- (4) Any motion presented to the Faculty that would alter the text of the Faculty Manual must be worded exactly as it would appear in the Faculty Manual and must specify precisely which parts of the Faculty Manual would be changed if the Faculty approved the motion. (Passed December 4, 1990)
- (5) A parliamentarian will be appointed annually by the Committee on Committees. (Passed October 13, 1970)
- (6) Time and place of stated meetings will be established for the academic year at the beginning of the Fall semester and published. (Passed October 13, 1970)



- (7) Special meetings may be called by the President and will be called by the Secretary of the Faculty upon receipt of the written petition of one-third of the Faculty. (Passed October 13, 1970)
- (8) Business at special meetings will be confined to the specific business for which they are called and regular business will not be considered. (Passed October 13, 1978)
- (9) Committee reports, other than those of a routine nature should be prepared and distributed seven days before the stated meeting. Routine reports shall be laid before the meeting and passed without debate unless there is objection. (Passed October 13, 1978)
  - (9)a. Every standing committee of the Faculty shall be obliged to report at a Faculty meeting, even if only briefly, at least once each term. For the Spring term, this requirement may be fulfilled by the summary of the committee's annual report. (Passed March 17, 1987)
  - (9)b. Each standing committee of the Faculty shall submit an annual written report of its activities to the Faculty Secretary no later than the end of April. The chairperson or another representative of each standing committee shall present a summary of the committee's annual report at the stated May Faculty meeting. (Passed March 17, 1987)
- (10) Members, other than the proposer and seconder of a motion may rise only once to speak to a particular motion, or part thereof, with the exceptions and qualifications found in Robert's Rules. However, the meeting may resolve itself into a Committee of the Whole in which event restrictions on debate will not apply. (Passed October 13, 1978)
- (11) No new business may be directed to the Faculty for action in the meeting at which it is presented except by a two-thirds vote of those present. It should instead be referred to the appropriate committee for consideration. The committee shall report to the Faculty by the next stated meeting. (Passed October 13, 1970)
- (12) It shall be a standing rule of the Faculty that all Faculty Meetings shall adjourn after one hour and fifteen minutes, unless the Faculty shall vote by a majority of those present to suspend this rule for a stated period. (Passed October 14, 1969)
- (13) The Faculty shall invite the Dean of the Faculty to address the Faculty at its first regular meeting in the

academic year regarding general issues and policies affecting the Faculty in the upcoming year. (Passed February 12, 1991)

- (14) The Faculty shall invite the Chairperson of the Board to meet with the Faculty at its stated October meeting to report on the Trustees' agenda for the coming year, to answer any questions that the Faculty might have about that agenda, and to make any remarks about the state of the College that the Chairperson might deem appropriate. (Passed March 17, 1987)
- (15) The Faculty shall invite the President to report on budgetary prospects and issues at the stated October Faculty meeting. This report and Faculty responses to it will assist the Financial Affairs Committee in preparing its agenda for the remainder of the academic year. (Passed March 17, 1987)
- (16) The Faculty Secretary shall publish an annual report on attendance at Faculty meetings, listing by name all members of the Faculty who have attended fewer than half of all Faculty meetings, indicating whether attendance has risen or declined from levels of the previous year, and offering any suggestions for improving attendance that the Secretary might deem appropriate. (Passed March 17, 1987)
- (17) An observer of Student Government Association and student members of faculty committees shall be admitted on a non-voting basis to stated meetings of the Faculty, except in those instances when individual student statuses are under discussion or the Faculty acts to close the meeting. (Passed October 8, 1991)





### 3. THE SECRETARY OF THE FACULTY

- (1) The Secretary of the Faculty shall be the Faculty's primary elected officer. Nothing contained herein shall abrogate powers already committed to the Secretary in the Statutes of the College, or alter the duties of any administrative officer. (Passed December 17, 1968)

#### 3.1 Membership, Election, Tenure

- (1) The Secretary of the Faculty shall serve for a two-year term of office and shall not serve more than two consecutive terms.
- (2) All Faculty members listed in the Trinity College Bulletin as Professor, Associate Professor, Assistant Professor or Instructor, and who do not hold a concurrent appointment listed under Administration, shall be eligible to become Secretary of the Faculty.
- (3) The Secretary shall be elected by secret ballot by those eligible to hold the office, in April of every other year. The Secretary's term of office shall commence on the first day of the following Fall Term.
- (4) If the Secretary of the Faculty is unable to serve a complete two-year term, a new Secretary shall be elected to fill out the former Secretary's remaining term.
- (5) To aid the Secretary in performing his/her duties, part-time secretarial assistance will be available.

(Passed December 17, 1968)

#### 3.2 Jurisdiction, Obligations, Procedures

- (1) The duties of the Faculty Secretary fall into two broad categories:
    - (1)a. Facilitating communications among members of the Faculty, between the Faculty and the administration, and between the Faculty and the Trustees.
    - (1)b. Expediting Faculty action on matters of concern to the Faculty, in concert with the Faculty Conference, which the Secretary chairs.
- (Passed March 17, 1987)
- (2) Communications which require Faculty action normally should be channelled through the Secretary.
    - (2)a. Communications from members or committees of the Faculty which require Faculty action normally shall be submitted to the Secretary for presentation to the Faculty for action at its next regular meeting. This shall not be construed to include routine committee reports or announcements.

September 1, 1993



- (2)b. Communications from the administration which require Faculty action normally shall be submitted to the Secretary for presentation to the Faculty for action at its next regular meeting.
- (2)c. All communications from the student body requiring Faculty action shall be submitted to the Secretary who will present these matters at the next regular Faculty meeting for consideration.
- (2)d. All communications from outside agencies which are pertinent to academic matters and/or require Faculty action shall be submitted to the Secretary who will present them to the Faculty for its information or action at its next regular meeting.

(Passed December 17, 1968)

- (2)e. As the elected representative of the Faculty and as a member of the President's Committee, the Faculty Secretary shall report to the Faculty once each semester on administrative affairs that he/she deems to be of concern to the Faculty. (Passed March 17, 1987)

(3) Agenda

- (3)a. The Secretary shall provide each member of the Faculty prior to a Faculty meeting, with an agenda containing the major items to be discussed at the next regular meeting, and a similar agenda for special meetings indicating the topic or topics to which the special meetings will be limited.
- (3)b. Whenever possible, motions to be introduced for deliberation and action should be submitted to the Secretary in writing for inclusion in the agenda.

(Passed December 17, 1968)

(4) All official communications from the Faculty to others shall be made through the Secretary.

- (4)a. The Secretary shall take the minutes of the Faculty meeting.
- (4)b. The Secretary, in cooperation with such committees or advisors that the Faculty shall establish, shall publish and distribute Faculty decisions pertinent to the College community as expeditiously as possible following the Faculty meeting in which the decisions were made.
- (4)c. The Secretary shall present to the Trustees, normally through the Dean of the Faculty, all actions of the Faculty which require Trustee action, and be available to explain and discuss such matters before the Trustees, should the Faculty so request.

(Passed December 17, 1968)

- (4)d. The Faculty Secretary shall request the opportunity to meet regularly with the Board to report on and answer questions about Faculty resolutions. The Faculty Secretary shall report on each such meeting at the next stated Faculty meeting. (Passed March 17, 1987)

(5) Committee Assignments

- (5)a. To aid the Secretary in remaining currently aware of all business of the College pertaining to academic matters, the Secretary may attend, as a non-voting member, all elected and all appointed committees and councils that serve the Faculty, except the Committee on Appointments and Promotions.
- (5)b. The Secretary shall be sent the agendas and the minutes of all meetings of the committees defined in (5)a. above.
- (5)c. The Secretary shall represent the Faculty at academic ceremonies of the College.

(Passed December 17, 1968)





#### 4. THE FACULTY CONFERENCE

- (1) There shall be a Trinity Faculty Conference.

##### 4.1 Membership, Election, Tenure

- (1) Membership in the Trinity Faculty Conference shall be limited to those listed in the Trinity College Bulletin as Professor, Associate Professor, Assistant Professor, or Instructor and who do not hold a concurrent appointment listed under Administration in the Trinity College Bulletin.
- (2) The Trinity Faculty Conference shall have at least one member from each of the ranks of Professor, Associate Professor, and Assistant Professor. (Passed February 12, 1991)
- (3) The Trinity Faculty Conference shall consist of eight members, seven of whom shall be elected by the Faculty as defined in (1) above for two years by secret ballot. The eighth member shall be the Secretary of the Faculty who shall also be the Chairman of the Trinity Faculty Conference.
- (4) If any of the seven members elected directly to the Trinity Faculty Conference is unable to complete his term, his position shall be filled by the Trinity Faculty Conference itself, for the duration of the unexpired term.
- (5) Elections to the Trinity Faculty Conference shall be conducted in April of each year. The terms of office shall commence on the first day of the following Fall Term.

##### 4.2 Jurisdiction, Obligations, Procedures

- (1) The Trinity Faculty Conference shall ensure that major proposals are placed before the appropriate Faculty committee, or in the absence of such committee, shall study, evaluate, and make recommendations on such proposals. The Trinity Faculty Conference may call Faculty caucuses for discussion about any matter of interest to the Faculty.
- (2) The Trinity Faculty Conference shall not possess legislative functions, provisional or otherwise.
- (3) There shall be an evaluation of the Dean of the Faculty every three years. The evaluation shall be conducted by a five-member committee selected by the Faculty Conference, on the basis of criteria specified by the Faculty Conference. The results of the evaluation shall be conveyed confidentially to the Dean and the President. Past evaluations of an incumbent Dean of the Faculty shall be made available to subsequent evaluation committees. (Passed March 17, 1987; Revised September 24, 1991)
- (4) The Trinity Faculty Conference shall in no way replace the Faculty meeting; it shall not conflict with nor interfere with the regular Faculty committee structure, but shall serve to strengthen the meeting and the committee structure by facilitating Faculty discussion, informal or otherwise, in



order to obtain the sense of the Faculty and representative opinions and observations.

- (5) The Trinity Faculty Conference shall each year, at an appropriate time, solicit from the Faculty nominations for a recipient of an honorary degree. The Conference shall then select a name or names from among those suggested, and the name or names, together with supporting information, shall be sent via the President to the Trustees for their consideration and action. (Passed January 19, 1982)

(Passed March 5, 1968)

5. FACULTY OMBUDSMAN

- (1) The Ombudsman serves as an impartial and confidential investigator in any specific case of alleged inequity, unfairness or maladministration.

5.1 Membership, Election, Tenure

- (1) Qualifications: Rank of associate or full professor with tenure with at least five years' service to the College. The Ombudsman may not serve concurrently on the Appointments and Promotions Committee.
- (2) Term: Elected for 3 years.

5.2 Jurisdiction, Obligations, Procedures

- (1) Types of informal actions:
  - (1)a. Hearing in confidence and seeking to resolve individual grievances and cases of alleged infringements of academic freedom.
- (2) Methods appropriate to problems of equity:
  - (2)a. Afford full opportunity for the presentation in confidence of any complaint or grievance from any member of the Faculty (and where appropriate from any student or administrator or other employee of the College) alleging unfairness, inequity, discourtesy, undue delay, or other malfunctioning in the processes of the College;
  - (2)b. Investigate, in confidence, to determine the degree of validity of the complaint;
  - (2)c. Mediate or otherwise resolve the problem, arriving in confidence at what appears to the Ombudsman to be a just resolution (in the dismissal of the complaint, or in recommended action based on a warranted complaint); and
  - (2)d. Report the disposition of the specific case to the Faculty in terms appropriate to the case and in fairness to the parties involved.
- (3) Notwithstanding the foregoing, in all cases of alleged inequity, injustice, or malfunction, the Ombudsman will not be expected to be concerned with the normal operations of grievance processes or disciplinary procedures which are already established by the Faculty (such as grievance procedures already available with reference to matters of tenure, promotion, severance and discipline; and such matters as student discipline as established by College regulations and its procedures on matters of discipline and dispute) except that he/she may, on the basis of his/her sole judgment, inquire into possible or alleged unfairness or inequity resulting from possible bias or malfunction in any of these proceedings, and make confidential reports thereon to the



individual or parties involved, and subsequently, if necessary, to the Faculty.

- (4) Report and recommend to the Faculty or its Committees on the basis of experience, appropriate changes in the procedures and processes which have given rise to particular grievances.
- (5) Regular reports to the Faculty, including when appropriate, remarks on the resolution of particular cases.
- (6) Powers:
  - (6)a. Access to all pertinent records.
  - (6)b. The right to inquire of any member of the Faculty, administration, student body, member of the clerical and custodial staffs, in connection with his/her proper inquiries and to receive full and complete answers.
  - (6)c. The right to mediate or otherwise arrive at a compromise or to arrive at his/her own proposal for solution of the problem at hand.
  - (6)d. The right to present recommendations for solution to the parties involved and to report such recommendations to appropriate Faculty committees, administrators, department heads, student groups, or other personae, having completed the foregoing processes in confidence, and in terms appropriate to the case and in fairness to all parties involved.
  - (6)e. The right to make final public report in the matter to the Faculty, the College, or otherwise as in his/her judgment will promote a just final disposition of any case.

(Passed October 13, 1970)

6. GUIDELINES FOR COMMITTEE SERVICE

- (1) No Faculty member is expected to serve simultaneously on more than one elected standing committee of the Faculty.
- (2) A Faculty member who has served a two- or three-year term of office on such a committee might reasonably spend a year or two free before becoming available for assignment again.

(Passed April 30, 1974)

- (3) At the end of each term the chairpersons of Faculty committees shall report to the Committee on Committees the names of members of their committees who have failed to attend more than half of all meetings during the term. Such members shall be dropped from their committees. The Committee on Committees shall, in consultation with committee chairs, appoint replacements for dropped committee members. (Passed March 17, 1987) (See Committee on Committees)





## 7. ACADEMIC AFFAIRS COMMITTEE

### 7.1 Membership, Election, Tenure

- (1) Membership of this Committee shall consist of: (a) Six elected Faculty members of whom at least two shall be tenured; (b) Registrar, or designated associate; (c) Dean of Students, or designated associate; (d) Three students.
- (2) Faculty members will serve for a term of three years, two members elected annually.

(Passed January 16, 1970; Revised May 6, 1975, and February 15, 1994.)

### 7.2 Jurisdiction, Obligations, Procedures

- (1) It shall be the general responsibility of this Committee to review and administer the academic policies and procedures of the College as they apply to undergraduate students; to review, discuss, and rule on matters pertaining to student academic status, academic record, and conformity with academic regulations; and to provide a forum for the discussion of student concerns within the academic community. It shall be the specific responsibility of the Committee to: administer the Faculty rules and regulations on grade changes; administer the Faculty rules and regulations on grade changes, academic good standing, Academic Probation, Required Withdrawal and the Faculty Honors List; consider and rule on applications for re-admission of persons required to withdraw for academic reasons; consider and rule on registration-related issues, transfer credit procedures and regulations not primarily related to the curricular concerns of the transferred course, and issues (but not departmental in nature) pertaining to the permanent academic record or the student; consider and rule on student requests for exceptions from or modification of Faculty (but not departmental) academic rules, regulations and deadlines. The Committee may not waive academic requirements, but it may recommend such waivers to the Faculty for its action. (Passed January 16, 1970, amended May 6, 1975 and February 15, 1994)
- (2) It shall be the responsibility of this Committee to consider and rule on cases of academic dishonesty and plagiarism. The Faculty of Trinity College urges individual Faculty members to bring cases of academic dishonesty before said Committee for adjudication. The Faculty recognizes that the individual instructor has the prerogative under the canons of academic freedom to dispense with such cases through the issuance of a

punitive grade and by such other means as the assignment of additional work. The Faculty believes, however, that formal adjudication of such cases by the designated student/faculty committee, operating under accepted rules of due process, will best protect the rights of both the student and the Faculty member, avoid contentiousness, and lessen the likelihood of court litigation. Furthermore, the adjudication of all such cases by a single body will guarantee consistency in the punishments meted out for similar offenses. (Passed October 13, 1970)

(3) At the end of each semester the Academic Affairs Committee shall designate those students who qualify for the Trinity College Faculty Honors List. (For eligibility criteria, see the Catalogue Issue of the *Trinity College Bulletin*.) The Academic Affairs Committee will approve the list and report its actions at the first regular Faculty Meeting in each term. (Passed May 11, 1982, and revised April 10, 1984)

(4) One member of the committee shall be appointed to act as an adviser to the Public Relations Office on the preparation of *Bulletin* and *Handbook* changes pertaining to academic rules and likewise to consult with the editor of the *Faculty Manual*.

(Passed January 16, 1970, and revised May 6, 1975.)

(5) The Academic Affairs Committee shall designate one of its members to meet at least once a semester with the IDP subcommittee on curriculum and internal affairs. (Passed February 15, 1994.)

### 7.3 Information for the Faculty and Students on Procedures Already Established by the Academic Affairs Committee

(1) Procedures of Due Process Followed by the Academic Affairs Committee in Cases of Academic Dishonesty

(1)a. The Faculty member who believes that there has been plagiarism or other academic dishonesty shall provide the Committee with a written charge and specifications. A hearing will be promptly scheduled. Prompt notification of the hearing and a list of Committee members will be given to the Faculty member and the accused student.

(1)b. A copy of the charge and specifications will be provided to the accused student, who shall attend the hearing. The accused student may be accompanied at the hearing by an adviser if he/she

gives adequate notice to the Chairman of the Committee. The adviser may not have formal legal training.

- (1)c. The Faculty member will be expected to attend the hearing and may be questioned.
- (1)d. Ordinarily, the Committee will first hear the Faculty member bringing the charge. He/she may make a statement, after which he/she will be questioned by members of the Committee and then by the accused student. Next, the accused student may make a statement, after which he/she will be questioned by members of the Committee and then by the Faculty member.
- (1)e. The Faculty member and the accused student may call witnesses, who may be questioned by members of the Committee and by parties to the case. The witnesses will be heard in an order determined by the Chairperson. Each witness will be present at the hearing only when giving testimony. Witnesses will be expected not to discuss the case outside of the hearing.
- (1)f. In cases where more than one student has been charged with academic dishonesty, all of the accused students may be present when any one of their number is addressing the Committee.
- (1)g. As a rule, academic dishonesty hearings are closed and the proceedings are kept confidential. A hearing may be open, however, upon the written request of the accused student.
- (1)h. Any member of the Committee who is party to a case shall disqualify himself/herself for that case.
- (1)i. As a rule a student found guilty of academic dishonesty shall be assigned a penalty from one of three Penalty Categories -- Censure, Suspension or Expulsion -- depending on the severity of the offense. The Penalty Categories are described below:
  - i. CENSURE: The penalty for an initial offense reported to the Committee when the act of academic dishonesty involves cheating on an isolated part of a quiz or an examination, the circumscribed and inadvertent use of an unattributed source (written or oral) within a paper, or other dishonest acts of comparable magnitude.



ii. SUSPENSION: The penalty for repeated cheating on one or more quizzes or examinations, for deliberate plagiarism, or for other dishonest acts of comparable magnitude. This penalty will also be imposed for an offense in a course after the instructor has warned the student in writing (whether or not the initial offense was reported to the Committee) or when a student who has already been Censured for academic dishonesty commits a second censurable offense.

iii. EXPULSION: The penalty when a second penalty of Suspension is warranted.

(1)j. Within the Penalty Categories Censure and Suspension, the Academic Affairs Committee shall determine the length of the Censure or the Suspension, the conditions, if any, under which a Censure may be removed from the student's Permanent Record, the conditions under which a student on Suspension may return, and any other factors it may deem relevant to the penalty for the case heard.

(1)k. The Academic Affairs Committee may also recommend that the Faculty member assign a penalty grade to the student in the course in which the offense occurred.

(1)l. The Committee will not assign a penalty outside the Penalty category for the offense unless there are mitigating circumstances of such unusual magnitude as to be wholly compelling to all of the members of the Committee who heard the case.

(1)m. The record of each hearing shall consist of a detailed written report which shall be incorporated into the Minutes of the Committee and of a tape recording of the entire hearing. In the event of an appeal, these materials will be made available to the appellant, Faculty members and to the Academic Dishonesty Appeals Board.

(Passed January 16, 1970, May 6, 1975; Revised May 20, 1983;  
Revised May 8, 1984)

## 8. ACADEMIC DISHONESTY APPEALS BOARD

### 8.1 Membership, Election, Tenure

- (1) Four elected Faculty members (and two Faculty alternates)
- (2) Two student members (and two student alternates)

(Passed October 13, 1970; Reinstated May 6, 1975)

- (3) A member of the Academic Affairs Committee may not simultaneously serve as a member of the Academic Dishonesty Appeals Board. (Passed February 12, 1991)

### 8.2 Jurisdiction, Obligations, Procedures

- (1)a. This Board shall hear appeals to actions by the Academic Affairs Committee in cases of academic dishonesty.

#### (1)b. **Bases for Appeal**

Any student found guilty of a charge of academic dishonesty by the Academic Affairs Committee may appeal to the Academic Dishonesty Appeals Board on one of two bases: 1) Appeal for a Rehearing or 2) Appeal of Penalty. A student may not make both appeals simultaneously. If a student believes the finding of guilt by the Academic Affairs Committee is incorrect, he or she should appeal for a rehearing. An appeal of penalty implies admission of guilt and should be made only when a student feels the penalty imposed by the Academic Affairs Committee for the offense is unjust or excessive.

#### (1)c. **Definition of Appeals**

*Appeal for a Rehearing:* If a student believes he or she did not receive a fair hearing from the Academic Affairs Committee, he or she may appeal to the Academic Dishonesty Appeals Board for a rehearing. A student may make such an appeal on two grounds: 1) The availability of new evidence, or 2) The grounds that procedural errors were committed in the hearing by the Academic Affairs Committee.

If the claim of new evidence is upheld by the Academic Dishonesty Appeals Board, the original judgment and penalty will be declared void by the Academic Dishonesty Appeals Board and the case will be returned to the Academic Affairs Committee for prompt rehearing. If the claim of procedural error is upheld by the Academic Dishonesty Appeals Board, the original judgment and penalty will be declared void and the Academic Dishonesty Appeals Board will promptly rehear the case according to the procedures of the Academic Affairs Committee. If the Appeals Board rehears the case because of procedural error, the student has no further faculty appeals available. The student does, however, retain the right to appeal to the President or the Board of Trustees.

*Appeal of Penalty:* Any student convicted by the Academic Affairs Committee of academic dishonesty may appeal the penalty to the Academic Dishonesty Appeals Board. It will be the student's responsibility to demonstrate that the penalty should be modified. The Academic Dishonesty Appeals Board will restrict its action to affirming or modifying the penalty, but in no case will a more severe penalty be imposed. Modification of a penalty shall consist of modifying the terms



of the penalty, e.g., its length, its effective date, etc., but not of changing the penalty category, e.g., from censure to admonition or from suspension to censure, etc. The Academic Dishonesty Appeals Board will submit in writing to the Academic Affairs Committee and the community the basis for its judgment, but it will not identify the student involved.

Should the Academic Dishonesty Appeals Board conclude from its deliberations on an Appeal of Penalty that probable cause exists to believe that the penalty which has been assigned by the Academic Affairs Committee is from an inappropriate Penalty Category, it may refer the case back to the Academic Affairs Committee for rehearing. A tie vote on a motion to return the case to the Academic Affairs Committee for rehearing on these grounds will constitute passage of the motion. The Academic Dishonesty Appeals Board will communicate in writing to the Academic Affairs Committee its grounds for resubmission. A motion to resubmit a case to the Academic Affairs Committee on these grounds may not be made again after the Academic Affairs Committee has reheard the case.

(1)d.

#### **Procedures**

General: All hearings shall be closed to the community unless the appellant student requests the hearing to be open. No member of the Academic Dishonesty Appeals Board shall discuss the proceedings of any appeal with persons who are not members of the Academic Dishonesty Appeals Board. All meetings of the Academic Dishonesty Appeals Board in executive session are strictly confidential and no member shall discuss such proceedings with any person who is not a member of the Academic Dishonest Appeals Board.

#### *Appeal for a Rehearing:*

1. The student will submit a written petition including the grounds for the appeal and an outline of the evidence he or she will present to the Chairman of the Academic Dishonesty Appeals Board. A hearing will be promptly scheduled. Notice of the hearing and a list of Academic Dishonesty Appeals Board members will be given to the student and to the Chairman of the Academic Affairs Committee.

2. The student's petition will be given to the Chairman of the Academic Affairs Committee and the Academic Affairs Committee will be asked to send a representative to the hearing who will be prepared to produce all records of the original hearing if requested and to answer all questions of the Board and the appellant student.

3. The student may be accompanied at the hearing by an adviser of his or her choice and should give the Chairman of the Academic Dishonesty Appeals Board reasonable advance notice of who the adviser will be. The adviser may not have formal legal training.

4. The hearing shall be closed and confidential unless the student makes a written request to the Academic Dishonesty Appeals Board that he or she wishes the hearing to be open.

5. Any member of the Academic Dishonesty Appeals Board who has been a party to the case or who has been substantially involved with a party to the case about the case shall disqualify himself or herself for that case and an alternate will sit in his or her place. The appellant student may

challenge a member of the Academic Dishonesty Appeals Board in writing before the hearing on this ground and an alternate will be seated if a majority of the Academic Dishonesty Appeals Board believes the challenge has merit.

6. The student may call and question his or her own witnesses and question any other witness appearing before the Board.

7. The Academic Dishonesty Appeals Board may call witnesses of its own and may question all witnesses appearing before the Board.

8. Ordinarily, the Board will first ask the Academic Affairs Committee representative to state the charge which was brought against the student, the finding of the Academic Affairs Committee with respect to guilt or innocence of the student, and the penalty imposed. The student will then present his or her case, calling such witnesses as the student deems necessary. The Board will then call such witnesses as they consider necessary and refer, if necessary, to the Academic Affairs Committee records of the original hearing. After all witnesses have been heard the Board will adjourn to executive session and shall either accept or reject the student's petition for rehearing. A tie vote shall constitute acceptance of the student's petition. If the petition is denied, the finding of the Academic Affairs Committee will be affirmed. The student may, however, still appeal the penalty to the Academic Dishonesty Appeals Board. The decision of the Academic Dishonesty Appeals Board will be transmitted to the student and the Academic Affairs Committee in writing.

9. The record of the hearing will consist of written minutes and a tape recording of the hearing.

#### *Appeal of Penalty:*

1. The student will submit a written appeal to the Chairman of the Academic Dishonesty Appeals Board. A hearing will be promptly scheduled. Notice of the hearing and a list of Academic Dishonesty Appeals Board members will be given to the student and to the Chairman of the Academic Affairs Committee.

2. The student's petition will be given to the Chairman of the Academic Affairs Committee, and the Academic Affairs Committee will be asked to send a representative to the hearing who will be prepared to produce all records of the original hearing if requested and to answer all questions of the Board and the appellant student.

3. The student may be accompanied at the hearing by an adviser of his or her choice and should give the Chairman of the Academic Dishonesty Appeals Board reasonable advance notice of who the adviser will be. The adviser may not have formal legal training.

4. The hearing shall be closed and confidential unless the student makes a written request to the Academic Dishonesty Appeals Board that he or she wishes the hearing to be open.

5. Any member of the Academic Dishonesty Appeals Board who has been a party to the case or who has been substantially involved with a party to the case about the case shall disqualify himself or herself for that case and an alternate will sit in his or her place. The appellant student may challenge a member of the Academic Dishonesty Appeals Board in writing before the hearing on this ground and an alternate



will be seated if a majority of the Academic Dishonesty Appeals Board believes the challenge has merit.

6. The student may call and question his or her own witnesses and question any other witness appearing before the Board.

7. The Academic Dishonesty Appeals Board may call witnesses of its own and may question all witnesses appearing before the Board.

8. Ordinarily, the Board will first ask the Academic Affairs Committee representative to state the charge which was brought against the student, the finding of the Academic Affairs Committee with respect to guilt or innocence of the student, and the penalty imposed. The student will then present his or her case, calling such witnesses as he or she deems necessary. The Academic Affairs Committee representative, as a witness of the Academic Dishonesty Appeals Board, will then explain the position of the Academic Affairs Committee with regard to the penalty. The Board may then call such other witnesses as they consider necessary and refer, if necessary, to the Academic Affairs Committee records of the original hearing. After all witnesses have been heard, the Board will adjourn to executive session for deliberation. The Board will, by majority vote, affirm the original penalty or modify it. In the event of a tie vote by the Academic Dishonesty Appeals Board, the penalty imposed by the Academic Affairs Committee will stand. The student and the Academic Affairs Committee will be notified in writing of the Board's decision and the Board will subsequently present to the Academic Affairs Committee and the community the basis for its decision including the majority opinion and any minority or dissenting opinions.

9. The record of the hearing will consist of written minutes and a tape recording of the hearing.

(Passed May 9, 1989)

9. ACADEMIC FREEDOM AND GRIEVANCE COMMITTEE

9.1 Membership, Election, Tenure

- (1) Membership of this committee shall consist of five Faculty members at the rank of associate or full professor serving 3-year staggered terms. No two members may be from the same department. (Passed February 3, 1970, Amended December 6, 1994)

9.2 Jurisdiction, Obligations, Procedures

- (1) The primary function of the Committee shall be to protect and extend academic freedom at the College. The pursuit of this goal may involve a variety of actions by the Committee:

- (1)a. Review of cases of alleged inequity, unfairness or maladministration involving academic freedom which originate with the Faculty Ombudsman and are appealed by one of the parties involved, or brought to the Committee by the Ombudsman. In general, such complaints or grievances are initially referred to the Faculty Ombudsman for informal resolution. In the event that efforts at informal resolution are not successful, the Committee may convene formal hearings on the matter.

- (1)b. Formal hearings may from time to time be convened to consider: 1. Cases of Faculty dismissal or 2. Allegations of infringement of academic freedom which have progressed to a stage where informal resolution is not possible. In such cases the Committee should follow the A.A.U.P. guidelines set forth in the 1958 "Statement on Procedural Standards in Faculty Dismissal Proceedings" and the 1982 A.A.U.P. "Recommended Institutional Regulations on Academic Freedom and Tenure" as adapted, where necessary, to the particular conditions at the College.

Faculty members are entitled to bring allegations of infringement of academic freedom directly to the academic freedom and grievance committee for formal investigation and hearing.

In no case will the findings of the committee offer direct relief to a complainant. In dismissal cases the committee's findings and recommendations are forwarded to the Board of Trustees for their action. In all other cases the findings must be submitted by the complainant to the normal sources for relief: either a standing faculty committee or an administrative procedure. In particular, since the investigation of alleged academic freedom



violations and the issuing of any findings in their regard are solely within the jurisdiction of this committee, in those cases where a candidate's appeal of a negative decision by the Appointments and Promotions Committee is based, in whole or in part, on the grounds of violation of academic freedom, the appellant must obtain an affirmative finding from this committee in order to make a charge of violation of academic freedom part of an appeal to the Appointments and Promotions Appeals Board. Further, in the event that the Academic Freedom and Grievance Committee finds that a violation of academic freedom has occurred, it shall be the sole prerogative of the Appointments and Promotions Appeals Board to judge the status of such a finding to any appeal in the Board's consideration.

In no case may the committee substitute its judgment for that of another committee of the faculty, or any academic department or program, or any council or committee of the administration, with regard to any subject matter within the jurisdiction of such committees, councils, departments or programs. Just as no body other than the Academic Freedom and Grievance Committee may determine whether academic freedom has been violated, the Academic Freedom and Grievance Committee may not determine matters within the subject matter jurisdiction of other bodies. In particular, departments, programs, and the Appointments and Promotions Committee retain exclusive jurisdiction with regard to substantive evaluation of teaching, scholarship and service as they relate to the criteria for appointments, reappointments, tenure and promotion. (Amended December 6, 1994)

- (1)c. The Committee should critically review and make recommendations to the Faculty for changes in the rules, practices, procedures and regulations governing the Faculty and its relations with students and administration where academic freedom issues are involved. On its own initiative the Committee may conduct a formal investigation of rules, practices, procedures, and regulations referred to in this section and issue a finding concerning their appropriateness with respect to academic freedom along with suggestions for changes the Committee believes are appropriate. (Passed December 4, 1990)
- (1)d. The Committee should make regular reports to the Faculty on its activities, and, where appropriate, on the final resolution of cases which in its judgment or in the judgment of the Faculty warrant some public disclosure.

(1)e. The Committee should report annually to the Faculty on the state of academic freedom at the College.

(Passed February 3, 1970)

(2) The Academic Freedom and Grievance Committee shall hear non-academic freedom grievances referred to it by the Ombudsman. A formal relationship of cooperation and support, based on the following rules, shall be established between the Ombudsman and the Academic Freedom and Grievance Committee:

(2)a. The Ombudsman serves as confidential investigator of grievances brought to him/her by Faculty members. The Ombudsman attempts to achieve informal resolution of grievances by consultation and negotiations with the parties involved.

(2)b. At his/her discretion and with the approval of the plaintiff, the Ombudsman may request formal investigation and hearing of grievances by the Academic Freedom and Grievance Committee.

(2)c. If the Ombudsman cannot achieve informal resolution of a grievance, the plaintiff may refer it to the Academic Freedom and Grievance Committee for formal investigation and hearing.

(2)d. This section of the committee's charge may not be used to grant a faculty member a second appeal in A&P matters. (Passed December 6, 1994)

(2)e. Both the Ombudsman and the Academic Freedom and Grievance Committee must report annually to the Faculty such details of the cases they have heard as are consistent with the right to confidentiality of the parties involved.

(Passed March 17, 1987)

(3) The powers of the Committee include: access to all pertinent records; the right to inquire of any member of the College Community; the right to arrive at its own solution of cases coming to it and to report its recommendation to the Faculty, the College or otherwise as in the judgment of the Committee will promote a just final disposition of the case.

(Passed February 3, 1970)



- (4) A subsidiary, but closely related, task of the Committee is the editing of the Faculty Manual. In this regard:
- (4)a. A permanent subcommittee shall be formed to edit the Faculty Manual.
  - (4)b. Its primary function shall be to determine the contents of the Manual and to prepare it for publication.
  - (4)c. The subcommittee is empowered to seek assistance from other Faculty members and administrators whose interest or competence would be necessary or useful in working out the detailed contents of the Manual.
  - (4)d. The subcommittee should report through the Chair of the Committee to the Faculty pertinent changes in the Manual and should solicit from the Faculty recommendations for improvements of the Manual.
  - (4)e. It is the responsibility of the subcommittee to see that each member of the Faculty, especially new Faculty members, receive a copy of every new edition of the Manual. Likewise, the subcommittee shall see that sufficient copies are available to department heads and others concerned with the recruitment of new Faculty members to be used in informing prospective Faculty members of the state of the Faculty at Trinity College.

(Passed February 3, 1970)

10. ADMISSIONS AND FINANCIAL AID COMMITTEE

10.1 Membership, Election, Tenure

- (1) Membership of the Committee shall consist of: Five elected Faculty members, one each from arts/humanities, math/natural sciences, and social sciences; the Dean of Admissions and Financial Aid (nonvoting); the Director of Financial Aid (nonvoting); two undergraduates, one male, one female, one of whom should be from a minority group.

(Passed October 19, 1976; Revised March 17, 1987; Revised December 12, 1989)

10.2 Jurisdiction, Obligations, Procedures

- (1) The Committee on Admissions and Financial Aid shall be the principal instrument of faculty participation in the formulation and implementation of college policies on admissions and financial aid. Pursuant to this general function, the primary responsibility of the Committee shall be:
- (1)a. Maintain a continuous review of admissions and financial aid policies. In addition, the committee will meet in May of each year, with its newly elected members present, to discuss with the Dean of Admissions and Financial Aid policies and objectives for the coming year.
  - (1)b. Regularly evaluate the performance of the Admissions and Financial Aid Offices in adhering to and realizing stated objectives.
  - (1)c. Assist, where possible, the Admissions Office in the development of recruitment strategies, in particular strategies that enlist the aid of faculty and students.
  - (1)d. Recommend, from time to time, specific admissions and financial aid policies and objectives to the Faculty for its approval and transmission to the President for adoption.
  - (1)e. Report to the Faculty in writing at least once each academic year.

In addition, the Committee shall:

- (1)f. Identify conditions within the College which might adversely affect the function of either or both of the two offices and, when necessary, recommend to the President or to the appropriate officer or body measures which, in the judgment of the Committee, would improve the capacity of the offices to meet their objectives.



- (1)g. Inform itself about trends or activities external to the College which might influence the work of the two offices and the policies they pursue.
- (1)h. Help inform the staff of each office about academic opportunities available at Trinity and about important academic and intellectual achievements of Faculty and undergraduates.
- (1)i. Review available publications and other materials prepared by, or for, the Admissions and Financial Aid Offices to be distributed to potential applicants and secondary schools.
- (1)j. Assist, from time to time, with evaluations of the undergraduate experience as it affects admissions recruitment.

(Passed October 19, 1976; revised March 13, 1990)

11. ADVISORY COMMITTEE ON FRATERNITIES AND SORORITIES

11.1 Membership, Election, Tenure

That the Faculty establish a five member committee to be elected from the Faculty at large. (Passed September 13, 1983)

11.2 Jurisdiction

The Advisory Committee on Fraternities and Sororities shall work to implement the Faculty's resolution that fraternities and sororities be abolished at Trinity, as expressed in Faculty votes of September 13, 1983 and March 10, 1992. (Passed November 9, 1993)

## 12. APPOINTMENTS AND PROMOTIONS COMMITTEE

- (1) The Appointments and Promotions Committee, the Dean of the Faculty, the Joint Appointments and Promotions Committee,<sup>1</sup> and the Board of Trustees or its Executive Committee share responsibility for faculty appointment, reappointment, promotion, and tenure decisions. Additionally, the Appointments and Promotions Appeals Board may hear appeals from negative decisions made by the Appointments and Promotions Committee. Specific responsibilities, as they pertain to appointments at different faculty ranks and to reappointments and tenure decisions, are described below in the appropriate places.
- (2) The Appointments and Promotions Committee is the Committee of the faculty elected to receive reports on initial appointments to junior level tenure-track and contract positions, to approve and forward recommendations for initial appointments to senior level tenure-track and contract positions, and to make recommendations on all cases for reappointment, promotion, and tenure and to forward its recommendations to the Joint Appointments and Promotions Committee.

### 12.1 Membership

- (1) The members of the Appointments and Promotions Committee are three tenured members of the faculty at the rank of Professor, the President, and the Dean of the Faculty who serves as Secretary of the Committee. The faculty members of the Committee are also those nominated by the faculty to serve on the Joint Appointments and Promotions Committee. The faculty member senior in service chairs the Committee unless the Committee determines otherwise by a majority vote.
- (2) Faculty members serve three-year staggered terms, with new appointments effective on August 15. The Committee on Committees determines the procedures for election to the Committee and, for the purposes of representation, assures that the membership of the Committee reflects a division of the College into the three categories of Arts and Humanities, Social Sciences, and Mathematical and Natural Sciences. The Secretary of the Faculty, the Ombudsman, and members of the Appeals Board and of the Educational Policy Committee may not serve concurrently on the Committee. Committee members may not serve more than one full consecutive term, but may be elected again after one year.

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<sup>1</sup> The Joint Appointments and Promotions Committee: "The Joint Committee on Appointments and Promotions shall consist of the President and Dean of the Faculty, ex officio, with vote, and of three Trustees and three members of the Faculty, nominated by the Faculty body. To this committee shall be referred for recommendation to the Board of Trustees all appointments of new members to the Faculty at the level of Associate Professor or Professor, all promotions to these ranks, and all awards of tenure" (*Standing Rules Of The Board of Trustees Of Trinity College, 1972, Part I, paragraph 16*). The Chairperson is the President, and the Secretary is the Dean. The Joint Committee normally meets twice a year, in January and May, but other meetings may be called by the Chairperson as the business of the Committee necessitates.



## 12.2 Responsibilities

### (1) Faculty Appointments

The Appointments and Promotions Committee acts in concert with the Dean of the Faculty, the Joint Appointments and Promotions Committee, and the Board of Trustees or its Executive Committee in approving initial faculty appointments. Faculty appointments include both those in which one person is appointed to a single full-time position and those in which two individuals are appointed to share the responsibilities of a single full-time position. In the latter case, each partner in the shared appointment is evaluated for appointment, reappointment, promotion, and tenure individually and in accordance with the same procedures that regulate the evaluation of a single appointee. The specific responsibilities of the Committee vary according to the rank and type of appointment, as outlined below.

#### (1)a. Appointments to Tenure Track Positions

Normally, faculty members are hired in tenure-track positions either assigned to a department or allotted both to a department and a program. When an appointment is made to such a position, the letter of appointment shall specify the faculty member's obligations to the department and to the program. In some instances, tenure-track positions are created outside of the departmental structure with tenure being to the College. In all extra-departmental cases the letter of appointment shall make clear that the review process will be conducted by a special committee appointed by the Dean of the Faculty.

##### *i.* Assistant Professor

The Dean of the Faculty makes appointments at the rank of Assistant Professor. The Dean's decisions on appointments follow consultation with the department or committee concerned and a written recommendation from the chairperson and, when an appointment is allocated in part to an interdisciplinary program, from the program director. Such appointments are reported to the Appointments and Promotions Committee and to the Joint Appointments and Promotions Committee and are subject to approval by the Board of Trustees or its Executive Committee.

Appointment at the rank of Assistant Professor presumes demonstrated professional competence, scholarly activity, and the completion of all requirements for the Ph.D. or other appropriate terminal degree; letters of appointment to the rank of Assistant Professor will make clear the following points:

- (a) that should these degree requirements not be completed at the start of the academic year, the rank becomes Instructor and the term of appointment, one year;
- (b) that on completion of the degree, the Instructor, the Chairperson, and the Dean of

the Faculty will agree on the effective date of the promotion to Assistant Professor, as either retroactive to 1 September of the current academic year, or commencing on 1 September of the following academic year, which date will mark the beginning of the probationary period toward tenure;

- (c) that failure to complete the degree requirements will result in the termination of appointment at the end of the contractual year;
- (d) that in a case where there is compelling evidence for the likely completion of all degree requirements by February 15 of the following academic year and on the positive recommendation of the department, a second year of appointment may be granted.

Appointment at the rank of Assistant Professor is normally made for three years, with review for reappointment in the spring of the second year.

In certain circumstances, a person with prior experience in teaching and research at an accredited college or university or in professionally related work at another institution may request a shortened probationary period. Such a request is negotiated with and approved by the Dean of the Faculty in consultation with the department chairperson, and the period within which a tenure decision must be made is stated in the official letter of appointment.

*ii.* Associate Professor and Professor

The Appointments and Promotions Committee approves appointments at the rank of Associate Professor and Professor, basing its decisions on departmental or committee recommendations and, where appropriate, the recommendation of the relevant interdisciplinary program, as well as other supporting information presented by the Dean of the Faculty. Such appointments are subsequently submitted to the Joint Appointments and Promotions Committee and then to the Board of Trustees or its Executive Committee for their approval.

(a) Associate Professor

Appointment at the rank of Associate Professor presumes the Ph.D. or its equivalent, outstanding performance as a teacher, and mature scholarship recognized by the profession or equivalent professional contributions.

Appointment at the rank of Associate Professor is normally made for three years, with review for reappointment and tenure in the spring of the second year.



(b) Professor

Appointment at the rank of Professor presumes the Ph.D. or its equivalent, outstanding performance as a teacher, and distinguished scholarship recognized by the profession or equivalent professional contributions.

Appointment at the rank of Professor is normally made for three years with review for reappointment and tenure no later than the spring of the second year.

(1)b. Appointments to Contract Positions

Trinity College makes appointments to various kinds of Contract Positions. All such positions that are renewable or continuing are subject to peer review. Letters of appointment or reappointment to Contract Positions shall clearly specify the terms and conditions of employment, including the length of the appointment, the possibility of renewal, and the nature of the review process. In the event that the faculty determine to convert a particular Contract Position to tenure track, a new search will be undertaken; the incumbent may become a candidate for the position.

i. Non-Tenure-Track Chaired Professorships

The Appointments and Promotions Committee approves appointments to Non-Tenure-Track Chaired Professorships, basing its decisions on the recommendations of a search committee and other supporting information presented by the Dean of the Faculty. Such appointments are subsequently submitted to the Joint Appointments and Promotions Committee and then to the Board of Trustees or its Executive Committee for their approval.

Appointment to a Non-Tenure-Track Chaired Professorships is made for a contractual period, normally five years, and may be renewed, subject to the recommendation of a faculty review committee, appointed by the Dean of the Faculty, and the recommendation of the Appointments and Promotions Committee.

ii. Experimental Positions

The Appointments and Promotions Committee approves appointments for Experimental Positions, basing its decisions on the recommendations of the search committee and other supporting information presented by the Dean of the Faculty. Such appointments are subsequently submitted to the Joint Appointments and Promotions Committee and then to the Board of Trustees or its Executive Committee for their approval.

Experimental Positions are established by the Educational Policy Committee with the approval of the Faculty. Faculty filling these positions are



hired for a contractual period. Experimental Positions, as such, are not renewable.

iii. Visiting Faculty

The Dean of the Faculty makes appointments of Visiting Faculty on the recommendation of the chairperson of the department or search committee. Such appointments are reported to the Committee and are subject to approval by the Board of Trustees or its Executive Committee.

Visiting faculty are hired part time or full time for a limited period, usually replacing faculty members on leave.

iv. Part-Time Renewable Faculty

The Dean of the Faculty makes appointments of Part-Time Renewable Faculty on the recommendation of the chairperson of the department or search committee. Such appointments are reported to the Committee and are subject to approval by the Board of Trustees or its Executive Committee.

Part-Time Renewable Faculty serve for defined contract periods. Reappointment or renewal of contract is approved by the Appointments and Promotions Committee. Although there is no prescribed schedule for promotion, cases for promotion follow regular procedures.

v. Adjunct Faculty

The Dean of the Faculty makes appointments of Adjunct Faculty members, acting on the recommendation of the department chairperson and reporting such appointments to the Committee. These appointments are subject to approval by the Board of Trustees or its Executive Committee.

Adjunct Faculty are typically members of the local community who serve a special academic function for the College, which may include teaching.

vi. Instructor

The rank of Instructor is used in a case where a faculty member, offered a tenure-track position as Assistant Professor, has failed to complete the requirements for the Ph.D. by the start of the contractual period.\*\*\*\*\* Time served in the rank of Instructor does not count toward tenure.

vii. Artist-in-Residence

The Dean of the Faculty makes appointments of Artists-in-Residence, acting on the recommendation of the chairperson of the department or search committee and reporting such appointments to the Committee. These appointments are subject to approval by the Board of Trustees or its Executive Committee.

Artists-in-Residence are hired for defined contractual periods, normally from one to three years.

viii. Lecturers

The Dean of the Faculty makes appointments of Lecturers, acting on the recommendation of the chairperson of the department or search committee and reporting such appointments to the Committee. Additionally, members of the College staff and administration who are qualified to conduct courses may be appointed by the Dean of the Faculty as Lecturers. Appointments as Lecturers are subject to approval by the Board of Trustees or its Executive Committee.

Lecturers are appointed for the period of a semester or an academic year; such appointments are renewable.

(2) Reviews for Reappointments, Promotions, and Tenure Decisions

The Appointments and Promotions Committee is responsible for evaluating all candidates for reappointment, promotion, or tenure. All reviews that are mandated to occur at a particular time (i.e., for First and Second Reappointment, for Promotion to Associate Professor with Tenure, and for renewal of Contract Positions) are referred to the Committee by academic departments or specially appointed committees. Other reviews (e.g., for promotion to Professor) may be referred to the Committee by the department or special committee or recommended to the Dean of the Faculty for further action by any tenured member of the faculty. The Committee is responsible for the final preparation of all recommendations for consideration by the Joint Appointments and Promotions Committee; recommendations to the Joint Appointments and Promotions Committee are made only on the positive vote of a majority of all Committee members.

(2)a. Policies of Trinity College

The award of tenure represents a long-term commitment by the College to the faculty member. The Committee exercises the greatest care in reaching a tenure decision; and in order for tenure to be recommended, the Committee must be persuaded by the prospect of continuing and significant contributions from the candidate.

In the absence of extraordinary circumstances as defined in advance by the Educational Policy Committee,<sup>2</sup> the

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<sup>2</sup> The Appointments and Promotions Committee does not make decisions concerning "structural considerations"; nor does it evaluate such decisions as made by the Educational Policy Committee. However, structural considerations which may affect a tenure or reappointment decision must be clearly communicated in writing to each candidate and to the Appointments and Promotions Committee as soon as such considerations are defined. If such considerations exist at the time of initial appointment, they must be described in the letter of appointment. In no case, may structural considerations be invoked later than one year before



Appointments and Promotions Committee makes its decisions on reappointment, promotion, and the awarding of tenure, solely on the merit of each candidate without regard to the percentage of faculty currently tenured, or any other consideration of quotas. In addition, the criteria used to evaluate a candidate for reappointment, promotion, or tenure are neither so narrowly construed, nor applied in such a way, as to prejudice the case against an individual on the basis of race, gender, or religion, or for unconventional points of view or lifestyle, or for conducting research in non-traditional areas.

Tenure commits Trinity College to permanent appointment so long as the position to which the appointment is made continues to exist. Nor may a tenured faculty member be dismissed except under the conditions specified in Appendix A (p. A 21).

(2)b. The Timing of Reviews for Reappointment, Promotion and Tenure

i. Reappointment

Assistant Professors are normally hired for three years with the First Reappointment decision made in the spring semester of the second year of appointment. A positive reappointment decision entails an additional two-year contract.

Second Reappointment normally occurs in the spring semester of the fourth year of appointment. A positive reappointment decision entails an additional two-year contract.

ii. Tenure and Promotion to Associate Professor

The award of tenure entails promotion to Associate Professor for those below that rank. Tenure review occurs no later than the spring of the sixth year of appointment for faculty hired at the rank of Assistant Professor.

However, a faculty member with an exceptionally strong record may request that his or her case be reviewed before the completion of the full probationary period. If the department or special committee undertakes the review and comes to a positive decision, it then forwards the case to the Committee. Should the Committee decide not to grant tenure and promotion at this time, the candidate will be reconsidered for tenure and promotion at the scheduled time.

Leaves of absence for up to one year, taken for academic reasons, do not typically interrupt the

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a tenure decision.



probationary period. Under special circumstances, a candidate may request an interruption of the tenure schedule; such a request must be approved by the department chairperson and the Dean of the Faculty. Leaves for other reasons, such as sickness, may interrupt the tenure schedule.

iii. Promotion to Professor

While the College has no requirement for years in rank as Associate Professor before promotion to Professor, the Appointments and Promotions Committee evaluates candidates for Professor on the basis of their achievements and contributions in teaching, scholarship, and service since the awarding of tenure.

2(c) Criteria for Reappointment, Promotion, and Tenure

The enduring excellence of Trinity College rests on the high quality of its faculty's teaching and scholarly or creative work. The maintenance of a community congenial to these standards rests, in turn, on the willingness of its faculty to undertake responsibility for service.

Therefore, the criteria for reappointment, promotion, and tenure are teaching, scholarship<sup>3</sup> or creative work, and service, as defined below for each stage of evaluation. None of the criteria may be ignored, and significant achievement is required in both teaching and scholarship.

Throughout a candidate's career there should be evidence of:

the continuing development of teaching effectiveness in the classroom as well as in related areas of advising, supervision of student projects, and in curriculum and program development;

scholarly intentions and a program of research as well as evidence of engagement in productive scholarship, of steady progression in the quality of that scholarship, and of its recognition by a wider professional community;

contributions to the department or program, to the college or, where appropriate, to discharging the responsibilities of the College to the broader community in which it exists.

At each stage in the process of reappointment, promotion, and tenure, the department or special committee as well as the Appointments and Promotions Committee review a candidate's record with expectations appropriate to the rank. At the first two reappointments, but especially at the second of these, particular attention is given to a candidate's prospects

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<sup>3</sup> The word "scholarship" here and throughout is to be taken in the broadest sense to include not only such professional contributions as artistic works and productions, but also research and its dissemination in non-print media, and various forms of applied research.

for tenure, and the Committee shall indicate as clearly as possible those areas to which a candidate needs to address special attention before the next scheduled review.

i. First Reappointment

- (a) Teaching  
There should be clear indication of the development of teaching effectiveness.
- (b) Scholarship  
There should be evidence of promise and direction in scholarship.
- (c) Service  
There should be evidence of participation in the work of the department and/or program.

ii. Second Reappointment

- (a) Teaching  
Continued development of teaching effectiveness should be evident, reflected in course design and appropriate revision, along with involvement in advising and student-research supervision.
- (b) Scholarship  
Early promise in scholarship should now be coming to fruition; the candidate should be involved in continuing, focused scholarly activities in his or her field.
- (c) Service  
Service within the department and/or program should now be manifest and, where possible, service to the College should have begun.

iii. Promotion to Associate Professor with Tenure

- (a) Teaching  
The candidate should now have achieved full teaching effectiveness, demonstrated over a reasonably wide range of courses both within the department and/or program and, save in exceptional cases, through participation in one or another of the College's extradepartmental academic programs, as well as in advising and supervision of student research.
- (b) Scholarship  
The candidate's research should have progressed beyond the stage of promise and should have achieved its promise of fruition. Significant public demonstration of scholarship and a corresponding professional recognition should now be evident.



- (c) Service  
The candidate's contribution to campus life should be demonstrable, possibly including contributions to the larger community in which the College exists.

iv. Promotion to Professor

- (a) Teaching  
Already a fully effective teacher, the candidate should now have demonstrated leadership in curriculum and program development in the department, program, or College.
- (b) Scholarship  
The candidate should have achieved a record of mature scholarship.
- (c) Service  
The candidate should have made significant contributions to the life of the College and/or to the larger community in which the College exists.

2(d) Procedures for Review

The review process for First or Second Reappointment or for promotion to Associate Professor with Tenure is initiated by the Dean of the Faculty, who has the responsibility of determining well in advance of any mandatory deadlines those faculty members upon whose reappointment the Appointments and Promotions Committee must act within a given year.

The department chairperson or, where appropriate, the director of an interdisciplinary program, is responsible for determining when to initiate review for promotion of an Associate Professor to the rank of Professor and to that end periodically reviews Associate Professors. In anomalous circumstances, any tenured member of the faculty, including the potential candidate for promotion, may bring to the Dean of the Faculty a request that the review process be initiated.

Additionally, it is the responsibility of the Dean of the Faculty to confer with the chairperson of a faculty member's department or special committee, or with the director of an interdisciplinary program, in order to review the requirements as they pertain to the sequence of reappointments and the possible effects of a decision, particularly whether or not the reappointment will presume tenure or be terminal.

The review of each candidate then proceeds in sequence through the department or committee, the Appointments and Promotions Committee, the Joint Appointments and Promotions Committee, and the Board of Trustees or its Executive Committee.



## STATEMENT ON CONFIDENTIALITY

The Appointments and Promotions Committee respects the right to confidentiality. With the exception of the Departmental letter and the Chairperson's letter evaluating the teaching effectiveness of the candidate, the contents of letters of recommendation and evaluation from whatever source shall not be revealed to the candidate. Nor shall those contents be revealed to the members of the candidate's department or program or to any other person or persons, except those who have a need to know by virtue of their position. Letters from external evaluators, however, shall be available to tenured members of the candidate's department or program or to members of a special committee. Furthermore, it is understood that members of the staff and administration, who might by virtue of their jobs see the contents of these letters, will respect this confidentiality. Similar restrictions apply to the Committee discussions of candidates, with the exception of what is disclosed in an official letter from the Committee to the candidate or the candidate's chairperson. (Revised April 9, 1991)

### i. Departmental Recommendation

#### (a) Initiation of Action

In order to carry out the evaluation of a faculty member, the Department Chairperson<sup>4</sup> will call a meeting (or meetings) of the tenured members of the department to discuss the merits of any proposed recommendation and to vote upon it. Additionally, the Chairperson will consult with any tenured department members currently on leave and away from campus. Prior to the meeting at which the vote is taken, all tenured members of the Department shall have had access to all relevant material on the basis of which an informed judgment may be made.

#### (b) Letters of Recommendation

The Department Chairperson prepares a letter which reports faithfully to the Appointments and Promotions Committee the tenor of the departmental discussion concerning the candidate and the departmental vote and recommendation. This letter is signed by all members present at the meeting. Additionally, the Department Chairperson prepares a letter presenting evidence for the candidate's teaching effectiveness; this

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<sup>4</sup> In some instances it will be inappropriate for the Department Chairperson to oversee the review process; in such cases the role of the Department Chairperson will be assumed by some other faculty member, appointed by the Dean of the Faculty.

letter, too, is signed by the tenured members of the department. The candidate receives copies of both the departmental letter and the letter evaluating his or her teaching. All tenured members of the department, including the Chairperson, also submit individual letters of evaluation to the Department Chairperson or the Secretary of the Appointments and Promotions Committee; the contents of these letters are confidential and are not to be cited in the departmental letter.

If the candidate under review has an appointment to both a department and a program, the Program Director shall write a letter of recommendation addressing the candidate's teaching, scholarship, and service, and additionally shall solicit letters of evaluation from other appropriate tenured faculty members teaching in the program. That letter shall be submitted both to the Department Chairperson and to the Secretary of the Appointments and Promotions Committee.

The Department Chairperson receives copies of all letters evaluating the candidate.

*ii.* Procedures of Special Committees

The review of faculty members appointed to Non-Tenure-Track Chaired Professorships or Experimental Positions is conducted through Special Committees of faculty from cognate departments or programs appointed by the Dean of the Faculty in consultation with the faculty member. The Dean also appoints the chairpersons of the Special Committees. The Appointments and Promotions Committee settles any disputes in the selection of a Special Committee. Special Committees follow departmental procedures and report their recommendations to the Appointments and Promotions Committee.

*iii.* Appointments and Promotions Committee Procedures

STATEMENT ON CONFLICT OF INTEREST

Conflict of interest in appointments and promotions decisions consists of a fact or a relationship that could interfere with a Committee member's ability to evaluate a candidate solely on the basis of the merits of the case. If a member of the Appointments and Promotions Committee believes that a conflict of interest exists, it must be disclosed to the Committee so that it can determine whether a member will be excused from hearing the case. If a candidate believes that a conflict of interest exists, he or she shall present evidence for this

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to the Dean of the Faculty, who will take the matter to the Committee for a decision.

If a Committee member is excused from hearing a case, the Dean of the Faculty shall ask the Committee on Committees to appoint an appropriate replacement from among recent members of the Committee.

(a) Files

The Secretary of the Appointments and Promotions Committee is responsible for preparing copies of the candidate's file for the members of the Committee. The file includes a Curriculum Vitae, the candidate's statement, internal and external letters addressing teaching, research, and service, and the departmental recommendation. (A list of materials to be included in a candidate's file can be found in the current "Appointment and Promotions Committee's Membership, Calendar, and Checklist" issued annually by the Committee.) The candidate receives an inventory of the file. The Secretary also maintains a collection of the candidate's scholarly or creative work for review by the Committee. The Secretary of the Committee maintains an archive of the originals of the Appointments and Promotions files; the copies of the files are destroyed.

Deliberation by the Committee begins only after the receipt of the completed file. If the Committee finds a candidate's file deficient or flawed in any respect, it will return the file to the department for rectification.

(b) Deliberations

The Appointments and Promotions Committee, in closed session, deliberates on the qualifications of each candidate for reappointment, promotion, or tenure. However, should the Committee have questions about a candidate's qualifications, it may call the chairperson of the department or special committee, the director of a program with which the candidate is affiliated, or other appropriate members of the faculty to meet with it for discussion prior to taking a final action. Before denying a recommendation, the Committee will call in separately the chairperson of the department or special committee and the candidate. It is understood that a record is kept of any such interview. All persons present at the interview review that record which, in its final form, becomes part of the file, with a copy sent to the person interviewed.



(c) Recommendations of the Committee's Notifications of the Committee's recommendations on promotion to Professor are normally given in mid-December, and for both First and Second Reappointments and for promotion to Associate Professor, in mid-March.

(i) Positive Recommendations

If a recommendation is approved by a majority vote of the Appointments and Promotions Committee, the recommendation is presented for approval to the Joint Appointments and Promotions Committee and then to the Board of Trustees or its Executive Committee for approval. Trustee action is necessary for the confirmation of a recommendation.

(ii) Negative Recommendations

For tenure-track faculty members with previous letters of reappointment, a negative decision must be based on failure to meet the standards of improvement derived from expectations for rank and specified in the last letter of reappointment. In those actions for which prior letters are not required, the grounds for a negative recommendation must be failure to achieve the expectations outlined in the Faculty Manual. The Committee's notification of a negative recommendation must cite the reasons supporting it.

If a recommendation fails to win the approval of the Appointments and Promotions Committee, the decision of the Committee must be communicated in writing to the chairperson of the department or special committee, with a copy to the candidate. This letter and the information it contains is to be treated as confidential. The letter reporting a negative recommendation shall constitute formal notice of termination of contract.

Trinity follows AAUP guidelines in making notifications for non-renewal. Written notice that a probationary appointment is not to be renewed will be given to the faculty member in advance of the expiration of his/her appointment 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 the 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 in the institution."

In the event of a negative decision by the Appointments and Promotions Committee, a candidate may appeal to the Appointments and Promotions Appeals Board. The right to appeal is in no way obviated or abridged by the fact that formal notification of termination of contract has been deemed to have been given.

(iii) Non-Uniform Recommendations in the Case of Shared Appointments

If one of the partners in a shared appointment fails to be reappointed, the College may consider whether or not to reappoint the other to a full-time position. The shared appointment does not, however, guarantee such a full-time appointment for either partner.

If one of the partners in a shared appointment is not awarded tenure, the tenure of the other partner is nullified, unless the College agrees to appoint that partner to a full-time position with tenure.

(3) Appointments and Promotions in Physical Education

(3)a. Instructor

Appointment at the rank of Instructor shall be for one year, renewable in accordance with the contractual letter.

(3)b. Assistant Professor

Promotion to or appointment at the rank of Assistant Professor requires a master's degree; demonstrated professional competence, both in the conduct of physical education classes and the coaching of intercollegiate teams; scholarly work and professional activity (for example, attendance



and/or participation at sport clinics, membership in professional organizations, etc.).

Promotion to or appointment at the rank of Assistant Professor shall normally be for three years followed by two two-year appointments, unless the contractual letter specifies to the contrary.

(3)c.

Associate Professor

Promotion to or appointment at the rank of Associate Professor requires a master's degree; demonstrated competence as head coach of a varsity sport; demonstrated growth of competencies beyond the areas of his or her particular specialty; extension of his/her capability enabling him/her to make increasing contributions to the effectiveness of the department; outstanding performance as a teacher, both in the Physical Education program and as a varsity coach; and written support from members of the tenured faculty, both from within and outside of the Physical Education Department.

Those initially appointed at the rank of Associate Professor normally receive a three-year contract which, if renewed, confers tenure. Promotion to this rank also confers tenure.

(3)d.

Professor

Promotion to the rank of Professor from within the faculty at Trinity recognizes a sustained contribution to the academic programs of the College and an established and continuing professional competence.

Promotion to or appointment at this rank requires a master's degree including substantial graduate study and sustained, outstanding performance as a teacher in both Physical Education and athletics, supported by student evaluations and written statements by colleagues within and outside the Department.

In addition, distinguished accomplishments within the profession demonstrated by one or more of the following are required: election to office in national or regional professional organizations; receipt of honors or awards for professional achievement; publications of professional work; the assumption of major responsibilities within the Department (e.g. serving as director of Athletics or Head Coach of football or basketball; coaching three seasons of the year or serving as head coach in two; or assuming administrative responsibility for the program of courses in Physical Education).

Further, written evaluations of the candidate are required from tenured faculty and from nationally distinguished professionals in Physical Education.



Appointments at this rank from outside the Trinity faculty shall normally be for three years and require a decision on tenure no later than the spring of the second year of the appointment.

12.3 Reporting to the Faculty

The Appointments and Promotions Committee reports to the Faculty:

(1) Changes in Policy

The Committee first brings to the faculty for their vote proposals for such changes in policy as require approval by the Joint Appointment and Promotions Committee.

(2) Announcements of Reappointments, Promotions, and Awards of Tenure

The Committee announces reappointments, promotions, or awards of tenure as soon as is practicable after the decisions are officially made by the Board of Trustees.

(3) Meetings with Department and Committee Chairpersons and with Members of the Faculty

Each spring semester the Chair of the Appointments and Promotions Committee and the Dean of the Faculty meet with the Chairs and incoming Chairs of all Departments in which there are candidates eligible for recommendations the following academic year. In addition, the Committee schedules a meeting once each semester for all interested faculty members to discuss the policies and procedures of the Committee.

(4) Annual Issuing of "Membership, Calendar, and Checklist"

Each year by June 1 the Committee issues a document entitled "Appointments and Promotions Committee's Membership, Calendar, and Checklist for the Academic Year 19\_\_-19\_\_" This document lists the names of the Committee members for the year and provides information on the materials to be included in the files of candidates for reappointment, promotion, and tenure. At the time of issuance, the Committee will present to the faculty for their approval any substantive changes in the "Checklist."

(Passed April 13, 1976; Revised October 11, 1977; Revised May 5, 1987; Revised September 19, 1989)

13. THE APPOINTMENTS AND PROMOTIONS APPEALS BOARD

(1) Membership

The members of the Appointments and Promotions Appeals Board are three full professors, not concurrently serving as Ombudsman or on the Appointments and Promotions Committee or the Academic Freedom and Grievance Committee. Members are elected for staggered three-year terms.

(2) Responsibilities

The Appeals Board hears candidates' appeals from negative decisions made by the Appointments and Promotions Committee in matters of reappointment, promotion, and tenure. The grounds for appeal are serious procedural defect, fundamental unfairness, or violation of the College's policy with respect to non-discrimination and affirmative action. Information from other committees (e.g., The Academic Freedom and Grievance Committee, The Affirmative Action Committee) bearing upon the appellant's case shall be submitted to the Appeals Board.

The decision of the Appeals Board, and a summary of the evidence and arguments supporting that decision, shall be communicated in writing to the appellant and to the Appointments and Promotions Committee. If the Board concludes that there was a serious procedural defect, fundamental unfairness, or violation of the College's policy with respect to non-discrimination and affirmative action, it shall direct the Appointments and Promotions Committee to rehear the case, without prejudice, in a fashion that, in the opinion of the Appeals Board, meets the objections cited by the Appeals Board in its report. Finally, the Appointments and Promotions Committee shall rehear the case and make a judgment.

(3) Schedule for Appeals

The schedule for appeals is designed so that the appeals process will normally be completed within ninety days from the candidate's receipt of a letter reporting a negative decision. Partners who share an appointment may appeal decisions in the normal way subject to the following conditions: if neither partner is reappointed, each partner presents his/her case for reconsideration, separately; if one partner is not reappointed, that partner presents his/her case, independently.

(3)a. Notification of the Decision to Appeal

In the event of a negative decision by the Appointments and Promotion Committee, an appellant will have ten days subsequent to the receipt of written notification of this decision to submit an intention of appeal to the Appeals Board.

(3)b. Submission of an Appeal

The appellant will have thirty days from the date of receipt of written notification from the Appointments and Promotion Committee to submit a completed appeal; information from any other committee bearing upon the case must also be submitted within these thirty days. At the request of the appellant or of a relevant



committee, the Appeals Board may extend this deadline, but ordinarily for no longer than ten days.

(3)c. Decision of the Appeals Board

The Appeals Board will make every effort to render its decision within thirty days of submission of the completed appeal.

(3)d. Rehearing by the Appointments and Promotion Committee

If the Appeals Board returns a case to the Appointments and Promotions Committee, that case will be reconsidered by the Committee as constituted when it was originally heard. The Committee will make every effort to render its final decision within thirty days after being directed to rehear the case by the Appeals Board.

(3)e. Extended Membership on the Appointments and Promotions Committee

In the event that an appeal extends beyond the ninety day period and is then returned to the Appointments and Promotions Committee, the term of the outgoing member of the Committee will be extended beyond August 15 for the purpose of hearing that appeal.

(Passed April 13, 1976; Revised October 11, 1977; Revised May 5, 1987; Revised September 19, 1989)



14. COLLEGE AFFAIRS COMMITTEE

14.1 Membership, Election, Tenure

- (1) Four elected Faculty members (2 junior and 2 senior) for a two-year period.
- (2) Four students to be selected by SGA procedures.
- (3) One representative of the Dean of Students office to function as a resource person.

(Passed January 16, 1970)

14.2 Jurisdiction, Obligations, Procedures

- (1) It shall be the responsibility of this committee to review on community interactions, security, Faculty advisement to student organizations, general Faculty career/academic advisement procedures, dormitory life, food services, counseling services, student use of study facilities, and any administrative recommendations for personnel or other changes which may potentially affect students.
- (2) Issues of major concern from among those annually reviewed will be determined by consultation with the student government, other student groups, Faculty, administration and the college news media. It shall be the responsibility of this committee to act as a task force to study top priority issues and to prepare evaluations and recommendations for the appropriate offices or persons at the completion of each study.

15. COMMITTEE ON COMMITTEES

- (1) The Committee on Committees should be an elected body of five Faculty members, charged with conducting elections for Faculty Offices and committees, with maintaining the efficiency of the committee structure, and with ensuring that committee service obligations are widely distributed across the Faculty. In discharging the latter two responsibilities the Committee on Committees should consult regularly with the Faculty Secretary and the Faculty Conference. It should also be the responsibility of this committee to review the Faculty committee structure annually with a view to proposing the dissolution of inactive bodies and the elimination of duplication of functions. (Passed March 17, 1987)

15.1 Membership, Election, and Tenure

- (1) The Committee of five shall consist of: five Faculty members elected for three year terms, rotated. (Passed March 17, 1987)

15.2 Jurisdiction, Obligations, and Tenure

- (1) It shall be the responsibility of this Committee to: submit nominations for membership on the various elected committees (with the exception of the Joint Educational Policy Committee and the Joint Committee on Appointments and Promotions); conduct elections for all Committees, the Conference, the Faculty Secretary and the Ombudsman. Elections to committees will be conducted in April. In case of resignations, the Committee on Committees shall have the power to appoint a replacement who will hold membership on the Committee until the next election. (Passed January 16, 1970)
- (2) A parliamentarian shall be appointed annually by the Committee on Committees. (See the section on Faculty Meeting Rules.)
- (3) All Faculty members have an obligation to serve on Faculty committees. Faculty committees should generally reflect academic areas and Faculty structure. The Committee on Committees shall have the responsibility of not only soliciting nominations from individuals, but also seeking out nominees to assure appropriately balanced slates. (Passed November 9, 1971)
- (4) At the end of each term the chairs of Faculty committees shall report to the Committee on Committees the names of members of their committees who have failed to attend more than half of all meetings during the term. Such members shall be dropped from their committees. The Committee on Committees shall, in consultation with committee chairs, appoint replacements for dropped committee members. (Passed March 17, 1987) (See Guidelines for Committee Service)
- (5) The Committee on Committees shall explore the desirability and feasibility of various coordinating functions for the committee system as a whole. It should consider means of assisting the Secretary of the Faculty pursuant to his/her duties of recording all committee activities (both normal and



extraordinary projects) and of preparing and publishing the decisions and policies of the Faculty. It should likewise consider the need for inter-committee cooperation and communication. (Passed January 16, 1970; Revised November 9, 1971)

16. COMMITTEE ON INSTITUTIONAL ADVANCEMENT

16.1 Membership, Election, and Tenure

- (1) The Committee shall consist of: one member appointed from the Educational Policy Committee; one member appointed from the Curriculum Committee; one member appointed from the Financial Affairs Committee; the Secretary of the Faculty or a member of the Faculty Conference; and three members of the Faculty elected at large for 3 year terms, staggered. (Passed May 8, 1984; Revised May 5, 1992)
- (2) Members from the three standing committees would be appointed annually; reappointments allowable. Secretary of the Faculty or member of the Faculty Conference appointed annually by the Faculty Conference. At-large members for two-year terms with two consecutive terms allowed. (Passed May 8, 1984)

16.2 Jurisdiction, Obligations, and Procedures

- (1) To advise the Development Office, to follow the activities of the Development Office, and to render assistance and advice to the Director of Development when requested to do so. The Development Committee will also serve as a means for conveying to the Development Office Faculty interests, concerns and suggestions. The Committee will report regularly to the Faculty as a standing committee of the Faculty. (Passed May 8, 1984)
- (2) The Development Committee shall advise and assist the President and the Development Office on matters pertaining to the acquisition of external funding for unaffiliated FTE. (Passed March 17, 1987)



17. CURRICULUM COMMITTEE

17.1 Membership, Election, and Tenure

- (1) Membership of this committee shall consist of: 7 elected Faculty members, at least one each from the arts, humanities, natural sciences and social sciences for three year terms, staggered; the Dean of the Faculty; the Associate Academic Dean; three undergraduate students.

(Passed January 16, 1970; Revised November 17, 1981)

17.2 Jurisdiction, Obligations, and Procedures

- (1) It shall be the responsibility of this Committee to oversee the operation of the undergraduate curriculum; evaluate any changes that may be made; receive, explore and propose changes and innovations; screen new course offerings; and encourage discussion of the process of education at Trinity College. (Revised November 17, 1981)

- (2) The Faculty, acting on the basis of a recommendation by the Ad Hoc Committee on Curriculum Review, mandated to the Curriculum Committee the responsibility for conducting regular and systematic review of all academic departments and programs. (Passed May 12, 1981)

- (3) One member of this committee shall be appointed to act as an advisor to the Public Information Office on curriculum changes in the various catalogues. (Passed January 16, 1970)

(4) Procedures

- (4)a. Whenever a department or program proposes to introduce a new course, to alter the description or number of an existing course, or to revise the requirements of its major, the department chair or program director shall submit a written request for approval to the Curriculum Committee through its secretary, providing a suitable explanation of the proposed change.

- (4)b. Proposals for new courses and for the revision of course descriptions or numbers shall be referred for action to a subcommittee consisting of the Committee chair, the secretary, and one other faculty member. Proposals that the subcommittee deems problematic are forwarded to the Committee as a whole for a decision. All subcommittee actions shall be reported to the Committee.

- (4)c. Proposed changes in major requirements shall be decided by the Committee as a whole. The Committee may invite the department chair or program director proposing the changes to attend the meeting at which they are considered.

- (4)d. Ordinarily, proposed changes in a department or program's course offerings or major requirements shall be submitted to the Committee no later than the first day of the spring semester preceding the academic year in which the changes are to be implemented. Proposals for changes within an academic year (e.g., a fall-term request to approve a course for the following spring term) shall be submitted to the Committee as far in advance of the time of implementation as possible. During the summer months, the Committee delegates to its chair and secretary authority to approve new and revised courses for the forthcoming fall semester.
- (4)e. When a department or program plans to drop a course from its offerings, its chair or director shall provide prior written notification to the Committee.
- (4)f. In its annual written report to the Faculty, the Committee shall list all new and revised courses and all changes in major requirements that it has approved during the year, as well as all courses that have been dropped.
- (4)g. College Courses
- i. The first time a College Course is offered, the Committee's approval need not be sought, provided that the instructor is a full-time member of the Faculty on continuing appointment. However, a description of the course shall be sent to the Committee no later than mid-term of the semester prior to that in which the course will be offered.
  - ii. If such College Course is to be offered a second time, it shall be submitted to the Committee for approval, as with a regular course. Once approved, the course may be given repeatedly thereafter.
  - iii. If anyone other than a full-time faculty member on continuing appointment wishes to offer a College Course, the course may not be offered until the Committee has approved it.
- (4)h. Student Taught Courses.
- i. Student-taught courses may be offered for academic credit only if approved by the Committee.
  - ii. In preparing a proposal for submission to the Committee, the student shall follow the procedures specified in the current issue of the student Handbook.



- (4) i. Individually Tailored, Interdisciplinary Majors
- i. Students proposing to undertake individually tailored, interdisciplinary majors shall follow the procedures on such majors specified in the current issue of the student Handbook.
  - ii. A student taking an individually tailored, interdisciplinary major shall be exempt from the Integration of Knowledge requirement if the major embodies a total of at least 12 courses drawn from a minimum of three fields and if the Committee concludes, at the time it approves the student's proposal, that the components of the major are sufficiently well integrated.
- (5) Internships: The Committee shall oversee the program of internships, establishing guidelines to regulate exploratory and integrated internships. The Internship Coordinator shall review all internship applications and contracts on behalf of the Committee to ensure that they conform to the guidelines. From time to time, the Coordinator shall report to the Committee on the functioning of the internship program, keeping the Committee apprised of any problems that may have been encountered.
- (6) Academic Calendar: Each fall, the Committee shall review the proposed calendar for the next academic year, following guidelines established by the Faculty.
- (7) Transfer Credit: The Committee shall develop policies on the award or credit for courses taken elsewhere and hear appeals from undergraduates who have been denied credit for work done at other institutions.

(Revised November 14, 1989)



18. EDUCATIONAL POLICY COMMITTEE

18.1 Membership, Election, and Tenure

- (1) Membership of this committee shall consist of: the President and Dean of the Faculty; six members of the Faculty who must have been at Trinity for at least three years. The Faculty members are to be elected by ballot and will serve three year, staggered terms. No member may serve a consecutive term nor currently serve on the Committee on Appointments and Promotions. There will be at least one Faculty representative and no more than three from the natural sciences, from the social sciences and from humanities/arts. The Committee will have no more than one member from any one department.
- (2) The members of the Committee are also those nominated by the faculty to serve on the Joint Educational Policy Committee.

18.2 Jurisdiction, Obligations, and Procedures

- (1) It shall be the responsibility of this Committee to consider questions of educational policy and to recommend allocation of Faculty positions to the President for approval by the Board of Trustees. In making its deliberations, the Committee is attentive to (1) the strength and integrity of college majors, (2) the obligation of Departments and Programs beyond the major, (3) the need for curricular experimentation and innovation, and (4) student choices and their effect on teaching responsibilities.
- (2) Responsibility for defining the role of unaffiliated FTE in the Faculty and curriculum rests with the Educational Policy Committee, acting in consultation with the Curriculum Committee.
- (3) Apart from matters of staffing allocations, all proposals brought by this Faculty committee for a vote before its joint committee must have been approved by Faculty vote.
- (4) The Committee reports to the Faculty its decisions regarding the allocation of existing faculty positions, as well as providing an annual report on its other deliberations.
- (5) Allocation of Faculty Positions - Guidelines
  - (5)a. Faculty positions recommended by the Educational Policy Committee should typically be assigned to one or more academic departments. In the case of Faculty whose academic disciplines and duties lie outside currently existing departments, tenure, when granted, will be deemed as being to the College, subject to the prior agreement of the President, the Educational Policy Committee and the individual in question and to subsequent approval by the Board of Trustees.
  - (5)b. As a general policy new full-time Faculty positions will be designated by the EPC as tenure-track positions. The creation of positions that deviate from this policy must fit within a few limited exceptions, as outlined below.



- i. Positions where there is a demonstrated necessity for the rotation of special tasks or skills within a department or the College.
- ii. Positions which the EPC designates as experimental.
- iii. Short-term, adjunct, or visiting positions.
- iv. Replacements for leaves and sabbaticals.
- v. Positions where, after the College policy on the presumption of tenure has been made known to all parties, it is unavoidable that an externally funded position or chair be designated as non-tenure-track.

18.3 Changes in the Faculty Size and the Status of Departments and Programs

(1) The Educational Policy Committee has the responsibility of making recommendations to the Faculty for changes in the total Faculty size and for the creation, elimination, or reorganization of departments and programs. If approved by the Faculty, such recommendations shall be forwarded to the President for approval by the Board of Trustees. Deliberations in each of these areas will be governed by the following rules, which incorporate Faculty resolutions passed on May 9, 1974, October 8, 1974, and December 11, 1979:

- (1)a. Decisions concerning the size of the Faculty and the disciplines to be represented therein are judgments having unusually important consequences for the College. Therefore, any formal inquiry to be undertaken by the EPC into these issues must first be approved by the Faculty.
- (1)b. If such an inquiry might lead to the discontinuation or reorganization of a department or program, the department's chairman or the program's director shall be given reasonable opportunity before Faculty approval is sought to present to the committee a statement in behalf of the department or program, which statement may argue the case against the undertaking of any formal inquiry.
- (1)c. If Faculty approval is granted for a formal inquiry, the chairman or director involved shall be given reasonable opportunity to participate in all phases of the inquiry.
- (1)d. While the Faculty delegates to the Educational Policy Committee the responsibility for routine adjustments in the staffing of individual departments or programs, any recommendation for overall changes in the size of the Faculty, or for (other) substantial changes in the educational policy of the College, must be approved by the Faculty.

Passed January 16, 1970; Revised March 7, 1978; Revised December 13, 1983; Revised March 17, 1987; Revised December 9, 1987; Revised May 3, 1988.

19. FACULTY RESEARCH COMMITTEE

19.1 Membership, Election, Tenure

- (1) The committee shall consist of six elected members subject to the following qualifications: there shall be at least one member from each of the following disciplinary groups: Natural Sciences and Mathematics, Social Sciences, Humanities, Arts, and no more than one from any department. (Revised March 12, 1991)
- (2) The term of office shall be two years. Faculty members who will be on a sabbatical or other leave during that period shall not be eligible for membership. (Passed March 12, 1991)
- (3) The committee shall elect its own chairperson each year.
- (4) The Dean of the Faculty shall be a member with the responsibility for providing liaison with the administration and maintaining the committee files.
- (5) No member of the Faculty Research Committee shall be eligible to submit a grant proposal during the two year period in which that member has been elected to serve on the committee. (Passed March 12, 1991)

19.2 Jurisdiction, Obligations, Procedures

- (1) The committee's primary responsibility is encouraging Faculty research. These duties will include:
  - (1)a. making decisions concerning the distribution of funds allocated for summer research and supplemental leaves;
  - (1)b. evaluating proposals for external funding where there are more applicants than the College may nominate;
  - (1)c. requesting College funds for other scholarly activities that it deems important to Faculty research;
  - (1)d. administering the Faculty Research Lecture series.
- (2) The committee shall advise the President and Dean of the Faculty on policies with respect to the distribution of external grant funds designated for the support of Faculty research. The President or Dean shall report on the distribution of these funds to the FRC.
- (3) The committee shall report regularly to the Faculty in the following ways:
  - (3)a. calling each year for the submission of Faculty applications for the grant programs it administers;



- (3)b. informing the Faculty at the appropriate times during the year of funded research proposals;
- (3)c. informing the Faculty at the appropriate times during the year of the budget.

(Passed April 11, 1978; Revised March 17, 1987; Revised February 9, 1988)

20. FINANCIAL AFFAIRS COMMITTEE

20.1 Membership, Election, Tenure

- (1) Membership of the Committee shall consist of: five elected Faculty members; the President; the Dean of the Faculty; the Vice President for Finance and Treasurer; the Librarian (non-voting); the Director of Athletic Affairs (non-voting); two students.

(Passed February 3, 1970; Revised March 17, 1987)

- (2) Faculty members on the Financial Affairs Committee will serve for a term of four years with one or two members elected each year. (Passed April 10, 1984)

20.2 Jurisdiction, Obligations, Procedures

- (1) It shall be the responsibility of this Committee to: receive and review analyses of past budgetary experience; receive and review current budget reports that may be prepared for both short- and long-range projections; to review and advise on decisions involving administrative structure; and to review and advise on decisions regarding administrative personnel; present the Faculty views relative to budgetary procedures and expenditures to the Board of Trustees, and to review, with the Administration, the development of Faculty salary schedules and fringe benefits. (Passed February 3, 1970; Revised March 17, 1987)
- (2) The Financial Affairs Committee shall invite the Finance Committee of the Board of Trustees or its Chairperson to confer on budgetary matters early in the Fall before the preliminary budget for the College is presented to the Finance Committee. The Financial Affairs Committee shall report the results of this conference at the next stated meeting of the Faculty. (Passed March 17, 1987)
- (3) Faculty representatives to the Financial Affairs Committee shall make an annual assessment of the state of Faculty compensation at Trinity College. This information may be gathered with any help deemed necessary by the Faculty representatives. On the basis of the results of this assessment, the Faculty members should prepare a formal proposal for the Faculty salary component of the budget for inclusion in the initial budgeting considerations of the Committee. (Passed December 9, 1980)
- (4) The Financial Affairs Committee shall report in February to the Faculty the Administration's proposal for the percentage change in salary of continuing Faculty in next year's budget. (Passed May 11, 1982)
- (5) It shall also be the responsibility of this Committee to serve as an advisory body for the Library, the Athletic Department, and the Director of Financial Aid. (Passed February 3, 1970)



- (6) The Committee's works should involve it in a joint effort with the Trustees and Administration. Final responsibility for financial affairs of the College, however, rests with the Board of Trustees. (Passed February 3, 1970)
- (7) The Committee will report regularly to the Faculty. (Passed February 3, 1970)

## 21. GENERAL EDUCATION COUNCIL

- (1) The General Education Council is the Faculty body responsible for overseeing the non-major requirements and for fostering the development of the non-major program of study.

### 21.1 Membership, Election, Tenure

- (1) The Council's membership consists of: (1) one Faculty member from each of the four curricular divisions: arts, humanities, sciences (including engineering and mathematics), and social sciences; (2) two "at large" Faculty members; (3) the Dean of the Faculty and the Associate Academic Dean; and (4) two undergraduate students. The Council will have no more than one faculty member from each department. (Passed April 9, 1991)
- (2) The Faculty members of the Council serve staggered three-year terms and are eligible to succeed themselves.

### 21.2 Jurisdiction, Obligations, Procedures

- (1) The General Education Council's responsibilities include:
  - (a) To review and approve proposals for interdisciplinary minors, as well as substantive changes in established interdisciplinary minors.
  - (b) To encourage the development of interdisciplinary minors and, as necessary, the creation of new courses for inclusion in the minors. (N.B. Authority to approve new courses and the revision of existing courses rests exclusively with the Curriculum Committee; that Committee must approve any new or revised course before the Council authorizes it as part of an interdisciplinary minor.)
  - (c) To resolve, with respect to the integration of knowledge requirement, any ambiguities about the field to which multiply-listed courses belong; and when a College Course or Freshman Seminar is included as part of an interdisciplinary minor, to determine its field, taking into account such factors as the subject matter of the course and the instructor's area of expertise.
  - (d) To review Faculty requests for course- and program-development funds in the non-major area and to advise the Dean of the Faculty about the allocation of such funds.
  - (e) To assist the Office of the Dean in securing the necessary support for and contributions to the non-major program from the academic departments and programs, and to consult, as necessary, with individual chairpersons and program directors, or with groups of them, about issues of mutual concern.
  - (f) To monitor the implementation and development of the various components of the non-major curriculum for the purpose of identifying problems or special needs,



recommending modifications, and taking other initiatives that the Council believes will maximize the educational effectiveness of the non-major requirements.

- (g) To study policy questions affecting the non-major curriculum that are identified by the Council or by others, and either to resolve them or, as necessary, to refer them to the pertinent standing committee(s) or to the Faculty.
  - (h) To develop, when needed, additional guidelines on the various non-major requirements and to distribute them, as appropriate, to Faculty advisers, the Faculty as a whole and students.
  - (i) To serve as an advisory body to the Office of the Dean with respect to the Freshman Seminar program.
  - (j) To determine, in conjunction with the Curriculum Committee, how the non-major requirements are to be applied to in-coming transfer students; and in consultation with the Director of the Individualized Degree Program and the appropriate IDP committee, how they are to be applied to IDP students.
  - (k) To develop guidelines for individually tailored interdisciplinary minors and to consider student proposals for such minors. (N.B. The Curriculum Committee is responsible for evaluating all individually tailored interdisciplinary majors.)
  - (l) To hear appeals from students regarding the non-major requirements. (N.B. The Council's authority to act on student appeals does not extend to the waiving of any non-major requirement; while the Council may, at its discretion, hear appeals for waivers and make recommendations to the Faculty, only the Faculty has the authority to grant a waiver.)
  - (m) To oversee the preparation of catalogue statements and other published materials on the non-major requirements.
- (2) The Council may also undertake, from time to time, such comprehensive study of the non-major program as it thinks advisable; and it may recommend substantive changes in the non-major requirements to the Curriculum Committee and, through the Committee, to the Faculty.
- (3) In the interests of an harmonious working relationship between itself and the Curriculum Committee, the Council shall send a copy of all minutes of its meetings to the chairperson of the Committee; and at the conclusion of each academic year it shall furnish the Committee with a written report summarizing its main activities for the year. All minutes and the year-end report shall also be sent to the Educational Policy Committee. The Associate Academic Dean shall provide additional liaison with the Curriculum Committee, as the Dean of the Faculty shall with the EPC.

(Passed March 11, 1986)

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## 22. Information Technology in Education Committee

### 22.1 Membership, Election, Tenure

- (1) Membership of ITEC shall consist of five elected Faculty members; the Dean of the Faculty, the Librarian; the Director of Information Technology (non-voting); two students.
- (2) Faculty membership of ITEC consists of: one Faculty member from the Arts and Humanities division; one Faculty member from the Social Science division; one Faculty member from the Science division; and two at-large faculty members.
- (3) Faculty members of ITEC will serve for a term of 3 years with one or two members elected each year.

### 22.2 Jurisdiction, Obligations, Procedures

- (1) It shall be the responsibility of ITEC to advise the Director of Information Technology. This committee shall receive and review analyses of the status of information technology. The committee's purview includes, but is not limited to: user services; budget; Academic Computing staffing; short and long-term plans for computing and communications; the Academic Computing Summer Grants program. At appropriate intervals the committee shall request reports from the Director of Information Technology.
- (2) It shall be the responsibility of ITEC to ensure that the faculty is informed in a timely manner of pending changes in information technology at the College.
- (3) The committee shall receive and review complaints regarding information technology, and take appropriate actions.
- (4) The committee will engage outside consultants when needed.

(Passed February 15, 1994.)



23. THE JURY PANEL

- (1) The Faculty Jury Panel has been established to staff the Faculty portion of the nine-member Board of Inquiry Panel consisting of three tenured Faculty, three administrators, and three students.

23.1 Membership, Election, Tenure

- (1) To be eligible for election, Faculty members must be tenured.

23.2 Jurisdiction, Obligations, Procedures

- (1) The Boards of Inquiry, consisting of one member from each of the above, consider complaints arising under College Regulations. See the Trinity College Handbook under headings College Regulations, Administrative Procedures in Matters of Discipline and Dispute, and Complaints Against Faculty and Administration.

(Passed December 12, 1972)

## 24. THE SELECTION, FUNCTION, AND EVALUATION OF DEPARTMENT CHAIRS

- (1) At Trinity College department chairs are the advocates of the department. They implement department policy and represent department views regarding institutional policies. In this document we address the activities of department chairs and discuss their selection, function, and evaluation.

### 24.1 Selection of Department Chairs

- (1) The Dean of the Faculty appoints department chairs. These appointments are made after consultation with all department members. Each department shall have the opportunity to recommend its choice to the Dean. Chairs must be tenured members of the Trinity faculty. Department chairs shall normally be appointed to three-year terms, and shall usually serve no more than two terms in succession. (Passed March 17, 1987; Revised February 12, 1991)

### 24.2 Functions of Department Chairs

- (1) Coordination of the activities of the department. The chair, in continual consultation with the department, is responsible for coordinating the activities of the department, including the development and revision of policies and other decision-making of the department.
- (2) Guidance and evaluation of Faculty. Major responsibilities of the chairs are the guidance and evaluation of tenured and untenured faculty. They prepare materials for salary discussions and decisions and serve as advocates for department members in obtaining institutional support for teaching and research. They serve as advisors to new faculty regarding college policies on promotion and tenure and, in accordance with the guidelines laid down by the Appointments and Promotions Committee, prepare material for promotion and tenure reviews.
- (3) Curriculum. Chairs are responsible for coordinating the department's curriculum, for acting on department and collegial curricular decisions, and for overseeing individual teaching and scheduling assignments.
- (4) Administration. Chairs represent department policies and serve as liaison to the offices of the Deans and other administrative offices, and to such committees as the Educational Policy Committee, Appointments and Promotions, the General Education Council, and the Curriculum Committee. They also supervise the work of administrative and technical assistants and secretarial staff.



- (5) Finance. In consultation with the department, chairs prepare the department budget request, and they oversee the expenditure of funds allocated to the department.
- (6) Planning. Chairs coordinate the department's development of short and long range plans. They recommend sabbatical leaves and leaves of absence, and prepare department requests to the Educational Policy Committee for new positions or the reallocation of vacated ones.
- (7) Faculty recruitment. Chairs coordinate and oversee the department's recruitment of faculty for available positions and serve as liaison between the department and the Dean of the Faculty during recruitment proceedings.
- (8) Advising. Although all faculty are expected to serve as advisors, chairs serve as the primary source of information about the major. In accordance with department policy chairs assign major advisors. Upon good cause and, if possible, in consultation with the student's advisor or other appropriate department members, the chair may, in keeping with department policy, modify the way in which an individual student meets major requirements.

#### 24.3 Evaluation

- (1) Each department chair shall be evaluated biennially, beginning in the first year of appointment. All members of each department shall be invited by the Dean of the Faculty to send a written evaluation. The Dean shall communicate a summary of the department evaluation to the chair. The chair shall have the right to respond formally to this summary.

#### 24.4 Activities of Department Chairs as a Group

- (1) In addition to individual responsibilities, chairs may assemble for such activities as the following:
  - (1)a. Meeting with the Dean. The chairs meet regularly with the Dean. Each year they elect a secretary who assists the Dean in establishing the agenda for these meetings.
  - (1)b. Acting as advisors to other campus groups. The chairs may serve in an advisory capacity to such committees as Appointments and Promotions, Educational Policy, Financial Affairs, Curriculum, and the General Education Council.
  - (1)c. Caucus. The chairs assume the right to convene to

deliberate issues of concern to any chair. The secretary serves as the convener and assembles the group at a chair's request.

(Passed February 12, 1991)



25. CONFIDENTIALITY OF FACULTY RECORDS

Official information about present or former members of the Faculty is maintained by the Dean of the Faculty. Such information is considered to be confidential. Confidential evaluations and private information should not be released in their original form under any circumstances. All requests for information about a present or former Faculty member addressed to members of the College Faculty or administration or student body should be referred to the Dean of the Faculty, except when the person receiving the request has been requested to release information about a Faculty member by the member himself/herself.

Persons answering requests for information about members of the Faculty should follow the same principles which pertain to the confidentiality of student records.

(See the Trinity College Handbook for a complete statement of College policy on the confidentiality of student records.) A further statement was adopted by the Faculty at its meeting on May 9, 1972:

Under no circumstances, except where authorized by the parties involved, will confidential and personal information concerning Faculty records, employment status, departmental, committee or administrative recommendations, be made public. Where release of such confidential or personal information will constitute a breach of academic freedom it shall not be released even if consented to by the parties involved.

Since January 1, 1981, the accessibility of personnel files to employees has been governed by Connecticut Public Act No. 80-158. In a letter of 11/24/82 to the Faculty, President English indicated the following:

In general, [Public Act 80-158] says that employees are entitled to see their files on reasonable request. As "files" are defined, they include performance evaluations by supervisors, but not letters of recommendation by third parties. Within the context of our appointments and promotions procedures, it seems clear that candidates are now entitled to see the letters written to the Appointments and Promotions Committee by their department chairs, but not letters from external referees.

It is not entirely clear whether, under the statute, letters from students and Faculty colleagues within the College are also accessible. Outside counsel has informed us that it would be reasonable to treat these internal letters as confidential, and we shall continue to do so. The Faculty should be aware, however, that this is a relatively new and somewhat ambiguous statute, and a court may someday interpret it otherwise.

26. FACULTY ORGANIZATIONS

AMERICAN ASSOCIATION OF UNIVERSITY PROFESSORS

For more than sixty years, the American Association of University Professors has acted as the authoritative voice of the academic profession in the area of standards for responsible practices by the academic community. The core of the AAUP standards is found in its 1940 Statement of Principles on Academic Freedom and Tenure. The procedures for carrying out these principles have been clearly elaborated in a series of policy statements and reports. The 1940 Statement of Principles on Academic Freedom and Tenure has been adopted by Trinity College as its own position. A complete text of the statement is available from the Trinity chapter officers.

The local chapter of the AAUP has two officers, the President and the Secretary-Treasurer, who are elected annually at an open chapter meeting. Faculty can join the national AAUP and/or contribute to the expenses of the local chapter. Membership forms for the national organization are available from chapter officers. Support for the Trinity College Chapter is made by two payroll deductions of four dollars twice a year; forms are available from chapter officers.

There are two standing committees of the local chapter; new Faculty involvement is welcomed. The Economic Status Committee issues a report each fall that examines trends in Faculty salary and compensation. A chapter meeting is held to consider the report and the sense of the meeting is communicated to Faculty members of the Financial Affairs Committee (see description of Financial Affairs Committee responsibilities).

There is also a Grievance Committee which acts upon violations of the 1940 Principles on Academic Freedom and Tenure. The functions of the Committee are:

- (1) to provide moral support to aggrieved Faculty,
- (2) to act as a liaison to state and national levels of AAUP,
- (3) to advise the Faculty member on possible courses of internal action, and
- (4) to consider with the Faculty member what role the AAUP might play in their dispute.

Persons with grievances are encouraged to bring them to the attention of the Committee.



27. THE TENURE OF PROGRAM DIRECTORS

Program directors shall normally be appointed to three-year terms and serve no more than two terms in succession.

(Passed March 17, 1987)

## APPENDIX A. CONDITIONS AND TERMS OF EMPLOYMENT

### A.1 TEACHING

Since Faculty are expected to devote their full time to the College, they may undertake no regular outside employment without permission of the Dean of the Faculty. (Passed April 30, 1974)

During each semester, beginning in the Spring Term of 1975, there shall be a student evaluation of each course offered. The form of the questionnaire is left to the discretion of each department. The results from the student evaluation of each course shall be forwarded to the individual and the chair of the department. (Passed November 12, 1974)

#### Teaching Load

The regular teaching load for all full time Faculty members consists of 10 courses every two years, i.e., four regular academic terms in succession. The starting date for all the biennia in a department shall be uniform, and shall be September 1 of the academic year in which the department begins the adjustment. New Faculty will begin the biennium on September 1 of the academic year in which they are hired. Normally, the phasing of a biennium with the calendar will not change. No more than three courses may be taught each term; exceptions may occur only when unusual circumstances, e.g., unanticipated enrollments necessitate the formation of extra sections or laboratories; such exceptions are to be determined by the department chair or program director in consultation with the Dean of the Faculty and the Faculty member concerned. Such consultation and determination of exceptions shall take place within the context of guidelines established by the Faculty of the department concerned. In these cases, the best interests of the department and the College must be taken into account.

The following rules define the standard course:

#### I. Classes without laboratories:

- A. All classes regularly scheduled for 150 minutes/week for the entire semester count as 1.0 course. Some classes meet for longer class times because of the nature of the work, e.g., [Math. 100], many dance classes or choir [Music 103, 104]; each such class will also count as 1.0 course.
- B. Classes regularly scheduled for 75 minutes/week for the entire semester count as 0.5 course.
- C. Classes regularly scheduled for 150 minutes/week for half the semester calendar count as 0.5 course.
- D. Classes regularly scheduled for 300 minutes/week for the entire semester, when the additional meeting time is due to intensive work such as completing a year's work in a single semester, e.g., double-credit language classes, count as 2.0 courses.
- E. Directing a major production in the performing arts, e.g., Theatre and Dance or Music, counts as 1.0 course.



- F. Classes in Studio Arts regularly scheduled for 190 minutes/week for the entire semester calendar count as 0.75 course.
  - G. Physical Education classes scheduled for about 100 minutes/week for half a semester count as 0.25 course; in addition, acting as head coach for an entire season for one intercollegiate team, when such duties include recruiting, supervising daily practice and games, scouting and athletic counselling, counts as 1.5 courses; acting as assistant coach for an entire season for one intercollegiate team counts as 0.75 course.
- II. Classes with laboratories or practica. When laboratories or practica are attached to a lecture section and bear the same number as that section followed by "L," then:
- A. All lectures scheduled for 150 minutes/week for the entire semester count as 1.0 course.
  - B. Laboratories count as 1.0 course if
    1. the single laboratory section enrolls all of the students from the lecture required or electing to be enrolled in the laboratory, or
    2. there is more than one laboratory attached to a single lecture, and the number of students enrolled in each laboratory is 24 or greater.
  - C. Otherwise each laboratory counts as 0.5 course, except that in consideration of safety or important pedagogical values, the department chair and/or program director, in consultation with the Dean of the Faculty and the individual Faculty member, may decide to allow laboratory sections to count as 1.0 course each. Such consultation and determination of equivalencies shall take place within the context of guidelines established by the Faculty of the department concerned. In these cases, the best interests of the department and the college must be taken into account.
  - D. Each practicum [e.g., Engin. 115] counts as 0.25 course.
- III. The administrative duties of department chairs, program directors, and the Secretary of the Faculty normally count as the equivalent of 1.0 course each semester.
- IV. In any biennium in which a Faculty member takes a one semester sabbatical or leave of absence, the Faculty member will teach the equivalent of at least seven courses in the remainder of the biennium; in any biennium in which a Faculty member takes two terms off (sabbatical and/or leave of absence), the Faculty member will teach the equivalent of at least five courses in the remainder of the biennium.
- V. Teaching done on an optional, individual basis, and not regularly schedule, e.g., independent studies, senior thesis, honors thesis, internships, will not normally count as part of the 10 courses/two years.

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VI. In the event that special considerations lead to requests for an exception to the preceding rules for calculating a Faculty member's teaching load, it is the responsibility of the department chair or program director in consultation with the Dean of the Faculty and the Faculty member concerned to decide whether or not an exception will be permitted and to determine equivalencies between teaching assignments and courses. Such consultation and determination of equivalencies shall take place within the context of guidelines established by the Faculty of the department concerned. Examples of special considerations include the need for special laboratories or studios, an especially heavy load of individual study projects, unusually large enrollments, recurring small enrollments and exceptional ease or difficulty in preparation or teaching of a course. In these cases, the best interests of the department and the College must be taken into account.

(Passed April 30, 1974; Revised November 13, 1984)



## A.2 THE GRADING SYSTEM

1. Every instructor shall turn in a letter grade on a scale of A+, A, A-, B+, B, B-, C+, C, C-, D+, D, D-, or F for every student registered in every class at the time designated at the end of each semester.

Each matriculated student will be permitted to designate during his/her academic career one course each semester to a maximum of four courses, not required by his/her major, as "Pass/Fail" courses. Courses mandated "Pass/Fail," i.e., student-taught courses and open semesters, will not count toward the four course maximum. Any student on Academic Probation shall not be permitted to take a course "Pass/Fail" during the next semester of enrollment after the Probation is incurred.

The limit of four Pass/Fail courses shall begin with the class of 1987. Previous classes may enroll in one Pass/Fail course per semester.

A student wishing to take a course Pass/Fail will make that designation at Final Registration and will receive from the Registrar a receipt of the designation. No course may be designated Pass/Fail after Final Registration Day. A student may change from the Pass/Fail option to a letter grade by filling out a form at the Registrar's Office prior to the close of the last day of classes of the semester in which the course is taken. No change may be made after that day.

Students whose names appear on the final class list but who have failed to appear or respond to requests to appear must be considered members of that course and graded accordingly, provided that the instructor has checked with the Registrar to ascertain the student's enrollment. In the event that a grade is not reported, the instructor's chairman shall investigate and if necessary report a grade himself.

2. The designation "Incomplete" may be recorded on a student's record for a course when the following circumstances are met and the following procedures are used.
  - (a) A subcommittee of the Academic Affairs Committee composed of the Chairperson of the Academic Affairs Committee, an elected Faculty member of the Academic Affairs Committee, and the Dean of Students shall be empowered to issue INCOMPLETE's. By majority vote, the subcommittee may permit the temporary notation of "INC" to be recorded for a course by the Registrar on a student's permanent record card.
  - (b) To receive an INCOMPLETE a student must request it in writing through the Dean of Students. The request must state the reasons which prevented the completion of the work and the reasons must be verifiable. If a student is incapacitated, the Dean of Students may submit the request to the subcommittee for the student.



- (c) Upon receipt of a request for an INCOMPLETE, the Dean of Students will verify the reasons for the INCOMPLETE and consult with the instructor. The subcommittee shall not grant an INCOMPLETE prior to consultation with the instructor and the student's academic advisor.
  - (d) The subcommittee will grant an INCOMPLETE only when the student was unable to complete the course work for a verified wholly unusual or unforeseen difficulty of the magnitude of serious illness or death in the immediate family or for a sound educational reason. Too much work at the end of a semester shall not constitute grounds for assignment of INCOMPLETE, nor shall simple failure to fulfill final course work such as final examinations or papers. In such cases, the instructor will issue a grade on the basis of work completed with appropriate penalty for missing work.
  - (e) The conditions which must be fulfilled in order to remove the INCOMPLETE will be determined by the instructor. The time when the conditions must be fulfilled in order to remove the INCOMPLETE will be set by the subcommittee in consultation with the instructor and the student. The subcommittee will formalize for both, in writing, the conditions to be fulfilled and the date for their fulfillment in order for the Registrar to remove the INCOMPLETE and for the instructor to assign a letter grade. If the student fails to meet the conditions for removing the INCOMPLETE by the date specified, the instructor will issue a grade which reflects the performance of the student including an appropriate penalty (usually an "F" for the missing work) for the incompleted work.
  - (f) In very unusual cases, such as serious, prolonged illness, the designation of INCOMPLETE may be allowed to stand permanently without removal.
  - (g) Each semester the Academic Affairs Committee will review the INCOMPLETE's granted in the previous term, the reasons for granting them, and the deadlines set for their removal. This review will be for the purpose of establishing and reviewing guidelines for the subcommittee which grants incompletes to use in its deliberations.
3. A student's grade in a course may be changed by the course instructor. Grade changes shall be based on the grounds of computational or judgmental error, or by circumstances beyond the control of the instructor or the student.

Judgmental errors involve changing one's judgment of a student's performance on a paper, in-class participation or on any aspect of a student's activity in a course which would affect the student's grade and which depends solely on the instructor's judgment.

Computation errors involve errors of arithmetic on exams or on calculating an average or any arithmetic errors which caused an instructor to calculate a quantitative measure of a student's work incorrectly.



Circumstances beyond the control of the instructor and student must rest upon the instructor's judgment that "control" was clearly absent for either the instructor or the student. Examples of this category are the loss or delay of a paper sent to an instructor in the mail, or the scrambling or loss of text in a paper due to a problem in word processing machinery.

A request for a grade change shall be forwarded by the instructor to the Academic Affairs Committee through the Registrar's Office on a form provided by that office. The Registrar will process the requests and report them to the Academic Affairs Committee.

Once each semester the Committee will report to the Faculty the Grade changes for that semester and the names of the students and instructors involved. The report shall be for the information of the Faculty, not for a vote.

(Passed April 21, 1987)

4. The designation of "Drop" shall be used if a student drops a course after Final Registration Day and before 4:30 p.m. of the last day of classes.
5. The preceding four regulations shall be (1) printed in the Faculty Manual and (2) reprinted each year and included by the Registrar with the requested grades at the end of each term. It shall be the special responsibility of the department chair to discuss these points with each new department member early in the term.

(Passed May 17, 1983)

A.3 FACULTY SALARY

Scale

The comparative standing of Trinity and other colleges in regard to salaries and other benefits is listed in each summer edition of the AAUP Bulletin.

Salary Increases

Salary increases are made on the basis of individual merit. Each chair annually submits a written report and evaluation concerning each member of his/her department, and this is used as a basis of discussion with the Dean and the President with regard to salary adjustments, reappointments, and promotions.

On 12/9/80, the Faculty resolved that the College must set priorities in addressing three aspects of salary distribution --

1. correcting inequities, structural and individual,
2. offsetting the effects of inflation, and
3. using individual evaluations of merit;

that the College should correct inequities and meet the inflated cost of living before using individual merit evaluations in salary determinations; and that the Dean and President should propose a salary distribution plan commensurate with these priorities and convey this resolution to the Board of Trustees.

Pay Period

The Faculty is paid monthly. Checks are distributed by the payroll office on the 29th of each month. If the 29th falls on a holiday or weekend, Faculty members are paid the last working day before the 29th. Members of the Faculty may arrange for direct deposit of their checks in checking and/or savings accounts at local banks. Forms for this purpose are available in the payroll department.



#### A.4 BENEFITS BEYOND SALARY

##### GENERAL STATEMENT ON EMPLOYEE BENEFIT PLANS

This section contains descriptions of the various benefit plans provided by the College. Although these descriptions are as complete and accurate as is reasonable for Handbook purposes, you should be aware that descriptions are summaries of plan descriptions, group insurance contracts or master policies, and the exact terms of the contracts govern.

Detailed information regarding eligibility, enrollment and procedures for applying for benefits is available in the Human Resources Department.

Benefit eligibility is calculated from the first day of the month coinciding with or following the date of appointment plus any benefit eligibility waiting period. The benefit year is the calendar year, except for medical and dental insurance plans which operate on a February 1 through January 31 basis.

Enrollment in College benefit plans is not automatic. Although the Human Resources Department makes every effort to notify you when you become eligible to participate in a particular benefit plan, it is your responsibility to enroll on a timely basis. If you have specific questions concerning eligibility dates, please consult the Human Resources Department.

As changes are made in existing benefit plans or as new plans or policies are established, you will be notified as soon as possible - usually before the new policy goes into effect. The effective date of each new or revised policy or procedure will be the date determined by the President and/or the Board of Trustees.

While it is the intent of the College to continue the benefit plans described in this section, it reserves the right unilaterally to modify, amend, or terminate any benefit plan.

##### INSURANCE

###### **DENTAL ASSISTANCE PROGRAM**

Eligible faculty members may choose to enroll in one of two Dental Assistance Plans offered by the College:

- . CG Dental Plan -- a traditional indemnity plan; or,
- . CIGNA Dental Options -- a Health Maintenance Organization (HMO).

Literature describing each of these plans in detail may be obtained from the Human Resources Department.

Enrollment is available to all full-time faculty members. Faculty members are eligible on the first of the month coinciding with or following completion of one year of full-time service. For those who do not enroll in the dental assistance plan at the time of eligibility, or who cancel dental insurance during the course of employment, future eligibility for the program is subject to conditions established by the carriers. In such cases coverage

could be denied, unless enrollment occurs during an annual open enrollment period. Those who wish to enroll in a Trinity plan at a later date because prior dental coverage has ended, may do so provided they enroll within 30 days of termination of previous coverage.

Family members of eligible faculty members are enrolled most conveniently at the time of the original membership or, thereafter, at the time they become members of the family (i.e. as of the date of marriage, date of birth, date of adoption, etc.) Family members may also enroll at a later time, subject to the approval of the carriers, unless enrollment occurs during a period of open enrollment.

Faculty members who change or enroll in plans during an open enrollment period each year for themselves and eligible family members need not demonstrate evidence of insurability. Open enrollment periods are scheduled according to the group anniversary date of the plan. The College's current insurance plans operate on a February 1 renewal date.

The cost of the premiums is shared by the College and the faculty member. Payroll reductions/deductions are made for the employee share of the premium.

At the present time, the College pays 80% of the premium for faculty members' membership in either a single plan or a family plan. Since the insurance carriers require prepayment of the first months' premium, faculty members are charged for two months' premium when they first enroll. When faculty members leave the College or terminate coverage, however, they do not pay the premium for the last month of group coverage.

You have an opportunity to elect to have your salary reduced by the amount of your health insurance premiums so that federal income tax and Social Security tax are not withheld from these amounts. This salary reduction benefit is allowable under Section 125 of the Internal Revenue Code.

Dental coverage ceases either on the last day worked, or as of the date the employee no longer meets the College's eligibility requirements.

A dental assistance group insurance continuation privilege under the Consolidated Omnibus Budget Reconciliation Act of 1985 (COBRA) is available for most faculty members and/or their dependents who are no longer eligible for group dental coverage. You must notify the Human Resources Department if any of your dependents no longer qualify under your group dental plan. Specific guidelines for such extension or conversion may be obtained from the Human Resources Department.

All dental information and forms are available in the Human Resources Department.



## HEALTH INSURANCE

Eligible faculty members may choose to enroll in one of three group health care plans offered by the College:

- . Connecticut General Managed Indemnity Program (CG MIP) -  
- a traditional comprehensive indemnity plan;
- . Cigna Designated Provider Program (CIGNA DPP) -- a health maintenance type plan with both in-network and out-of-network benefits; or
- . Kaiser Permanente -- a staff model health maintenance organization.

Literature describing each of these plans in detail may be obtained from the Human Resources Department.

Enrollment is available to full-time faculty members and half-time faculty members who are appointed to teach three or more full-credit courses during each academic year who enroll in a program at the time of employment. Coverage starts on the first day of the month coinciding with or following employment. For those who do not enroll in a medical insurance program at the time of employment or who cancel medical insurance during the course of employment, future eligibility for the program is subject to conditions established by the carriers and coverage could be denied. Those who wish to enroll in a Trinity plan at a later date because prior medical coverage has ended, may do so provided they enroll within 30 days following termination of previous coverage.

Family members of eligible faculty members are enrolled most conveniently at the time of the original membership or, thereafter, at the time they become members of the family (i.e. as of the date of marriage, date of birth, date of adoption, etc.) Family members may also enroll at a later time, subject to the approval of the carriers, unless enrollment occurs during a period of open enrollment.

Faculty members who change or enroll in plans during an open enrollment period each year for themselves and eligible family members need not demonstrate evidence of insurability. Open enrollment periods are scheduled according to the group anniversary date of the plan. The College's current insurance plans operate on a February 1 renewal date.

The cost of the premiums are shared by the College and the faculty member. Payroll reductions/deductions are made for the employee share of the premium. Continuing faculty members who are not scheduled to receive a paycheck during certain periods of the year have their premiums taken from the last paycheck prior to the scheduled break. Continuing academic year faculty members, for example, pay their June, July and August deductions in May.

At the present time, the College pays 80% of the premium for membership in either a single plan or family plan for full-time faculty members. The College pays 50% of the premium for half-time faculty members who are appointed to teach three or four full credit courses during each academic year. Since the insurance carriers require prepayment of the first months' premium, faculty members are charged for two months' premium when they first enroll. When

faculty members leave the College or terminate coverage, however, they do not pay the premium for the last month of group coverage.

You have an opportunity to elect to have your salary reduced by the amount of your health insurance premiums so that federal income tax and Social Security tax are not withheld from these amounts. This salary reduction benefit is allowable under Section 125 of the Internal Revenue Code.

Full health insurance coverage is available to eligible faculty members who continue to work beyond age 65. Individuals who are 65 should register with Social Security. However, it is not necessary to enroll in Medicare Part B until termination of employment as long as enrollment in a group medical plan is available with the College.

Health care coverage ceases either on the last date worked or as of the date the employee no longer meets eligibility requirement for the plan.

A group health insurance continuation privilege under the Consolidated Omnibus Budget Reconciliation Act of 1985 (COBRA) is available for most faculty members and/or their dependents who are no longer eligible for group medical coverage. You must notify the Human Resources Department if any of your dependents no longer qualify under your group health plan. Specific guidelines for such extension or conversion may be obtained from the Human Resources Department.

Full-time tenured faculty members who are age 60 or more at the time of retirement are eligible for certain group medical insurance benefits with the College, provided they have a minimum of ten consecutive years of full-time service at Trinity.

All information regarding rates, levels of coverage, comparison of benefits, enrollments and claims forms are available in the Human Resources Department.

#### **LIFE INSURANCE AND ACCIDENTAL DEATH AND DISMEMBERMENT BENEFITS**

Eligible full-time faculty members receive group life and accidental death and dismemberment benefits (AD and D). Coverage is effective the first day of the month coinciding with or following employment. The premium is fully paid by the College.

Life insurance protection is provided for faculty members in an amount equal to base annual salary rounded to the next \$1,000. Coverage does not exceed \$50,000, however, which is the maximum non-taxable amount of group coverage allowed under current federal law.

On July 1 following an active faculty member's 65th birthday, the amount of life insurance is changed to 65% of salary, up to a maximum of \$32,500.

Coverage ceases on the last day of employment, with the following exception. For faculty members who retire at age 60 or later, who were employed on a full-time basis prior to December 1, 1977, the College continues the life insurance benefit at a reduced amount equal to 25% of the insurance in effect at retirement, up to a maximum of \$3,750.



The accidental death and dismemberment benefit is determined according to a loss schedule formula based upon the amount of the life insurance benefit.

Faculty members who leave Trinity may convert the group life insurance policy provided for them by the College into a non-group plan within 30 days of the expiration of coverage. Faculty members taking advantage of this opportunity are not required to demonstrate evidence of insurability. Forms for this conversion are issued from the Human Resources Department.

#### **LONG-TERM DISABILITY INSURANCE**

The College provides long-term disability coverage for eligible full-time faculty members. Coverage begins on the first day of the month coinciding with or following completion of one year of full-time service with the College.

Benefits start after a qualifying period of six months from the commencement of total disability, provided proof of disability is submitted to, and approved by the carrier within six months following the qualifying period. The benefit amounts to 60% of gross monthly earnings at the date of disability, up to a maximum of \$3,500 per month. The monthly benefit is reduced by other income which an employee is receiving from such sources as Social Security disability, workers' compensation, retirement benefits, etc. The benefit provided by LTD, regardless of other income, will not be less than \$50 per month.

Additionally, faculty members who receive TIAA-CREF contributions from the College will continue to have premiums remitted in the amount of 10% of monthly earnings. The retirement plan contributions are directly linked to the amount of the disability benefit.

Participation in the long-term disability plan ceases on the last day worked.

#### **TRAVEL ACCIDENT INSURANCE**

Trinity College travel accident insurance covers all faculty members who travel on official College business within or outside the city of Hartford. The plan provides a death benefit in an amount not to exceed \$75,000. Dismemberment benefits are computed according to a schedule.

#### **UNEMPLOYMENT COMPENSATION INSURANCE AND BENEFITS**

Faculty members of Trinity College are covered by the provisions of the Connecticut Unemployment Compensation Act, and, are, therefore, entitled to all applicable benefits. The State of Connecticut determines benefit eligibility. Unemployment compensation checks are mailed by the State to unemployed former faculty members who qualify for the benefit. The College reimburses the State for all payments.

If you become separated from employment, permanently or temporarily, you may file a claim through the Employment Security Division of the Department of Labor. The College is required by law to provide the



State a complete and accurate description of the circumstances of your separation from the College. Approval or denial of benefits is based upon information supplied at this time.

#### **WORKERS' COMPENSATION INSURANCE AND BENEFITS**

Faculty members of Trinity College are automatically covered by Connecticut Workers' Compensation Insurance. Such coverage is maintained at the College's sole expense.

Those who are injured or become ill as a result of their employment with the College receive partial income replacement during the period they are unable to work. They also receive full coverage for medical expenses incurred because of the injury or illness. The Human Resources Department provides you with information regarding workers' compensation benefits including procedures regarding the filing of claims.

It is essential that you immediately notify your Department Head of any job-related accident or injury, no matter how minor, in order to protect your rights to appropriate benefits, to protect the College, and to assure the proper handling of claims. Injuries not reported in a timely manner may result in loss of eligibility for workers' compensation benefits.

As soon as your Department Head learns of the accident or injury, a Report of Accident or Injury form is immediately completed and forwarded to the Human Resources Department in order to begin official processing of the claim.

All bills resulting from a work-related injury (hospital or physician's charges, prescriptions, lab fees, X-Rays, etc.) are submitted to the College's Workers' Compensation insurance carrier. At the time of treatment faculty members should inform providers that the problem is work-related so that the charges are correctly billed.

The maximum weekly payment under Workers' Compensation is four-fifths of your average weekly earnings at the time of the injury (minus federal income and FICA taxes), up to a set maximum which changes annually. The College provides a supplemental benefit of up to 20% of salary at the time of the injury.

If you are injured in the course of your work, the College pays you your regular base pay for that day and adjusts further earnings as explained above. The Workers' Compensation benefit check is sent to you by the insurance carrier. Trinity pays the supplemental benefit only after the Workers' Compensation benefit is determined. The supplemental benefit decreases if the Workers' Compensation benefit increases. Supplemental benefits associated with reinjuries or continuing treatment related to a previous injury or accident are compensated according to the salary at the time of the original claim.

During periods of disability related to Workers' Compensation, the College continues to contribute its normal share toward health and/or dental insurance premiums, as well as other applicable insurances such as group life and long-term disability, provided you pay your regular premiums each month.



Normally an employee returning from workers' compensation leave is returned to the position formerly held, but the College cannot guarantee this, especially in the case of an extended leave. However, you may be reinstated in a comparable position. If the same or comparable position in the same department is not available, you will be given consideration for comparable assignments available elsewhere in the College for which you qualify.

## **HEALTH CARE - SUPPLEMENTAL BENEFITS**

### **EMPLOYEE ASSISTANCE PROGRAM**

The goal of the Trinity College Employee Assistance Program is to help faculty members in the resolution of personal problems at home or at work. Through this program faculty members may be referred to individuals or agencies skilled in the treatment of issues involving health, family, financial difficulties, alcohol, drugs, emotional or other personal concerns which may adversely affect job performance.

Information on how to obtain confidential referrals for evaluation, treatment and assistance may be obtained from the Director of Human Resources or the Special Assistant to the Director of Human Resources.

### **EYE EXAM ASSISTANCE**

The College provides up to \$50 for an eye exam once every two years for eligible faculty members who work half-time or more. The benefit is available on the first of the month coinciding with or following one year of eligible employment. Eye exam assistance is provided for faculty members who are not covered for this benefit under another plan. Eye exam assistance is not extended to dependents.

Forms for reimbursement are available in the Human Resources Department.

## **EDUCATIONAL BENEFITS FOR FACULTY MEMBERS**

### **Tuition Waiver for Full-Time Faculty Members**

Eligible full-time faculty members receive a waiver of tuition for graduate and undergraduate courses taken at Trinity. These include those associated with the Office of Graduate Studies and Special Academic Programs such as the Individualized Degree Program (IDP). Courses may be taken for credit -either separately or as part of a degree program, or may be audited with appropriate permission.

Eligibility for this benefit is effective at the start of the first semester coinciding with or following employment.

Additionally, eligible full-time faculty members receive a waiver of tuition through the Greater Hartford Consortium for Higher Education. Consortium institutions include the Hartford Graduate Center (which is affiliated with Rensselaer Polytechnic Institute),

St. Joseph's College, the University of Hartford, and Hartford College for Women.

Faculty members may take one credit-bearing course at any of the Consortium institutions on a space-available basis. Regular entrance requirements must be met and courses must be scheduled outside of working hours.

This benefit is subject to change by the Board of Directors of the Consortium.

#### **Tuition Waiver for Half-Time Faculty Members**

Eligible half-time faculty members who are appointed to teach three or four courses during each academic year, are eligible for a waiver of tuition for one course at Trinity each semester from either the regular graduate or undergraduate curriculum. Courses may be taken for credit - either separately or as part of a degree program, or may be audited with appropriate permission. The benefit is available at the start of the first semester coinciding with or following one year of at least half-time employment.

Tuition is not waived for half-time faculty members taking courses through the Individualized Degree Program.

#### **Other Information About Tuition Waivers**

All regular entrance requirements must be met.

Students are responsible for expenses associated with courses such as books, lab and registration fees. Should course enrollment be limited, an employee may be requested to give up his or her place to accommodate tuition-paying students.

Tuition is not waived for non-credit courses or special programs such as the Rome summer program. Moreover, courses which require a per capita fee do not qualify for tuition remission.

The Director of Human Resources verifies eligibility for the benefit. Application forms, which must be submitted each semester, are available in the Human Resources Department.

Tuition waiver policies are subject to change by the Board of Trustees of Trinity College.

### **EDUCATIONAL BENEFITS FOR SPOUSES AND DEPENDENT CHILDREN**

Spouses and eligible dependent children of full-time, continuing faculty members receive tuition benefits for courses taken at Trinity. The Director of Human Resources verifies eligibility each semester. Application forms may be obtained from the Human Resources Department. Information about eligibility and the requirements of each plan follows.

#### **Tuition, One Course**

Spouses and eligible dependent children receive tuition remission for one graduate or undergraduate course per semester at Trinity. Courses may be taken for credit - either separately or as part of



a degree program, or may be audited with appropriate permission. This benefit is available at the start of the semester coinciding with or following full-time employment.

#### **Full Tuition, Undergraduate Program**

Spouses and eligible dependent children of individuals who have been continuously employed by the College in a full-time continuing appointment on or before December 31, 1982 are eligible for a waiver of 100% of full regular tuition as defined for undergraduate students. Eligibility is limited to four full-time academic years or until a baccalaureate degree is earned, whichever occurs first.

#### **Half Tuition, Undergraduate Program**

Spouses and eligible dependent children of individuals hired on or after January 1, 1983 who are employed by the College in a full-time continuing appointment are eligible for a waiver of 50% of full regular tuition as defined for undergraduate students. The benefit is available at the start of the first semester coinciding with or following the date of appointment. Eligibility is limited to four full-time academic years or until a baccalaureate degree is earned, whichever occurs first.

#### **Tuition Scholarships for Dependent Children of Faculty at Other Colleges or Universities**

Children of full-time, continuing faculty members are eligible for the College's undergraduate tuition scholarship program provided the child (children) is a dependent and enrolled full-time in an undergraduate degree program at an accredited institution, including students participating in the Cordova Program. The definition of dependency used by the Internal Revenue Service is also applied by the College in establishing whether a dependent relationship exists. If the son, daughter, or stepchild qualifies, and is named, as a dependent on the parent's Form 1040 during the period for which the scholarship is awarded, then he or she is considered a dependent; if not, the son, daughter, or stepchild is not eligible. For each term the dependent is awarded a scholarship, the Faculty member must certify that the recipient is a dependent as defined by the Internal Revenue Service.

Eligibility is limited to four full-time academic years or until a baccalaureate degree is earned, whichever occurs first. Dependent children of visiting faculty and lecturers are not eligible for this program.

The maximum scholarship award is for four full-time undergraduate years. For eligible faculty, the award is 50% of the other institution's tuition up to one-half of Trinity's tuition. The total tuition scholarship to which each student is entitled will be apportioned equally among the academic terms constituting an academic year and credited to the student's account on that basis.

The Director of Human Resources administers the tuition scholarship program. An itemized copy of the tuition bill must be submitted to the Human Resources Department before semester fees are due. The

tuition scholarship check will be sent directly to the college or university.

The Human Resources Department should be notified promptly if the dependent child withdraws from school, becomes a part-time student, or is no longer a dependent.

Tuition waivers and scholarships are subject to specific Internal Revenue Service regulations.

#### **Other Information About Educational and Tuition Benefits for Spouses and Dependent Children**

Equivalent years of service are not counted for part-time faculty members or others not meeting the specific service requirements.

Tuition is remitted for credit-bearing courses in the regular undergraduate degree program, for the Individualized Degree Program and for the Rome Program during the academic year. Tuition is not remitted for non-credit or per-capita courses, or special programs such as the Rome summer program.

All entrance requirements must be met.

Students are responsible for all expenses associated with courses such as books, lab and registration fees.

If you leave the College prior to the end of a semester, you will receive a prorated tuition bill.

### **RETIREMENT BENEFITS**

#### **FACULTY RETIREMENT**

The present retirement policy is stated as follows:

##### **Normal Retirement**

The normal retirement date for faculty is defined as the June 30th coinciding with or following the 65th birthday. At the present time faculty may retire at or before normal retirement age but must retire no later than the June 30th coinciding with or following the 70th birthday.

##### **Early Retirement Program**

An Early Retirement Program for Trinity Faculty is currently under review. Please contact the Dean of the Faculty for information.

#### **MEDICAL BENEFITS AT RETIREMENT**

Faculty members who are age 60 or more at the time of retirement are eligible for certain group medical insurance benefits with the College provided they teach a minimum of ten consecutive years on a full-time basis prior to the last day of employment. These retirees are separated into two categories:



1. Participants in a College Medical Insurance Plan - Retired Faculty (and eligible dependents) who have been enrolled in one of Trinity's group medical insurance plans for ten years preceding retirement may continue their membership but must pay the cost of the full premium until the date of enrollment in Medicare Parts A and B. At that time they are enrolled in a group plan for eligible retirees which provides major medical benefits for life. Premiums are fully paid by the College. Major medical coverage extends to spouses in such cases.

2. Participants in a Medical Insurance Plan Other Than Trinity's -Retired Faculty who do not participate in a College medical insurance plan because they have been enrolled in other group coverage such as through a spouse's plan, are eligible for enrollment in a group plan for retirees which provides major medical benefits for life. Premiums are fully paid by the College. The Major Medical benefit is effective at the time of enrollment in Medicare Parts A and B. Coverage does not extend to spouses in such cases.

#### **PLANNING FOR RETIREMENT**

The normal retirement date for College faculty members is defined as the end of the fiscal year coinciding with or following the 65th birthday. For those faculty members who continue beyond the normal retirement date, there may be corresponding changes in benefits: for example, group life insurance is reduced by 35%.

If you are approaching retirement, you should schedule a meeting with the Human Resources Department at least three months in advance of the anticipated retirement date. At this time you are advised as to how to obtain estimates of retirement income and information on medical and other benefits provided by the College after retirement. This meeting also helps to ensure that a smooth transition takes place and that retirement benefit payments begin on time.

Financial considerations are invariably a major factor in deciding when to retire. TIAA-CREF provides special reports of estimated income from retirement contracts at your request. The Social Security Administration also provides estimates of Social Security benefits beginning at various ages. Contact either of these agencies directly for benefit illustrations. The Director of Human Resources is available to assist you in the retirement process. Please refer to **SOCIAL SECURITY** in the Benefits section of this Handbook for other information.

When setting a retirement date, you should give advance notice to your Department Head. Whenever possible, a minimum of six months' written notice is expected; however, one year's notice is preferred and will be helpful both to you and to your Department Head in planning for your departure.

#### **RETIREMENT PLAN**

The College provides an insured retirement plan through Teachers Insurance and Annuity Association of America (TIAA) and the College Retirement Equities Fund (CREF). The TIAA portion of the plan

provides a fixed dollar annuity; CREF provides a choice from among several investment options including money market and global equity funds, social choice and bond market accounts, and a variable annuity which is based on the performance of securities held over time in its investment portfolio.

Faculty members who are appointed to teach three or more courses during each academic year are eligible to participate in the College's retirement plan when they complete 12 full months of service and attain the age of 26. Faculty members who come to Trinity directly from another institution of higher education who have worked the equivalent of half-time the preceding year may have the one-year waiting period waived. Faculty who are re-hired, who have previously satisfied eligibility requirements at Trinity, may also have the one-year waiting period waived.

The College contributes an amount equal to 10% of base annual salary for eligible faculty members provided these faculty members contribute a minimum of 3% of base salary to either TIAA-CREF or one of the other tax deferred savings plans described below.

Participation in the retirement plan is mandatory upon completion of five full years of service and the attainment of age 35.

Contributions made by the College are vested with the employee immediately.

Faculty members decide where their own contributions to the retirement plan, whether voluntary or required, are invested. There are several options, all of which fall under the guidelines of section 403 (b) (7) of the Internal Revenue Tax Code. Each plan offers a variety of funds and options from which to choose. Most of the plans have cashable and transferable features.

1. **TIAA-CREF Regular Annuity Contract (RA)**
2. **TIAA-CREF Supplemental Retirement Annuity (SRA)**
3. **Vanguard Group Investment Company**

The contributions you make to your TIAA CREF regular annuity contract can be invested on either a pre-tax basis (salary reduction), or an after-tax basis (salary deduction). Contributions you make to a TIAA-CREF SRA, Vanguard or Calvert account must be through salary reduction.

The maximum amount you are able to tax-defer is limited to a percentage of salary as determined by IRS regulations. Such factors as years of service, prior tax-deferred contributions, and after-tax contributions are considered. Generally speaking, most faculty members can tax shelter up to 12% of salary, not to exceed a maximum of \$9500 in a calendar year. The Human Resources Department checks with TIAA-CREF to verify that the amount an employee wishes to contribute to a tax-deferred annuity is within the limits allowed by section 403 (b) (7).

Money you contribute voluntarily to accounts with TIAA-CREF SRAs, Vanguard or Calvert can be surrendered for cash value under certain limited conditions. Some of these conditions include severe hardship, leaving the employ of the College, attainment of age 59 1/2, disability, or purchase of a primary residence. There are tax implications and cash penalties for certain early withdrawals.



You may begin receiving benefits under the early retirement provisions of TIAA-CREF as early as age 55. According to federal pension law, however, you must begin minimum distributions from your pension account no later than April 1 following the year in which you reach the age of 70 1/2. It is College policy that faculty members who continue to work beyond this point receive no more than the minimum distribution benefit until such time as they retire. In the event of death prior to retirement, the full current value of the annuity accumulation, including the portion contributed by the College, is paid to the beneficiary.

TIAA-CREF Retirement benefits are usually paid in the form of monthly annuity checks. Please refer to your individual certificates for information regarding your specific alternatives.

To obtain information and forms regarding the retirement plan vehicles available to you at Trinity, please contact the Human Resources Department.

### **SOCIAL SECURITY**

Most College faculty members are eligible for Retirement and Survivors Insurance benefits under the federal Social Security program. The College contributes one-half of the total tax prescribed by law, and you contribute one-half through payroll deductions. The tax rate and the maximum salary on which it is computed are established by the federal government for each calendar year.

Social Security taxes paid by faculty members and the College provide four types of insurance protection:

**Social Security Retirement Benefits:** The Social Security Law ensures that eligible faculty members are provided with fixed monthly payments during retirement. Benefits are normally effective at age 65. You may receive reduced payments of approximately 80% at age 62. The amount of your monthly Social Security retirement income is based upon your age at retirement and your annual earnings during your years of participation in the program.

**Social Security Disability Benefits:** Monthly benefits are available to you if you are disabled and have been determined by the Social Security Administration to be unable to work because of a severe illness or disabling injury which is expected to last 12 months or more. Additional benefits are provided if you have dependents.

**Social Security Life Insurance/Survivors Benefits:** Survivors of deceased faculty members may qualify for monthly benefits. Those eligible to apply for the benefits include spouses, children under 18 years of age, or children of any age if the disability occurs before age 18. At age 60, the surviving spouse is entitled to seek retirement benefits.

**Medicare Insurance:** Medicare Parts A and B, a basic medical insurance plan, is available to you and your spouse at age 65. Medicare benefits are available earlier if you have been

receiving disability benefits from Social Security for more than twenty-four months.

Questions about Social Security coverage may be directed to the Social Security Administration District Office at 450 Main Street in Hartford or any other Social Security Office.

#### **TAX-DEFERRED PROGRAMS**

Eligible faculty members who work half-time or more may enroll in any one of the College's retirement plan options even prior to qualifying to receive the College contribution to the TIAA-CREF regular annuity account. Participation is possible on the first of the month coinciding with or following date of employment. College contributions begin upon attainment of age 26 and fulfillment of eligibility requirements.

You may obtain information and forms regarding the retirement plan vehicles available to you at Trinity in the Human Resources Department. Please refer to **RETIREMENT PLAN** above for a listing of companies offering tax-deferred programs at Trinity.

#### **ADDITIONAL BENEFITS**

##### **BENEFITS STATEMENTS**

Each year the College provides you with a personal statement of your Trinity College compensation and benefits package. Your benefits statement is a computer-generated personalized annual report. It is intended to promote your understanding of the wide variety of benefits you receive as an Faculty member, and to reinforce your comprehension of the dollar value of benefits in terms of your overall compensation. Statements are predicated on your salary level and the value of the benefits at the time of printing. It is not intended to be an exact replication of the value of your compensation and benefits. Contact the Human Resources Department for additional information about benefits statements.

##### **CREDIT UNION**

Trinity College faculty members and members of their families are eligible to become members of the Family Federal Credit Union. Some of the available options include:

- Payroll deduction/direct deposit;**
- Checking account with no monthly service charges and no per check fees;**
- Savings accounts;**
- Certificates of Deposit (CDs);**
- IRA's;**
- Visa cards;**
- Mortgages and home equity loans.**

Deposits are federally insured up to a maximum of \$100,000.

To become a member of the Credit Union you must deposit \$50.00 in a savings account, and pay a \$5.00 lifetime membership fee.



The Family Federal Credit Union is located at 964 Asylum Avenue, telephone number 527-6663. A convenient branch office is established at the Institute of Living, 400 Washington Street.

Enrollment forms and descriptive materials are available in the Human Resources Department.

#### **MORTGAGE PROGRAM**

Full-time faculty members of Trinity are eligible to apply for a home mortgage through the SINA (Southside Institutions Neighborhood Alliance) Employee Mortgage Program. The three SINA members - Hartford Hospital, The Institute of Living and Trinity College - want to make it easier for faculty members to live in the neighborhoods nearby.

The main focus of the program is to assist faculty members by decreasing the amount of cash required for a down payment and by lowering the interest rate below the level normally available.

For specific information about this program, please contact the SINA Office at 297-2277 or 297-2278. Brochures describing the plan may be obtained in the Human Resources Department.

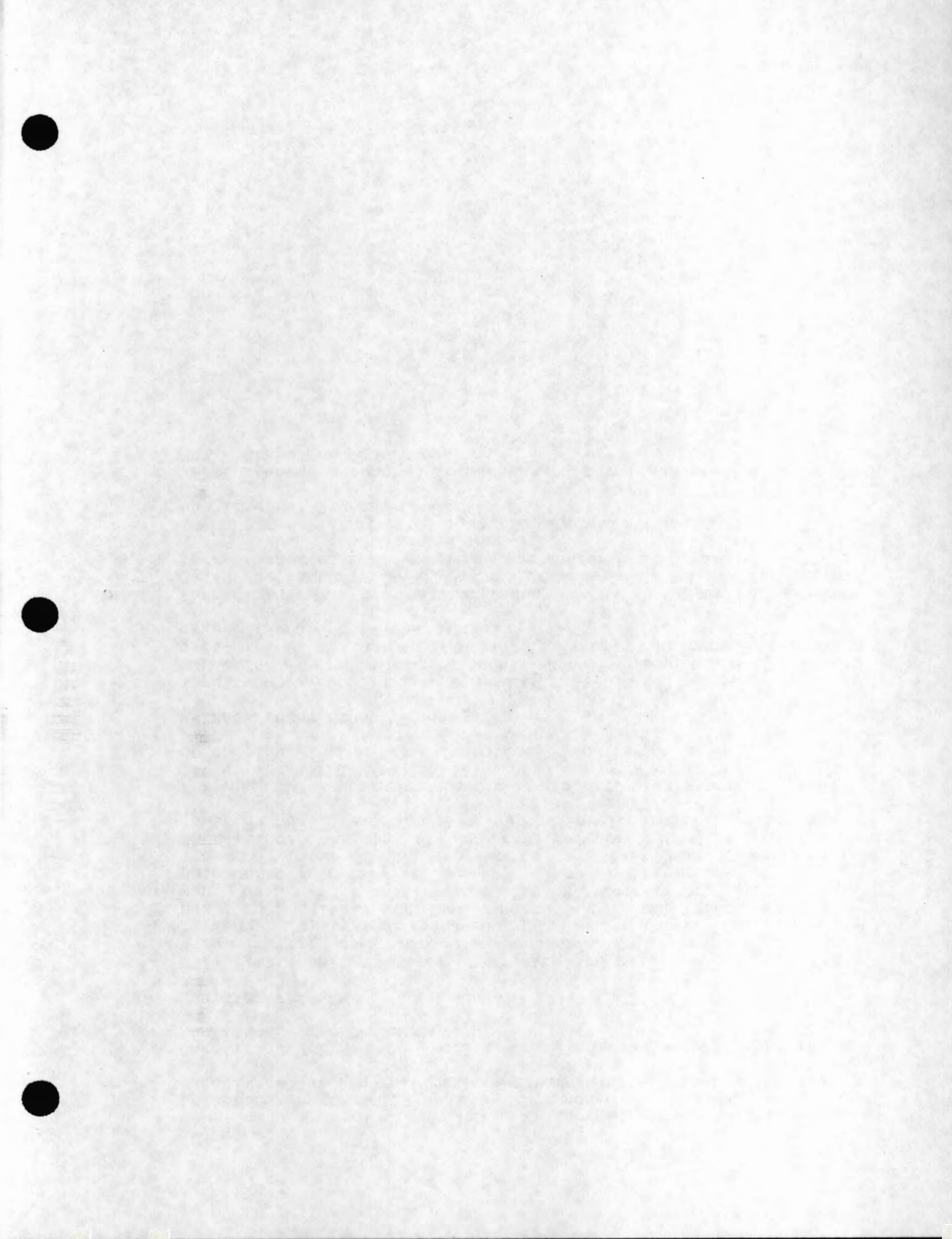
#### **REIMBURSEMENT ACCOUNTS**

Faculty who are regularly scheduled to teach half-time or more may establish a Reimbursement Account. Faculty members are eligible to participate in this program at the time of employment, and on a calendar-year basis thereafter.

Participants in the Reimbursement Account Program set aside a designated amount of salary on a pre-tax basis to pay for out-of-pocket expenses for dependent care and/or health care.

The program is subject to specific regulations under Section 125 of the Internal Revenue Code.

Reimbursement account information and forms are available in the Human Resources Department.





A.5 SUPPORT PROGRAMS

Sabbatical Leave

The following policy statement concerning Sabbatical Leave was adopted by the Trustees on March 22, 1975:

In order to provide each Faculty member with the opportunity for intellectual self-renewal, Trinity College grants sabbatical leaves in the expectation that they will be used for research and other professional and scholarly activities. A sabbatical consists of a half-year leave of absence at full salary or a full year at half salary. Any eligible Faculty member whose proposed sabbatical activities are recommended by his or her department chair and whose application is received by the Dean of the Faculty by the deadline noted below shall be granted a sabbatical in the year requested unless unanticipated or extraordinary institutional interests require a deferment.

Eligibility. Application may be made for a sabbatical leave to be taken in the seventh or later year of full-time employment by the College, and in the seventh or later year after the year of a sabbatical leave. Years of service beyond six are not cumulative in determination of eligibility, nor do years spent at the rank of instructor count toward an individual's eligibility. No member of the Faculty is eligible for a sabbatical leave during the year preceding the date on which he will become eligible for retirement.

Benefits - Regular College benefits are continued during Sabbatical Leaves. Faculty pay their normal share of premium costs. TIAA-CREF retirement plan contributions are based upon actual base salary payments.

Application. Application must be made in writing to the applicant's Department Chair and forwarded to the Dean of the Faculty by the department chair, with his or her evaluation and endorsement, not later than September 10 of the year preceding the academic year in which leave is requested.

Junior Faculty Research Leave

Tenure-track faculty members in the fourth year of employment are granted a leave of a two-course semester for the purpose of pursuing scholarly or creative projects. As with sabbatical leave, application must be made in writing to the Department Chair and forwarded to the Dean of the Faculty, with the evaluation and endorsement of the Chair, by September 10 of the year preceding the period of leave. (Revised July 1993)

Benefits - Sabbatical Leave benefits apply.

Leave of Absence

Leave of absence without pay may be granted when doing so would not seriously hamper maintenance of necessary course offerings or other College functions. Application should be made as specified above

for sabbatical leave. The maximum permissible extent of a leave of absence or of the combination of sabbatical leave with a leave of absence is two years. Faculty are required to pay for the full cost of dental and medical insurance premiums during leaves of absence without pay. Other benefits are suspended until the Faculty member returns to his/her position at the College.

#### Supplemental Leave Program

The present cycle of eligibility for a sabbatical leave every seventh year shall remain in place.

Between sabbatical leaves or in conjunction with them, the College provides, on a competitive basis, funded faculty research leaves for one two-course semester. Support consists of full compensation (salary and benefits) for the semester of leave. (Revised July 1993)

All full-time members of the Faculty at the rank of Associate Professor or Professor, who are at least in their second year of service at the College, are eligible to apply. (Revised July 1993)

Application for research leave must be made in writing to the applicant's department chair, who will forward it to the Dean of the Faculty, with an evaluation and recommendation. The Dean will then forward the proposal to the Faculty Research Committee together with the Dean's recommendations regarding institutional considerations. (Revised July 1993)

The Faculty Research Committee, along with the Dean of the Faculty, ex officio, shall determine, on the basis of the merits of each proposal and on the basis of available funds, which applicants will be awarded Faculty Research Leaves. (Revised July 1993)

In making its decisions, the Faculty Research Committee will base its judgments on the following criteria:

- a. the coherence of the proposal;
- b. the clarity of the objectives and the methods of the research;
- c. the persuasiveness of the case made concerning the significance of the research;
- d. the likelihood that the objectives can be achieved within the funding period;
- e. the likelihood that the support will have fruitful results.

Faculty members may apply for research leaves as often as they wish; the appropriateness of repeatedly awarding grants to the same individuals may be a consideration in making the awards. (Revised July 1993)

It is the intention of the Committee that supplemental leaves shall not be deemed automatic entitlements, but that they shall be awarded on the basis of merit.

It is recommended that proposals for supplemental leaves be detailed and include the nature of the proposed activity, methods to be



employed, and statements of specific objectives to be accomplished. It is further recommended (1) that at the conclusion of each supplemental leave, a comprehensive account of the project is to be submitted in a terminal report to the Faculty Research Committee and (2) that a public presentation be given to the College community, when appropriate.

(Passed December 14, 1982)

### Summer Research Grants

All continuing faculty members are eligible to apply for Summer Research Grants to carry out scholarly or creative projects. Summer Research Grants provide a stipend and may include funds (not to exceed the amount of the stipend) for professional expenses. Faculty research funds typically reimburse faculty for travel costs attendant on research as well as for such direct expenses as photocopying; these funds do not support the purchase of capital equipment. Faculty may also apply for student research assistants to work with them on summer-long projects. Applications are made to the Faculty Research Committee. (Revised July 1993)

### Defrayment of Professional Expenses

Research and Publication. There is a special fund to assist the Faculty with expenses incident to research or publication, when financial help is not available from other sources. The fund covers such expenses as the typing of scholarly papers for publication, travel to a specialized library, or duplication of library materials. Application should be made in writing to the Dean of the Faculty.

Travel to Professional Meetings. The College encourages members of the Faculty to attend and contribute to professional meetings. Since participation in such activity benefits both the individual and (indirectly) the College, expenses are normally shared between the two parties under guidelines developed below. Allocations to support faculty travel are provided annually, although, due to the unpredictability of demand, budgeted funds may in some years be insufficient to meet all legitimate needs for assistance. Consequently, Faculty members should discuss their plans as early as possible in the academic year with the Associate Administrative Dean, who oversees expenditures under this program.

- A. Eligibility. Four categories of participation by full-time, continuing Faculty members are recognized:
1. Official or voting representative of the College;
  2. Formal presenter of a prepared paper; or,
  3. Recognized discussant, panelist, or convener for a formal session listed in the meeting program.
  4. Attendee (i.e., non-contributor)

B. Reimbursement Schedules:

Faculty members who meet the eligibility requirements specified in 1 or 2 (above) may receive reimbursement for their transportation costs and registration fees, plus an

appropriate per diem allowance toward their expenses for lodging and meals. Normally, official representatives will have these room and board expenses met in full; presenters may expect approximately one-half of similar expenses to be absorbed by the College.

Participants in category 3 (above) may be reimbursed only for transportation and registration fees. Conference attendees (category 4) may be reimbursed for one-half of their approved travel and registration expenses, up to an annual maximum of \$175.

For both budgetary reasons and considerations of equity, the Associate Dean may occasionally find it necessary to limit total expenditures for any single event or by any individual Faculty member. Faculty members whose appointments are less than full-time may also request assistance; reimbursement provisions may differ from those stated above.

C. Procedures and Practices:

Faculty members wishing to arrange for support of professional travel should contact the Associate Administrative Dean in writing, specifying the name and location of the conference, the title of the presentation or panel assignment (if appropriate) of attendance, and the likely costs which will be incurred.

Reimbursement will be made only upon submission to the Associate Dean of a signed, completed copy of the Travel Expense Report form (available from all departmental secretaries), accompanied by a set of proper receipts (where available) from hotels, restaurants, travel services, credit cards, etc. In addition, a copy of the entry in the official program of the conference listing the Faculty member's contribution should be provided. As a general rule, travel advances will be provided only when absolutely necessary.

Approval for reimbursement should be sought well in advance of the anticipated dates of travel, since the limited funds available for this purpose are typically allocated well before the end of each academic (and fiscal) year.

Library Use

A Faculty member who wishes to make use of the Libraries of Harvard or Yale for a period of at least six months in duration may take advantage of the following arrangement: The first \$100 of the total cost will be borne by the individual Faculty member. The College will bear two-thirds of all expenses in excess of \$100. Applications can be made through the Office of the Dean of the Faculty.

Faculty Entertainment Fund

Limited funds are available to Faculty members to entertain students at Faculty residences. Contact the Office of the Dean of Students.



### Faculty Use of College Vehicles

The use of College vehicles is restricted to the performance of College business. College-owned vehicles are available for use by Faculty, staff and students who have been authorized to drive Trinity vehicles. Authorization may be obtained by submitting a **Trinity College Driver Information Form** to Carol Kessel, Williams 123. Please refer to the **Policy Concerning Use of Trinity College Vehicles** for further information regarding criteria for use of College vehicles. The Policy appears in the Fleet Control Section of the Trinity College Safety and Loss Control Manual. Call Carol Kessel at extension 2032 to request forms or for further information.

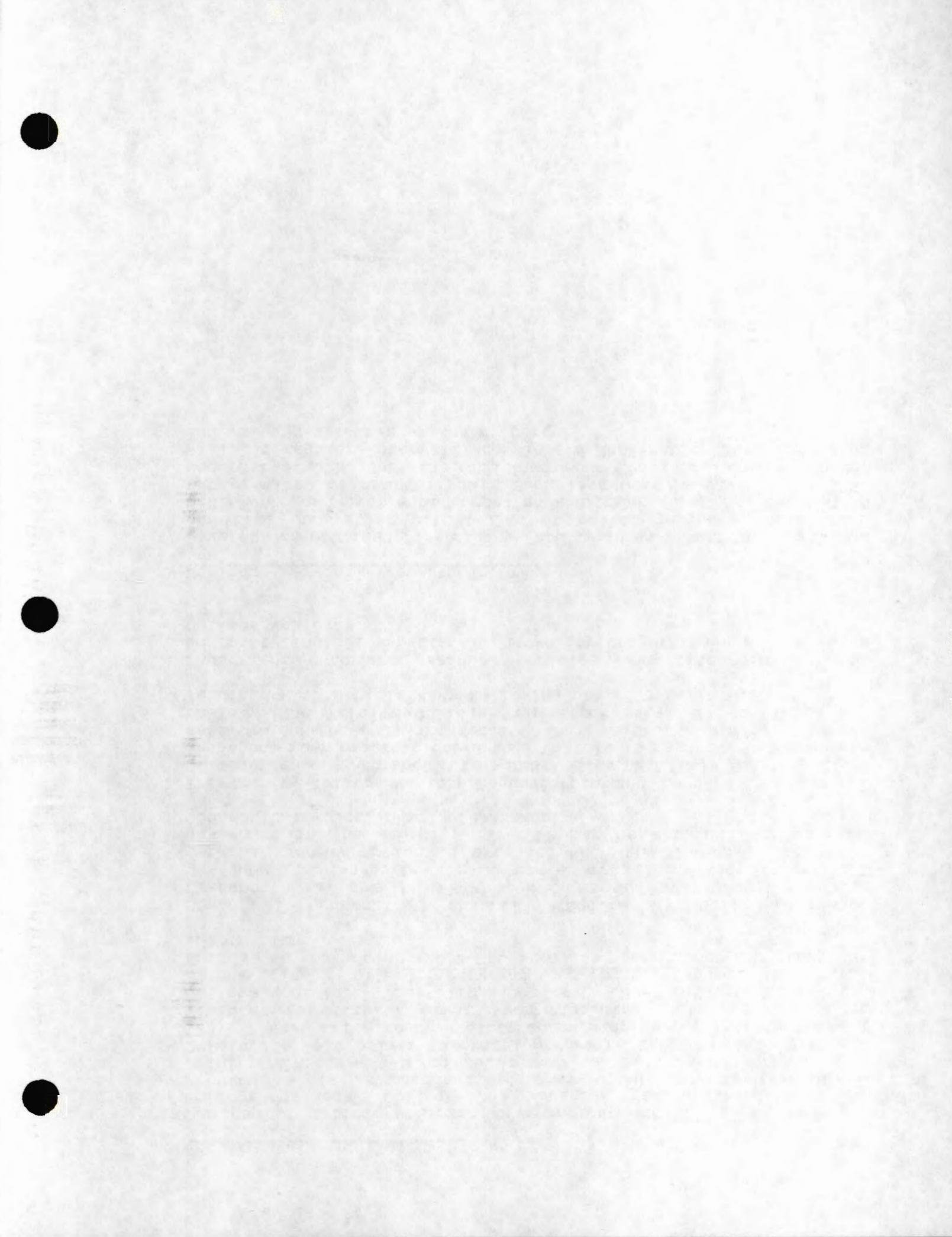
State of Connecticut statutes require a public passenger transportation permit (PPTP) for individuals driving a vehicle designed to transport 8 to 15 passengers (including driver). A personal use exemption is extended when the driver is the only passenger in the vehicle. A PPTP may be obtained through the Connecticut Motor Vehicle Department.

The **Trinity College Vehicle Request Form** must be used to reserve a College vehicle and should be submitted to Buildings and Grounds at least one week prior to the date a vehicle is needed. Vehicles are reserved as requests are received on a first come, first served basis. The **Trinity College Trip Report** must be completed and returned with vehicle keys following use of a vehicle.

Departments who are assigned vehicles have responsibility for administering all aspects of the **Policy Concerning Use of Trinity College Vehicles**.

### Business Personal Property Insurance

Coverage is provided for Trinity Faculty in an amount up to \$10,000 on items consisting principally of books, journals, scientific equipment, and office or computing equipment which are located on the premises of the College. Each loss will be subject to \$250 deductible. The Business Office expects that all faculty members will, at regular intervals, complete a declaration form itemizing and valuing all on-premises property.





A.6 DISMISSAL OF A FACULTY MEMBER WITH TENURE OR PRIOR TO THE EXPIRATION OF HIS APPOINTMENT

The College may dismiss a Faculty member with tenure or prior to the expiration of his/her appointment only for adequate cause. Adequate cause will be directly and substantially related to the fitness of the Faculty member in his/her professional academic capacity, which includes responsible conduct toward all members of the College community, or to conditions of financial exigency or to the discontinuance of a program or department of instruction. Such dismissal will not be used to restrain the Faculty member in the exercise of academic freedom or other rights of American citizens as guaranteed by the Constitution of the United States.

In the case of a Faculty member's incapacity to meet professional obligations for medical reasons, the procedures to establish total disability as provided under Faculty benefits will be followed. If, however, the incapacitated Faculty member is unable or refuses to avail himself/herself of this benefit, the College may dismiss him/her with one year's salary in lieu of notice.

In cases of financial exigency or the discontinuance of a program or department of instruction, the issues will be reviewed by the appropriate elected Faculty committee, with ultimate review of all controverted issues by the Board of Trustees. If the Faculty member is to be dismissed, the College will give at least one year's notice or, in lieu thereof, at least one year's severance salary.

All other cases will be preceded by discussions between the Faculty member and appropriate administrative officers looking toward a mutual settlement. In disputed cases there will be a hearing before the appropriate elected Faculty committee. The Faculty member will be informed in writing of the charges against him/her at least twenty days before the hearing. The committee, in consultation with the President and the Faculty member, will decide whether the hearing will be public or private. The Faculty member will have the opportunity to be heard in his/her own defense and will be permitted to have an advisor of his/her own choice who may act as counsel. A full stenographic record of the hearing will be made available to all parties concerned. In appropriate cases, the testimony will include that of qualified teachers and scholars from the College or other institutions of higher learning. The committee will decide whether adequate cause for dismissal has been established and so inform the Board of Trustees. The Board of Trustees will then act upon the record and the decision of the committee. If the Board of Trustees does not sustain the committee's decision, the committee will have the opportunity to reconsider, taking into account the Board's objections. The Board of Trustees will make a final decision only after a study of the committee's reconsideration.

(Effective date: September 1, 1969; from The Amended 1969 Statement on Appointments, Reappointments, Promotions and Tenure, Faculty Manual, 8th edition, 1988, Section 12.4, pp. 30-31.)





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A.7 FORMAL HEARING AND INVESTIGATION PROCEDURES OF THE ACADEMIC FREEDOM AND GRIEVANCE COMMITTEE

**Academic Freedom and Grievance Committee  
FORMAL HEARING PROCEDURES**

DEFINITIONS

**Academic Freedom Grievance** - A complaint made by a student, former student, faculty member, or former faculty member concerning alleged inequity, unfairness or maladministration involving academic freedom.

**Committee** - The Academic Freedom and Grievance Committee.

**Complainant** - Any person or group who has filed a written complaint with the Academic Freedom Committee or who has had a complaint filed on his/her/its behalf by the Ombudsman.

**Hearing Panel** - A panel comprising those members of the Academic Freedom and Grievance Committee constituted to hear a particular complaint.

**Non-Academic Freedom Grievance** - A complaint originating under Section 9.2 (2) of the *Faculty Manual* alleging unfairness, inequity, discourtesy, undue delay, or other malfunction in the processes of the College but not specifically involving academic freedom.

**Respondent** - A person or group who is named in a complaint made to the Academic Freedom and Grievance Committee.

PROCEDURES

1. The complainant will file a specific written complaint with the Committee Chair (or his/her designee). The complaint must be either an academic freedom grievance or a non-academic freedom grievance. It shall be the complainant's responsibility to specify the type of complaint being made.

Normally a charge will be filed within three years of the event which precipitated it. Filing after this time period must be accompanied by a detailed statement explaining why the charge has been delayed. Acceptance of a charge filed later than three years after the precipitating event will be at the discretion of the Committee.

2. The Committee Chair (or his/her designee) will give all respondents a copy of the complaint. The respondent will submit a response to the complaint in writing to the Committee Chair (or his/her designee) no later than 30 days following receipt of the complaint. College vacations may however require some accommodation in scheduling.

3. Upon receipt of the response, the Committee will examine the complaint to determine whether it has sufficient merit to warrant Committee consideration. This determination will be made within one week of receipt of the response. It will require the assent of at least 2 members of the Committee to determine whether the Committee will hear the complaint. If it decides not to hear the complaint, the Committee will inform the complainant and the respondent in writing of its reasons.
4. If it decides to hear a complaint, the Committee will usually schedule a hearing date no sooner than 2 weeks and no later than one month after the respondent's written response to the complaint has been received by the Committee Chair (or his/her designee). The committee will endeavor to arrive at its findings as expeditiously as possible, particularly when the complaint has been made in the context of an appeal to the Appointments and Promotions Appeal Board.
5. If the subject matter of the complaint concerns procedures, policies, or practices of the College, the Committee's report of findings will be made available to the Faculty; unless the Committee decides otherwise for cause, it will be made available to the Faculty in the same form as was submitted to the principals of the case.

If the subject matter of the complaint involves personnel matters, the Committee's report of findings will not usually be made available to the Faculty in the form submitted to the principals. In such cases, the Faculty will be given only a summary reporting that a Formal Hearing was held, the nature of the allegations made, and the principles on which the Committee based its conclusions.

In conformity with its charge in the *Faculty Manual*, the determination of the form in which reports of findings will be distributed to the Faculty will be made by the Committee, but it will consult with the respondent and the complainant before making its decision. Publication of findings, in any manner whatsoever, is reserved solely to the committee or to the Faculty as a whole; no other agency or member of the Faculty is authorized to make any committee documents public. Any documents issued to individuals in the course of formal committee hearings are provided solely for the personal, private use of such individuals. In cases where the matter being heard is also a part of an appeal made by the complainant to the A&P Appeals Board, the committee's final report will be transmitted directly to the A&P Appeals Board and will not be disseminated elsewhere until the Appeals Board has ruled on the appeal.

6. The full Committee will usually constitute the hearing panel. Members of the Committee may recuse themselves when faced



with a conflict of interest. The complainant and the respondent may challenge members of the hearing panel for cause. The Committee will be the sole judge of the merit of a challenge; it will be guided in its decision a) by the principle of fairness to the complainant and the respondent, and b) by the need to maintain whenever possible the integrity of a duly elected panel in the discharge of its obligations to the Faculty. In cases of both recusal and challenge, the Committee will be sensitive to the fact that, in a small community such as ours, neither the appearance nor the reality of a conflict of interest is always easily avoided; it will thus seek to avoid the extremes of, on the one hand, contaminating the process through allowing real conflicts of interest to stand, and on the other hand, vitiating the process through excessive recourse to *ad hoc* procedures.

7. Proceedings will be tape recorded. The tape will be ordinarily available only to the hearing panel or to the Ombudsman in the event of an appeal to the panel's decision.
8. At least one week before the Hearing date both the complainant and the respondent will provide both the Committee and the other party with: 1) a list of witnesses to be called, and 2) a list of items to be submitted in evidence and copies of documents to be submitted. If neither respondent nor complainant has witnesses or evidence to present, and if neither party wishes to question the other, they may, in agreement with one another and with the Committee's consent, agree to waive procedures 9, 10, and 12 and allow the Committee to base its decision on the material already presented. Should procedures 9, 10 and 12 be waived in this manner, however, the Committee retains the right to put its own questions to the complainant and/or the respondent and/or other witnesses according to procedure 11.
9. At the hearing the complainant will first present the written complaint and make whatever statement he/she/it wishes. The complainant may then present such evidence and/or witnesses as he/she/it wishes. The respondent and then the hearing panel will be given opportunity to examine all evidence and to question each witness. Questioning by complainant, respondent and the hearing panel will be permitted until all parties indicate they have no further questions.
10. The respondent may then present his/her/its written response, make a statement, and present such evidence and/or witnesses as he/she/it wishes. The complainant and then the hearing panel will be given an opportunity to examine all evidence and to question each witness. Questioning by complainant, respondent and the hearing panel will be permitted until all parties indicate they have no further questions.
11. The hearing panel may cause such evidence to be presented or

other witnesses to testify as it determines is necessary for its deliberation. The hearing panel will have all the powers of access to evidence and witnesses as does the Ombudsman.

12. The complainant and the respondent will each be allowed to make a summary statement orally or in writing or both. Any summary statement must be limited to matters raised in the course of the hearing or in the written materials previously submitted by the complainant and the respondent, and any such written statement must be submitted to both the Committee and the other party within 10 days of the close of the hearing.
13. The order of the hearing may be changed only with the unanimous consent of the complainant, the respondent, and the hearing panel.
14. Recesses may be taken during the hearing in order to give any party, including the hearing panel, time to prepare material, obtain new material, or obtain witnesses. Only the hearing panel has the power to grant and to define the duration of the recesses.
15. The hearing panel will present a draft of its findings in writing to the parties within 30 days of the adjournment of the hearing. However, in the event that summary statements are submitted by either parties, the Committee's draft of its findings will be presented within 30 days of the receipt of the later of such summary statements. Both complainant and respondent shall have up to 10 days to draw the Committee's attention to any errors of fact contained in the report, after which time the Committee will issue its findings in the form of a Final Report.
16. Should the complainant or the respondent wish to appeal the findings of the hearing panel, such appeal must be made to the Ombudsman within 30 days of the submission of the Committee's report of findings to the various parties. Such appeals are admissible only on the grounds of procedural error or gross unfairness. While the Ombudsman may respond to such appeals in any manner he/she sees fit, normally the Ombudsman would deny the appeal or recommend a rehearing under conditions outlined in writing by him/her. No further appeals are permitted.

(Revised December 1994)



**Academic Freedom and Grievance Committee  
FORMAL INVESTIGATION PROCEDURES**

1. The Ombudsman (or his/her designee) will file a specific written request for a hearing with the Academic Freedom and Grievance Committee, (hereafter, the Committee). The request will state what question is being asked and what scope of finding is being requested of the Committee.
2. The Committee will meet with the Ombudsman (or designee) and decide what parties are likely to be relevant to the question being asked.
3. The Committee will provide all potentially relevant parties a copy of the request, and will schedule a hearing date no sooner than 15 days and no later than 30 days after all such parties have been notified.
4. Any person or group who believes he/she/it is affected by the issues being heard may request to be named a participant in the hearing and to be permitted to address the scheduled hearing. The Committee will have final determination of who has cause to be designated a participant.
5. When the subject matter of the Investigation concerns procedures, policies, or practices of the College, the Committee's findings will be made available to the faculty, and unless the Committee decides otherwise for cause, they will be published to the Faculty in full. If the subject matter of the Investigation involves personnel matters, the Committee's findings may be reported to the Faculty in a form which protects the privacy of individuals involved in the Investigation. The determination as to whether Committee findings will be published in full or in modified form will be made by the Committee after consultation with the Ombudsman. Normally it is expected that the Committee's findings in an Investigation will be reported in full to the Faculty.
6. The full Committee will generally constitute the hearing panel, although the Committee may name a smaller panel from among its members to conduct the investigation. The Ombudsman (or designee) may challenge designated members of the hearing panel for cause. The Committee will be the sole judge of the merit of a challenge; it will be guided by the principle that, since inquiries under this procedure are uncontested, any potential conflict of interest would have to be very great in order to justify disqualify any member of the Committee from sitting on the panel.
7. Proceedings will be tape recorded. The tape will ordinarily be for the use of the Committee in reaching its conclusions.
8. The Ombudsman (or designee) will first present the written request and make what ever statement he/she wishes. The

Ombudsman (or designee) may then make such statements and present such evidence and/or witnesses as he/she wishes. The panel will be free to question all witnesses. Requestioning will be permitted until both the hearing panel and the Ombudsman indicate they have no further questions of each other or of the witnesses.

9. Other participants admitted by the Committee to speak will then be allowed to make statements and to present evidence in an order to be determined by the hearing panel. Both the hearing panel and the Ombudsman (or designee) may question all persons addressing it.
10. The hearing panel may cause such evidence to be presented or other persons to speak as it determines is necessary for its deliberation. The hearing panel will have all the same powers of access to evidence and witnesses as the Ombudsman.
11. Recesses may be taken during the hearing in order to give any party, including the hearing panel, time to prepare material, obtain new material, or obtain witnesses. The granting and duration of any recesses must be acceptable to both the hearing panel and to the Ombudsman (or designee).
12. The hearing panel will present its findings in writing to the Faculty within 30 days of the adjournment of the hearing.
13. Since the purpose of these investigations is to formulate a statement from the Committee concerning some issue at hand, no appeal from the finding of the panel is appropriate.
14. When a Formal Investigation is initiated by the Committee itself under Section 9.2 (1)c of its charge in the *Faculty Manual*, the Committee will assume the role of the Ombudsman throughout these Procedures.

(Revised July 1993)



## APPENDIX B. POLICY STATEMENTS

### B.1 POLICY STATEMENT ON ACADEMIC FREEDOM

The 1940 Statement of Principles on Academic Freedom and Tenure of the American Association of University Professors is a satisfactory expression of the College's position on academic freedom. The College's own statement on academic tenure and related policies, adapted from the A.A.U.P. guidelines, is contained in "The Amended 1969 Statement on Faculty Appointments, Reappointments, Promotions, and Tenure" printed in this Manual. The relevant portions of the 1940 A.A.U.P. Statement are:

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.

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. The teacher is entitled to full freedom in research and in the publication of the results, subject to the adequate performance of his/her other academic duties; but research for pecuniary return should be based upon an understanding with the authorities of the institution.
- b. The teacher is entitled to freedom in the classroom in discussing his/her subject, but should be careful not to introduce into his/her teaching controversial matter which has no relation to the subject. Limitations of academic freedom because of religious or other aims of the institution should be clearly stated in writing at the time of the appointment.<sup>1</sup>
- c. The college or university teacher is a citizen, a member of a learned profession, and an officer of an educational institution. When he/she speaks or writes as a citizen,

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<sup>1</sup> "Ordinances or By-Laws shall not make the religious tenets of any person a condition of admission to any privilege in the said College and no President or Professor or other officer shall be made ineligible for or by any religious tenet that he/she may profess, or be compelled, by any By-Law or otherwise, to subscribe to any religious test whatsoever." Article VII, The Charter of Trinity College.



he/she should be free from institutional censorship or discipline, but his/her special position in the community imposes special obligations. As a person of learning and an educational officer, he/she should remember that the public may judge his/her profession and institution by his/her utterances. Hence he/she 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 he/she is not an institutional spokesperson.

Louis Joughin (ed.), Academic Freedom and Tenure (Madison: The University of Wisconsin Press, 1967), pp. 34-36.



## B.2 AFFIRMATIVE ACTION AT TRINITY COLLEGE

Trinity College is an independent, coeducational, nonsectarian, primarily residential liberal arts college committed to the principles of non-discrimination and of affirmative action. Trinity has a special obligation to act fairly in the hiring, appointment and advancement of the members of its Faculty, administration, and staff. In carrying out these obligations, Trinity offers solid evidence to its public, and more importantly, to its own personnel and students that fairness and reason, of utmost importance in scholarship and teaching, are equally relevant to judgments about the qualifications of people in its community.

Trinity College is committed to being an academic community free of discrimination and prejudice and, to this end, will abide by all applicable Federal, State and local laws pertaining to non-discrimination and fair employment practices. Trinity College is committed to providing equal opportunity to all Faculty, administration and staff in its employment and personnel practices, and to policies and practices which will assure that there will be no discrimination against any individual on the grounds of age, race, color, religion, sex, sexual orientation, handicap or national origin. Decisions relative to appointment, employment and promotion will be made on the basis of individual qualifications and merit. The College is committed to building a representative and diverse Faculty, staff, administration and student body and will undertake positive efforts to ensure that this end is achieved.

The College recognizes that the principle of non-discrimination requires the elimination of all existing discriminatory conditions, whether purposeful or inadvertent. The College must carefully and systematically examine all of its appointment and employment policies to be sure that they do not operate to the detriment of any persons on grounds of age, race, color, religion, sex, sexual orientation, handicap or national origin. The criteria for employment in or appointment to positions at Trinity College must not in effect or intent exhibit discrimination on any of the grounds mentioned above. Because this policy is to be applied throughout the College, it is the obligation of all members of the Trinity community to implement it.

Closely related to the principles governing its practices affecting those who seek or have appointment or employment at Trinity College is our conviction that the quality of education gained at the College is enhanced by the appointment of Faculty and the hiring of administrators and staff who represent not only diverse disciplines but also various religious, racial, ethnic and cultural backgrounds. We believe, in short, that heterogeneity is educationally valuable. Therefore, in addition to the principle of non-discrimination, Trinity College is committed to the principle of affirmative action which requires that it do more than ensure neutrality with regard to members of certain groups as specified by the Department of Labor. The College must make additional efforts to recruit, employ and promote qualified members of groups formerly excluded and presently under-utilized, even if that exclusion or under-utilization cannot be traced to particular discriminatory actions on the part of the College. The principle of Affirmative Action shall be given weight in the review process by departments, the Appointments and Promotions Committee, and the Appointment and Promotions Appeals Board (if relevant) in two ways: (1) dimensions of assessment peculiar to a minority or female candidate, such as service on search committees, student advising, student recruitment activities, and appropriate public relations activities must not be neglected; (2) the candidate's scholarly



activities, particularly when these are in new or non-traditional fields, must receive a fair and unbiased review.

Trinity College does not presently hold federal contracts requiring it to submit a written affirmative action plan. The College is persuaded, however, that the absence of such a requirement does not lessen the importance of affirmative action as a policy and goal. The College has, therefore, developed a program in writing which is designed to assist this institution in fully meeting both the requirements and intent of federal, state, and local laws. Accordingly, the Affirmative Action Program, as provided in this document, establishes policy, defines procedures, and assigns responsibilities for ensuring equality of opportunity and promoting aggressive efforts to recruit and employ qualified persons of certain minority groups at Trinity College.

Trinity College is committed to the principle of non-discrimination in education as well as in employment.

It is imperative that every member of the Trinity College community -- Faculty, chairpersons, administrators, staff and student -- take positive and constructive action to ensure that the College's commitment to affirmative action is as binding and effective as its commitment to non-discrimination.

(Passed November 16, 1982, Revised May 5, 1987)



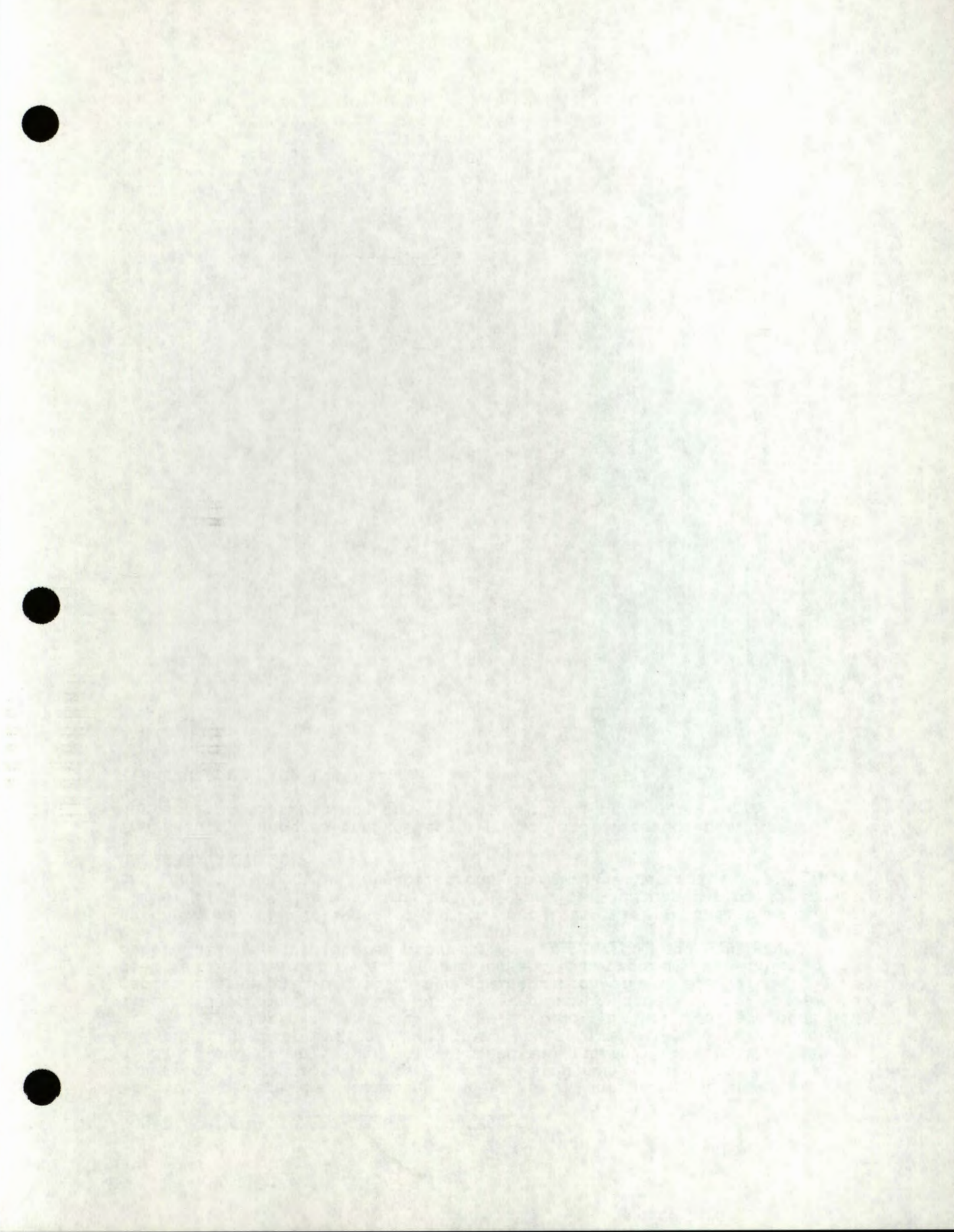
B.3 NON-DISCRIMINATION AT TRINITY COLLEGE

Trinity College is committed to a policy of non-discrimination in education. "Trinity College admits students regardless of sex or handicap and of any race, color, creed and national or ethnic origin to all the rights, privileges, programs and activities generally accorded or made available to students of the College. Trinity College does not discriminate on the basis of sex, handicap, race, color, creed or national or ethnic origin in the administration of its educational policies, admissions policies, scholarship and loan programs and athletic and other College-administered programs." (Trinity College Handbook)

Furthermore, the College Regulations prohibit "discrimination against a member of the College community" by "Faculty, administration, students and their respective organizations including fraternities" (Trinity College Handbook).

The Faculty endorses the College's policy and disassociates itself from any actions that violate the College Regulations.

(Passed April 10, 1984)





B.4 STATEMENT ON GOVERNMENT OF COLLEGES AND UNIVERSITIES

American Association of University Professors  
American Council on Education  
Association of Governing Boards of Universities and Colleges

Statement on

GOVERNMENT OF COLLEGES AND UNIVERSITIES

(Endorsed by the Faculty as a Working Statement of Principle  
on October 14, 1969)

Editorial Note: The Statement which follows is directed to governing board members, administrators, faculty members, students, and other persons in the belief that the colleges and universities of the United States have reached a stage calling for appropriately shared responsibility and cooperative action among the components of the academic institution. The Statement is intended to foster constructive joint thought and action, both within the institutional structure and in protection of its integrity against improper intrusions.

It is not intended that the Statement serve as a blueprint for government on a specific campus or as a manual for the regulation of controversy among the components of an academic institution, although it is to be hoped that the principles asserted will lead to the correction of existing weaknesses and assist in the establishment of sound structure and procedures. The Statement does not attempt to cover relations with those outside agencies which increasingly are controlling the resources and influencing the patterns of education in our institutions of higher learning; e.g., the United States Government, the state legislatures, state commissions, interstate associations or compacts and other inter-institutional arrangements. However it is hoped that the Statement will be helpful to these agencies in their consideration of educational materials.

Students are referred to in this Statement as an institutional component coordinate in importance with trustees, administrators, and faculty. There is, however, no main section on students. The omission has two causes: (1) the changes now occurring in the status of American students have plainly outdistanced the analysis by the educational community, and an attempt to define the situation without thorough study might prove unfair to student interests, and (2) students do not in fact presently have a significant voice in the government of colleges and universities; it would be unseemly to obscure, by superficial equality of length of statement, what may be a serious lag entitled to separate and full confrontation. The concern for student status felt by the organizations issuing this Statement is embodied in a note "On Student Status" intended to stimulate the educational community to turn its attention to an important need.

This Statement, in preparation since 1964, is jointly formulated by the American Association of University Professors, the American Council on Education, and the Association of Governing Boards of Universities and Colleges. On October 12, 1966, the Board of Directors of the ACE took action by which the Council "recognizes the Statement as a significant step forward in the clarification of the respective roles of governing boards, faculties, and administrations," and "commends it to the institutions which are members of the Council." On October 29, 1966, the

September 1, 1993



Council of the AAUP approved the Statement, recommended approval by the Fifty-third Annual Meeting in April, 1967,<sup>1</sup> and recognized that "continuing joint effort is desirable, in view of the areas left open in the jointly formulated Statement, and the dynamic changes occurring in higher education." On November 18, 1966, the Executive Committee of the AGB took action by which that organization also "recognizes the Statement as a significant step forward in the clarification on the respective roles of governing boards, faculties and administrations," and "commends it to the governing boards which are members of the Association."

## I. Introduction

This Statement is a call to mutual understanding regarding the government of colleges and universities. Understanding, based on community of interest, and producing joint effort, is essential for at least three reasons. First, the academic institution, public or private, often has become less autonomous; buildings, research, and student tuition are supported by funds over which the college or university exercises a diminishing control. Legislative and executive governmental authority, at all levels, plays a part in the making of important decisions in academic policy. If these voices and forces are to be successfully heard and integrated, the academic institution must be in a position to meet them with its own generally unified view. Second, regard for the welfare of the institution remains important despite the mobility and interchange of scholars. Third, a college or university in which all the components are aware of the interdependence, of the usefulness of communication among themselves, and of the force of joint action will enjoy increased capacity to solve educational problems.

## II. The Academic Institution: Joint Effort

### A. Preliminary Considerations

The variety and complexity of the tasks performed by institutions of higher education produce an inescapable interdependence among governing board, administration, faculty, students, and others. The relationship calls for adequate communication among these components, and full opportunity for appropriate joint planning and effort.

Joint effort in an academic institution will take a variety of forms appropriate to the kinds of situations encountered. In some instances, an initial exploration or recommendation will be made by the president with consideration by the faculty at a later stage; in other instances, a first and essentially definitive recommendation will be made by the faculty, subject to the endorsement of the president and the governing board. In still others, a substantive contribution can be made when student leaders are responsibly involved in the process. Although the variety of such approaches may be wide, at least two general conclusions regarding joint effort seem clearly warranted: (1) important areas of action involve at one time or another the initiating capacity and decision-making participation of all the institutional components, and (2) differences in the weight of each voice, from one point to the next, should be determined by reference to the responsibility of each component for the particular matter at hand, as developed hereinafter.

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<sup>1</sup>The Annual Meeting approved the Statement.



## B. Determination of General Educational Policy

The general educational policy, i.e., the objectives of an institution and the nature, range, and pace of its efforts, is shaped by the institutional charter or by law, by tradition and historical development, by the present needs of the community of the institution, and by the professional aspirations and standards of those directly involved in its work. Every board will wish to go beyond its formal trustee obligation to conserve the accomplishment of the past and to engage seriously with the future; every faculty will seek to conduct an operation worthy of scholarly standards of learning; every administrative officer will strive to meet his charge and to attain the goals of the institution. The interests of all are coordinate and related, and unilateral effort can lead to confusion or conflict. Essential to a solution is a reasonably explicit statement on general educational policy. Operating responsibility and authority, and procedures for continuing review, should be clearly defined in official regulations.

When an educational goal has been established, it becomes the responsibility primarily of the faculty to determine appropriate curriculum and procedures of student instruction.

Special considerations may require particular accommodations: (1) a publicly supported institution may be regulated by statutory provisions, and (2) a church-controlled institution may be limited by its charter or bylaws. When such external requirements influence course content and manner of instruction or research, they impair the educational effectiveness of the institution.

## C. Internal Operations of the Institution

The framing and execution of long-range plans, one of the most important aspects of institutional responsibility, should be a central and continuing concern in the academic community.

Effective planning demands that the broadest possible exchange of information and opinion should be the rule for communication among the components of a college or university. The channels of communication should be established and maintained by joint endeavor. Distinction should be observed between the institutional system of communication and the system of responsibility for the making of decisions.

A second area calling for joint effort in internal operations is that of decisions regarding existing or prospective physical resources. The board, president, and faculty should all seek agreement on basic decisions regarding buildings and other facilities to be used in the educational work of the institution.

A third area is budgeting. The allocation of resources among competing demands is central in the formal responsibility of the governing board, in the administrative authority of the president, and in the educational function of the faculty. Each component should therefore have a voice in the determination of short- and long-range priorities, and each should receive appropriate analyses of past budgetary experience, reports on current budgets and expenditures, and short- and long-range budgetary projections. The function of each component in budgetary matters should be understood by all; the allocation of authority will determine the flow of information and the scope of participation in decisions.

Joint effort of a most critical kind must be taken when an institution chooses a new president. The selection of a chief administrative officer should follow upon cooperative search by the governing board and the faculty, taking into consideration the opinions of others who are appropriately interested. The president should be



equally qualified to serve both as the executive officer of the governing board and as the chief academic officer of the institution and the faculty. His dual role requires that he be able to interpret to board and faculty the educational views and concepts of institutional government of the other. He should have the confidence of the board and the faculty.

The selection of academic deans and other chief academic officers should be the responsibility of the president with the advice of and in consultation with the appropriate faculty.

Determinations of faculty status, normally based on the recommendations of the faculty groups involved, are discussed in Part V of this Statement; but it should here be noted that the building of a strong faculty requires careful joint effort in such actions as staff selection and promotion and the granting of tenure. Joint action should also govern dismissals; the applicable principles and procedures in these matters are well established.<sup>2</sup>

#### D. External Relations of the Institution

Anyone--a member of the governing board, the president or other member of the administration, a member of the faculty, or a member of the student body or the alumni--affects the institution when he speaks of it in public. An individual who speaks unofficially should so indicate. An official spokesman for the institution, the board, the administration, the faculty, or the student body should be guided by established policy.

It should be noted that only the board speaks legally for the whole institution, although it may delegate responsibility to an agent.

The right of a board member, an administrative officer, a faculty member, or a student to speak on general educational questions or about the administration and operations of his own institution is a part of his right as a citizen and should not be abridged by the institution.<sup>3</sup> There exist, of course, legal bounds relating to defamation of character, and there are questions of propriety.

### III. The Academic Institution: The Governing Board

The governing board has a special obligation to assure that the history of the college or university shall serve as a prelude and inspiration to the future. The board helps relate the institution to its chief community: e.g., the community college to serve the educational

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<sup>2</sup>See the 1940 **Statement of Principles on Academic Freedom and Tenure** and the 1958 **Statement on Procedural Standards in Faculty Dismissal Proceedings**. These statements have been jointly approved or adopted by the Association of American Colleges and the American Association of University Professors; the 1940 Statement has been endorsed by numerous learned and scientific societies and educational associations.

<sup>3</sup>With respect to faculty members, the 1940 **Statement of Principles on Academic Freedom and Tenure** reads: "The college or university teacher is a citizen, a member of a learned profession, and an officer of an educational institution. When he speaks or writes as a citizen, he should be free from institutional censorship or discipline, but his special position in the community imposes special obligations. As a man of learning and an educational officer, he should remember that the public may judge his profession and his institution by his utterances. Hence he should at all times be accurate, should exercise appropriate restraint, should show respect for the opinion of others, and should make every effort to indicate that he is not an institutional spokesman."



needs of a defined population area or group, the church-controlled college to be cognizant of the announced position of its denomination, and the comprehensive university to discharge the many duties and to accept the appropriate new challenges which are its concern at the several levels of higher education.

The governing board of an institution of higher education in the United States operates, with few exceptions, as the final institutional authority. Private institutions are established by charters; public institutions are established by constitutional or statutory provisions. In private institutions the board is frequently self-perpetuating; in public colleges and universities the present membership of a board may be asked to suggest candidates for appointment. As a whole and individually when the governing board confronts the problem of succession, serious attention should be given to obtaining properly qualified persons. Where public law calls for election of governing board members, means should be found to insure the nomination of fully suited persons, and the electorate should be informed of the relevant criteria for board membership.

Since the membership of the board may embrace both individual and collective competence of recognized weight, its advice or help may be sought through established channels by other components of the academic community. The governing board of an institution of higher education, while maintaining a general overview, entrusts the conduct of administration to the administrative officers, the president and the deans, and the conduct of teaching and research to the faculty. The board should undertake appropriate self-limitation.

One of the governing board's important tasks is to insure the publication of codified statements that define the over-all policies and procedures of the institution under its jurisdiction.

The board plays a central role in relating the likely needs of the future to predictable resources; it has the responsibility for husbanding the endowment; it is responsible for obtaining needed capital and operating funds; and in the broadest sense of the term it should pay attention to personnel policy. In order to fulfill these duties, the board should be aided by, and may insist upon, the development of long-range planning by the administration and the faculty.

When ignorance or ill-will threatens the institution or any part of it, the governing board must be available for support. In grave crises it will be expected to serve as a champion. Although the action to be taken by it will usually be on behalf of the president, the faculty, or the student body, the board should make clear that the protection it offers to an individual or a group is, in fact, a fundamental defense of the vested interests of society in the educational institution.<sup>4</sup>

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<sup>4</sup>The American Association of University Professors, recognizing the growth of autonomous state-wide bodies superordinate to existing Boards of Trustees, regards the objectives and practices recommended in the 1966 **Statement** as constituting equally appropriate guidelines for such bodies. As newer, and more influential components of the academic community, they bear particular responsibility for protecting the autonomy of individual institutions under their jurisdiction and for implementing policies of shared responsibility as outlined in Section II when they displace functions of institutional governing boards. (Adopted by the AAUP Council in May, 1972.)



#### **IV. The Academic Institution: The President**

The president, as the chief executive officer of an institution of higher education, is measured largely by his capacity for institutional leadership. He shares responsibility for the definition and attainment of goals, for administrative action, and for operating the communications system which links the components of the academic community. He represents his institution to its many publics. His leadership role is supported by delegated authority from the board and faculty.

As the chief planning officer of an institution, the president has a special obligation to innovate and initiate. The degree to which a president can envision new horizons for his institution, and can persuade others to see them and to work toward them, will often constitute the chief measure of his administration.

The president must at times, with or without support, infuse new life into a department; relatedly, he may at times be required, working within the concept of tenure, to solve problems of obsolescence. The president will necessarily utilize the judgments of the faculty, but in the interest of academic standards he may also seek outside evaluations by scholars of acknowledged competence.

It is the duty of the president to see to it that the standards and procedures in operational use within the college or university conform to the policy established by the governing board and to the standards of sound academic practice. It is also incumbent on the president to insure that faculty views, including dissenting views, are presented to the board in those areas and on those issues where responsibilities are shared. Similarly the faculty should be informed of the views of the board and the administration on like issues.

The president is largely responsible for the maintenance of existing institutional resources; he has ultimate managerial responsibility for a large area of nonacademic activities, he is responsible for public understanding, and by the nature of his office is the chief spokesman of his institution. In these and other areas his work is to plan, to organize, to direct, and to represent. The presidential function should receive the general support of board and faculty.

#### **V. The Academic Institution: The Faculty**

The faculty has primary responsibility for such fundamental areas as curriculum, subject matter and methods of instruction, research, faculty status, and those aspects of student life which relate to the educational process. On these matters the power of review or final decision lodged in the governing board or delegated by it to the president should be exercised adversely only in exceptional circumstances, and for reasons communicated to the faculty. It is desirable that the faculty should, following such communication, have opportunity for further consideration and further transmittal of its views to the president or board. Budgets, manpower limitations, the time element, and the policies of other groups, bodies and agencies having jurisdiction over the institution may set limits to realization of faculty advice.

The faculty sets the requirements for the degrees offered in course, determines when the requirements have been met, and authorizes the president and board to grant the degrees thus achieved.

Faculty status and related matters are primarily a faculty responsibility; this area includes appointments, reappointments, decisions not to reappoint, promotions, the granting of tenure, and dismissal. The primary responsibility of the faculty for such matters is based upon the fact that its judgment is central to general



educational policy. Furthermore, scholars in a particular field or activity have the chief competence for judging the work of their colleagues; in such competence it is implicit that responsibility exists for both adverse and favorable judgments. Likewise there is the more general competence of experienced faculty personnel committees having a broader charge. Determinations in these matters should first be by faculty action through established procedures, reviewed by the chief academic officers with the concurrence of the board. The governing board and president should, on questions of faculty status, as in other matters where the faculty has primary responsibility, concur with the faculty judgment except in rare instances and for compelling reasons which should be stated in detail.

The faculty should actively participate in the determination of policies and procedures governing salary increases.

The chairman or head of a department, who serves as the chief representative of his department within an institution, should be selected either by departmental election or by appointment following consultation with members of the department and of related departments; appointments should normally be in conformity with department members' judgment. The chairman or department head should not have tenure in his office; his tenure as a faculty member is a matter of separate right. He should serve for a stated term but without prejudice to re-election or to reappointment by procedures which involve appropriate faculty consultation. Board, administration, and faculty should all bear in mind that the department chairman has a special obligation to build a department strong in scholarship and teaching capacity.

Agencies for faculty participation in the government of the college or university should be established at each level where faculty responsibility is present. An agency should exist for the presentation of the views of the whole faculty. The structure and procedures for faculty participation should be designed, approved, and established by joint action of the components of the institution. Faculty representatives should be selected by the faculty according to procedures determined by the faculty.

The agencies may consist of meetings of all faculty members of a department, school, college, division, or university system, or may take the form of faculty-elected executive committees in departments and schools and a faculty-elected senate or council for larger divisions or the institution as a whole.

Among the means of communications among the faculty, administration, and governing board now in use are: (1) circulation of memoranda and reports by board committees, the administration, and faculty committees, (2) joint *ad hoc* committees, (3) standing liaison committees, (4) membership of faculty members on administrative bodies, and (5) membership of faculty members on governing boards. Whatever the channels of communication, they should be clearly understood and observed.

#### **On Student Status**

When students in American colleges and universities desire to participate responsibly in the government of the institution they attend, their wish should be recognized as a claim to opportunity both for educational experience and for involvement in the affairs of their college or university. Ways should be found to permit significant student participation within the limits of attainable effectiveness. The obstacles to such participation are large and should not be minimized: inexperience, untested capacity, a transitory status which means that present action does not carry with it subsequent responsibility, and the inescapable fact that the other components of the institution are in a

position of judgment over the students. It is important to recognize that student needs are strongly related to educational experience, both formal and informal. Students expect, and have a right to expect, that the educational process will be structured, that they will be stimulated by it to become independent adults, and that they will have effectively transmitted to them the cultural heritage of the larger society. If institutional support is to have its fullest possible meaning it should incorporate the strength, freshness of view, and idealism of the student body.

The respect of students for their college or university can be enhanced if they are given at least these opportunities: (1) to be listened to in the classroom without fear of institutional reprisal for the substance of their views, (2) freedom to discuss questions of institutional policy and operation, (3) the right to academic due process when charged with serious violations of institutional regulations, and (4) the same right to hear speakers of their own choice as is enjoyed by other components of the institution.



B.5 STATEMENT ON PROFESSIONAL ETHICS

I. 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 obligations 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.

II. 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 acknowledge significant academic or scholarly assistance from them. They protect their academic freedom.

They avoid any exploitation, harassment, or discriminatory treatment of students.

III. 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.

IV. 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.

V. As members of their community, professors have the rights and obligations of other citizens. Professors measure the urgency of these obligations in the light of their responsibilities to their subject, to their students, to their profession, and to their institution. When they speak or act as private persons they avoid creating the impression of speaking or acting for their college or university. As citizens engaged in a profession that depends upon freedom for its health and integrity, professors have a particular obligation to promote conditions of free inquiry and to further public understanding of academic freedom. (July 1993)

September 1, 1993







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## B.6 POLICY STATEMENT ON SEXUAL HARASSMENT OF STUDENTS BY FACULTY

Consistent with its commitment to professional responsibility in education, Trinity College affirms and upholds a policy which:

(i) rejects the abuse of power through sexual harassment of students by faculty, and;

(ii) discourages amorous relationships between faculty members and students, and forbids them when the faculty member has responsibility for the student through teaching, advising, departmental, committee, or other professional obligations.

### I. PRINCIPLES:

- 1) Professional responsibility: the faculty is responsible for creating an environment in which learning can take place, an environment which includes freedom from invidious discrimination based on gender.
- 2) Academic freedom of students: both sexual harassment of students by faculty and amorous relationships between students and faculty can infringe the student's rights to arrange their course schedules and to choose academic advisors in a way that best serves their academic goals, to decide freely upon majors, and otherwise to make uninhibited use of the College's educational resources.
- 3) Conflict of interest: romantic or amorous relationships between faculty and students, even when apparently consensual, tend to distort the objectivity necessary to maintain professionalism and to fulfill the educational mission of the College.
- 4) Abuse of power: by virtue of their professional roles within the College, faculty members exercise significant power over students including the ability to determine grades and academic advancement, interactions of praise and criticism, the issuing of formal evaluations, advising, and provision of recommendations for future education or employment. When faculty members (subtly or overtly) inject sexual pressure into the faculty-student relationship, they abuse that power.

### II. POLICIES:

A. Sexual harassment of students is prohibited and subject to institutional sanctions. Sexual harassment is defined as non-consensual sexual advances, requests for sexual favors, or other sexually related verbal or physical conduct, on or off campus when:

1. submission to such conduct is made a condition, explicit or implicit, of an individual's education or employment; or



2. submission to or rejection of such conduct is used as a factor in or basis for decisions affecting an individual's education or employment: or
  3. such conduct has the purpose or effect of unreasonably interfering with an individual's education or employment by creating an intimidating, hostile, or offensive educational, living, or work environment.
- B. Codes of ethics for many professional associations forbid professional-client sexual relationships and in important way the professor-student relationship is analogous to a professional-client relationship. Hence, amorous relationships between faculty and students are improper when the faculty member has responsibility for a student through teaching, advising, departmental, or committee obligations. Because of the fundamentally asymmetric nature of such relationships, faculty members are held responsible and are personally liable to formal action.
- C. As a general rule, the College discourages amorous relationships between faculty and students even outside the context described in item B above, for such relationships may also lead to conflicts of interest, abuse of power, and infringement of student academic freedom. In any case, faculty members must understand that, even in the context of an apparently consensual relationship, they could be at risk of formal action by the College as well as personal legal liability if a complaint is brought against them by a student. Consent of the student may not be sufficient to shield a faculty member from institutional and/or legal action.
- D. Under Title VII of the Civil Rights Act of 1964, the College is responsible for the actions of its agents and supervisors, and for the actions of all other employees if the College knew or should have known about the sexual harassment. In view of its legal responsibilities and commitment to professional excellence, the faculty therefore endorses the following procedures, both formal and informal, for the enforcement of its policy against sexual harassment. (Passed May 4, 1993)



APPENDIX C. THE CHARTER, STATUTES, AND STANDING RULES  
OF THE BOARD OF TRUSTEES OF TRINITY COLLEGE

C.1 CHARTER OF TRINITY COLLEGE AS AMENDED

Whereas sundry inhabitants of this State, of the denomination of Christians called The Protestant Episcopal Church, have represented, by their petition addressed to the General Assembly, that great advantages would accrue to the State, as well as to the general interests of literature and science, by establishing within the State another Collegiate Institution; therefore,

I. **Resolved by this Assembly:** That Thomas C. Brownell, Harry Crowell, Elijah Boardman, Samuel W. Johnson, Birdsey G. Noble, Samuel Merwin, Nathaniel S. Wheaton, Elisha Cushman, Charles Sigourney, Thomas Macdonough, Richard Adams, David Watkinson, Ebenezer Young, Jonathan Starr, Jr., Nathan Smith, John Thompson Peters, Asa Chapman, Elias Perkins, John S. Peters, and Luther Loomis, and their successors be, and the same hereby are, constituted a body politic and corporate forever, by the name of "The Trustees of Trinity College," and by that name shall and may have continual succession hereafter and shall be able in law to sue and be sued, implead and be impleaded, answer and be answered unto, defend and be defended, in all courts and places whatsoever, and may have a common seal, and may change and alter the same at their pleasure; and also shall be able in law to take by purchase, gift, grant, devise, or in any other manner, and to hold any real and personal estate whatsoever; **Provided always**, That the clear yearly value of such real estate to be so acquired shall not exceed the sum of fifteen thousand dollars; and also that they and their successors shall have power to give, grant, bargain, sell, convey, or otherwise dispose of, all or any part of the said real and personal estate, as to them shall seem best for the interest of said College.

II. **Resolved**, That the said Trustees and their successors shall forever hereafter have full power and authority to direct and manage the Funds for the benefit of the institution, and also to prescribe and direct the course of study, and the discipline to be observed in the said College; and also to elect from their own number or otherwise a Board or Committee, to be called the Fellows of the College, to whom they may commit the superintendence of the course of study and discipline; and also to select and appoint a President of the said College, and such Professor or Professors, Tutor or Tutors, to assist the President in the Government and education of the Students belonging to the said College, and such other officer or officers as to the said Trustees shall seem meet, all of whom shall hold their office during the pleasure of the Trustees; **Provided always**, That no President shall be dismissed by the Trustees, without cause previously stated to him in writing, and a full opportunity allowed him for his defense, and by the concurrence of at least two-thirds of the Trustees; and **Provided further**, That no Professor, Tutor, or other assistant officer shall be eligible to the office of a Trustee.

III. **Resolved**, That any five of the said Trustees, lawfully convened as hereinafter directed, shall be a quorum for the dispatch of all business except for the disposal of real estate, or for the choice



of a President, or for the election of Trustees, for which purposes there shall be at least a majority of the whole number of Trustees.

IV. **Resolved**, That the President of the College shall always be, **ex officio**, but with vote, a member of the Board of Trustees; and that a Secretary of the Board shall be elected by the Trustees, to hold office during their pleasure.

V. **Resolved**, That the said Trustees shall have power to meet from time to time upon their own adjournment, and so often as they shall be summoned by their Chairman or President, or, in his absence, by the Senior Trustee, whose seniority shall be accounted according to the order in which the said Trustees are named in this act, and shall be elected hereafter; **Provided always**, That the said Chairman, or President, or the Senior Trustee, shall summon a meeting of the Trustees, when required thereto in writing, by three of the members; and **Provided also**, That he cause notice of the time and place of said meeting to be given in such manner as the Trustees shall in their by-laws prescribe.

VI. **Resolved**, That the said Trustees and their successors shall have power and authority to grant all such literary Honors and Degrees as are usually granted by any University, College, or Seminary of learning in this State, or in the United States; and in testimony of such grant, to give suitable Diplomas, under their seal and the signatures of the President and Secretary of the Board, which Diplomas shall entitle the possessors respectively to all the immunities and privileges which, either by usage or by statute, are allowed to possessors of similar Diplomas from any other University, College, or Seminary of learning.

VII. **Resolved**, That the said Trustees and their successors shall have full power and authority to make all Statutes and Standing Rules which to them shall seem expedient, for carrying into effect the designs of their Institution; **Provided always**, that such Statutes or Standing Rules shall not make the religious tenets of any person a condition of admission to any privilege in the said College, and that no President or Professor or other officer shall be made ineligible for or by reason of any religious tenet that he may profess, or be compelled, by any Statutes or Standing Rules, to subscribe to any religious test whatsoever; and **Provided also**, that none of the Standing Rules as aforesaid shall be inconsistent with the Constitution and Laws of the State, or with the Constitution and Laws of the United States.

VIII. **Resolved**, That the Funds which may at any time belong to the Institution now incorporated, shall enjoy the like exemptions from taxation, and the Institution itself, and its officers, shall enjoy the same privileges and exemptions, as have already been granted, or may hereafter be granted to Yale College, its officers, and its Funds.

IX. **Resolved**, That whenever Funds shall be contributed or secured to the said College, to the amount of Thirty Thousand Dollars, and not before, the Trustees may proceed to organize and establish the said College in such town in this State as they shall judge most expedient.

X. **Resolved**, That notwithstanding any provision heretofore contained in the Charter of The Trustees of Trinity College or the Standing Rules of the Board of Trustees of Trinity College, the following provisions dealing with the Board of Trustees of Trinity College shall govern the number, term of office, and manner of election of the Board of Trustees of Trinity College.



APPENDIX C. THE CHARTER, STATUTES, AND STANDING RULES  
OF THE BOARD OF TRUSTEES OF TRINITY COLLEGE

C.1 CHARTER OF TRINITY COLLEGE AS AMENDED

Whereas sundry inhabitants of this State, of the denomination of Christians called The Protestant Episcopal Church, have represented, by their petition addressed to the General Assembly, that great advantages would accrue to the State, as well as to the general interests of literature and science, by establishing within the State another Collegiate Institution; therefore,

I. **Resolved by this Assembly:** That Thomas C. Brownell, Harry Crosswell, Elijah Boardman, Samuel W. Johnson, Birdsey G. Noble, Samuel Merwin, Nathaniel S. Wheaton, Elisha Cushman, Charles Sigourney, Thomas Macdonough, Richard Adams, David Watkinson, Ebenezer Young, Jonathan Starr, Jr., Nathan Smith, John Thompson Peters, Asa Chapman, Elias Perkins, John S. Peters, and Luther Loomis, and their successors be, and the same hereby are, constituted a body politic and corporate forever, by the name of "The Trustees of Trinity College," and by that name shall and may have continual succession hereafter and shall be able in law to sue and be sued, implead and be impleaded, answer and be answered unto, defend and be defended, in all courts and places whatsoever, and may have a common seal, and may change and alter the same at their pleasure; and also shall be able in law to take by purchase, gift, grant, devise, or in any other manner, and to hold any real and personal estate whatsoever; **Provided always**, That the clear yearly value of such real estate to be so acquired shall not exceed the sum of fifteen thousand dollars; and also that they and their successors shall have power to give, grant, bargain, sell, convey, or otherwise dispose of, all or any part of the said real and personal estate, as to them shall seem best for the interest of said College.

II. **Resolved**, That the said Trustees and their successors shall forever hereafter have full power and authority to direct and manage the Funds for the benefit of the institution, and also to prescribe and direct the course of study, and the discipline to be observed in the said College; and also to elect from their own number or otherwise a Board or Committee, to be called the Fellows of the College, to whom they may commit the superintendence of the course of study and discipline; and also to select and appoint a President of the said College, and such Professor or Professors, Tutor or Tutors, to assist the President in the Government and education of the Students belonging to the said College, and such other officer or officers as to the said Trustees shall seem meet, all of whom shall hold their office during the pleasure of the Trustees; **Provided always**, That no President shall be dismissed by the Trustees, without cause previously stated to him in writing, and a full opportunity allowed him for his defense, and by the concurrence of at least two-thirds of the Trustees; and **Provided further**, That no Professor, Tutor, or other assistant officer shall be eligible to the office of a Trustee.

III. **Resolved**, That any five of the said Trustees, lawfully convened as hereinafter directed, shall be a quorum for the dispatch of all business except for the disposal of real estate, or for the choice



Section 1. The activities, property and affairs of The Trustees of Trinity College, a corporation specially chartered by the General Assembly, shall be managed by a Board of Trustees of not less than twenty nor more than twenty-seven persons, including the President of the College while in office.

Section 2. The Trustees may by majority of votes of the Trustees present at a meeting duly warned at which a quorum is present elect not more than twenty persons to serve as Charter Trustees for such term of not more than five years from the date of election as said Trustees may prescribe. Charter Trustees from herein shall mean Trustees elected on or after March 27, 1982. The Trustees in a like fashion, may fix a retirement age for all Charter Trustees upon the attainment of which the term of office of any such Charter Trustee shall end. Charter Trustees may serve no more than two complete terms successively, but are otherwise eligible for election to the Board of Trustees without absolute limitation on the number of years for which Charter Trustees may be re-elected. Should a Trustee, whose term expires, be serving as or be elected as the Chairman or Secretary of the Board, then such Trustee may serve an additional term beyond the two complete successive terms specified above. The President of the College, while in office, shall be a Charter Trustee, without limitation, and with full voting privileges.

Section 3. Trustees Emeriti may be elected by the Board of Trustees in accordance with such provisions as may be prescribed by the Trustees. The number of such Trustees Emeriti shall be at the discretion of the Trustees, and shall not be counted in the membership limitations of the Board as set forth in Section 1.

Section 4. The present persons who have been elected to serve as Alumni Trustees shall be Alumni Trustees of Trinity College, together with such other persons who may be elected from time to time as hereinafter set forth. From and after the day next preceding the public Commencement Day in the year 1968, there shall be not more than six Alumni Trustees.

Section 5. Any person shall be eligible to serve as an Alumni Trustee who has the qualifications required for voting for that office as set forth in Section 6 hereof, and whose class has for a period of at least five years been admitted to a degree at Trinity College.

Section 6. Except as provided in Section 7 hereof, all persons who have been admitted to any degree at Trinity College and all persons who have matriculated at Trinity College in a class which has been admitted to a degree and who no longer are in undergraduate status at Trinity College may cast their votes for an Alumni Trustee of said College, and the person for whom a plurality of such votes which shall on each of these days be cast shall be an Alumni Trustee during the following six years; if the same number of votes is cast for each of two or more persons, one of them shall be designated by lot conducted by the Board of Trustees to be such Alumni Trustee.

Section 7. The Board of Trustees, by a majority of votes of those present at a meeting duly warned at which a quorum is present, may elect, upon the death or other vacancy of the place of any Charter or Alumni Trustee, another to complete this term. The Executive Committee of the National Alumni Association shall nominate to the Board of Trustees an Alumni Trustee candidate to fulfill the unexpired term, and the Board of Trustees shall declare elected said Alumni Trustee at a meeting duly



warned at which a quorum is present. The Board of Trustees may make and declare vacant the seat of any Charter or Alumni Trustee who shall absent himself for any term of two years or from any four successive meetings duly notified.

Section 8. The Board of Trustees may establish, and at its pleasure alter, rules and regulations as to the manner in which votes shall be cast, and such other rules and regulations as it may deem necessary to carry into execution the provisions of the resolution.

Be it further **resolved**: That any provisions of the Charter of the Trustees of Trinity College or of the Standing Rules of the Board of Trustees inconsistent with the foregoing resolution shall be suspended for such time as said resolution remains in effect:

- Approved May, 1823, Vol. 1, Special Acts, State of Conn., Page 468**
- Amended May, 1845, Vol. 2, Special Acts, State of Conn., Page 67**
- Amended June 23, 1857, Vol. 5, Special Acts, State of Conn., Page 79**
- Amended March 21, 1883, Vol. 9, Special Acts, State of Conn., Page 739**
- Amended March 7, 1889, Vol. 10, Special Acts, State of Conn., Page 809**
- Amended April 14, 1962, Vol. 21, Page 806, Secretary of State's Records of Specially Chartered Corporations**
- Amended April 13, 1971, Vol. 24, Page 371, Secretary of State's Records of Specially Chartered Corporations**
- Amended October 7, 1972, Vol. 25, Pages 29 and 30, Secretary of State's Records of Specially Chartered Corporations**
- Amended March 31, 1980, Vol. 100, Pages 218-221, Secretary of the State's Records of Specially Chartered Corporations**
- Amended June 30, 1982, Vol. 100, Page 1325, Secretary of the State's Records of Specially Chartered Corporations**



TITLE I  
Of The Corporation

Section 1. The Board of Trustees is, by the Charter of the College, the supreme governing power.

TITLE II  
Of The Faculty

Section 1. The President and those Professors and other officers who are permanently engaged in the instruction and oversight of undergraduate and graduate students, the Dean of the Faculty and Librarian, constitute the College Faculty, to whom is committed the government of the students.

Section 2. The Board of Trustees may appoint, from time to time, a person who, in the absence of the President, shall, for all the ordinary purposes of government, act as President. The Faculty may delegate authority to committees of their own number appointed by themselves.

Section 3. A Secretary shall be appointed by the Faculty, who shall keep a correct record of their proceedings, subject at all times to the inspection of the Board of Trustees.

Section 4. The Faculty may make rules and by-laws for their own guidance and the administration of matters committed to their charge: provided such rules and by-laws do not conflict with the Charter or Statutes.

TITLE III  
Of The Association Of The Alumni

Section 1. The Association of the Alumni consists of all matriculated members of the College who are no longer in College, all recipients of honorary degrees, and all members of the Faculty under contract to the College.

Section 2. The Association has power to make laws and choose officers for its own government; and according to said laws to assemble from time to time, to consult and advise for the benefit of the College, and to exercise such other powers and privileges as are specially ceded by the Trustees.

Section 3. The Association has the right of nominating candidates for admission ad eundem gradum.

TITLE IV  
Of The Fellows

Section 1. The Board of Fellows shall consist of twelve Fellows, all of whom shall be Alumni/ae of the College. Six shall be nominated by the Executive Committee and appointed by the Trustees, Six shall be elected by the Association of the Alumni. Each Fellow shall continue in



office for three years from the time of the election. No Fellow may hold such office for more than two full consecutive terms.

Section 2. The Fellows are the official examiners of the College and make an annual report to the Trustees. Their function is to assist in an advisory capacity, the Board of Trustees and the administration of the College in the establishment of college policy. They shall have the right to make reports to; the Trustees at any time and they may recommend to the Trustees candidates for honorary degrees.

Section 3. The President of the College may appoint a representative to meet with the Board of Fellows and to act as an intermediary between the Trustees and the Fellows.

Section 4. The Board of Fellows shall choose a Chairman and a Secretary from their own number.

#### TITLE V Of The Academic Year

Section 1. The Academic Year shall be divided into two terms of approximately equal length, named respectively Christmas Term and Trinity Term with the opening and closing days as well as the other significant dates set by the Trustees.

#### TITLE VI Of Admission

Section 1. Candidates for admission shall present testimonials of good moral character, and if from other colleges shall also present certificates of honorable dismissal. Candidates must be at least fifteen years of age, and shall satisfy the prescribed requirements for admission.

Section 2. Students who do not propose to pursue all the studies of any of the regular courses, may be permitted, under the name of Special Students, to recite with any class in such studies as they shall be found qualified to pursue. They shall be subject to the rules, and, upon honorable dismissal, shall be entitled to a certificate from the President, stating the time they were members of the College, and the studies pursued during that time.

#### TITLE VII Of Matriculation

Section 1. Matriculation shall consist in signing, in the presence of the President and two or more Professors, or his appointee the following promise:

"I promise to observe the Statues of Trinity College; to obey all its Rules and Regulations, to discharge faithfully all scholastic duties imposed upon me; and to maintain and defend all the rights, privileges, and immunities of the College according to my station and degree in the same."

Section 2. The time of matriculation shall be fixed by the President in consultation with the Secretary of the Faculty.



TITLE VIII  
Of The Course Of Studies

Section 1. The studies shall be arranged in the following courses:

(1.) A course in Arts including such studies as shall be prescribed. Persons recommended by the Faculty as having completed this course, and having fulfilled the other prescribed requirements, will be granted the degree of Bachelor of Arts.

(2.) A course in Science including such studies as shall be prescribed. Persons recommended by the Faculty as having completed this course, and having fulfilled the other prescribed requirements, will be granted the degree of Bachelor of Science.

TITLE IX  
Of Collegiate Exercises

Section 1. Every student shall perform such collegiate exercises as shall be assigned him.

TITLE X  
Of Rooms and Boarding Places

Section 1. No student not residing with his parent or guardian may lodge in any building not owned or controlled by the College, without permission of the Dean. Such permission may be given upon such conditions and for such time, not exceeding one year, unless the permission is renewed, as the Dean may deem advisable.

Section 2. Rooms in the college buildings shall be assigned to the students under the supervision of the officer designated by the President. No student shall remove from one room to another without such officer's permission.

Section 3. Every student shall be responsible for all damage done to his room during his occupancy. He shall also be accountable for all improper conduct of any kind occurring in his room.

Section 4. Advance notice normally will be given when College authorities seek access to a student room to determine compliance with regulations and rules of the College. When, in the opinion of College authorities, danger to life, safety, health, or property is reasonably anticipated, College authorities may enter and examine student rooms without giving notice to the occupant(s) in advance.

Section 5. The students shall board only in such places as are approved by the Dean.

Section 6. Residence within the walls is not allowed during vacation, unless by permission of the Dean.

TITLE XI  
Of Discipline

Section 1. The Faculty shall keep a record of the progress in study, and general conduct of the students.

Section 2. The students shall be ranked in the several classes according to their progress in study.



Section 3. The punishments of the College shall be admonition, censure, restriction, suspension, dismissal, and expulsion, together with fines and extra work.

Section 4. When a student is suspended he is required to leave the College and vicinity at such time as the President may designate; and a failure to do so shall be considered a ground of additional disciplinary action.

#### TITLE XII Of Examinations

Section 1. At the close of the Christmas Term there may be examinations upon the studies of that term, in whole or in part, and at the close of the Trinity Term there shall be examinations, in whole or in part, upon the studies of that term, or upon the studies, at the discretion of the Faculty, of the whole Academic Year.

#### TITLE XIII Of Commencement

Section 1. The exercises of Commencement shall be assigned by the President, and shall be attended by the students in conformity with such arrangement as may be prescribed.

#### TITLE XIV Of Academic Degrees

Section 1. Matriculated students who are certified by the Faculty as having met all academic requirements and who have satisfied all financial obligations to the College, may be admitted by the Trustees to the degree of Bachelor of Arts or, in specified fields, the Bachelor of Science.

Section 2. The degree of Master of Arts, Master of Science or Master of Liberal Arts may be conferred by the Trustees on holders of the Baccalaureate degree who have satisfied all academic requirements prescribed by the Faculty and who have discharged all financial obligations to the College.

Section 3. Degrees shall be conferred by the President of the College, on Commencement Day, or at such other times as the Trustees may specially appoint.

#### TITLE XV Of The Library

Section 1. The Library shall be in the charge of the Librarian, who is empowered to make such regulations in regard to access to the Library, and the times and conditions of borrowing books, as he may deem necessary or desirable, subject to consultation with the President.

Section 2. A book shall be kept by the Librarian, in which shall be inscribed the names of all contributors to the Library, together with a list of the books which they have contributed.

Section 3. The Librarian shall make an Annual Report to the Board of Trustees on the state of the Library, the increase in the number of



books, and the sources from which they were derived, together with such other information as he may deem important.

TITLE XVI  
Of College Dues

Section 1. The Treasurer or Comptroller shall collect the charges for tuition and other fees at the beginning of each term. The term bills must be paid prior to registration or the College may deny registration and other college privileges. If additional charges are incurred after registration, payment is due immediately. Non-payment of term bills may result in suspension of the student until such time as payment is made. Any charges for damages to college property, fines, etc., shall be governed by the same rules as apply to the term bills.

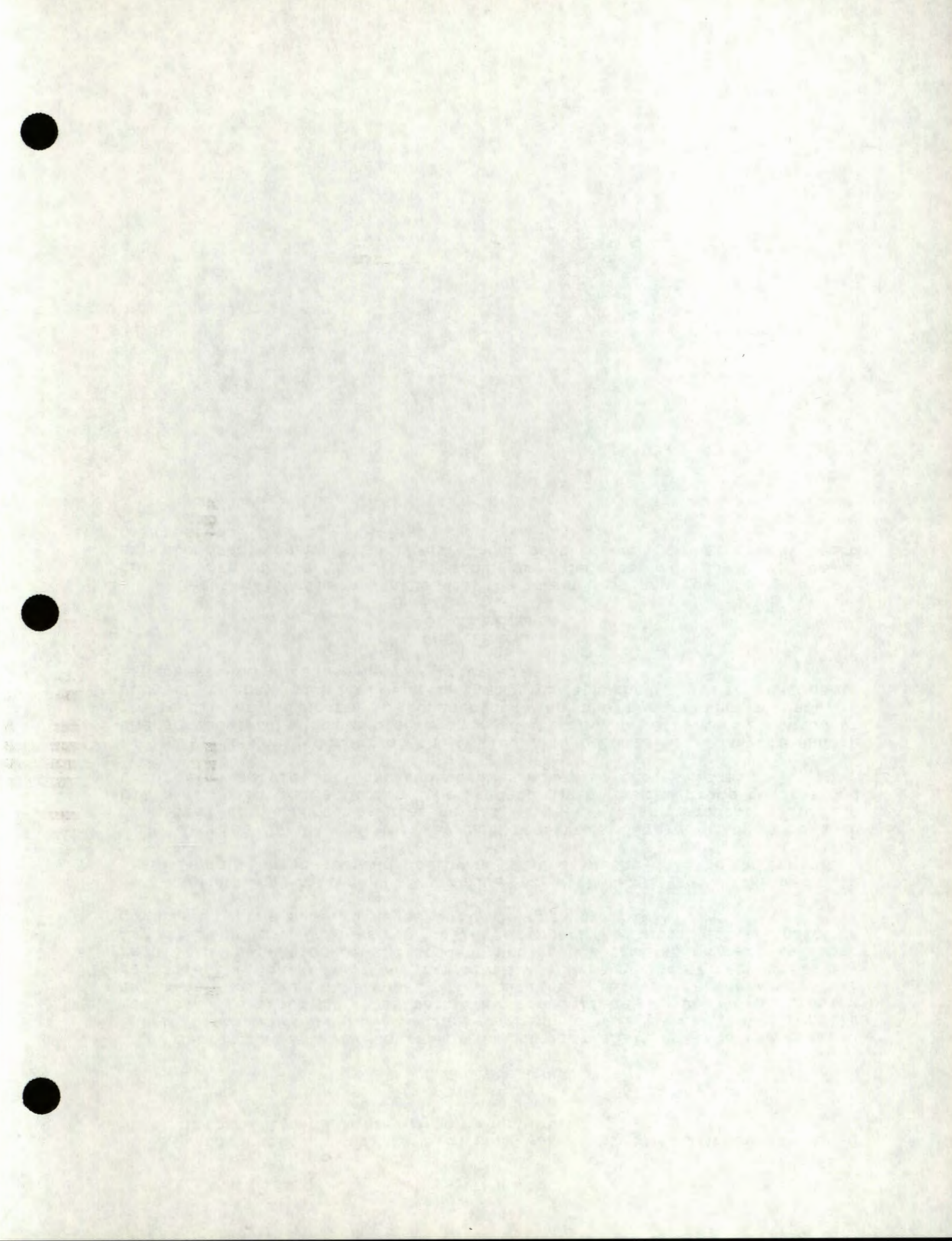
Refund of college charges due to withdrawal shall be made in accordance with the refund policy as stated in the College Bulletin.

Section 2. A student may not receive a degree or an honorable dismissal until the Treasurer certifies that all the student's college bills are paid. In addition, the student may be denied grade reports and transcript service if the student owes money to the College.

If, in the judgment of the College, it becomes necessary to engage the services of a collection agency or attorney to effect collection or to settle any dispute in connection with the terms, the student is subject to pay such collection agency or attorney's fees, reasonable expenses, and costs as hereby incurred.

TITLE XVII  
Of Amendments

Section 1. These Statues may be amended at any meeting by a two-thirds vote of the Trustees present, provided that ten days' notice of any proposed amendment shall have been sent to each member of the Board of Trustees.





I

THE BOARD OF TRUSTEES

1. The Board of Trustees shall hold at least three stated meetings each year, one before the Annual Commencement of the College, the other two at such hours and dates as the Trustees on the recommendation of the President shall appoint.

Except in cases where the Charter of Trinity College requires action to be taken by a duly convened meeting of the Board of Trustees, any action required to be taken by the Board or by any committee thereof may be taken by a written consent setting forth the action so taken and signed by all members of the Board or of a committee, as the case may be. Such unanimous written consent must be filed with the minutes of the proceedings of the Board or the committee.

2. In all elections to fill vacancies in the Board of Trustees, except in the case of elections of Alumni Trustees, the names of persons put in nomination for Trustees shall be sent out with the notice of the succeeding meeting.

3. Except in the case of elections of Alumni Trustees to fill unexpired terms, elections of Trustees may be by ballot if requested by any Trustee. All nominations not acted upon at any meeting shall lapse.

4. (1.) The election of Alumni Trustees to fill expired full-term positions shall be held on that day preceding Commencement Day, and declared at a meeting of the Trustees on that day.

(2.) All votes to be cast and counted must be delivered to the Treasurer of the College, by mail or otherwise, on or before the day preceding the election, each vote to be signed by the elector and enclosed in a sealed envelope, addressed to the Treasurer and marked "Vote".

(3.) These votes shall be opened at the said meeting of the Trustees, and the person receiving the highest number of votes shall be declared elected. If any two or more persons shall have the same number of votes, then the person to be declared elected shall be chosen by lot from the said persons having such equal number of votes.

(4.) The Alumni Association through a Nominating Committee selected as the Alumni Association may determine, may place in nomination candidates for office of Alumni Trustee. Nomination for Alumni Trustee may also be made by petition on an official nomination form signed by at least twenty-five (25) persons eligible to vote in accordance with the provisions of the Charter of The College. Any such petition must be received by the nominating committee by January 15 in any given year for the name of such person to be placed in nomination for that year. The names of the persons so placed in nomination by the nominating committee or by petition shall be certified to the Treasurer of the College in writing by a majority of the members of such Nominating Committee.



(5.) Prior to said meeting of the Trustees, the Treasurer shall send to the electors a circular giving the names of the nominees, together with a blank ballot for the election.

Nothing herein contained shall abridge in any way the right of the electors to vote for any person for the office of Alumni Trustee who is eligible thereto in accordance with the provisions of the Charter of the College.

(6.) Whenever death, resignation or other occurrence prevents the fulfillment of a full term of six years as an Alumni Trustee, the Executive Committee of the National Alumni Association shall nominate to the Board of Trustees an Alumni Trustee candidate to fulfill the unexpired term and Board of Trustees shall declare elected said Alumni Trustee at a meeting duly warned at which a quorum is present.

5. The term of office of an Alumni Trustee elected for a full term of six years shall commence immediately after the adjournment of the meeting at which the vote is declared. The term of office of a Charter Trustee elected to fill a vacancy shall commence immediately upon the close of said meeting.

6. No person shall be elected as a Charter Trustee, who is 70 or more years of age. All Trustees, except Trustees Emeriti, shall retire from the Board of Trustees at the first regular meeting of the Board following their 72nd birthday.

7. Former members of the Board of Trustees, whose resignation shall have been accepted by the Board, may become Trustees Emeriti. Trustees Emeriti shall be elected by the vote of a majority of the Trustees present at any meeting. Such Trustees Emeriti shall be duly notified by the Secretary of the time of meetings of the Board of Trustees, and shall be entitled to attend all meetings of the Board and to participate in the discussions and deliberations of the Board, but shall not be entitled to vote upon any matter or questions pending before the Board.

8. Trustees Emeriti shall serve for such terms as the Board of Trustees may prescribe and may attend all meetings of the Board, but shall have no vote therein.

9. The Board shall elect a Secretary to hold office during their pleasure.

10. The Trustees shall elect annually at the Commencement meeting a chairman of the Board of Trustees who shall be a Trustee who has not passed a seventieth birthday. No person shall be eligible for re-election to this position after serving five consecutive years. The Chairman shall have senior rank after the President at all academic ceremonies and occasions, and shall serve as the adviser of the President in matters that concern the Trustees and shall serve to advise the other Trustees about internal matters that affect the College.

11. The corporation, by the name of the Trustees of Trinity College, is by the Charter of the College the supreme governing power. To further the effective discharge of the Board's responsibilities, the Chairman of the Board of Trustees shall annually, subject to ratification by the Board, appoint from its membership the following Standing Committees and the Chairmen of such committees, to provide service and support to the full Board. The Standing Committees are as follows: an Executive Committee, a Committee on the Board, a Finance Committee, a Joint



Committee on Educational Policy, a Joint Committee on Appointments and Promotions, a Committee on Institutional Advancement, a Committee on Student Affairs, a Committee on the Physical Plant, and an Audit Committee. In addition, the Chairman of the Board of Trustees may from time to time appoint special or *ad hoc* committees and chairmen of such committees. The Chairman of the Board of Trustees, or, if the Chairman is absent, the President of the College, shall preside at Board meetings. Except as otherwise provided, the Chairman of the Board and the President of the College shall be *ex officio* members of all Standing Committees, with vote. When a regular member of a standing committee is unable to attend a meeting of that committee, the Chairman of the Board may designate any other member of the Board of Trustees as alternate to act with full powers for the absent member at that meeting.

Unless otherwise provided, half of the members of a Standing Committee shall constitute a quorum for the transaction of business.

12. The Executive Committee shall be composed of no fewer than seven Trustees. The President, or, if the President is absent, the Chairman of the Board of Trustees, shall be the Chairman of the Executive Committee.

Between meetings of the Board of Trustees, the Executive Committee shall have general supervision of the administration and property of the College except that unless specifically empowered by the Board of Trustees to do so, it may not take any action inconsistent with a prior act of the Board of Trustees, award degrees, alter the Statutes or Standing Rules, remove or appoint the President of the College, or take any other action which has been reserved to the Board.

The Executive Committee shall have general responsibility for the formulating of the College's long-term objectives and plans. It shall also oversee all legal matters pertaining to the College; shall receive and review all proposed nominations for honorary degrees and recommend such candidates to the Board; shall oversee the civic relations of the College; and shall transact such other business as may be referred to it by the Board of Trustees.

At each meeting of the Board of Trustees, the proceedings and actions taken by the Executive Committee since the last meeting of the Board shall be reported. The Committee shall provide for the safe custody of all valuable papers and records of the College, excepting securities.

13. The Investment Committee shall be composed of no fewer than five Trustees. The Investment Committee shall supervise the investing of endowment and other funds of the College and, as agent for the College shall have authority to invest and reinvest such funds, purchase or sell securities in the name of the College, engage one or more investment advisors, and delegate to one or more of its members and to the Treasurer authority to sign, either alone or together with such others as the Committee may designate, any documents necessary in such transactions. The Committee shall provide for the safe custody of all securities of the College. The Committee shall supervise the voting of proxies of securities of the College. It shall formulate and report to the Board policies and objectives with respect to spending and investment. The Committee shall keep minutes of its meetings, and at each meeting of the Board of Trustees, it shall report all transactions which it has completed or authorized since the previous meeting.

14. The Committee on the Board shall be composed of no fewer than three Trustees. The Committee shall review and present to the Board of Trustees nominations for Charter Trustees and Trustees Emeriti to be elected by the Board, and for Chairman and Secretary of the Board of Trustees. The Committee shall review and recommend to the Board of



Trustees procedures and structure appropriate for the organization and operation of the Board. The Committee shall report annually to the Board of Trustees and at such other times as may be requested by the Board or as may seem desirable to the Committee.

15. The Joint Committee on Educational Policy shall consist of the President and the Dean of Faculty, *ex officio*, with vote, and of six Trustees and six members of the Faculty, nominated by the Faculty body, and a member of the Board of Fellows to be appointed by the President. This Committee shall consider questions of educational policy and make recommendations to the Board of Trustees. To it will be referred all questions relating to changes in the Course of Study or Curriculum which the President deems to involve college policy. The Committee shall also oversee matters involving library resources and utilization.

16. The Joint Committee on Appointments and Promotions shall consist of the President and the Dean of the Faculty, *ex officio*, with vote, and of three Trustees and three members of the Faculty nominated by the Faculty body. To this committee shall be referred for recommendation to the Board of Trustees all appointments of new members to the Faculty at the level of associate professor or professor, all promotions to these ranks, and all awards of tenure.

17. The Committee on Institutional Advancement shall be composed of no fewer than five Trustees and shall have responsibility for fund-raising and public relations programs. The Committee shall have oversight of the relationship of the College to its various external constituencies, including alumni, parents, friends, corporations, foundations and government agencies. It shall also review and recommend to the full Board ways and means to meet institutional fund-raising needs and goals.

18. The Committee on Physical Plant shall be composed of no fewer than three Trustees. It shall oversee the operation, maintenance, and planning of all physical facilities and grounds of the College, including the Library. The Committee shall review plans and cost estimates for new and renovated facilities and shall recommend appropriate action. The Committee shall review and approve, as to design, location and inscription, any memorial before it is erected or placed in position in the college grounds or buildings, including the Chapel. The Committee shall review the annual operating and capital budgets of the Department of Buildings and Grounds and recommend approval to the Finance Committee. It shall report on its activities annually to the Board of Trustees and at such other times as it may be requested to do so by the Board of Trustees.

19. The Student Affairs Committee shall be comprised of no fewer than five Trustees. It shall oversee policies related to student life, admissions, enrollment planning, and financial aid, and it shall review student services and facilities as to their appropriateness to the educational and social purposes of the College. The Committee will consult with the Board of Fellows. It shall report and make recommendations to the Board of Trustees on matters for which it is responsible.

20. The Finance and Audit Committee shall be composed of no fewer than five Trustees. It shall have two major responsibilities. In its capacity as a Finance Committee it shall review and recommend annual operating and capital budgets, and make recommendations with respect



thereto for Board approval prior to the opening of each fiscal year. It shall monitor operating results under the budget and inform the Board of operating performance. The Committee shall supervise the capital expenditures of the College. All proposed capital expenditures exceeding \$100,000 and not included in a previously approved budget of the College shall be subject to review and approval by the Committee. All proposed capital expenditures exceeding \$250,000 shall also require review and approval of the Board.

## II

### SECRETARY

1. The Secretary shall discharge the duties usually devolving upon such officer.

2. The Secretary shall send to each member of any committee hereafter appointed a copy of the vote appointing such committee, within thirty days after the meeting at which the committee may have been appointed.

## III

### TREASURER

1. The Treasurer shall have charge of the capital funds of the College, except where otherwise provided. He shall not purchase or sell any securities except with the express approval of the Finance Committee. The Board of Trustees or the Executive Committee may by standing vote authorize him to sign documents necessary for the purchase or sale of such securities approved by the Finance Committee. He shall be bonded by a corporate surety in such amount as the Board of Trustees may from time to time direct.

2. The Treasurer shall make an annual report to the Board of Trustees of the transactions of his office and of the condition of the funds of the College.

## IV

### THE FACULTY

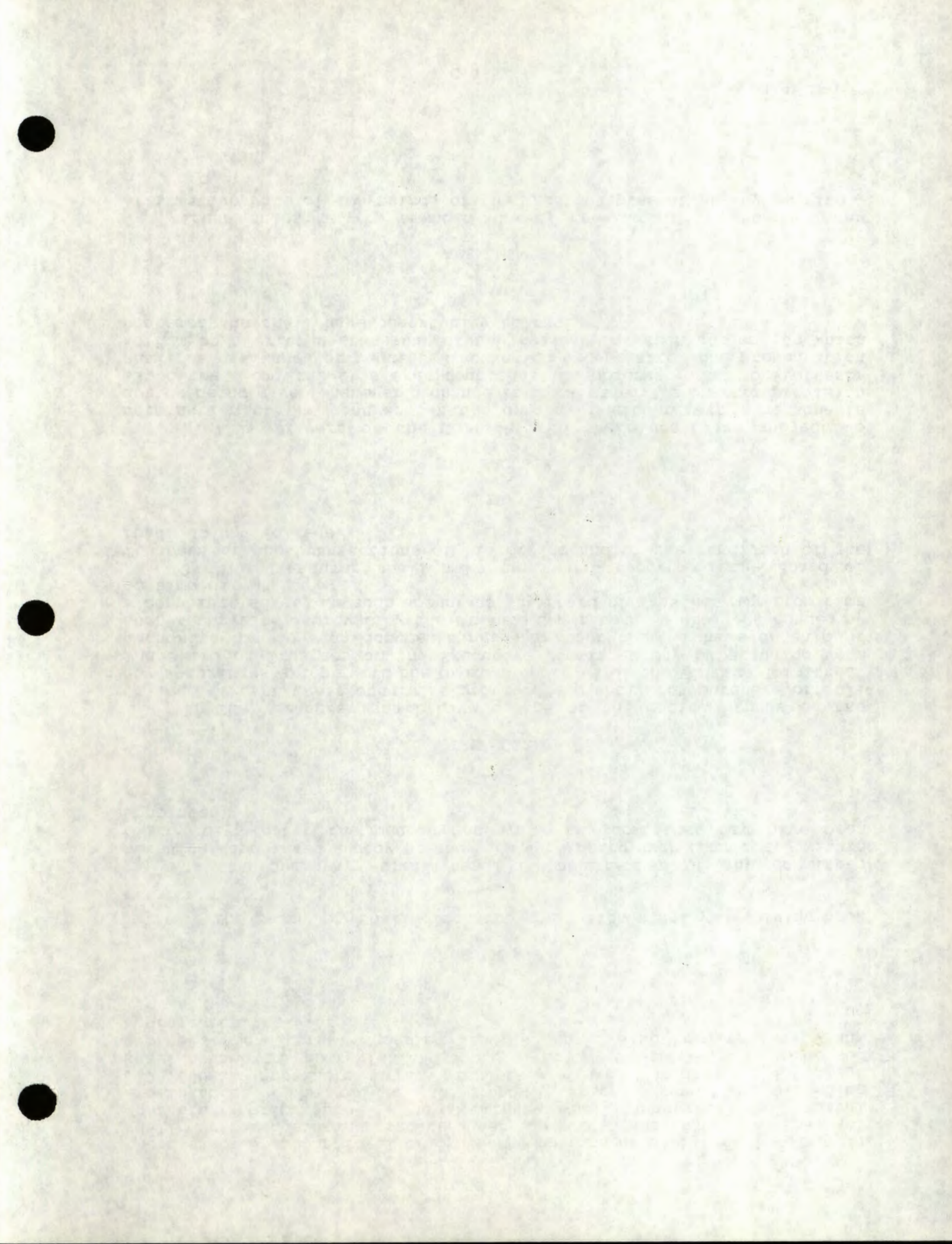
1. All officers of the College hold their positions subject to termination of the contract at the option of either party, reasonable notice being given whenever a change is to be made. The charter provision as to the dismissal of a President shall be observed; and no Professor shall be dismissed or requested to resign except after the presentation to him of a written statement of the reasons for such action, to which statement he shall have opportunity to reply.

## V

### AMENDMENTS

These rules may be amended at any meeting of the Board by an affirmative vote of two-thirds of the Trustees present at any meeting.







**Memoranda, Corrections, or Inserts to the Faculty Manual**

**(Trinity College, Hartford, CT)**

They may be part of the version or edition of the Manual that precedes this page.

They include the documents known and available within the

Trinity College Archives at the time of digitization.

*Note: The Trinity College Archives added this 'dividing page' prior to digitization.*

*ECS 3/5/2021*





## MEMORANDUM

To: The Faculty  
From: The Academic Freedom and Grievance Committee  
Re: Faculty Manual  
Date: December 15, 1994

Enclosed are 5 updated sections to the *Faculty Manual*. Four of them represent actions taken by the Faculty this semester which altered the *Manual*, and one of them is an Appendix passed by the Faculty in 1993 which was inadvertently omitted from the mailing to Faculty this fall.

The following items should replace items currently in your copy of the *Manual*.

1. Table of Contents, pps. ii - iv.
2. Section 2. Faculty Meeting Rules, pps. 2-1 to 2-3.
3. Section 9. Academic Freedom and Grievance Committee, pps. 9-1 to 9-4.
4. Appendix A.7 Formal Hearing and Investigation Procedures of AFGC, pps. A.7-1 to A.7-6.

Appendix B.6, "Policy Statement on Sexual Harassment of Students by Faculty," should be added to your copy of the *Manual* following Appendix B.5.





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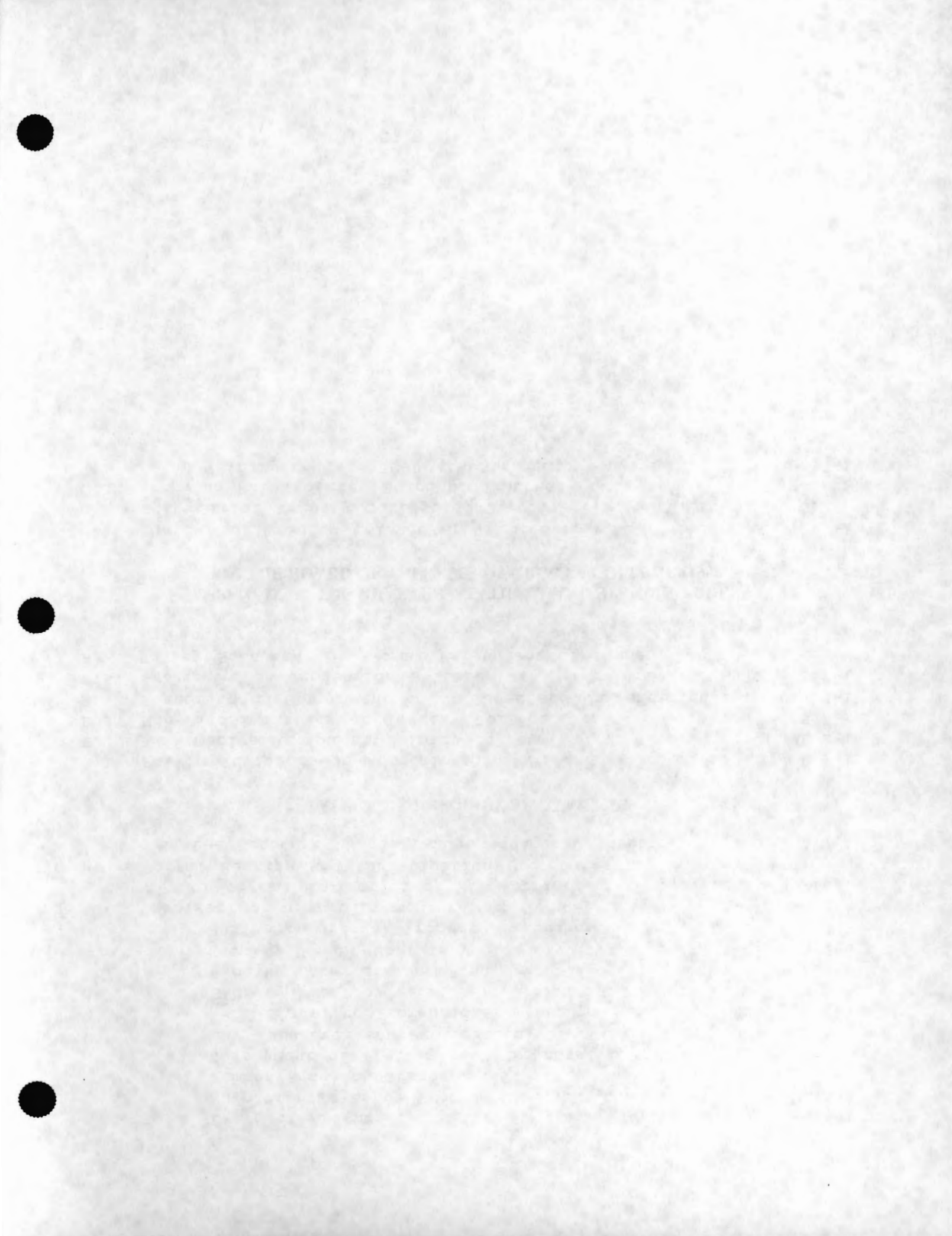
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## 2. FACULTY MEETING RULES

- (1) The Faculty meeting is the principal instrument by which the Faculty discharges its responsibility for ruling on curriculum and educational policy, Faculty status, aspects of student life which relate to the educational process, and all other matters that fall under the duties and prerogatives of the Faculty. The Faculty meeting is also the principal instrument for formulating Faculty recommendations to the Administration and the Trustees. Resolutions adopted by the Faculty meeting are statements of Faculty policy which bind Faculty committees and which serve to express the will of the Faculty to the Administration and Trustees. (Passed March 17, 1987)
- (2) Faculty meetings shall be designated stated or special. (Passed October 13, 1970)
- (3) Meetings will be conducted in accordance with Robert's Rules of Procedure. (Passed October 13, 1970)
  - (3)a. A quorum shall consist of fifty faculty members with voting rights. (Passed December 6, 1994)
  - (3)b. Two classes of resolutions pose particularly serious issues and therefore require for their approval the affirmative vote of at least three-fifths of the voting members in attendance. These are (1) motions calling for the creation or elimination of departments or programs, or for changes in the overall size of the Faculty, and (2) motions calling for changes in policies or procedures for appointments and promotions. (Passed March 17, 1987)
  - (3)c. At the beginning of each regularly scheduled Faculty meeting, following the approval of minutes, any old business will be taken up, followed by an inquiry of the chairpersons of each standing committee as to whether the committee has a report to present. (Passed March 17, 1987)
  - (3)d. A quorum shall be assumed to exist, unless the presider determines otherwise. A challenge to the existence of a quorum is privileged, and, upon such a challenge, the presider shall immediately determine whether a quorum exists. Votes taken under the assumption of a quorum may not be challenged at a later meeting on grounds that no quorum was present at the time of the vote. (Passed February 7, 1995)
- (4) Any motion presented to the Faculty that would alter the text of the Faculty Manual must be worded exactly as it would appear in the Faculty Manual and must specify precisely which parts of the Faculty Manual would be







changed if the Faculty approved the motion. (Passed December 4, 1990)

- (5) A parliamentarian will be appointed annually by the Committee on Committees. (Passed October 13, 1970)
- (6) Time and place of stated meetings will be established for the academic year at the beginning of the Fall semester and published. (Passed October 13, 1970)
- (7) Special meetings may be called by the President and will be called by the Secretary of the Faculty upon receipt of the written petition of one-third of the Faculty. (Passed October 13, 1970)
- (8) Business at special meetings will be confined to the specific business for which they are called and regular business will not be considered. (Passed October 13, 1978)
- (9) Committee reports, other than those of a routine nature should be prepared and distributed seven days before the stated meeting. Routine reports shall be laid before the meeting and passed without debate unless there is objection. (Passed October 13, 1978)
  - (9)a. Every standing committee of the Faculty shall be obliged to report at a Faculty meeting, even if only briefly, at least once each term. For the Spring term, this requirement may be fulfilled by the summary of the committee's annual report. (Passed March 17, 1987)
  - (9)b. Each standing committee of the Faculty shall submit an annual written report of its activities to the Faculty Secretary no later than the end of April. The chairperson or another representative of each standing committee shall present a summary of the committee's annual report at the stated May Faculty meeting. (Passed March 17, 1987)
- (10) Members, other than the proposer and seconder of a motion, may rise only once to speak to a particular motion, or part thereof, with the exceptions and qualifications found in Robert's Rules. However, the meeting may resolve itself into a Committee of the Whole in which event restrictions on debate will not apply. (Passed October 13, 1978)
- (11) No new business may be directed to the Faculty for action in the meeting at which it is presented except by a two-thirds vote of those present. It should instead be referred to the appropriate committee for consideration. The committee shall report to the Faculty by the next stated meeting. (Passed October 13, 1970)







- (12) It shall be a standing rule of the Faculty that all Faculty Meetings shall adjourn after one hour and fifteen minutes, unless the Faculty shall vote by a majority of those present to suspend this rule for a stated period. (Passed October 14, 1969)
- (13) The Faculty shall invite the Dean of the Faculty to address the Faculty at its first regular meeting in the academic year regarding general issues and policies affecting the Faculty in the upcoming year. (Passed February 12, 1991)
- (14) The Faculty shall invite the Chairperson of the Board to meet with the Faculty at its stated October meeting to report on the Trustees' agenda for the coming year, to answer any questions that the Faculty might have about that agenda, and to make any remarks about the state of the College that the Chairperson might deem appropriate. (Passed March 17, 1987)
- (15) The Faculty shall invite the President to report on budgetary prospects and issues at the stated October Faculty meeting. This report and Faculty responses to it will assist the Financial Affairs Committee in preparing its agenda for the remainder of the academic year. (Passed March 17, 1987)
- (16) The Faculty Secretary shall publish an annual report on attendance at Faculty meetings, listing by name all members of the Faculty who have attended fewer than half of all Faculty meetings, indicating whether attendance has risen or declined from levels of the previous year, and offering any suggestions for improving attendance that the Secretary might deem appropriate. (Passed March 17, 1987)
- (17) An observer of Student Government Association and student members of faculty committees shall be admitted on a non-voting basis to stated meetings of the Faculty, except in those instances when individual student statuses are under discussion or the Faculty acts to close the meeting. (Passed October 8, 1991)







## MEMORANDUM

To: The Faculty  
From: Academic Freedom and Grievance Committee  
Re: *Faculty Manual* Revisions  
Date: March 1, 1995

Recent Faculty action has again amended the *Faculty Manual* in a way that merits the prompt dissemination of the corrected section. The new material involves changes in Faculty Meeting rules. We are taking this opportunity to send in addition a corrected Table of Contents and a corrected Section 11. Section 11, The Advisory Committee on Fraternities and Sororities was amended by the Faculty on November 9, 1993, but the corrected Section was never included in the *Manual*. If we keep working on this, we may get it right some day.

Please substitute the enclosed new Table of Contents, Section 2 and Section 11 for the ones you now have in your copy of the *Faculty Manual* .

Mr. Peter J. Knapp  
College Archivist

Watkinson  
Library

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