Faculty Manual

September 2, 2025

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Preface

The *Faculty Manual* defines the instruments by which the Faculty conducts its own business, participates in Collegewide shared governance, defends its rights, prerogatives, and interests, and understands its responsibilities to the College. In doing so, the *Faculty Manual* adheres to the principles of shared government as stated in the 1966 *Statement on Government of Colleges and Universities*, jointly formulated by the American Association of University Professors, the American Council on Education, and the Association of Governing Boards, which can be found at: https://www.aaup.org/report/statement-government-colleges-and-universities. In keeping with these principles the contents of the *Manual* shall be limited to description of the Faculty powers, rights, benefits, organizations, and responsibilities. *(Passed March 17, 1987; Amended April 15, 2025)*

The work of this manual is further guided by the Joint Statement on Academic Freedom:

The purpose of this joint statement is to express Trinity College's enduring support for academic freedom, which, in its purest form, affirms the ability to search for truth and to express positions challenging the nature of that truth without fear of reprisal.

Trinity College adheres to principles of academic freedom expressed and given substance in the 1940 Statement of Principles on Academic Freedom and Tenure. In order to promote public understanding of the meaning and importance of academic freedom, the Trustees, faculty, and administration of Trinity College reaffirm their commitment to academic freedom, which applies to anyone with a teaching or research appointment at the College, and extends to three main activities:

(a) The freedom to teach one's subject and discuss material related to one's subject, recognizing that teaching and learning are inseparable activities requiring reciprocal respect between teachers and learners;

(b) The freedom to explore all avenues of scholarship, research, and creative expression and to disseminate the results; and

(c) The freedom to speak or write as a citizen on any matter of public concern and on any matter related to professional duties and institutional governance, without restraint beyond that imposed by professional standards and ethics or by law.

Because it is established as a professional right distinct from First Amendment speech rights, academic freedom emerges from expertise: it is assessed with reference to the intellectual positions expressed within disciplinary fields and domains of knowledge.

This joint statement has been prepared and endorsed by the College's Board of Trustees, President, and the Academic Freedom Committee. (February 4, 2025)

A note on the history of the *Faculty Manual*:

> 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 that 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 Academic Freedom Committee.

Under the Academic Freedom 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, a ninth in 1990, a tenth in 1993, an eleventh in 1995, and a twelfth in 1998, a thirteenth in 2005, followed by annual editions.

Academic Freedom Committee

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Contents

Preface i

I Organization of the Faculty and Academic Status 1

1 Definition of the Faculty 2

2 Faculty Meeting Rules 3

3 Secretary of the Faculty 6

4 Faculty Conference 8

5 Faculty Ombud 10

6 Parliamentarian 12

7 Guidelines for Committee Service 13

8 Academic Affairs Committee 14

9 Academic Freedom Committee 15

10 Admissions and Financial Aid Committee 17

11 Appointments and Promotions Committee 18

12 Appointments and Promotions Appeals Board 34

13 Athletic Advisory Committee 36

14 Committee on Institutional Advancement 37

15 Curriculum Committee 38

16 Educational Policy Committee 40

17 Faculty Research Committee 44

18 Financial Affairs Committee 45

19 Assessment Advisory Board 46

20 Library and Information Technology Committee (LITC) 47

21 Jury Pool 49

22 The Selection, Function, and Evaluation of Department Chairs 52

23 Confidentiality of Faculty Records **54**

24 Faculty Organizations **55**

25 The Tenure of Program Directors **56**

26 Faculty Grievance Committee **57**

II Appendices 58

Appendix A Conditions and Terms of Employment **59**
A.1 Faculty Salary . . . 59
A.1.1 Scale . . . 59
A.1.2 Salary Increases . . . 59
A.1.3 Pay Period . . . 59
A.2 Benefits Beyond Salary . . . 60
A.2.1 General Statement on Employee Benefit Plans . . . 60
A.2.2 Educational Benefits for Spouses and Dependent Children . . . 60
A.2.3 Faculty Retirement . . . 62
A.3 Support Programs . . . 63
A.3.1 College-Supported Faculty Research Programs . . . 63
A.3.2 Programs for Faculty Members . . . 63
A.3.3 Support for Student Research . . . 64
A.3.4 Program Limitations and Requirements . . . 64
A.3.5 Faculty & Student Conference Travel Guidelines and Forms . . . 64
A.3.6 Library Use . . . 66
A.3.7 Faculty Entertainment Fund . . . 66
A.3.8 Faculty Use of College Vehicles . . . 66
A.3.9 Appropriate Use of E-mail . . . 66
A.4 Formal Hearing and Investigation Procedures of the Academic Freedom Committee . . . 67
A.5 Trinity College Policy and Procedures for Review of Alleged Unethical Research Practices . . . 71
A.6 Financial Disclosure Policy for All Senior Personnel Conducting Research Funded by Federal Grants . . . 76
A.7 Types and Terms of Physical Education Faculty Appointments . . . 80
A.8 Trinity College Patent and Invention Policy . . . 83
A.9 Trinity College Policy on Consulting Contracts and the Use of Trinity Trademarks . . . 86

Appendix B Policy Statements **87**
B.1 Policy Statement on Academic Freedom . . . 87
B.2 Affirmative Action at Trinity College . . . 88
B.3 Trinity College Non-Discrimination Policy Statement . . . 89
B.4 Statement on Government of Colleges and Universities . . . 91
B.5 Statement on Professional Ethics . . . 97
B.6 Policy Statement on Sexual Harassment of Students by Faculty . . . 98
B.7 Teaching . . . 100
B.8 The Grading System . . . 103
B.9 Disciplinary Procedures and Dismissal of a Faculty Member with Tenure or Prior to the Expiration of the Faculty Member's Appointment . . . 105
B.10 Statement on the Relationship of Tenure and Disciplinary Action at Trinity College . . . 107
B.11 Statement on the Staffing of First-Year Seminars . . . 108
B.12 Procedures for Hearing Faculty Grievances . . . 109

Appendix C The Charter, Statutes and Standing Rules of the Board of Trustees **113**
C.1 Charter of the Trustees of Trinity College . . . 113
C.2 Statutes of Trinity College 1972 . . . 116
C.3 Amended and Restated Standing Rules of the Trustees of Trinity College . . . 119

Part I

Organization of the Faculty and Academic Status

1 Definition of the Faculty

1. *Voting rights on the Faculty shall be granted to:*

1.1. Those persons with tenured, tenure-track or other multiple-year, full-time Faculty appointments. (*Passed February 12, 1991)*

1.2. 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.

1.3. The President, the Dean of the Faculty, the Librarian. Changes in this category (1.3) shall be made only by a majority vote of those persons covered by categories 1.1 and 1.2. *(Passed November 11, 1969)*

1.4. 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)* The final authority on the interpretation of resolutions adopted by the Faculty and of the *Faculty Manual* is the Faculty itself, and only when meeting according to the Rules of this Section of the *Manual*, whether in a "stated" or a "special" meeting. *(Passed December 7, 1999)*

2. Faculty meetings will be chaired by the Secretary of the Faculty. If the Faculty Secretary cannot perform this duty, then the Faculty Ombud will chair the faculty meeting. *(Passed May 24, 2021)*

3. Faculty meetings shall be designated stated or special. *(Passed October 13, 1970)*

4. Meetings will be conducted in accordance with Robert's Rules of Procedure. *(Passed October 13, 1970)* The rules contained in the current edition of Robert's Rules of Order newly revised shall govern meetings of the Faculty in all cases to which they are applicable and in which they are not inconsistent with the *Faculty Manual* and any special rules of order the Faculty may adopt. *(Passed February 12, 2002)*

4.1. A quorum shall consist of fifty Faculty members with voting rights *(Passed December 6, 1994)*

4.2. 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. Normally a motion calling for a change in the size of the Faculty will be considered out of order unless a motion passed at an earlier Faculty meeting has authorized the Educational Policy Committee to inquire formally into the issues that give rise to the motion. In exceptional circumstances, the Faculty may waive this proviso at the request of EPC, but only if it is an increase in Faculty size that is contemplated. *(Passed March 17, 1987; Amended April 11, 1995)*

4.3. 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 Chairs of each standing committee as to whether the committee has a report to present. *(Passed March 17, 1987)*

4.4. 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)*

4.5. A faculty meeting may be held in an interactive virtual format if the Faculty Secretary, the Parliamentarian, and the Faculty Ombud reach a consensus that there is an emergency under which it is either impossible or inadvisable for the faculty to meet in person at the scheduled date and time. *(Passed March 10, 2020)*

5. 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*, must specify precisely which parts of the *Faculty Manual* would be changed if the faculty approved the motion, and must include a date on which the changes would become effective. *(Passed December 4, 1990; Amended February 14, 2006)*

6. A parliamentarian will be appointed annually by the Committee on Committees. (*Passed October 13, 1970)*

7. Time, place, and format of stated meetings will be established by Faculty Conference for the academic year no later than the beginning of the Fall semester and published. In addition to any motions brought forward, faculty meetings are an important time for the faculty to discuss topics of interest, and for committees and the administration to

keep the faculty abreast of important issues, and so should not be cancelled lightly. However, if no motions, committee reports, proposed presentations or updates from the administration, or faculty discussion topics have been submitted to the Faculty Secretary as of 10 days prior to the scheduled meeting, the meeting may be cancelled by a decision of the Secretary and the Faculty Conference. Faculty meetings may, in emergency situations, be rescheduled or shifted in format by the Faculty Secretary and the Faculty Conference after consultation with the President. *(Passed October 13, 1970; Amended March 16, 2021; May 10, 2021; September 12, 2023)*

8. Special meetings may be called by the President, will be called by the Secretary of the Faculty upon receipt of the written petition of one-third of the Faculty, and may be called by the Secretary of the Faculty after consultation with the President and with the consent of the Faculty Conference. *(Passed October 13, 1970; Amended March 16, 2021)*

9. 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)*

10. 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)*

10.1. 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)*

10.2. 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 Chair 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)*

11. 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)*

12. 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)*

13. 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)*

14. 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)*

15. The Faculty shall invite the Chair of the Board to meet with the Faculty, typically at its stated April 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 Chair might deem appropriate. *(Passed March 17, 1987; Amended November 9, 2021)*

16. 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)*

17. 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)*

18. 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)*

19. The Faculty shall invite the President of the Student Government Association to address the Faculty briefly, early in the fall term, about the agenda of the SGA for the coming year. *(Passed April 3, 2001)*

3 Secretary of the Faculty

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)*

1. *Membership, Election, Tenure*

1.1. The Secretary of the Faculty shall serve for a two-year term of office and shall not serve more than two consecutive terms.

1.2. The Secretary of the Faculty shall chair the faculty meetings. If the Faculty Secretary cannot perform this duty, then the Faculty Ombud will chair the faculty meeting. *(Passed May 24, 2021)*

1.3. The Secretary of the Faculty shall meet with the President prior to the start of each semester to discuss the schedule of President's updates at the faculty meetings for that semester. *(Passed May 24, 2021)*

1.4. All Faculty who have tenure at the College and who do not hold a concurrent appointment listed under Administration, shall be eligible to become Secretary of the Faculty. *(Amended November 13, 2007)*

1.5. The Secretary's term of office shall commence on the first day of July following the Secretary's election. *(Amended November 13, 2007; April 10, 2018)*

1.6. 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.

1.7. To aid the Secretary in performing their duties, part-time secretarial assistance will be available. *(Passed December 17, 1968)*

2. *Jurisdiction, Obligations, Procedures*

2.1. The duties of the Faculty Secretary fall into two broad categories:

2.1.a. Facilitating communications among members of the Faculty, between the Faculty and the administration, and between the Faculty and the Trustees.

2.1.b. Expediting Faculty action on matters of concern to the Faculty, in concert with the Faculty Conference, which the Secretary chairs. This includes the ability, after consultation with the President and with the consent of the Conference, to call special faculty meetings. *(Passed March 17, 1987; Amended March 16, 2021)*

2.1.c. The Faculty Secretary shall ensure, in collaboration with the College Archivist and the Chairs of Faculty Committees, that an archive of important papers necessary to the continuity and good functioning of Faculty Governance be maintained. Both standing and Ad Hoc Committees shall deposit in the Faculty Governance archive their instructions, guidance, records of activity, procedure, policy and interpretation for future Committees. Confidential and personal records will not be housed in the Faculty Governance Archive. All Faculty members with voting privileges shall have access to the Faculty Governance Archive except as otherwise restricted by the *Faculty Manual*. *(Passed April 8, 2003)*

2.2. Communications which require Faculty action normally should be channeled through the Secretary.

2.2.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.

2.2.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.

2.2.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.

2.2.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)*

2.2.e. As the elected representative of the Faculty, the Secretary shall meet with the President and Deans of Faculty on a regular basis, and shall report to the Faculty once each semester on administrative affairs that the Secretary deems to be of concern to the Faculty. *(Passed March 17, 1987; Amended April 10, 2018)*

3. *Agenda*

3.1. The Secretary shall provide each member of the Faculty, normally ten days 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. *(Amended April 10, 2018)*

3.1.a. Motions to be introduced for deliberation and action should be submitted to the Secretary in writing for inclusion in the agenda 14 days prior to the meeting and distributed to voting members ten days prior to the meeting. *(Passed April 10, 2018; Amended February 14, 2023)*

4. *Official Communication*

4.1. All official communications from the Faculty to others shall be made through the Secretary.

4.1.a. The Secretary shall ensure that accurate minutes are taken at Faculty meetings, and present such minutes to the Faculty for approval. *(Passed April 10, 2018)*

4.1.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.

4.1.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)*

4.1.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*

5.1. 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.

5.2. The Secretary shall be sent the agendas and the minutes of all meetings of the committees defined in 3.5.1 above.

5.3. The Secretary shall represent the Faculty at academic ceremonies of the College. *(Passed December 17, 1968)*

4 Faculty Conference

There shall be a Trinity Faculty Conference.

1. *Membership, Election, Tenure*

1.1. 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.

1.2. 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)*

1.3. The Trinity Faculty Conference shall have at least one member from each of the following divisions: Natural Sciences, Engineering, and Mathematics; Social Sciences; Arts and Humanities. *(Passed March 6, 2018)*

1.4. The Trinity Faculty Conference shall consist of eight members, seven of whom shall be elected by the Faculty as defined in 1.1 above for two years by secret ballot. The eighth member shall be the Secretary of the Faculty who shall also be the Chair of the Trinity Faculty Conference.

1.5. If any of the seven members elected directly to the Trinity Faculty Conference is unable to complete their terms, the position shall be filled by the Trinity Faculty Conference itself, for the duration of the unexpired term.

1.6. 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 July following the election. *(Amended March 6, 2018)*

2. *Jurisdiction, Obligations, Procedures*

2.1. 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. The Trinity Faculty Conference may authorize the Secretary of the Faculty to call a special faculty meeting after the Secretary has consulted with the President. *(Amended April 8, 2003; March 16, 2021)*

2.2. The Trinity Faculty Conference shall be the principal elected body responsible for representing the Faculty in matters concerning the *Faculty Manual* to the administration and the Board of Trustees, based on the principles of shared governance articulated in the Preface to this *Manual*. *(Amended April 15, 2025)*

2.3. Faculty Conference shall, at its discretion, act as an adjudicator when, in the process of faculty governance, doubt or differences of opinion arise concerning the interpretation of language in the *Faculty Manual*. Upon receiving and accepting a request to adjudicate such a matter, the Faculty Conference shall confer with the Parliamentarian and gather such information as it needs to make its decision, observing appropriate confidentiality standards in handling sensitive information. If, in Faculty Conference's judgment, changes to the *Faculty Manual* should be considered, those changes will be pursued in accordance with the procedures for "Amending the *Faculty Manual*." *(Passed May 2, 2006; Amended April 15, 2025)*

2.4. The Trinity Faculty Conference shall examine, evaluate and bring to the attention of the President, Dean of the Faculty and other appropriate offices of the College concerns of a non-personal nature relating to policies, procedures, or the implementation thereof, as they relate to teaching, advising, scholarly or creative work. The Faculty Conference shall seek responses to such issues and report back to the Faculty. *(Passed April 8, 2003)*

2.5. The Trinity Faculty Conference shall not possess legislative functions, provisional or otherwise.

2.6. 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. Before embarking on the evaluation, the committee will meet with the President to set clear and explicit standards for evaluation, based on the Dean's job description. The results of the evaluation shall

be conveyed confidentially to the Dean and presented confidentially to the President during a meeting with the committee. Past evaluations of an incumbent Dean of the Faculty shall be made available to subsequent evaluation committees. *(Passed March 17, 1987; Amended September 24, 1991; December 12, 2006)*

2.7. 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.

2.8. 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)*

2.9. The Trinity Faculty Conference shall, no later than the beginning of Fall semester, establish the schedule of stated faculty meetings for the year and notify the faculty of the schedule. *(Passed May 24, 2021)*

3. *Faculty Governance*

3.1. It shall be the responsibility of the Conference to submit nominations for membership on the various elected committees and conduct elections for all Committees, the Conference, the Faculty Secretary, the Ombud, and the Parliamentarian. Elections to committees will be conducted in April. In case of resignations, the Conference shall have the power to appoint a replacement who will hold membership on the Committee until the next election.

3.2. All Faculty members have an obligation to serve on Faculty committees. Faculty committees should generally reflect academic areas and Faculty structure. The Conference shall have the responsibility of not only soliciting nominations from individuals, but also seeking out nominees to assure appropriately balanced slates.

3.3. At the end of each term the chairs of Faculty committees shall report to the Conference 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 Conference shall, in consultation with committee chairs, appoint replacements for dropped committee members. (See *Manual*, section 7: Guidelines for Committee Service, p. 13.)

3.4. The Conference 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 the Secretary's 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. *(Section 3 Passed February 9, 2010)*

(Passed March 5, 1968)

5 Faculty Ombud

The Ombud serves as an impartial and confidential investigator in any specific case of alleged inequity, unfairness or maladministration.

1. *Membership, Election, Tenure*

1.1. Qualifications: Rank of tenured associate or full professor with at least five years' service to the College. The Ombud may not serve concurrently on the Appointments and Promotions Committee, the Appointment and Promotions Appeals Board or the Academic Freedom Committee.

1.2. Term: Elected for 3 years.

1.3. Teaching Load Reduction: The Ombud shall receive a teaching load reduction of 1 Teaching Unit (TU) per academic year.

2. *Jurisdiction, Obligations, Procedures*

2.1. Types of informal actions:

2.1.a. Hearing in confidence and seeking to resolve individual grievances and cases of alleged infringements of academic freedom.

2.2. Methods appropriate to problems of equity:

2.2.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;

2.2.b. Investigate, in confidence, to determine the degree of validity of the complaint;

2.2.c. Mediate or otherwise resolve the problem, arriving in confidence at what appears to the Ombud to be a just resolution (in the dismissal of the complaint, or in recommended action based on a warranted complaint);

2.2.d. Referral of cases, with the approval of the complainant, in which informal resolution cannot be achieved to the Academic Freedom Committee for Formal Hearing or Formal Investigation.

2.3. Notwithstanding the foregoing, the Ombud will not become involved 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, academic freedom, severance and discipline; and such matters as student discipline as established by College regulations and procedures on matters of discipline and dispute) except that the Ombud may, on the basis of their 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.

2.4. Report and recommend to the Faculty or its committees, on the basis of experience, appropriate changes in the procedures and processes that have given rise to particular grievances.

2.5. Regular reports to the Faculty, including, when appropriate, remarks on the resolution of particular cases.

2.6. Powers:

2.6.a. Access to all pertinent records;

2.6.b. The right to inquire of any member of the Faculty, administration, student body, member of the clerical and custodial staffs, in connection with the Ombud's proper inquiries and to receive full and complete answers;

2.6.c. The right to mediate or otherwise arrive at a compromise or to arrive at the Ombud's own proposal for solution of the problem at hand;

2.6.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 persons, having completed the foregoing processes in confidence, and in terms appropriate to the case and in fairness to all parties involved;

2.6.e. The right to make final public report in the matter to the Faculty, the College, or otherwise as in the Ombud's judgment will promote a just final disposition of any case.

(Passed October 13, 1970; Amended May 5, 1998; February 11, 2020)

6 Parliamentarian

The Faculty Parliamentarian shall be the officer charged with advising the Faculty on the rules relating to Faculty governance and the conduct of Faculty business.

1. *Membership, Election, Tenure*

1.1. Qualifications: Rank of associate or full.

1.2. Term: Elected for 2 years.

2. Jurisdiction, Obligations, Procedures

2.1. Attend Faculty meetings and advise chair on rulings, based on the *Faculty Manual* and Robert's Rules of Order;

2.2. Be available to advise the Faculty and the Administration on the interpretation of the *Faculty Manual*.

2.3. The Parliamentarian shall be responsible for investigating archival and other sources to determine documentary evidence and precedents relevant to Faculty governance.

2.4. The Parliamentarian shall in all cases act with impartiality and neutrality in making rulings.

(Passed February 9, 2010)

7 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. If the faculty election does not yield a faculty member to represent a specific division of the College on a committee, Faculty Conference shall contact members of that division and appoint an eligible member. If no faculty member is available, the vacancy (until the next election) shall be filled by a candidate who ran for election with relevant scholarship from a closely aligned division. If no such candidate ran for election, Faculty Conference shall appoint a faculty member (until the next election) with relevant scholarship from the most closely aligned division. *(Passed February 14, 2023)*

4. Previously tenured professors on phased retirement shall be eligible to serve out their term or to replace regularly elected members when no eligible tenured faculty member who ran for the committee in question is available as a replacement. *(Passed May 9, 2023)*

5. At the end of each term the chairpersons of Faculty committees shall report to the Faculty Conference 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 Faculty Conference shall, in consultation with committee chairs, appoint replacements for dropped committee members. *(Passed March 17, 1987; Amended December 13, 2016)*

6. Committee members are obliged to maintain the confidentiality of discussions and circulated materials to which they are a party. This is an expectation of committee membership. What materials and which discussions should be held as confidential, and for how long, should be established as clearly as possible by each committee. The confidentiality of ongoing discussions and their related materials should be presumed.

Complaints about breaches of confidence should be brought to the attention of the committee and directed to the Ombud for resolution. Breaches of confidentiality may result in committee members being dropped from their committees. The Faculty Conference shall, in consultation with the committee, appoint replacements for dropped committee members. *(Passed December 13, 2016)*

8 Academic Affairs Committee

1. *Membership, Election, Tenure*

1.1. 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 dean (non-voting), (d) a Dean from the Dean of Faculty Office (non-voting), (e) Three students.

1.2. Faculty members will serve for a term of three years, two members elected annually.

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

2. *Jurisdiction, Obligations, Procedures*

2.1. 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, 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)*

2.2. 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; Amended April 10, 1984)*

2.3. One member of the committee shall be appointed to be the liaison to the Communications Office, Curriculum Committee, and the Individual Degree Program (IDP) for the purpose of updates to the College Bulletin and Student Handbook that pertain to academic policies and procedures.

(Passed January 16, 1970; May 6, 1975; Amended May 20, 1983; May 8, 1984; February 14, 2006; March 8, 2016; April 10, 2018)

9 Academic Freedom Committee

1. *Membership, Election, Tenure*

1.1. 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. Members of the Appointments and Promotions Committee, members of the Appointments and Promotions Appeals Board and the Ombud may not serve concurrently on the Committee. *(Passed February 3, 1970, Amended December 6, 1994; April 9, 1996)*

2. *Jurisdiction, Obligations, Procedures*

2.1. 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:

2.1.a. Review of cases which originate with the Faculty Ombud and are appealed by one of the parties involved, or brought to the Committee by the Ombud.

2.1.b. Formal hearings may be convened to consider:

2.1.b.i. Cases of Faculty dismissal (See Appendix B.9, p. 105);

2.1.b.ii. Allegations of infringement of academic freedom that have been investigated by the Ombud but which have progressed to a stage where informal resolution by the Ombud is not possible;

2.1.b.iii. Allegations of infringement of academic freedom brought directly to the Academic Freedom Committee by a Faculty member for formal investigation and hearing;

2.1.b.iv. Any other grievance brought to the Committee by the Ombud because informal resolution could not be achieved. (See *Faculty Manual* Section 5.2.2.d on p. 10).

In conducting formal hearings the Committee should utilize procedures which 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.

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 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 Committee may determine whether academic freedom has been violated, the Academic Freedom 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)*

2.1.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 the 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)*

2.1.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.

2.1.e. The Committee should report annually to the Faculty on the state of academic freedom at the College. *(Passed February 3, 1970)*

2.2. 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)*

2.3. A subsidiary, but closely related, task of the Committee is the editing of the *Faculty Manual*. In this regard:

2.3.a. A subcommittee shall be formed to edit the *Faculty Manual*.

2.3.b. Its primary function shall be to determine the contents of the *Manual* and to prepare it for publication.

2.3.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*.

2.3.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*.

2.3.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; Amended May 5, 1998)*

10 Admissions and Financial Aid Committee

1. *Membership, Election, Tenure*

1.1. Membership of the Committee shall consist of five elected Faculty members, one each from arts/humanities, math/natural sciences, and social sciences; the Chief Admissions Officer (nonvoting); the Director of Financial Aid (nonvoting); the Director of Institutional Research and Planning (nonvoting); the Director of Athletics (nonvoting); two undergraduates, one male, one female, one of whom should be from a minority group. *(Passed October 19, 1976; Amended March 17, 1987; December 12, 1989; May 11, 2004; March 13, 2007)*

1.2. Elected faculty members will serve for a term of three years. *(Passed February 14, 2023)*

2. *Jurisdiction, Obligations, Procedures*

2.1. 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 Committee has the following primary responsibilities:

2.2. Maintaining a continuous review of admissions and financial aid policies;

2.3. Assisting, where possible, the Admissions Office in the development of recruitment strategies, in particular strategies that enlist the aid of Faculty and students;

2.4. Recommending, 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;

2.5. Reporting to the Faculty in writing at least once each academic year.

In addition, the Committee shall:

2.6. 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;

2.7. Inform itself about trends or activities external to the College which might influence the work of the two offices and the policies they pursue;

2.8. Help inform the staff of each office about academic opportunities available at Trinity and about important academic and intellectual achievements of Faculty and undergraduates;

2.9. 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;

2.10. Assist, from time to time, with evaluations of the undergraduate experience as it affects admissions recruitment.

(Passed October 19, 1976; Amended March 17, 1987; December 12, 1989; March 13, 1990; May 11, 2004; March 13, 2007; February 14, 2023)

11 Appointments and Promotions Committee

The A&P section of the *Faculty Manual* being of considerable complexity, the Academic Freedom Committee places this "Table of Contents" at the start of Section 11. [Added Spring 2005]

0. Preamble . . . 20

1. Membership . . . 20

2. Responsibilities . . . 21

3. Reporting to the Faculty . . . 33

The detailed contents of these sections are as follows:

0. Preamble . . . 20
0.1. General Principles (1) . . . 20
0.2. General Principles (2) . . . 20

1. Membership . . . 20
1.1. Constitution of A&P . . . 20
1.2. Terms and Conditions of Membership . . . 20

2. Responsibilities . . . 21
2.1. Faculty Appointments . . . 21
2.1.a. Appointments to Tenure Track Positions . . . 21
2.1.a.i. Assistant Professor . . . 21
2.1.a.i.a. Provisional Appointment as Instructor . . . 21
2.1.a.i.b. Reappointment of Instructor as Assistant Professor . . . 21
2.1.a.i.c. Failure to complete degree requirements . . . 21
2.1.a.i.d. Extension of Instructorship . . . 22
2.1.a.i.e. Normal/Exceptional Appointment to Asst. Professorship . . . 22
2.1.a.ii. Associate Professor and Professor . . . 22
2.1.a.ii.a. Associate Professor . . . 22
2.1.a.ii.b. Professor . . . 22
2.1.b. Appointments to Contract Positions . . . 22
2.1.b.i. Non-Tenure-Track Chaired Professorships . . . 22
2.1.b.ii. Experimental Positions . . . 22
2.1.b.iii. Visiting Faculty . . . 22
2.1.b.iv. Part-Time Renewable Faculty . . . 23
2.1.b.v. Adjunct Faculty . . . 23
2.1.b.vi. Instructor . . . 23
2.1.b.vii. Artist–in–Residence . . . 23
2.1.b.viii. Lecturers . . . 23
2.2. Reviews for Reappointment, Promotion, and Tenure Decisions . . . 23

2.2.a. Policies of Trinity College . . . 23
2.2.b. Timing of Reviews for Reappointment, Promotion and Tenure . . . 24
2.2.b.i. Reappointment . . . 24
2.2.b.ii. Tenure and Promotion to Associate Professor . . . 24
2.2.b.iii. Promotion to Professor . . . 24
2.2.b.iv. Early Tenure . . . 24
2.2.b.v. Extension of the Probationary Period . . . 24
2.2.b.v.a. Extensions Due to Family/Medical Leaves . . . 24
2.2.b.v.b. Extensions Due to Providing Care to a Newborn/Newly Adopted Child . . . 25
2.2.c. Criteria for Reappointment, Promotion, and Tenure . . . 26
2.2.c.i. Reappointment . . . 26
2.2.c.i.a. Teaching . . . 26
2.2.c.i.b. Scholarship . . . 26
2.2.c.i.c. Service . . . 26
2.2.c.ii. Promotion to Associate Professor with Tenure . . . 26
2.2.c.ii.a. Teaching . . . 26
2.2.c.ii.b. Scholarship . . . 26
2.2.c.ii.c. Service . . . 26
2.2.c.iii. Promotion to Professor . . . 27
2.2.c.iii.a. Teaching . . . 27
2.2.c.iii.b. Scholarship . . . 27
2.2.c.iii.c. Service . . . 27
2.2.d. Procedures for Review: STATEMENT ON CONFIDENTIALITY . . . 27
2.2.d.i. Departmental Recommendation . . . 27
2.2.d.i.a. Non-Joint Positions: Dept/Prog. Recommendation . . . 27
2.2.d.i.a.i. Initiation of Action . . . 28
2.2.d.i.a.ii. Letters of Recommendation . . . 28
2.2.d.i.a.iii. Affirmative Action Considerations . . . 28
2.2.d.i.b. Joint Positions: Dept/Prog. Recommendation . . . 28
2.2.d.i.b.i. Initiation of Action . . . 29
2.2.d.i.b.ii. Letters of Recommendation . . . 29
2.2.d.i.b.iii. Affirmative Action Considerations . . . 29
2.2.d.i.c. Procedures of Special Committees . . . 30
2.2.d.i.d. A&P Procedures: ON CONFLICT OF INTEREST . . . 30
2.2.d.i.d.i. Files . . . 30
2.2.d.i.d.ii. Deliberations . . . 30
2.2.d.i.d.iii. Recommendations . . . 31
2.2.d.i.d.iii.a. Non-Tenure Cases . . . 31
2.2.d.i.d.iii.b. Tenure cases . . . 32
2.2.d.i.d.iii.c. Provision for Appeal . . . 32
2.2.d.i.d.iii.d. Non-Uniform Rec. re Shared Appointments . . . 33

3. Reporting to the Faculty . . . 33
3.1. Changes in Policy . . . 33
3.2. Announcements of Reappointments, Promotions, and Awards of Tenure . . . 33

3.3. Meetings with Department and Committee Chairs and with Members of the Faculty 33
3.4. Annual Issuing of "Membership, Calendar, and Checklist" 33

0. ***Preamble***

0.1. The Appointments and Promotions Committee, the Dean of the Faculty, the President, the Academic Affairs Committee of the Board of Trustees[1], 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 final decisions made by the Appointments and Promotions Committee and/or the President. Specific responsibilities, as they pertain to appointments at different Faculty ranks and to reappointments and tenure decisions, are described below in the appropriate places.

0.2. 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 recommendations for initial appointments to senior level tenure-track and contract positions, and to make recommendations on all cases for reappointment, promotion, and tenure.

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1. ***Membership***

1.1. Constitution: The members of the Appointments and Promotions Committee are the non-voting Dean of the Faculty, who serves as Secretary of the Committee, and five members elected from among the tenured full professors of the Faculty, each of whom has one vote in cases on which the member is eligible to serve. Each of the three divisions (Arts and Humanities, Social Sciences, and Mathematical and Natural Sciences shall be represented on the Committee by at least one elected member, but by no more than two, and no elected member may represent more than one division. There may not be more than one elected member from any given department. The elected members of the committee shall designate one of their number to serve as chair. *(Amended December 5, 2005; December 12, 2006; May 4, 2010)*

1.2. Terms and Conditions: Elected faculty members serve two-year staggered terms (with new appointments effective on August 15) and are obligated at the end of their terms to serve for three years as members of a replacement pool for recusals in individual cases. The Faculty Conference is responsible for naming a replacement in the event that an elected A&P Committee member leaves the A&P Committee. The replacement member shall be chosen from the approval voting list, as maintained by the Faculty Conference, for the A&P Committee of the immediate past election, and if a replacement cannot be obtained that meets the membership requirements then Faculty Conference will turn next to the approval voting list of the previous year. Should this list also fail to yield a replacement, Faculty Conference will solicit from the list of eligible faculty in randomly assigned order. The named individual shall have the full prerogatives and obligations of the replaced member. The faculty member chosen will serve through the end of the academic year. A new member will be elected at the next election to serve the balance of the resignee's term.

Each case shall be heard by five voting members. When an elected member of the A&P Committee must be recused, by the committee, from a case, as defined under the Statement of Conflict of Interest in this section of the *Manual*, the A&P Committee will request the Faculty Conference to name a replacement for that case from the replacement pool in accordance with the divisional and departmental constraints of A&P membership described in Section 1.1. The faculty member serving as a recusal replacement in a particular case shall have service obligations and voting privileges that are confined solely to the adjudication of that case.

The Secretary of the Faculty, the Ombudsman, and members of the Appointments and Promotions Appeals Board, and the Academic Freedom Committee may not serve concurrently on the A&P Committee. No faculty member may be elected or appointed to the Committee who has a full or joint administrative appointment. No faculty member may stand for election to the Committee who is expecting a one-year leave that overlaps the first year of

[1]The Academic Affairs Committee consists of six appointed trustees, the President of the College and the chair of the Board as ex officio members, the Dean of the Faculty, the chair of the EPC, and a representative of the student government association. The latter two members do not attend meetings at which the Committee considers tenure recommendations. Only the trustee members vote on such recommendations; the President abstains from voting so as not to sit in judgment of this President's own recommendations to the Committee.

their two-year term on the Committee. Faculty members with a scheduled one semester leave that overlaps their two-year term are eligible to run for election. There is no limit on the number of times an eligible faculty member may be elected to the Committee, but no one may serve more than two consecutive terms. *(Amended April 9, 1996; December 5, 2005; October 17, 2006; December 12, 2006; May 5, 2009; May 4, 2010)*

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2. *Responsibilities*

2.1. Faculty Appointments: The Appointments and Promotions Committee acts in concert with the Dean of the Faculty and the President 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.

Initial faculty appointments are reported to the Academic Affairs Committee and are subject to approval by the Board of Trustees or its Executive Committee.

2.1.a. Appointments to Tenure Track Positions: Normally, tenure track positions are wholly allocated to a department, wholly allocated to a program, or jointly allocated to two disciplinary homes which may be two departments, two programs, or one of each. In the event that a faculty member is appointed to a position jointly allocated to two disciplinary homes, the letter of appointment shall specify the Faculty member's obligations to each home. It shall also make clear that the review process will be conducted by two review committees, one within each disciplinary home. In the event that a faculty member's position is wholly allocated to a program or jointly allocated to one or two programs, then for each program to which the position is allocated, the letter of appointment shall specify the members of a committee appointed by the Dean of the Faculty to serve as the faculty member's programmatic review committee throughout the probationary period (i.e., up to, and including, the faculty member's tenure review). The Dean of the Faculty shall appoint a replacement for each review committee member who is unable to complete their terms of service.

In some instances, tenure-track positions are created outside of the departmental and programmatic structures. In such cases, the letter of appointment shall specify the members of a committee appointed by the Dean of the Faculty to serve as the faculty member's review committee throughout the probationary period. The Dean of the Faculty shall appoint a replacement for each review committee member who is unable to complete their terms of service.

2.1.a.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 either a special committee or each disciplinary home of the candidate, as well as a written recommendation from the administrative head of each of the candidate's disciplinary homes.[2] Such appointments are reported to the Appointments and Promotions Committee and to Academic Affairs Committee of the Board, 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:

2.1.a.i.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;

2.1.a.i.b. that on completion of the degree, the Instructor, the Dean of the Faculty, and the administrative head(s) of the Instructor's disciplinary home(s) will establish 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. The established date will mark the beginning of the probationary period toward tenure;

2.1.a.i.c. that failure to complete the degree requirements will result in the termination of appointment at the end of the contractual year;

[2]The administrative heads of a department and a program are, respectively, the department chair and the program director.

2.1.a.i.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 each of the Instructor's disciplinary homes, a second year of appointment may be granted;

2.1.a.i.e. Appointment at the rank of Assistant Professor is normally made for three years, with review for reappointment in the spring of the third year. (*Amended February 12, 2008*)

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 administrative head of each of the Assistant Professor's disciplinary homes. The period within which a tenure decision must be made shall be stated in the letter of appointment.

2.1.a.ii. Associate Professor and Professor: Appointment at the rank of Associate Professor or Professor requires the approval of both the Appointments and Promotions committee and the Dean of the Faculty. They will base their decisions on the candidate's application file, the recommendations of a special committee or each disciplinary home of the candidate, as well as any other supporting information presented by the Dean of the Faculty.

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

2.1.a.ii.b. Professor: Appointment at the rank of Professor presumes the Ph.D. or its equivalent, outstanding performance as a teacher, distinguished scholarship recognized by the profession or equivalent professional contributions, and service to the profession and former institution.

Appointments at the rank of Associate Professor or Professor may be made with or without tenure. If the appointment is made without tenure, the review for reappointment and tenure will normally be in the Spring of the first year. Appointment with tenure further requires approval of the President, who shall convey a positive decision to the trustee Academic Affairs Committee for pro forma ratification by the Board.

(*Section **2.1.a.ii.** amended February 14, 2012*)

2.1.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 determines to convert a particular Contract Position to tenure track, a new search will be undertaken; the incumbent may become a candidate for the position.

2.1.b.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 reported to the Academic Affairs Committee of the Board and are subject to the approval of the Board of Trustees or its Executive Committee.

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.

2.1.b.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 reported to the Academic Affairs Committee of the Board and are subject to the approval of the Board of Trustees or its Executive Committee.

Experimental Positions are established by the Educational Policy Committee with the approval of the Faculty. Faculty filling these positions are appointed for a contractual period. Experimental Positions, as such, are not renewable.

2.1.b.iii. Visiting Faculty: The Dean of the Faculty makes appointments of Visiting Faculty members, acting on the recommendation(s) of a special committee or the administrative head(s) of the candidate's disciplinary home(s). Such appointments are reported to the Committee and are subject to approval by the Board of Trustees or its Executive Committee.

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

2.1.b.iv. Part-Time Renewable Faculty: The Dean of the Faculty makes appointments of Part-Time Renewable Faculty members, acting on the recommendation(s) of a special committee or the administrative head(s) of the candidate's disciplinary home(s). 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.

2.1.b.v. Adjunct Faculty: The Dean of the Faculty makes appointments of Adjunct Faculty members, acting on the recommendation(s) of a special committee or the administrative head(s) of the candidate's disciplinary home(s) 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.

2.1.b.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.

2.1.b.vii. Artist–in–Residence: The Dean of the Faculty makes appointments of Artists-in-Residence, acting on the recommendation(s) of a special committee or the administrative head(s) of the candidate's disciplinary home(s), 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 appointed for defined contractual periods, normally from one to three years.

2.1.b.viii. Lecturers: The Dean of the Faculty makes appointments of Lecturers, acting on the recommendation(s) of a special committee or the administrative head(s) of the candidate's disciplinary home(s), 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.

Appointments to the category of lectureship may be renewable. *(Passed November 11, 2003)*

*(Section **2.1.** Faculty Appointments amended in its entirety, May 11, 2004)*

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2.2. Reviews for Reappointment, Promotion, and Tenure Decisions: The elected members of the Appointments and Promotions Committee and the Dean share responsibility with the President for evaluating all candidates for reappointment, promotion, or tenure. All reviews that are mandated to occur at a particular time (i.e., for reappointment, for promotion to Associate Professor with tenure, and for renewal of contract positions) are referred to the Committee by academic departments or programs or specially appointed committees. Other reviews (e.g., for promotion to Professor) may be referred to the Committee by the department or program or special committee or recommended to the Dean of the Faculty for further action by any tenured member of the Faculty. The A&P Committee, the Dean, and the President are responsible for the final preparation of those recommendations that require action by the Board of Trustees and its Academic Affairs Committee (i.e., tenure recommendations and recommendations for the award of emeritus/emerita status). (*Amended February 12, 2008*)

2.2.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; 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, the Appointments and Promotions Committee, the Dean, and the President make their 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 B.9, p. 105.

2.2.b. The Timing of Reviews for Reappointment, Promotion and Tenure Decisions:

2.2.b.i. Reappointment: Assistant Professors are normally appointed for three years with the Reappointment decision made in the spring semester of the third year of appointment. A positive reappointment decision results in an additional three-year contract. A decision not to reappoint results in a terminal one-year contract. *(Amended February 12, 2008)*

2.2.b.ii. Tenure and Promotion to Associate Professor: The award of tenure results in promotion to Associate Professor for those below that rank. Tenure review normally occurs no later than the spring of the sixth year of appointment for Faculty appointed at the rank of Assistant Professor. A decision not to reappoint results in a terminal one-year contract. *(Amended March 13, 2007; February 12, 2008)*

2.2.b.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.

2.2.b.iv. Early Tenure: Any untenured faculty member on the tenure track who judges that the faculty member's file reveal persuasive evidence of the fulfillment of the teaching, service, and scholarship criteria for tenure and promotion to associate professor, and a career trajectory which promises continued substantive contributions within each of those three areas may, in a timely fashion, request of the Dean of the Faculty that a review for tenure and promotion to the associate level (or simply tenure if the Faculty member is already at a senior rank) be conducted prior to the expiration of the candidate's probationary period. Following such a request, the candidate's file shall be constructed and submitted according to the guidelines and deadlines which govern the reviews of junior faculty in their sixth year, with the exceptions that:

- at any time prior to the submission of the completed file, the candidate may withdraw their candidacy without penalty of termination of employment; and
- a failure of the candidate to attain early tenure shall not result in termination of the candidate's employment.

If the review occurs in a year otherwise devoted to the candidate's reappointment, a case for reappointment will be submitted to the A&P Committee along with a case for tenure and promotion. The A&P Committee shall accept two separate files or one file which addresses both levels of review.

The A&P Committee, the Dean, and the President shall apply the same scholarship, service, teaching and career trajectory criteria to early tenure cases as they apply to tenure cases submitted at the end of the 6-year probationary period for assistant professors. In the event that the candidate fails to attain early tenure (or tenure with promotion if the candidate is not already at a senior rank), the next tenure review will occur at the end of the candidate's probationary period. If the negative recommendation occurs in a year otherwise devoted to the candidate's reappointment review, the Committee shall consider without prejudice the candidate's case for reappointment. (*Amended February 12, 2008*)

No faculty member may make more than one application for early tenure.

2.2.b.v. Extension of the Probationary Period: Extension of the probationary period may be granted to a faculty member on the tenure track who a) becomes a primary or coequal caregiver to a newborn or newly adopted child, or b) acquires full or partial leaves of absence for reasons of family/medical exigency other than given in a). "Family or medical exigency" will be defined in accordance with the circumstances supporting leave under the Connecticut or Federal Family and Medical Leave Act. Candidates who extend the review period, for any reason, are not expected to produce more work. Both the department/program and the A&P Committee will evaluate whether the criteria in the *Faculty Manual* have been met, regardless of time spent in rank. (*Amended December 10, 2024*)

2.2.b.v.a. Extensions due to leaves acquired for reasons of family/medical exigency other than the providing of care to a newborn/newly adopted child: Trinity College grants full and partial leaves of absence to eligible faculty members during the autumn and spring semesters as well as the summer period during which faculty normally have no contractual obligations to the College. For the purpose of the discussion below, the term session shall denote a spring semester, an autumn semester, or a summer period. One half of a session shall denote a period of 6 weeks.

Full leaves of absence taken prior to the semester of the tenure review will result in a compensatory rescheduling of upcoming A&P reviews according to the following schedule:

i. a one-semester extension of the review period of the recipient's next A&P review for leaves taken during or following the semester of the reappointment review (or taken since the time of hire if prior to the reappointment review) that total at least 1/2 of a session and less than 1 session; (Amended February 12, 2008)
ii. an additional one-semester extension of the review period of the recipient's next A&P review for leaves beyond those in (i) that bring the accumulated leave time to at least 1 session and at most 2 sessions;
iii. an additional one-semester extension of the review period of the recipient's next A&P review for leaves beyond those in (i) and (ii) that bring the accumulated leave time to more than 2 sessions and at most 3 sessions;
iv. an additional one-semester extension of the review period of the recipient's next A&P review for leaves beyond those in (i), (ii) and (iii) that bring the accumulated leave time to more than 3 sessions.

Partial leaves of absence, measured in terms of teaching unit reduction and taken prior to the semester of the tenure review, will result in a compensatory rescheduling of the availing faculty member's upcoming A&P reviews according to the following schedule:

i. a one-semester extension of the review period of the recipient's next A&P review for partial leaves taken during or following the semester of the reappointment review (or taken since the time of hire if prior to the reappointment review) that total more than 2 teaching units and at most 3 1/2 teaching units. (*Amended February 12, 2008*)
ii. an additional one-semester extension of the review period of the recipient's next A&P review for partial leaves beyond those in (i) that bring the accumulated leave time since the last review to more than 3 1/2 teaching units and at most 6 1/2 teaching units.
iii. an additional one-semester extension of the review period of the recipient's next A&P review for partial leaves beyond those in (i) and (ii) that bring the accumulated leave time since the last review to more than 6 1/2 teaching units and at most 8 1/2 teaching units.
iv. an additional one-semester extension of the review period of the recipient's next A&P review for partial leaves beyond those in (i), (ii) and (iii) that bring the accumulated leave time since the last review to more than 8 1/2 teaching units and less than 10 teaching units.

2.2.b.v.b. Extensions due to the providing of care to a newborn/newly adopted child: The caregiver may elect a two-semester extension of the current review period, even if the caregiver does not take advantage of a full or partial leaves for the purpose of child-rearing. The caregiver's review period may be additionally extended due to the acquisition of other leaves taken for reasons of family/medical exigency, subject to the following constraints:

i. if the caregiver elects the two-semester extension of the probationary period, then normally, full or partial leaves acquired by the caregiver during the session of birth/adoption or the session immediately thereafter will neither precipitate additional extensions of the review period nor count toward the totality of leaves taken during that review period.
ii. leaves acquired solely for the purpose of rearing the well child will result in no probationary period extension other than the two-semester extension elected by the caregiver.
iii. the election of a two-semester probationary period extension as a result of birth/adoption may be invoked at most once per child, and at most twice throughout the junior faculty member's entire probationary period.
iv. the election of a two-semester probationary period extension may be declared at any time before the dean's office mails materials to the external evaluators. *(Section iv. added November 13, 2012).*

A faculty member whose next review date has been extended due to leaves or birth/adoption may elect to be reviewed in an earlier semester, subject to the following constraint: if the next review is the reappointment review, then that review shall occur no earlier than it would have occurred had there been no extension of that review period. (*Amended February 12, 2008*)

Under circumstances outside of family/medical exigency and birth/adoption, a candidate may request an extension of the probationary period. Such a request must be approved by the head(s) of the candidate's disciplinary home(s) and the Dean of the Faculty.

Professional materials generated during a leave of absence or review period extension of any type described above shall be considered by the A&P Committee under the same policies which govern the consideration of materials generated by faculty not on leave and not under review period extension.

Leaves of absence for up to one year, taken for academic reasons, typically do not extend the probationary period.

*(Section **2.2.b.v.** added March 13, 2007)*

2.2.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 or creative work, and service, as defined below for each stage of evaluation. None of the criteria may be ignored, and continuing significant achievement is required in each of these three areas as the candidate moves through the stages of review for reappointment or promotion.

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 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; and
- continuing growth in the scope and significance of service contributions to the department/program and to the College.

(Passed February 10, 2004)

At each stage in the process of reappointment, promotion, and tenure, the department or special committee as well as the Appointments and Promotions Committee (including the Dean) and the President (as required) review a candidate's record with expectations appropriate to the rank. At the reappointment review, particular attention is given to a candidate's prospects for tenure, and the Committee shall indicate as clearly as possible those areas to which a candidate needs to address special attention before the tenure review. (*Amended February 12, 2008*)

2.2.c.i. Reappointment:

2.2.c.i.a. Teaching
Development of teaching effectiveness should be evident, reflected in course design and appropriate revision, along with involvement in advising and student-research supervision.

2.2.c.i.b. Scholarship
Scholarship should now be coming to fruition; the candidate should be involved in continuing, focused scholarly activities in the candidate's field.

2.2.c.i.c. Service
Service within the department and/or program should be manifest and, where possible, service to the College should have begun.

(*Amended February 12, 2008*)

2.2.c.ii. Promotion to Associate Professor with Tenure:

2.2.c.ii.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.

2.2.c.ii.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.

2.2.c.ii.c. Service
The candidate should have made demonstrable contributions to the College proper.[3] Contributions to the candidate's profession, or to the larger community in which the College exists, should now, where possible, have begun. *(Passed February 10, 2004.)*

[3] In the case of candidacies for tenure in the first year of employment at the College, the Committee will take account of the candidate's service at the candidate's prior institution.

2.2.c.iii. Promotion to Professor:

2.2.c.iii.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.

2.2.c.iii.b. Scholarship
The candidate should have achieved a record of mature scholarship.

2.2.c.iii.c. Service
The candidate should have made sustained and significant contributions to the College proper[4], and, where possible, contributions to the candidate's profession, or to the larger community in which the College exists. *(Passed December 2, 2003)*

2.2.d. Procedures for Review: The review process for 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. (*Amended February 12, 2008*)

The review process for promotion to Full Professor, in the event of a non-joint appointment, is normally initiated by the candidate's department chair or program director.

The review process for promotion to Full Professor, in the event of a joint appointment, is normally initiated by the administrative head of the candidate's primary disciplinary home (i.e., the home which claims the greater part of the candidate's teaching), in consultation with the administrative head of the candidate's secondary home.

In either case, it is the responsibility of the administrative heads of each of the candidate's disciplinary homes to periodically review Associate Professors for the purpose of determining a time at which to initiate a review for promotion to Professor. Additionally, 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.

The department chair 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.

It is the responsibility of the Dean of the Faculty to confer with the administrative head of each of the candidate's disciplinary homes, or with the chair of a special committee, 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 the candidate shall then proceed in sequence through the departmental/programmatic review committee(s), the Appointments and Promotions Committee, the President (as required), and then (if the award of tenure is involved) to the Academic Affairs Committee of the Board, and the Board of Trustees or its Executive Committee.

STATEMENT ON CONFIDENTIALITY

The Appointments and Promotions Committee, the Dean, and the President respect the right to confidentiality. With the exception of each departmental/programmatic letter, 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 any other person or persons, except those who have a need to know by virtue of their position. Letters from external evaluators, and letters from students and faculty and others addressing teaching, however, shall be available to the members of the review committee(s) of the candidate's disciplinary home(s) and, if applicable, to members of a special review 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, shall respect this confidentiality. Similar restrictions apply to the Committee discussions of candidates, with the exception of what is disclosed in any letter from the Committee to the candidate or review committee chair. (*Amended March 10, 2009*)

2.2.d.i. Departmental Recommendation

2.2.d.i.a. Non-Joint Positions. Departmental/ Programmatic Recommendation: In the event that the candidate's position is wholly allocated to a department, there shall be a departmental review committee,

[4]In the case of candidacies for tenure in the first year of employment at the College, the Committee will take account of the candidate's service at the candidate's prior institution.

normally chaired by the Department Chair, which consists of the tenured members of the department. In the event that the candidate's position is wholly allocated to a program, there shall be a programmatic review committee, normally chaired by the Program Director, which includes tenured members of the program and/or other members according to the candidate's letter of appointment.[5] In either case, the review committee chair shall be privy to all materials in the candidate's file, and shall be henceforth referred to as the filekeeper.[6]

2.2.d.i.a.i. Initiation of Action: In order to carry out the evaluation of a Faculty member, the filekeeper shall call a meeting (or meetings) of the members of the review committee to discuss the merits of, and vote upon, any proposed recommendation. It is expected that all members will be present at the review committee meeting. Review committee members may participate via video or telephone conferencing. On the rare occasion that a committee member cannot be present or participate via video or telephone conferencing, the filekeeper must notify the Dean of Faculty. If the Dean approves submission of a letter of evaluation for the candidate by the absent member, the filekeeper must receive the letter prior to the committee meeting so that its contents may be discussed during the committee meeting and before the committee letter is drafted. The absent member cannot sign the committee letter. Prior to the meeting at which the vote is taken, all review committee members shall have had access to all relevant material on the basis of which an informed judgment may be made. It shall be the responsibility of the filekeeper to ensure the timeliness of each step in the review process. (*Amended April 14, 2015*)

2.2.d.i.a.ii. Letters of Recommendation: The filekeeper shall prepare a letter which reports faithfully to the Appointments and Promotions Committee the tenor of the review committee discussion concerning the candidate and the review committee recommendation and vote.[7] The letter shall include a thorough discussion of the three criteria of Teaching, Scholarship and Service. This letter shall be signed by the candidate (indicating that the candidate has been given the opportunity to read the letter) and by each review committee member present at the meeting (indicating concurrence with the contents of the letter). The candidate shall receive a copy of the signed review committee letter. Each review committee member (including the filekeeper) shall write a personal letter of evaluation which the filekeeper shall enter into the candidate's file. The filekeeper shall read these letters, and ensure the consistency of each with the departmental/ programmatic letter. The filekeeper shall hold all personal letters in confidence, and shall not cite their contents in any letter to which the candidate is privy. (*Amended March 10, 2009*)

2.2.d.i.a.iii. Role of Affirmative Action in A&P Procedures: Per Appendix B.2, p. 88, of the *Faculty Manual*, the principle of Affirmative Action shall be given weight in the review process by departments, programs, special review committees, the Appointments and Promotions Committee (including the Dean), the President, and the Appointments 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. (Added February 5, 2005)

2.2.d.i.b. Joint Positions: Departmental/Programmatic Recommendations: In the event that the candidate's position is jointly allocated to two disciplinary homes, there shall be two review committees. Each disciplinary home which is a department shall be represented by a departmental review committee, normally chaired by the Department Chair, and consisting of the tenured members of that department. Each disciplinary home which is a program shall be represented by a programmatic review committee, normally chaired by the Program Director, which includes members of the program and/or other members according to the candidate's letter of appointment. It is understood that some faculty members may belong to both committees. There shall be exactly one review committee chair, referred to as the filekeeper, who shall be privy to all of the materials in the candidate's file. Normally, the filekeeper shall be the chair of whichever review committee represents the

[5] The Dean may use their discretion to appoint to review committees faculty on phased retirement and/or non-tenured associate and full professors with long-term contracts. (*Added February 12, 2008*)

[6] In some instances it will be inappropriate for the Department chair or the Program Director to serve as both review committee chair and filekeeper; in such cases, the role of review committee chair and filekeeper shall be assumed by some other faculty member, to be appointed by the Dean of the Faculty from among the other members of the review committee.

[7] In all instances, the filekeeper is to serve as an impartial facilitator and materials collector for the candidate's file, and in that capacity, the filekeeper should be neither an advocate nor a detractor for the candidate seeking a decision before the Appointments & Promotions Committee. The filekeeper shall not bias the review committee letter to reflect the filekeeper's personal position taken on the merits of the case. The filekeeper's personal views are to be expressed anonymously as part of the objective summary of the committee discussions in the review committee letter and then elaborated upon in the filekeeper's required personal letter added to the candidate's file. (*Added October 16, 2007*)

candidate's primary disciplinary home (i.e., the home which claims the greater part of the candidate's teaching). In the event that the candidate is shared equally by two disciplinary homes, the filekeeper shall be one of the two review committee chairs, as designated by the Dean of the Faculty.[8]

2.2.d.i.b.i. Initiation of Action: In order to carry out the evaluation of a Faculty member whose position is jointly allocated to two disciplinary homes, the filekeeper shall call a joint meeting (or meetings) of the two review committees to discuss the candidate's case. Following the joint meeting(s), the chairs of the two review committees shall call separate and independent meetings of their respective committees to discuss the merits of, and vote upon, any proposed recommendation. It is expected that all members will be present at the review committee meetings of which they are members (i.e., the joint meeting and their respective department or program committee meeting). Review committee members may participate via video or telephone conferencing. On the rare occasion that a committee member cannot be present or participate via video or telephone conferencing, the review committee chair must notify the Dean of Faculty. If the Dean approves submission of a letter of evaluation for the candidate by the absent member, the filekeeper must receive the letter prior to the committee meeting so that its contents may be discussed during the committee meeting and before the committee letter is drafted. The absent member cannot sign the committee letter. Prior to the joint departmental/programmatic meeting(s), all review committee members shall have had the opportunity to review all relevant materials on the basis of which an informed judgment may be made. It shall be the responsibility of the filekeeper to ensure the timeliness of each step in the review process. (*Amended April 14, 2015*)

2.2.d.i.b.ii. Letters of Recommendation: The chair of each review committee shall prepare a letter which reports faithfully to the Appointments and Promotions Committee the tenor of the discussion within the chair's separate review committee meeting concerning the candidate and the review committee recommendation and vote.[9] The letter shall include a thorough discussion of the three criteria of Teaching, Scholarship and Service. This letter will be signed by the candidate (indicating that the candidate has been given the opportunity to read the letter) and each member present at the meeting of the chair's review committee (indicating concurrence with the contents of the letter). The filekeeper shall enter the letter from each review committee into the candidate's file, and the candidate will receive copies of both letters. After the completion of both letters, yet well in advance of the file's due date, the filekeeper shall make copies of the letters available to each member of each review committee. Each member of each review committee, including the review committee chairs, shall then contribute a personal letter of evaluation. The review committee chair who is not the filekeeper shall read the personal letters of the chair's review committee members, ensuring consistency between those personal letters and the committee's departmental/programmatic letter. The review committee chair shall then forward all personal letters to the filekeeper. The filekeeper shall read the personal letters of the members of each review committee, ensuring consistency between the departmental/programmatic letter and the letters from the departmental/programmatic review committee. The filekeeper shall enter all personal letters (including the filekeeper's own) into the candidate's file. The review committee chairs shall hold the contents of all personal letters in confidence and shall not cite their contents in any letter to which the candidate is privy. (*Amended March 10, 2009*)

2.2.d.i.b.iii. Role of Affirmative Action in A&P Procedures: Per Appendix B.2, p. 88, of the *Faculty Manual*, the principle of Affirmative Action shall be given weight in the review process by departments, programs, special review committees, the Appointments and Promotions Committee (including the Dean), the President, and the Appointments 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

[8] In some instances it will be inappropriate for the administrative head of the candidate's primary disciplinary home to serve as both review committee chair and filekeeper; in such cases, the role of review committee chair and filekeeper shall be assumed by some other faculty member, to be appointed by the Dean of the Faculty from among the other members of that review committee. Additionally, in some instances it will be inappropriate for the chair of the candidate's secondary disciplinary home to serve as chair of that home's review committee; in such cases, the role of review committee chair shall be assumed by some other faculty member, to be appointed by the Dean of the Faculty from among the other members of that review committee.

[9] In all instances, the filekeeper is to serve as an impartial facilitator and materials collector for the candidate's file, and in that capacity, the filekeeper should be neither an advocate nor a detractor for the candidate seeking a decision before the Appointments & Promotions Committee. The filekeeper shall not bias the review committee letter to reflect the filekeeper's personal position taken on the merits of the case. The filekeeper's personal views are to be expressed anonymously as part of the objective summary of the committee discussions in the review committee letter and then elaborated upon in the filekeeper's required personal letter added to the candidate's file. (*Added October 16, 2007*)

a fair and unbiased review. *(Added February 5, 2005)*

2.2.d.i.c. 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 chairs 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.

2.2.d.i.d. 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, the candidate shall present evidence for this to the Dean of the Faculty, who will take the matter to the Committee for a decision.

Additionally, when a candidate and an elected A&P Committee member are in the same department or program, or when an A&P Committee member serves on a special committee to review a candidate, the A&P Committee member will participate in the review process at the department or program or special committee level as required, and be recused from participation in the hearing or disposition of the candidate's case at the A&P level. If the Dean or the President holds an appointment in the department or program of a candidate due to come before the A&P Committee, they will take no part whatsoever in the department's or program's deliberations and evaluations of the candidate.

(Amended October 17, 2006)

2.2.d.i.d.i. Files: The Chair 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, the departmental/programmatic recommendation(s), student course evaluations (including student letters), and course materials . (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 Chair also maintains a collection of the candidate's scholarly or creative work for review by the Committee. The Chair of the Committee maintains an archive of the originals of the Appointments and Promotions files; the copies of the files are destroyed. (*Amended March 10, 2009*)

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 filekeeper for rectification.

2.2.d.i.d.ii. 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 candidacy, it may at its discretion conduct a number of interviews with the candidate, with the review committee chair(s), or with any other contributor to the file prior to taking final action. The Committee's questions will be conveyed in writing to the selected respondents, with a copy to the filekeeper. Normally, the Committee will meet with no more than one person at a time.

No interview of any type shall take place, or continue, unless all members of the A&P Committee are in attendance.

The A&P Committee evaluates whether a candidate has met the criteria in the *Faculty Manual* based on the *full body of evidence* presented in the submitted file. When the A&P Committee disagrees with the review committee's assessment of the evidence in the file and a negative recommendation is possible, it will call in the filekeeper and candidate; additionally, the candidate may choose up to one other member of the review committee to meet with the A&P Committee. These meetings, which are opportunities to clarify evidence in the existing file, will take place *before* the A&P Committee votes to make a recommendation. The A&P Committee will provide written questions 10 business days ahead of any meeting. Committee members may ask follow-up questions to clarify responses during a meeting. (*Amended December 10, 2024*)

A record of each interview will be drafted and reviewed for accuracy by all persons present at the meeting. In the event that the respondent is not the candidate, copies of the record in its final form shall be sent only to

the members of the A&P Committee, the interviewee and the filekeeper, who shall enter the filekeeper's copy into the candidate's file. In the event that the respondent is the candidate, a copy of the record in its final form shall be sent only to the members of the A&P Committee and the candidate.

The Committee, at its discretion, may require a written reply from a respondent rather than an oral reply. In such an event, the Committee's questions will be conveyed in writing to the respondent, with a copy to the filekeeper. If that respondent is not the candidate, copies of the written response shall be sent only to the members of the A&P Committee and the filekeeper, who shall enter the filekeeper's copy into the candidate's file. If that respondent is the candidate, copies of the written response shall be sent only to the members of the A&P Committee, and, solely upon the request of the candidate, to the filekeeper.

2.2.d.i.d.iii. Recommendations: Notifications of the Committee's recommendations on promotion to Professor are normally given by the end of the fall semester, and for reappointment and for promotion to Associate Professor, by the end of the spring semester. (*Amended February 12, 2008; December 10, 2024*)

For tenure-track Faculty members with a previous letter 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 a prior letter is not required, the grounds for a negative recommendation must be failure to achieve the expectations outlined in the *Faculty Manual*. (*Amended February 12, 2008*)

In the event that a case is ultimately decided in the negative, the Dean of Faculty shall send a letter to the chair of the candidate's review committee[10], with a copy to the candidate, citing in detail the reasons for the negative recommendation. This letter and the information it contains are to be treated as confidential, and shall constitute formal notice of termination of contract.

2.2.d.i.d.iii.a. Non-Tenure Cases: After full deliberation, the Dean shall prepare a recommendation and the elected members of the Committee shall prepare their collective recommendation based on the vote of the majority.[11] If the two recommendations are both positive, then a positive decision will be reported by the Dean to the Academic Affairs Committee of the Board with no contravening action to be taken by the President or the Board. If at least one of the two recommendations is negative, then the Committee will interview separately the candidate and the chair of the candidate's review committee[12], following which the recommendations of the Dean and a majority of elected members may be revised. If the revised recommendations are both positive, then a positive decision will be reported by the Dean to the Academic Affairs Committee as above. If they are both negative, then no report will be made to the Academic Affairs Committee, and the case will be closed except to appeal through the A&P Appeals Board. *(Amended December 12, 2006)*

If the Dean and the majority of elected members cannot come to agreement, then the Dean and the body of elected members will prepare separate letters, each viewable by the other, that fully specify the reasons for their respective positions. The letter from the elected members will also specify the vote and reasons in support of the views of the minority if the vote was divided. The Dean will forward the two letters to the President who, after reviewing the candidate's full file, will meet with the Committee at least once for discussion of the case. At those joint meetings with the President, the Committee may request or receive additional information, or conduct interviews, per Section dii. Additionally, in consideration of the case, the President may, in writing, request additional information from the A&P Committee, the candidate, or the filekeeper. All requests for information from the filekeeper or the candidate will be copied to the Committee and the candidate's filekeeper, and all responses from the filekeeper or the candidate will be in writing, copied to the A&P Committee.

If, following the joint meeting(s) of the Committee and the President, the separate recommendations of the Dean and a majority of the elected members are both positive, then a positive decision will be reported by the Dean to the Academic Affairs Committee of the Board with no contravening action to be taken by the President or the Board. If at least one of the two recommendations is negative, then the candidate and the chair of the candidate's review committee[13] will be interviewed separately at a joint meeting of

[10] If the candidate is jointly appointed to two disciplinary homes, then the letter will be sent to the chair of each of the candidate's review committees.

[11] A positive recommendation requires a majority of the voting faculty members.

[12] If the candidate is jointly appointed to two disciplinary homes, then the two review committee chairs will be interviewed separately.

[13] If the candidate is jointly appointed to two disciplinary homes, then the two review committee chairs will be interviewed separately.

the Committee and the President, following which the recommendations of the Dean and a majority of elected members may be revised. If the revised recommendations of the Dean and a majority of elected members are both positive, then a positive decision will be reported by the Dean to the Academic Affairs Committee of the Board with no contravening action to be taken by the President or the Board. If they are both negative, then the case will be closed except to appeal through the A&P Appeals Board. If the revised recommendations of the Dean and the majority of elected members still do not agree, then the President will convey and justify the definitive decision in writing to the Committee, basing it upon the criteria given in the *Faculty Manual*, the letter of reappointment (if any), and evidence presented. If the President's decision is negative, then the case will be closed except to appeal through the A&P Appeals Board. (*Amended February 12, 2008*)

2.2.d.i.d.iii.b. Tenure cases: After full deliberation, the Dean shall prepare a recommendation and the elected members of the A&P Committee shall prepare their recommendation based on the vote of the majority.[14] The Dean and the body of elected members shall prepare separate letters, each viewable by the other, that convey and justify their respective recommendations. Additionally, the letter prepared by the elected members shall specify the vote and all reasons in support of the views of the minority if the vote was divided. The Dean will forward the two letters to the President. Upon receipt of the letters, the President will convey and justify their own recommendation in a letter to the A&P Committee, basing it upon the criteria given in the *Faculty Manual*, the letter of reappointment (if any), and evidence presented. *(Amended December 12, 2006; February 12, 2008)*

In consideration of the case, the President may, in writing, request additional information from the Committee, the candidate, or the filekeeper. All requests for information from the filekeeper or the candidate will be copied to the A&P Committee and the candidate's filekeeper, and all responses from the filekeeper or the candidate will be in writing, copied to the Committee.

If the recommendations of the Dean, the President, and a majority of elected members are positive, then the President shall convey a positive decision to the trustee Academic Affairs Committee for pro forma ratification by the Board.

If at least one of the three recommendations is negative, the President will meet with the Committee one or more times for discussion of the case. At those meetings, the Committee may request or receive additional information, or conduct interviews, per Section dii. Additionally, separate interviews of the candidate and the chair of the candidate's review committee[15] will be conducted.

Following full deliberation, the Dean, the President, and the elected members of A&P may revise their recommendations and letters. If the revised recommendations of the Dean, the President, and a majority of elected members are positive, then the President shall convey a positive decision to the trustee Academic Affairs Committee for pro forma ratification by the Board. If the revised recommendations are each negative, then no report will be made to the Academic Affairs Committee, and the case will be closed except to appeal through the A&P Appeals Board. If the revised recommendations are divided, then the President will forward all three revised letters of recommendation to the Academic Affairs Committee of the Board. The Academic Affairs Committee will prepare its own recommendation based upon the criteria given in the *Faculty Manual*, the latest letter of reappointment (if any), and evidence presented. It will then forward its recommendation to the Board for pro forma ratification. Before issuing any negative recommendation to the Board, the Academic Affairs Committee will meet at least once with (together) the Dean, the President, and an elected member of the A&P Committee representing the recommendation of the majority of elected members. Additionally, the Academic Affairs Committee will interview separately the candidate and the chair of the candidate's review committee[16].

2.2.d.i.d.iii.c. Provision for Appeal: If, in a non-tenure case, either the President makes a final negative decision or a majority of the elected members of the A&P Committee and the Dean together make a final negative decision, the candidate may appeal the decision through the Appointments and Promotions Appeals Board. If, in a tenure case, a final negative decision follows from the unanimously negative recommendations of the President, the Dean, and a majority of elected members of the A&P Committee, the candidate may appeal the decision through the Appointments and Promotions Appeals Board.

[14] A positive recommendation requires a majority of the voting faculty members.
[15] If the candidate is jointly appointed to two disciplinary homes, then the two review committee chairs will be interviewed separately.
[16] If the candidate is jointly appointed to two disciplinary homes, then the two review committee chairs will be interviewed separately.

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 the Faculty member's 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 is deemed to have been given.

2.2.d.i.d.iii.d. 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.

*(Section **2.2.** Reviews for Reappointment, Promotion, and Tenure Decisions amended in its entirety, May 11, 2004; Amended Dec. 5, 2005; October 17, 2006; December 12, 2006; March 13, 2007; February 12, 2008; March 10, 2009)*

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3. *Reporting to the Faculty*

The Appointments and Promotions Committee reports to the Faculty:

3.1. Changes in Policy: The Committee first brings to the Faculty for their vote proposals for such changes in policy as require approval by the Academic Affairs Committee of the Board of Trustees.

3.2. 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.

3.3. Meetings with Department and Committee Chairs 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 current chairs, incoming chairs, current directors and incoming directors of all Departments and Programs in which there are candidates who will be reviewed in 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.

3.4. 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 20__-20__." 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; Amended October 11, 1977; May 5, 1987; September 19, 1989)

12 Appointments and Promotions Appeals Board

1. *Membership*

The members of the Appointments and Promotions Appeals Board are three full professors, not concurrently serving as Ombud or on the Appointments and Promotions Committee or the Academic Freedom 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 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, make a judgment, and convey a written rationale to the candidate, filekeeper, and Appeals Board, which addresses the objections cited. (*Amended December 10, 2024*)

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 a case for reconsideration, separately; if one partner is not reappointed, that partner presents a case, independently.

3.1. 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.

3.2. 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.

Candidates should submit a statement of appeal, describing how the grounds of appeal (i.e., serious procedural defect, fundamental unfairness, or violation of the College's policy with respect to non-discrimination) apply to their case, including any supporting materials. Candidates submitting an appeal should also request that the Dean of Faculty's office submit their complete file to the Appeals Board. (*Amended December 10, 2024*)

3.3. 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.

3.4. 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.

3.5. 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; Amended October 11, 1977; May 5, 1987; September 19, 1989)

13 Athletic Advisory Committee

1. *Membership, Election, Tenure*

1.1. Membership of this committee shall consist of (a) 2 elected faculty members and (b) the Faculty Athletics Representative (FAR).

1.2. Elected faculty members will serve for a term of three years.

1.3. The Faculty Athletics Representative (FAR) position is mandated by the NCAA. The FAR is a member of the faculty and appointed by the President in consultation with the Athletics Director (AD) and the Dean of Students. The FAR contributes to academic oversight of the College's athletic program, supports the academic integrity of the athletic program and independently advocates for the well-being of the College's student–athletes.

2. *Jurisdiction, Obligations, Procedures*

2.1. The Athletic Advisory Committee supports the AD and Faculty Athletics Representatives in the academic and social development of student–athletes and serves as conduit of communications between the faculty and the athletics department to promote understanding of college athletics among faculty and others on campus.

2.2. Obligations and Procedures

2.2.a. To facilitate communication between the faculty and the athletics department the Committee shall meet with the AD once a semester or more often if needed. If appropriate, members of the AAC will also attend meetings with head coaches.

2.2.b. To assist in the development of the College's athletic program the Committee shall assist to recruit faculty liaisons for athletic teams.

2.2.c. The Committee shall support the FAR and AD on pertinent issues related to student–athletes.

2.2.d. The Committee shall update the faculty at least annually on the Committee's activities and issues concerning the College's athletic program.

Passed March 12, 2019

14 Committee on Institutional Advancement

1. *Membership, Election, Tenure*

1.1. The Committee shall consist of three members of the Faculty, one each from the Social Sciences, the Mathematical and Natural Sciences, and the Arts or Humanities.

1.2. Faculty members on the Committee on Institutional Advancement will serve for a term of three years, with one member elected each year and two consecutive terms allowed.

2. *Jurisdiction, Obligations, Procedures*

2.1. The Committee on Institutional Advancement shall be the principal instrument of Faculty participation in the formulation and implementation of College policies on development, communication, faculty grants, and alumni affairs.

2.2. Obligations and Procedures

2.2.a. The Committee shall regularly review Advancement strategies.

2.2.b. The Committee shall be responsible for conveying to the Advancement Office Faculty interests, concerns, and suggestions.

2.2.c. The Committee shall meet regularly with officers responsible for Faculty Grants and foundation giving.

2.2.d. The Committee shall work with the communications office to develop approaches and strategies for facilitating dissemination of faculty research and writing.

2.2.e. It will be the responsibility of the Committee to inform itself about trends or activities external to the College which might influence the work of the two offices and the policies they pursue.

2.2.f. It will also be the responsibility of the Committee to review available publications and other materials prepared by or for Advancement.

2.2.g. The Committee will be available to render assistance and advice to the Vice President for Advancement when requested to do so.

2.2.h. The Committee will represent the Faculty at meetings of the Trustees' Committee on Advancement.

2.2.i. The Committee will report to the Faculty in writing at least once each academic year.

(Passed May 8, 1984; Amended May 5, 1992; Edited to reflect current practice August, 1998; Amended May 4, 2010)

15 Curriculum Committee

1. *Membership, Election, Tenure*

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, an Associate Academic Dean, and three undergraduate students. *(Passed January 16, 1970; Amended November 17, 1981)*

2. *Jurisdiction, Obligations, Procedures*

2.1. 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. *(Amended November 17, 1981)*

2.2. 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)*

2.3. 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)*

2.4. Procedures

2.4.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.

2.4.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.

2.4.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.

2.4.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.

2.4.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.

2.4.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.

2.4.g. College Courses: 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.

If such a 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.

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.

2.4.h. Student Taught Courses: Student-taught courses may be offered for academic credit only if approved by the Committee.

In preparing a proposal for submission to the Committee, the student shall follow the procedures specified in the current issue of the student Handbook.

2.4.i. Individually Tailored Interdisciplinary Majors: Students proposing to undertake individually tailored, interdisciplinary majors shall follow the procedures on such majors specified in the current issue of the student Handbook.

2.4.j. To resolve, jointly with the Assessment Advisory Board, any issues that arise relating to assessment. *(Passed April 20, 2010)*

2.5. Internships: The Committee oversees the program of internships and the guidelines regulating 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.

2.6. Academic Calendar: Each fall, the Committee shall review the proposed calendar for the next academic year, following guidelines established by the Faculty.

2.7. Transfer Credit: The Committee shall develop policies on the award of credit for courses taken elsewhere and hear appeals from undergraduates who have been denied credit for work done at other institutions.

(Amended November 14, 1989)

16 Educational Policy Committee

1. *Membership, Election, Tenure*

1.1. Membership of this Committee shall consist of the Dean of the Faculty, who shall not vote, and five elected tenured members of the Faculty who have been at Trinity for at least five years and who serve three-year, staggered terms. No member may serve consecutive terms. There shall be at least one Faculty representative from each of the following: the arts, the natural sciences, the social sciences, and the humanities. The Committee shall have no more than one member from any one department. *(Passed October 16, 2003; Amended December 5, 2005; May 4, 2010)*

1.2. The elected members of the Committee shall designate one of their number to serve as chair and attend meetings of the Academic Affairs Committee of the Board of Trustees at which issues of educational policy are on the agenda. (*Amended May 4, 2010)*

2. *Jurisdiction, Obligations, Procedures*

2.1. It shall be the responsibility of this Committee to consider questions of educational policy, to review requests for Faculty positions, and to offer advice about the disposition of such requests to the Dean of the Faculty, who is responsible for allocating Faculty positions. 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.

2.2. Responsibility for defining the role of unaffiliated FTE in the Faculty and curriculum rests with the Dean of the Faculty, acting with the advice of the Educational Policy Committee and the Curriculum Committee.

2.2.a. Apart from matters of staffing allocations, all proposals brought by this Faculty Committee for a vote before the Trustee Academic Affairs Committee must have been approved by Faculty vote.

2.3. The chair shall make a written report at least once a semester. The Fall report shall convey the committee's assessment of the College's educational needs. The spring report shall be a summary of the committee's deliberations. The Dean shall make an annual written report to the Faculty specifying the position allocations the Dean has made. The reports will be made available to the Academic Affairs Committee of the Board for informational purposes. *(Passed December 5, 2005; Amended May 4, 2010)*

2.4. Allocation of Faculty Positions – Guidelines

2.4.a. Faculty positions allocated by the Dean of the Faculty, with the advice of the EPC, 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.

2.4.b. As a general policy, new full-time Faculty positions allocated by the Dean of the Faculty, with the advice of the EPC, will be designated as tenure-track positions. The creation of positions that deviate from this policy must fit within a few limited exceptions, as outlined below:

2.4.b.i. Positions where there is a demonstrated necessity for the rotation of special tasks or skills within a department or the College;

2.4.b.ii. Positions which the Dean of the Faculty, with the advice of the EPC, designates as experimental;

2.4.b.iii. Short-term, adjunct, or visiting positions;

2.4.b.iv. Replacements for leaves and sabbaticals;

2.4.b.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.

2.5. The Dean of the Faculty shall report annually to the Committee the allocation of contract positions for the coming year.

2.6. It is the policy of the EPC that, except in extraordinary circumstances, positions returned to the college as a result of denial of reappointment or tenure will be returned to the department or program upon the submission of a full proposal and its review by the EPC. *(Passed November 8, 2005)*

2.7. The Committee will receive prompt notification from the Dean of the Faculty of all pending hirings in tenure-track positions both departmental and extra-departmental. *(Passed April 8, 1997)*

2.8. The Committee may advise the Dean of the Faculty about the size of the Faculty and the status of departments and programs, subject to the provisions specified in sections 3.1 through 3.1.d, below.

3. *Changes in Faculty Size and the Status of Departments and Programs*

3.1. 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.

3.1.a. The Faculty delegates to the Educational Policy Committee the responsibility for advising the Dean of the Faculty about routine adjustments in the staffing of individual departments or programs.

3.1.a.i. Increases in the Size of the Faculty. A proposal to increase the size of the faculty may be brought by the Dean of the Faculty to the Financial Affairs Committee (FAC) and the EPC for their approval, or by EPC to the Dean of the Faculty and the FAC for their approval. The EPC and the FAC will review, respectively, the Dean of the Faculty's substantive curricular rationale and a funding plan for the position(s), including for any position initially funded by an outside source; the Dean's curricular rationale and plan will be provided to the respective committees in writing for the record.

An increase to the number of tenure lines may be initiated with or without a specific department or program in mind.

- In the case of new tenure lines not tied to a specific program or department, the EPC will add the new lines to the current pool available for allocation or, if that process is already underway, the EPC will issue a special Call for Proposals, to allow for a competitive process open to all.
- If the line is tied to an existing program or department, the department/program that would be the tenure home for the position must agree to the position and must submit a curricular proposal to the EPC.
- Any increase tied to a position that would not be housed in an existing department or program must be brought to the full faculty for approval.

Only upon the approval of both the EPC (for the curricular rationale) and the FAC (for the funding plan), the Dean will recommend the increase to the president and the board of trustees, who will make the final decision.

Any increase in the size of the faculty will be reported to the faculty as a whole as soon as possible, with a general rationale provided by the Dean of the Faculty. Any new lines would become part of the pool of positions available for allocation via the EPC process as outlined in the *Faculty Manual*.

3.1.a.ii. Decreases in the Size of the Faculty. Recommendations for decreases in the size of the Faculty, or for (other) substantial changes in the educational policy of the College, must be approved by the Faculty.

3.1.b. Before any formal inquiry begins into the elimination or reorganization of a department or program, the department/program must be notified of the grounds for the inquiry by the EPC. In addition, the EPC will notify the faculty of such an inquiry in its fall or spring report. The EPC is empowered to solicit information to conduct its inquiry. Prior to any recommendation by the EPC to the faculty, the department or program must be afforded the opportunity to respond to EPC questions and to provide the EPC both in writing and at meetings any supporting evidence. Before any recommendation is brought to the faculty by the EPC, the department or program shall have the opportunity to review the proposed recommendation and provide a response. If the EPC moves forward with a recommendation to the faculty to eliminate or reorganize a department or program, it will be the responsibility of the EPC to provide to the faculty a detailed rationale for its recommendation.

The original section 3 was based on resolutions passed on May 9, 1974, October 8, 1974, and December 11, 1979.

(Amended February 13, 2018; January 11, 2021)

4. *Special Opportunity Hires*

4.1. Proposed special opportunity appointments will be governed by three criteria:

4.1.a. First, these appointments must add significant value to the College, value being defined as bringing to the College scholars and teachers of exceptional achievement or promise who will diversify the faculty and thereby fulfill part of our academic mission.

4.1.b. Second, each such appointment must add to the College's approved curricular offerings.

4.1.c. Third, each prospective recipient of a special opportunity appointment must have clear achievement or promise as to make it highly probable that the candidate would have emerged as a candidate of choice in a conventional search, if such had been undertaken. It is the addition of such persons to the faculty without a search that the special opportunity appointments program makes possible.

4.2. The following are the procedures for applying for a Special Opportunity hire:

4.2.a. A potential special opportunity hire may come to the attention of the College through a number of channels including, but not limited to, visiting faculty, postdoctoral fellowships, and professional networks. In some cases, candidates could be identified through conventional Faculty searches. All members of the faculty are encouraged to bring names of potential candidates to the attention of the appropriate department chair or program director. However, all proposals for special opportunity hires must come to the Dean through the chairs and directors of departments and programs.

4.2.b. A department or program must submit a proposal to the EPC detailing the curricular merit of the area of the identified candidate and the way in which it addresses specific curricular needs of the College. Duplication of curricular areas will be discouraged.

4.2.c. EPC decisions will be based on the normal published criteria it uses to review any department or program requests.

4.2.d. Proposals can be submitted to the EPC for review at any time during the academic year and will be received and reviewed on a rolling basis. The EPC will review all proposals and make a recommendation to the Dean of Faculty as to whether the curricular area of the identified candidate meets with the EPC's strategic goals.

4.2.e. The Dean must consult with the Affirmative Action Officer prior to making an appointment. The Affirmative Action Officer must certify that an appointment meets the College's goals of diversity. Therefore any appointment must conform to Equal Opportunity and Affirmative Action policies followed by the College.

4.2.f. The A&P committee will review the qualifications of any candidate for a Special Opportunity Hire position and make a recommendation to the Dean.

4.2.g. The Dean will make the final decision as to whether to authorize a Special Opportunity Hire only upon a favorable recommendation of both the A&P and EPC committees.

4.2.h. In its annual report, the EPC will inform the faculty about any Special Opportunity Hires which were made during the preceding year.

4.2.i. Special Opportunity Hires when vacated (including positions vacated as a result of denial of reappointment or tenure) cease to be designated as Special Opportunity Hire positions and return to the College for normal reallocation. This is in contrast to positions currently held by faculty appointed under the now discontinued TOP program that shall be made available only for another such hire when they become vacant. It will be the responsibility of the Dean's office to keep track of all such positions and to report annually the status of them to the EPC. *(Passed May 20, 2005)*

(Amended February 13, 2018)

5. *Other Mechanisms for Diversifying the Faculty*

5.1. Trinity College is committed to appointing and retaining faculty who represent a wide diversity of backgrounds, perspectives, and academic interests. Faculty appointments, typically made through the standard approved search process, must therefore follow the College's Affirmative Action guidelines. The College, however, needs flexibility in responding to outstanding opportunities that may help diversify the faculty. Accordingly, the following two provisions have been adopted by the EPC with the goal of increasing diversity.

5.2. Early Termination of Search

5.2.a. It will be the practice of the College that if, in the course of searches for candidates for allocated positions, an especially outstanding candidate emerges who in the opinion of the search committee would bring diversity to the faculty, and the search committee feels that this candidate is the only one it wishes to recommend to the Dean, it may, with the consent of the Dean, close the search, informing all other candidates of this fact, and present that candidate to the Dean. In order to make this practice viable, job advertisements should be worded so as to state the date the search committee will begin to review applications rather than a deadline for applications.

5.3. Early Replacement for Retirements

5.3.a. Occasionally, an opportunity may arise to hire a faculty member of exceptional achievement or promise whose appointment would significantly enhance the diversity of the faculty, but for whom no vacancy currently exists. As an alternative to making a Special Opportunity Appointment, if a suitable department/program expects to have a vacancy within three years, it may request to hire the individual in that department or program, in anticipation of the coming vacancy. Such a request must follow the same guidelines and procedures as a special opportunity hire as described above. By accepting this anticipatory appointment, the department/program agrees not to seek an additional replacement position when the anticipated vacancy actually occurs. At that time, the recipient of the anticipatory appointment will occupy the vacated position, and thus it will not be available to the EPC for reallocation.

(Passed May 20, 2005)

17 Faculty Research Committee

1. *Membership, Election, Tenure*

1.1. 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, Engineering, and Mathematics; Social Sciences; Humanities; Arts; and no more than one from any department. *(Amended March 12, 1991)*

1.2. The term of office shall be two years.

1.3. The Committee shall elect its own chairperson each year.

1.4. A Dean from the Dean of Faculty Office shall be a member with the responsibility for providing liaison with the administration and maintaining the Committee files.

1.5. Members of the Faculty Research Committee are ineligible for grant programs administered by the Committee during any academic year in which they serve on the Committee, except for the Student Research Grant Program. *(Passed October 10, 2000; Amended March 6, 2018)*

2. *Jurisdiction, Obligations, Procedures*

2.1. The Committee's primary responsibility is encouraging Faculty research. These duties will include:

2.1.a. making decisions concerning the distribution of funds allocated for research expense grants;

2.1.b. evaluating proposals for external funding where there are more applicants than the College may nominate;

2.1.c. requesting College funds for other scholarly activities that it deems important to Faculty research;

2.1.d. administering the Faculty Research Lecture series.

2.2. 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.

2.3. The Committee shall report regularly to the Faculty in the following ways:

2.3.a. calling each year for the submission of Faculty applications for the grant programs it administers;

2.3.b. informing the Faculty each year of those research proposals which have been funded;

2.3.c. informing the Faculty at appropriate times during the year of the budgeted allocations for Faculty research.

(Passed April 11, 1978; Amended March 17, 1987; February 9, 1988; September 17, 1996; March 6, 2018)

18 Financial Affairs Committee

1. *Membership, Election, Tenure*

1.1. Membership of the Committee shall consist of five elected Faculty members, academic Librarian (non-voting), and Director of Athletics (non-voting). All members shall serve on the President's Planning and Budget Council (PBC). *(Passed February 3, 1970; Amended March 17, 1987; May 4, 2010; December 12, 2017)*

1.2. Faculty members on the Financial Affairs Committee will serve for a term of three years with at least one member elected each year. *(Passed April 10, 1984; Amended December 12, 2017)*

1.3. Elected Faculty members of the Committee shall be full-time Faculty, who have taught full-time at Trinity for at least three years. Of the five elected Faculty members, one should come from Mathematical and Natural Sciences, one from Arts and Humanities, and one from Social Sciences. *(Passed May 4, 2010; Amended December 12, 2017)*

2. *Jurisdiction, Obligations, Procedures*

2.1. It shall be the responsibility of the Committee to represent Faculty interests and views on financial and planning matters to the administration, and to review, advise, and make recommendations to the administration regarding all financial and planning matters affecting the faculty, including, but not limited to, compensation, the size of the faculty, and decisions involving administrative structure or personnel that impinge on the academic mission of the College. In addition to serving as members of the Planning and Budget Council, the Committee may also work in consultation with other faculty committees to provide advice on financial and planning matters as needed. *(Passed February 3, 1970; Amended March 17, 1987; May 4, 2010; December 12, 2017; January 11, 2021)*

2.2. The Committee will participate in discussions and advise on decisions regarding collective (rather than individual) faculty compensation at the College. *(Passed December 9, 1980; Amended March 17, 1987; May 4, 2010; December 12, 2017)*

2.3. The 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 Committee. *(Passed December 9, 1980; Amended March 17, 1987; May 4, 2010; December 12, 2017)*

2.4. The Committee shall designate two representatives to meet with the College Benefits Committee, as meetings of that Committee are scheduled, to develop recommendations from that Committee to bring to the PBC or to be disseminated by Human Resources as appropriate. The Committee will make timely reports to the Faculty of all such discussions and recommendations.*(Passed December 12, 2017)*

2.5. Members of the Committee can, on request, attend chairs meetings when those meetings contain agenda items relevant to the work of the PBC, or request to meet with chairs and program directors. *(Passed May 4, 2010; Amended December 12, 2017)*

2.6. The Committee shall at least once a semester report to the Faculty on FAC and PBC discussions and recommendations that are not confidential. In the second semester, the Committee shall report to the faculty the Administration's proposal for the percentage change in salary of continuing faculty in the next year's budget. It shall issue a written report to the Faculty each year. (*Passed May 11, 1982; Amended May 4, 2010; December 12, 2017)*

2.7. It shall also be the responsibility of this Committee to serve as an advisory body for the Library and the Athletic Department. *(Passed February 3, 1970; Amended May 4, 2010)*

2.8. It shall be the responsibility of this committee, in consultation with the Educational Policy Committee and the Dean of the Faculty, to review funding plans for increases in the number of tenure track lines as outlined in Chapter 15, Section 3.1.a.1 of the Manual. *(Passed January 11, 2021)*

19 Assessment Advisory Board

The Assessment Advisory Board is the Faculty body that oversees and advises the administration on issues related to assessment of teaching and learning. The Board is responsible to the Curriculum Committee and to the Faculty. The elected faculty members will select a chair from among themselves.

1. *Membership, Election, Tenure*

1.1. The Board's membership consists of one elected Faculty member each from the arts, humanities, natural sciences (including engineering and mathematics), and social sciences; and an Associate Academic Dean, serving as secretary.

1.2. The elected Faculty members of the Board serve staggered two-year terms and are eligible to succeed themselves.

2. *Jurisdiction, Obligations, Procedures*

2.1. The Assessment Advisory Board's responsibilities include:

2.1.a. To adopt guidelines defining the essential characteristics of assessment;

2.1.b. To review and evaluate proposed assessment strategies and programs, and to study policy questions regarding assessment as these arise;

2.1.c. To monitor the implementation and development of the various components of the College's assessment program for the purpose of identifying problems or special needs, recommending modifications, and taking other initiatives that the Board believes will maximize its effectiveness;

2.1.e. To assist the Office of the Dean in securing the necessary support for and contributions to assessment 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;

2.1.i. To serve as an advisory body to the Office of the Dean of Faculty with respect to assessment;

2.1.j. To resolve, jointly with the Curriculum Committee, any issues that arise relating to assessment;

2.1.p. To oversee the preparation of catalogue statements and other published materials relating to assessment;

2.2. The Board may also undertake, from time to time, such comprehensive study of the assessment program as it thinks advisable; and it may recommend substantive changes in them to the Curriculum Committee and to the Faculty.

2.3. In the interests of an effective working relationship between itself and the Curriculum Committee, the Board 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.

(Passed April 20, 2010)

20 Library and Information Technology Committee (LITC)

1. *Membership, Election, Tenure*

1.1. Membership of LITC shall consist of four elected Faculty members; a Dean from the Dean of Faculty Office (voting); the Vice President for Information Services & CIO (non-voting); the College Librarian or proxy (non-voting); the Director of Research, Instruction, Technology or proxy (non-voting); and two student members, nominated by the Student Government Association (voting).

1.2. Faculty membership of LITC shall consist of: one Faculty member from the Arts division; one Faculty member from the Humanities division; one Faculty member from the Social Science division; and one Faculty member from the Science division.

1.3. Faculty members of LITC shall serve for a term of 3 years with one or two members elected each year.

2. *Jurisdiction, Obligations, Procedures*

2.1. It shall be the responsibility of LITC to determine and articulate faculty priorities related to the Library and information technology in the context of teaching, learning, and research. In particular:

2.1.a. LITC will advance faculty priorities as they relate to library collections, information literacy, and technology in the context of teaching, learning, research, and major college-wide initiatives.

2.1.b. LITC will articulate faculty priorities as they relate to teaching, learning, and research, and work with appropriate Library and information technology administrative staff by:

2.1.b.i. Providing consultation and input during the budget planning process and monitoring budget implementation, as related to faculty priorities, and

2.1.b.ii. Reporting to the full faculty and to relevant administrative staff progress in meeting faculty priorities as related to teaching, learning, and research.

2.2. It shall be the responsibility of LITC to determine and articulate faculty priorities as related to strategic and budgetary planning the Library and information technology infrastructure, systems, and support that address the needs of faculty as well as other members of the Trinity community. In particular:

2.2.a. LITC shall participate in developing strategic, budgetary, and operational planning for services that affect faculty; and

2.2.b. LITC shall monitor support and planning for all shared services that affect faculty, and will work with committees and administrative structures to ensure that these systems provide appropriate support for faculty.

2.3. LITC shall in the course of exercising its responsibilities monitor the broad issues of Library and information technology support at Trinity and more generally monitor Library and information technology issues as they relate to any aspect of the College's operation. Within that context, LITC may:

2.3.a. Request and review information or analyses from relevant college administrative staff to review budget or to monitor performance or end-user experiences;

2.3.b. Request and review information or analyses from relevant faculty committees;

2.3.c. Request and review information or analyses from other educational institutions or organizations related to the Library and information technology;

2.3.d. Engage outside consulting support; and

2.3.e. Receive and review complaints from faculty regarding the Library and information technology, and take appropriate action.

2.4. LITC shall communicate with other faculty committees on issues related to the Library and information technology, and in particular apprise and advocate for action from other committees when new information services opportunities emerge.

2.5. LITC shall provide the faculty in writing its specific priorities relating to both teaching, learning, and research, and to strategic and budgetary planning for infrastructure, systems and support. Such report shall be prepared and distributed at least annually.

(Passed April 7, 1998; Amended April 10, 2007; March 6, 2018; April 9, 2019)

21 Jury Pool

The Faculty Jury Pool has been established to staff the Faculty portion of academic dishonesty and social misconduct hearing panels, and the Faculty portion of academic dishonesty and social misconduct appeal panels.

1. *Membership, Election, Tenure*

1.1. Eighteen elected Faculty members, eight of which must be tenured. There must be at least three members from each of the four curricular divisions.

1.2. Faculty members will serve for a term of three years, with six members elected annually.

1.3. Members of the Pool shall meet at the beginning of each academic year to discuss procedures and to elect a chair and vice-chair, who shall cooperate in the administration of academic dishonesty hearings and appeals with the Dean of Students Office, which shall retain responsibility for hearings with respect to scheduling, the notification of participants, and the maintenance of records of the proceedings. At the beginning of every semester, each member of the Pool shall provide the chair with a list of those times during the week when the member will be available to hear cases. The chair and/or vice-chair shall select the Pool members for academic dishonesty and social misconduct hearings and appeals and if necessary designate a Pool member to attend a first violation resolution meeting.

2. *Jurisdiction, Obligations, Procedures*

2.1. The social misconduct hearing panels consist of five students drawn from the Honor Council. Chaired by a student, they hear cases of students charged with violating the social policies of the Student Integrity Contract.

2.2. The social misconduct appeal panels consist of two students drawn from the Honor Council and one Faculty member drawn from the Jury Pool. Chaired by a student, they consider appeals from students found to have violated the social provisions of the Student Integrity Contract.

2.3. Academic dishonesty hearing panels consist of two students drawn from the Honor Council, and three Faculty members drawn from the Jury Pool. Chaired by a faculty member, they hear cases of academic dishonesty brought against students.

2.4. Academic dishonesty appeal panels consist of two Faculty members drawn from the Jury Pool and one student drawn from the Honor Council. Chaired by a Faculty member, they consider appeals from students found to have violated the academic dishonesty policies of the Student Integrity Contract.

2.5. A Pool member who sits on a hearing panel may not serve on an appeal panel convened to consider the case in question.

2.6. When classes are out of session, hearing and appeal panels will consist of three members of the Jury Pool.

2.7. The Dean of Students or designated Associate Dean shall be a non-voting participant on all hearing and appeal panels. The Dean of Students is charged with implementing the panels' decisions.

2.8. The administrative procedures for handling social misconduct and academic dishonesty cases are found on the Dean of Students website and in the Trinity College *Student Handbook* under sections headed Academic Policies, Procedures, and Regulations and College Life Policies. Should there be any discrepancy between the *Faculty Manual* and the *Student Handbook*, the provisions of the *Faculty Manual* shall prevail.

2.9. The Faculty Parliamentarian and the Chair of the Jury Pool shall be informed by the Dean of Students Office of any proposed change to the *Student Handbook* related to the handling of social misconduct or academic dishonesty cases, to insure that the *Handbook* and the *Faculty Manual* are aligned with respect to these procedures. If, in the Parliamentarian's opinion, a proposed change could create a discrepancy, the Parliamentarian will inform Faculty Conference and the Academic Freedom Committee.

2.10. The Dean of Students Office shall be informed by the Faculty Secretary of any proposed change to the *Faculty Manual* related to the handling of social misconduct or academic dishonesty cases, to insure that the *Handbook* and *Faculty Manual* are aligned with respect to these procedures.

3. *Information on Procedures in Academic Dishonesty Cases*

3.1. A Faculty member may not impose a grade penalty for academic dishonesty without notifying the student and reporting the student to the chair of the Jury Pool (if proceeding to first violation resolution) or to the Dean of Students Office (if proceeding to a formal hearing). A suspected violation must be reported in a reasonable period of time (normally within 30 business days of the date when the alleged violation is discovered).

3.2. Procedures of Fair Process to be followed in Academic Dishonesty cases:

3.2.a. A Faculty member who believes that there has been plagiarism or other academic dishonesty should contact the Dean of Students Office to ascertain whether this is a first violation. If so, and if the Faculty member decides to offer the student the option of first violation resolution, the Faculty member shall confront the student with the charge.

3.2.b. If the student admits committing the violation, chooses the First Violation Resolution Process, and signs the Faculty Member's account of the violation, the Faculty member shall contact the chair of the Jury Pool who will schedule a meeting of the student, the Faculty member, a representative of the Dean of Students' Office, and either the chair, the vice chair, or another member of the Pool designated by the chair or vice chair. The meeting will normally be scheduled within ten business days of the student and Faculty member agreeing to the First Violation Resolution Process.

3.2.c. Prior to the meeting, the Faculty member will discuss precedents regarding proposed grade penalties with the member of the Jury Pool who will be in attendance; the final decision will rest with the Faculty member. The maximum sanction that may be imposed under the First Violation Resolution Process is failure of the course. At the meeting, the student will sign a statement admitting responsibility and accepting the proposed penalty. The statement will be forwarded to the Dean of Students Office as a record of the student's first offense.

3.2.d. In the case of a student ineligible for first violation resolution, or who is not afforded the opportunity for it, or who declines it, a Faculty member intending to impose a grade penalty for academic dishonesty must submit a letter of complaint with supporting documents to the Dean of Students Office. A hearing will normally be promptly scheduled. Notification of the hearing and a list of the members of the Hearing Panel will be given to the Faculty member and the accused student. (See "Procedures in Cases of Academic Dishonesty" in the *Student Handbook* for hearing procedures governing student conduct.)

3.2.e. A copy of the charge and specifications will be provided to the accused student, who is expected to attend the hearing. The accused student may be accompanied at the hearing by an advisor. The advisor, who must be a current Faculty, staff, or student member of the Trinity Community, may give the student advice in the course of the hearing but may not speak at the hearing on the student's behalf or otherwise function at the hearing as defense counsel might in a legal proceeding.

3.2.f. The Faculty member will be expected to attend the hearing and may be questioned.

3.2.g. Ordinarily, the Hearing Panel will first hear the Faculty member bringing the charge. The Faculty member may make a statement, after which the Faculty member will be questioned by members of the Hearing Panel and then by the accused student. Next, the accused student may make a statement, after which the student will be questioned by members of the Hearing Panel and then by the Faculty member.

3.2.h. The Faculty member and the accused student may call material fact (not character) witnesses, who may be questioned by members of the Hearing Panel and by parties to the case. The witnesses will be heard in an order determined by the Chair. Normally, each witness will be present at the hearing only when giving testimony. The chair of the panel will inform each witness not to discuss the case outside of the hearing. At the conclusion of the hearing, the Faculty member will make a closing statement affirming or revising the grading penalty the Faculty member intends to impose should the student be found responsible for the violation.

3.2.i. 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 Hearing Panel.

3.2.j. Academic dishonesty hearings are closed and the proceedings are kept confidential.

3.2.k. Any member of a Hearing Panel or an Appeal Panel who is party to a case shall disqualify themselves for that case.

3.2.l. A student found to have violated the academic honesty policy of the Integrity Contract may be assigned a penalty in addition to the one proposed by the Faculty member from one of three penalty categories—censure, suspension, or expulsion—depending on the severity of the offense. The penalty categories are described below:

3.2.m.i. Censure: The penalty when the act of academic dishonesty involves cheating on a quiz or an examination, the limited use of unattributed sources (written or oral) in a paper, or other dishonest acts of comparable magnitude.

3.2.m.ii. Suspension: The penalty for repeated cheating on one or more quizzes or examinations, for extensive 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 or when a student who has already been censured for academic dishonesty commits a second censurable offense.

3.2.m.iii. Expulsion: The penalty when a second penalty of suspension is warranted.

3.2.n. Within the penalty categories censure and suspension, the Hearing Panel 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.

3.2.o. The record of each hearing shall consist of a written summary and a recording of the entire hearing that shall be kept on file in the Dean of Students Office until the matter is concluded and no further appeal is possible. In the event of an appeal, these materials will be made available to the appellant, the Faculty member who brought the case, and the Academic Dishonesty Appeal Panel hearing the case.

(Passed December 12, 1972; Amended April 9, 1996; May 14, 2002; February 14, 2006; December 8, 2009, March 8, 2016)

22 The Selection, Function, and Evaluation of Department Chairs

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.

1. *Selection of Department Chairs*

1.1. 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; Amended February 12, 1991)*

2. *Functions of Department Chairs*

2.1. 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.

2.2. Guidance and evaluation of Faculty. Major responsibilities of the chairs are the guidance and evaluation of tenured and untenured Faculty. They discuss with department members their respective roles in teaching, research, and service; will, as appropriate, summarize these discussions during an annual meeting with the dean; and act 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. Although chairs do not make recommendations about department members' salaries, they may inform the Dean of any salary inequities they perceive within the department. (*Amended September 11, 2007)*

2.3. 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.

2.4. 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.

2.5. Finance. In consultation with the department, chairs prepare the department budget request, and they oversee the expenditure of funds allocated to the department.

2.6. 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.

2.7. 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.

2.8. Advising. Although all Faculty members 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.

3. *Evaluation*

3.1. 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.

4. *Activities of Department Chairs as a Group*

4.1. In addition to individual responsibilities, chairs may assemble for such activities as the following:

4.1.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.

4.1.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.

4.1.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)

23 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 Faculty member.

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.

24 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, p. 45).

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.

25 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)

26 Faculty Grievance Committee

1. *Membership, Election, Tenure*

1.1. The Faculty Grievances Committee (FGC) shall consist of six elected members of the faculty. There shall be three tenured full professors and three tenured associate professors, with no more than one member from any one department. No member shall serve concurrently on the FGC and on the Appointments and Promotions Committee, the Appointments & Promotions Appeals Board, the Academic Freedom Committee, or as Faculty Secretary. The term of service shall be three years. The six members will serve staggered terms, with two members elected each year. The chair shall be chosen at the beginning of each academic year by and from among the elected members of the Committee. The chair will normally have previous experience serving on the committee.

2. *Jurisdiction, Obligations, Procedures*

2.1. The FGC is charged to ensure that all members of the academic community remain free of unfair, inconsistent, or hostile treatment by those entrusted with faculty status. The committee exercises the judgment born of extensive knowledge of the work of teaching and learning to redress whatever interferes with or degrades each member's ability to do that work to the best of their ability.

2.1.a. The FGC's principal responsibility is to hear grievances brought against members of the faculty, including those with administrative responsibilities, in accordance with the procedures in Appendix B. The FGC possesses all rights and powers necessary to perform the duties explicitly named in Appendix B.

2.2. The FGC shall report annually to the faculty on its activities and, where appropriate, on policy recommendations it has seen fit to make to the administration or to Faculty Conference; but it may not disclose the confidential details of the cases it hears.

(Passed May 1, 2025)

Part II

Appendices

A Conditions and Terms of Employment

A.1 Faculty Salary

A.1.1 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.

A.1.2 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 the chair's 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, and

(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.

A.1.3 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.2 Benefits Beyond Salary

(Revised July, 2002; August, 2004; July, 2007; July, 2008; July 2010; August 2011; July 2013; July 2014; August 2024)

A.2.1 General Statement on Employee Benefit Plans

Most of the information regarding benefits beyond salary may be found in the Employee Handbook, published by the Human Resources Department and available online. This section contains descriptions of the benefit plans provided by the College that are unique to faculty. Although these descriptions are as complete and accurate as is reasonable for *Manual* purposes, you should be aware that the information conveyed represents summaries of master policies in effect as of the date of publication. Should discrepancies or changes occur, the exact terms of the contracts prevail.

To determine benefit eligibility in this section (A.2) and in section A.3 (Support Programs), an eligible Faculty member is defined as a person who (a) holds a tenured or tenure-track appointment; or (b) holds a full-time appointment of at least two years and that is designated in an appointment letter as renewable. Faculty who teach on a temporary basis are generally not eligible for College benefits; however, the Employee Handbook provides details on eligibility for specific benefits. Some benefits have different or additional specific eligibility requirements as detailed below.

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. All benefits accrue to the employee unless there is an explicitly stated exception to the contrary. Detailed information regarding eligibility, enrollment and procedures for applying for benefits is available in the Human Resources Department.

Enrollment in College benefit plans is not automatic. Although the Human Resources Department makes every effort to notify employees when they become eligible to participate in a particular benefit plan, it is the individual employee's responsibility to enroll on a timely basis. Any questions concerning eligibility should be referred to the Human Resources Department.

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

A.2.2 Educational Benefits for Spouses and Dependent Children of Full–Time Faculty

Tuition for Trinity Courses 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.

Tuition Waiver for Spouses and Dependent Children – One Course at Trinity College

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 the Faculty member's full-time employment.

Waiver of Full Tuition for Spouses and Dependent Children – Undergraduate Program at Trinity College

Spouses and eligible dependent children of faculty 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 and mandatory fees at Trinity as defined for undergraduate students. Eligibility is limited to four full-time academic years or until a baccalaureate degree is earned, whichever occurs first. This pertains to any combination of tuition benefits received as a full-time undergraduate student either at Trinity or another college or university.

Waiver of Half Tuition For Spouses and Dependent Children – Undergraduate Program at Trinity College

Spouses and dependent[1] children of eligible faculty as defined above hired on or after January 1, 1983 are eligible for a waiver of 50% of full regular tuition and mandatory fees at Trinity as defined for undergraduate students. The benefit is available at the start of the first semester coinciding with or following the date of appointment. Faculty with long-term, renewable contracts must have completed six years of continuous full-time teaching at Trinity to be eligible. Eligibility is limited to four full-time academic years or until a baccalaureate degree is earned, whichever occurs first. This pertains to any combination of tuition benefits received as a full-time undergraduate student either at Trinity or at another college or university. Should both parents of a dependent child be employed by the College in benefits eligible positions, the child will receive the tuition waiver benefit of only one parent.

Tuition Awards for Dependent Children of Faculty – Other Colleges or Universities

Dependent[2] children of eligible Faculty as defined above may qualify for a tuition award at 1) an accredited college or university offering an undergraduate degree program other than Trinity or 2) other post-secondary institutions, including a two-year college, community college, or post-secondary trade school. Students should be officially enrolled on a full-time or part-time basis.

The benefit provides an award in the amount of 50% of the other institution's tuition and mandatory fees (i.e., excluding room, board, prior balances, late fees and other fines or penalties, parking fees, and fees related to student health insurance or medical care). The award will not exceed 50% of full regular tuition and mandatory fees at Trinity (based on Trinity's tuition and fees during the four years beginning with the first year in which the benefit is used), as defined for undergraduate students; nor will it exceed the net student bill due to the other institution.

Covered dependents will be eligible for tuition assistance to earn a degree or obtain certification–until they have received tuition assistance that equals the value of a four-year tuition benefit at Trinity College. This pertains to any combination of tuition benefits received for a post-secondary school or as an undergraduate student whether at Trinity or at another college, university, or other post-secondary institution.

Should both parents of a dependent child be employed by the College in benefits eligible positions, the child will receive the tuition scholarship benefit of only one parent.

The Assistant Vice President for 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.

Tuition waivers and scholarships are subject to specific Internal Revenue Service regulations. Tuition assistance granted for undergraduate work is not taxable if the child qualifies as a current employee's dependent under applicable IRS provisions. The College may request that the faculty member certify dependent status by submitting a dependent certification form at the beginning of each calendar year. It is the Faculty member's responsibility to notify the Human Resources Department promptly if the dependent child withdraws from school or is no longer a dependent.

Other Information about Educational and Tuition Benefits for Spouses and Dependent Children

All entrance requirements must be met.

The Assistant Vice President for Human Resources verifies eligibility each semester. Application forms may be obtained from the Human Resources Department.

The tuition benefit is limited to two regular semesters or three regular trimesters per academic year. For those enrolled full-time during the regular academic year, no additional benefit is available for intersession coursework, such as summer courses.

Trinity College provides certain benefits to the surviving spouse and/or dependents of employees who die while employed. The children of deceased faculty and staff who were eligible for the tuition benefit at the time of the

[1] "Dependent" means a spouse or qualifying child – until the end of the academic year in which the child turns 26.
[2] "Dependent" means a qualifying child – until the end of the academic year in which the child turns 26.

employee's death will continue to be eligible for the tuition benefit upon the child's acceptance and enrollment, in accordance with the policy in place at the time of admission. See the Employee Handbook for additional information.

A.2.3 Faculty Retirement

The normal retirement date for Faculty is defined as the June 30th coinciding with or following the 65th birthday. There is no mandatory retirement age.

A.3 Support Programs

Please see the PILOT Faculty Workload Guidelines 2024-2027 on the Academic Affairs SharePoint site for information regarding faculty leaves (previously displayed here as sections A.3.1-A.3.5).

A.3.1 College-Supported Faculty Research Programs

The Faculty Research Committee (FRC) administers grants programs each year that provide support for faculty research and creative activities. The committee comprises six elected members of the faculty, with at least one member from each disciplinary group—natural sciences, engineering, and mathematics; social sciences; humanities; and arts—and no more than one from any department, as well as a Dean of Academic Affairs (DOAA). The Director of Faculty Grants also attends committee meetings.

In addition to the research support programs for faculty members and students—described briefly below and in greater detail on the Faculty Research Committee website—the FRC sponsors a faculty lecture series each academic year.

A.3.2 Programs for Faculty Members

The Faculty Research Committee administers funds available through the Dean of Faculty's budget to aid faculty in their scholarly endeavors. Such aid is available for all stages of research, from inception to the final push to publication or performance. [NB: as used here, "research" also includes creative activities in the arts intended to lead to public performances or exhibitions, or publication.]

The FRC will consider faculty requests for research support under two programs:

Faculty Research Grants: These grants are intended to help begin new scholarly projects or to support work already in progress. Proposals may request support of one or two years' duration. Faculty members who plan a longer project may present this in their initial application, but any renewed funding will be based on a competitive proposal that clearly presents the accomplishments of the original funded period.

Faculty Research Grant proposals will be considered twice yearly, in early October and early February. Ordinarily, they will be for periods starting the June 1 after the academic year in which they are made and will be capped at **$4,000**. The announced deadlines are firm; it is the policy of the FRC that late applications will not be considered.

For detailed program information, visit the Faculty Research Committee website (see above).

Completion Grants: These grants are intended to provide faculty members with funds to defray the costs of bringing their scholarship to the public arena. Requests are capped at **$2,000**. Examples of such costs include page or indexing charges, permissions, and exhibition staging charges. These grants give preference to single author volumes over edited works. It is recommended that the faculty member determine well in advance what other sources could partner with completion grant money to support the project; these funds may include departmental funds, start-up funds, or, in the case of multi-author publications, contributions from other institutions. Normally, a request to fund the purchase of reprints as a stand-alone item is not fundable; however, a faculty member may make such a request if there is a necessity for high-resolution images which cannot otherwise be adequately reproduced. Requests for such grants will be considered on a rolling basis by the Chair of the FRC and the Dean of Academic Affairs.

Applicants should submit the online completion grant application, explaining the expenses (such as page rates for indexing, or title of article and name of journal for page charges) and providing an estimate of the costs to be incurred.

The Faculty Research Committee recognizes that these categories may not cover all eventualities. If an unanticipated research situation arises that cannot be accommodated under these categories, please contact the Chair of the FRC.

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A.3.3 Support for Student Research

The Faculty Research Committee has long provided support for research experiences for Trinity undergraduates. The programs outlined below are intended to provide flexibility in accommodating the research needs of both faculty members and students.

Under the **Faculty Research Grants** program [see above], proposals of *longer than one year's duration* may include a request for up to $4,000 in personnel costs for research assistance. As distinct from the Student Research Program [see below], this aspect of the Faculty Research Grants is intended primarily to suit the needs of the faculty member's research. Assistants will not necessarily be Trinity undergraduates, nor will the work experience necessarily be an educational one.

The **Summer Research Program** (SRP) supports intensive student involvement in ongoing faculty research. Students receive a maximum stipend of $3,500 for 10 weeks' full-time work (or the equivalent) on the Trinity campus during the summer. The program's benefits include on-campus housing as well as a schedule of weekly lunches featuring speakers and panels.

The FRC will consider SRP proposals in mid-February. Short applications are prepared by the student in close consultation with the faculty member. Proposals must have a substantial educational benefit to the student.

For a complete description and a link to the application, visit the Faculty Research Committee website.

Student-Initiated Research Grants (SIRG) are reimbursement grants intended to defray the costs of student-initiated, faculty-mentored research projects. Of particular interest to the committee are proposals for research leading to a senior thesis. The proposal—including a project narrative, budget, and budget justification—must be written by the student applicant; the sponsoring faculty member provides a statement of support, emphasizing the feasibility of the student's plan.

The maximum award is $2,500 and funds may be used to reimburse direct research expenses to Trinity students. Grant funds may be used for travel, access fees for archives and libraries, photo-reproduction of archival materials, and similar research expenses. Non-travel-related living costs are not covered by these grants. The FRC will consider SIRG proposals under two deadlines, in the fall and spring.

For further information, visit the Faculty Research Committee website.

(Revised August 2017)

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A.3.4 Program Limitations and Requirements

The Faculty Research Committee considers requests for travel support—from faculty members and students—only insofar as it is directly related to the research activity itself. Information regarding requests for travel to professional meetings, including travel to present the results of FRC-funded research can be found here. Additional questions should be directed to Patricia Moody, Director of Academic Finance in the Dean of Faculty's Office.

Award recipients are responsible for proper stewardship of grant funds and adherence to the approved budget. The Committee should be acknowledged in any publication resulting from the grant-funded research. FRC awards may not be used to fund meals or provide for per diem costs. Faculty members may submit applications for more than one project in a given year. However, in order to ensure an equitable allocation of funds, the FRC will, if necessary, fund acceptable single proposals before considering further applications from one person or group. At the conclusion of the period specified in the grant—or at least annually, in the case of longer-term grants—the grant recipient must submit a report to the dean of academic affairs.

(Revised May 1999; July 2007; August 2011; July 2012; July 2015; August 2017)

A.3.5 Faculty & Student Conference Travel Guidelines and Forms

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 the 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.

A *Eligibility*: Three categories of participation by full-time, continuing faculty members are recognized:

1) Formal presenter of a prepared paper, or recognized discussant, panelist, or convener for a formal session listed in the meeting program;
2) Attendee (i.e. non-contributor);
3) Recruiter (normally, at most two per department with co-approval of the search committee chair).

B *Reimbursement Parameters*: Faculty members who meet the eligibility requirements specified in categories 1 or 3 (above) may receive reimbursement for their registration fees, transportation, and reasonable lodging costs. The College will not reimburse for meals or provide for per diem funds for travel. Category 2 conference attendees (above) may be reimbursed for 50 percent of their approved travel, registration, and lodging costs. Normally, faculty will be eligible to have their category 1 and category 2 expenses covered for no more than two conferences per year in accordance with the following guidelines:

- Expenses reimbursed from this fund per faculty member per year will not exceed **$2,000**.
- For budgetary reasons, faculty members who have access to other funding must use these funds prior to requesting funds from the Dean's Office. Faculty who have been provided with startup funds for travel and development are not eligible for this funding until those funds have been depleted or committed. Faculty members whose appointments are less than full-time or who are on one-year appointments may also request assistance from the Dean's Office, but, depending on the budget, assistance may not be at the same levels as above.

C *Procedures and Practices*:

- Application: Faculty members wishing to arrange for support of professional travel should submit an online Conference Travel Request form to the Director of Academic Finance in the Dean of Faculty's Office **at least 60 days prior to travel date**. The application must specify the name and location of the conference, the title of the presentation or panel assignment (if applicable) of the attendee, and the likely costs which will be incurred. Faculty members who fail to apply in advance should not expect reimbursement.
- Preparing to Travel: Faculty members whose travel includes countries with U.S. State Department Travel Warnings must submit a signed waiver along with their requests for funding. Faculty members planning travel abroad, especially travel to a country with a travel warning, are encouraged to contact Jennifer Summerhays, Director of the Office of Study Away, for information and support as they plan their travel. Please note that the Office of Study Away is able to enroll faculty, staff, and students on an inexpensive health insurance policy through International SOS (including emergency evacuation) at a discounted rate; it is highly recommended for all Trinity faculty and staff to enroll in insurance such as this that will cover routine and emergency medical situations, as well as evacuations due to political unrest, natural disaster, etc.
- Reimbursement will be made only upon submission to the Director of Academic Finance of a signed, completed copy of the Travel Expense Report form (available from all departmental secretaries or from the Dean of Faculty's website) **within 60 days of return to the College**, accompanied by a set of proper receipts (where available) from hotels, travel services, credit cards, etc. (note that the expense report form is an Excel spreadsheet which can easily tally and reconcile expenses). If receipts are not available, a signed declaration must be attached for **each** undocumented expense. Follow this link for additional reimbursement instructions and this link for a list of non-reimbursable expenses. As a general rule, travel advances will be provided only when absolutely necessary. Travel Expense Reports for secondary trips, if approved, must be submitted with the accompanying receipts within 60 days of return to the College or conference assistance approval, whichever is later.

Brief Points:

- Approval of travel support requests are subject to the continued availability of funds.
- Applications for travel support should be made at least 60 days prior to departure.
- Submission of expense reports must be made within 60 days of return to qualify for reimbursement.
- No more than two such trips will be covered per academic year.

(Revised July 2007; August 2011; July 2015; August 2017; August 2019)

A.3.6 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.

A.3.7 Faculty Entertainment Fund

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

A.3.8 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, Trinity Commons 229, with a copy of the applicant's driver's license. Driver's licenses must be valid and issued within the United States, as the approval process includes a department of motor vehicle report. Applications must be approved by the applicant's supervisor. Faculty applications should be approved by Patricia Moody, Director, Academic Finance. Applications should be submitted well in advance of the date for use of a vehicle. The processing time for department of motor vehicle reports varies and some states require a release from the applicant in order to provide a report.

The State of Connecticut requires an "F" endorsement (for driving a service bus with a Class D license) to operate vehicles designed to carry 8 or more passengers, including the driver. CT DMV information about endorsements can be found here. Vehicles for approved drivers may be reserved at reservations.trincoll.edu.

College departments assigned college vehicles are responsible for managing use of the vehicles in accordance with college policy.

A.3.9 Appropriate Use of E-mail

Trinity e-mail is provided to facilitate the exchange of College-related information. We strongly recommend that e-mail not be used for the communication of confidential or highly sensitive information. E-mail is now considered a formal written record that carries the same legal weight as a formal memorandum and is legally discoverable if subpoenaed by a court order. When a private message needs to be conveyed between two individuals, an oral conversation is the best approach. If it is essential to send information of a confidential nature, it's best to send the information as an attachment that has been password-protected. Give the document password to the recipient by phone or in person - not via e-mail.

Users of e-mail should not have any expectation of personal privacy with regard to their email communications. Users should remember that e-mail messages become the possession of the receiver and can be easily duplicated and redistributed by recipients. Messages that need not be preserved should be deleted immediately. College policy prohibits certain types of e-mail. These include mail that may be perceived as harassment, political campaigning, chain mail or commercial solicitation. Violators may be subject to disciplinary action as determined by existing and appropriate governing bodies. Certain types of e-mail, including but not limited to harassing e-mail, may also subject the sender to civil or criminal penalties. *(Added July 2012)*

A.4 Formal Hearing and Investigation Procedures of the Academic Freedom Committee

Part 1: 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 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 their behalf by the Ombud.

Hearing Panel – A Panel comprising those members of the Academic Freedom Committee constituted to hear a particular complaint.

Non-Academic Freedom Grievance – A complaint originating under Section 9.2.1, p. 15, 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 Committee.

Procedures

1. The Complainant will file a specific written complaint with the Committee Chair (or the Chair's 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 that precipitated it. A detailed statement explaining why the charge has been delayed must accompany filing after this time period. 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 the Chair's designee) will give all Respondents a copy of the complaint. The Respondent will submit a response to the Complainant in writing to the Committee Chair (or the Chair's designee) no later than 30 days following receipt of the complaint. The Committee Chair (or designee) will share the response with the Complainant. 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 that 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 the Chair's 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 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* (Section 9, p. 15), the Committee will make the determination of the form in which reports of findings will be distributed to the Faculty, 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 concerns an academic freedom allegation that will be 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 ordinarily be available only to the Hearing Panel or to the Ombud 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 the Complainant wishes. The complaint may then present such evidence and/or witnesses as the Complainant wishes. The Respondent and then the Hearing Panel will be given opportunity to examine all evidence and to question each witness. Requestioning 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 a written response, make a statement, and present such evidence and/or witnesses as the Respondent wishes. The Complainant and then the Hearing Panel will be given an opportunity to examine all evidence and to question each witness. Requestioning 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 Ombud.
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 either party submits summary statements, 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 Ombud 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 Ombud may respond to such appeals in any manner the Ombud sees fit, normally the Ombud will outline in writing the causes for denying the appeal or for recommending a rehearing. No further appeals are permitted.

(Amended December 1994; April 20, 2021)

Part 2: Formal Investigation Procedures

1. The Ombud (or the Ombud's designee) will file a specific written request for a hearing with the Academic Freedom 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 Ombud (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 they are 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 that protects the privacy of individuals involved in the Investigation. The Committee will make the determination as to whether Committee findings will be published in full or in modified form after consultation with the Ombud. 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 Ombud (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 disqualifying 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 Ombud (or designee) will first present the written request and make whatever statement the Ombud wishes. The Ombud (or designee) may then make such statements and present such evidence and/or witnesses as the Ombud wishes. The Panel will be free to question all witnesses. Requestioning will be permitted until both the Hearing Panel and the Ombud 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 Ombud (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 Ombud.
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 Ombud (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, p. 16, of its charge in the *Faculty Manual*, the Committee will assume the role of the Ombud throughout these Procedures.

(Revised July 1993)

A.5 Trinity College Policy and Procedures for Review of Alleged Unethical Research Practices

Please see the Academic Affairs SharePoint site for the current Trinity College Policy and Procedures for Addressing Allegations of Research Misconduct.

A.6 Financial Disclosure Policy for All Senior Personnel Conducting Research Funded by Federal Grants

The federal government requires Trinity College to establish and administer a financial disclosure policy and training program for investigators conducting federally funded research. This requirement is designed to ensure appropriate management of actual or potential conflicts of interest. Trinity College's Financial Disclosure Policy (the "Policy") fulfills the requirements of grantee institutions as set forth in the National Institutes of Health's guidelines (see http://grants.nih.gov/grants/policy/coi/index.htm) and the National Science Foundation's conflict of interest policies (see http://www.nsf.gov/pubs/policydocs/pappguide/nsf08_1/aag_4.jsp#IVA).

A. **Disclosure of Significant Financial Interests.** All personnel responsible for the design, conduct or reporting of research under the terms of a federal grant or contract (each, an "Investigator") are required to disclose to the College's Dean of Faculty or designee (collectively "DOF"), who will act as a research integrity officer for purposes of this Policy, all "Significant Financial Interests" of the Investigator and/or the Investigator's spouse, partner, and dependent children.

B. **Nature of "Significant Financial Interests".**

1) Definition. A Significant Financial Interest means one or more of the following interests that reasonably appear to be related to the Investigator's institutional responsibilities, including all research, teaching and/or service to the College:

   a) With regard to any publicly traded entity, a Significant Financial Interest exists if the value of any remuneration received from the entity in the twelve months preceding the disclosure and the value of any equity interest in the entity as of the date of the disclosure, when aggregated, exceed $5,000. Remuneration includes any salary and any payment for services not otherwise identified as salary (e.g., consulting fees, honoraria, paid authorship); equity interest includes any stock, stock option, or other ownership interest, as determined through reference to public prices or other reasonable measures of fair market value.

   b) With regard to any non-publicly traded entity, a Significant Financial Interest exists if the value of any remuneration received from the entity in the twelve months preceding the disclosure, when aggregated, exceeds $5,000, *or* when the Investigator (or spouse, partner, or dependent children) owns any equity interest in the entity, regardless of dollar value.

   c) Intellectual property rights and interests (e.g., patents and copyrights) upon receipt of income related to such rights and interests. This does not include any income received from Trinity College for intellectual property rights assigned to the College based on agreements to share in the royalties related to such rights in conformity with the College's Patent and Invention Policy.

   d) Any reimbursed or sponsored travel related to your institutional responsibilities must also be disclosed, including in connection with instruction, research or service to Trinity College, with the exception of any travel reimbursed or sponsored by a federal, state or local government agency, an institution of higher education, an academic teaching hospital, a medical center, or a research center affiliated with an institution of higher education. Travel that is reimbursed by Trinity College from a sponsored fund account whose sponsor is an entity that is not one of those exempt entities shall be treated as a Significant Financial Interest. The Investigator must disclose the purpose of the trip, the identity of the sponsor and/or organizer, the destination and its duration. Additional information, including the estimated cost of travel, may be requested by the DOF and must be furnished upon request.

2) Exclusions. The term "Significant Financial Interest" does *not* include: a) salary, royalties, or other remuneration from Trinity College; b) income from investment vehicles such as mutual funds or retirement accounts, as long as the Investigator does not directly control the investment decisions made in these vehicles; c) income from seminars, lectures, or teaching engagements sponsored by government agencies, institutions of higher education, academic teaching hospitals, medical centers, or research institutes affiliated with institutions of higher education; d) income from service on advisory committees or review panels for government agencies, institutions of higher education, academic teaching hospitals, medical centers, or research institutes affiliated with institutions of higher education.

C. **Timing of Required Disclosures.**

1) Investigators must provide all required financial disclosures *at the time a proposal is submitted*.

2) In addition, Investigators must *update* those financial disclosures:

   a) Within thirty (30) days of discovering or acquiring (e.g., through purchase, marriage or inheritance) any new Significant Financial Interest; and

   b) Annually within the period of the grant, beginning with the anniversary date of the original disclosure.

3) An Investigator who is new to an existing research project must provide all required financial disclosures before being permitted to participate in the project.

D. **Review of Financial Disclosures.** The following process shall apply to financial disclosures submitted by Investigators.

1) Determination of Financial Conflicts of Interest. Prior to the expenditure of federal research funds, the DOF shall review each disclosed Significant Financial Interest and determine whether it relates to the federally funded research. A Significant Financial Interest is related to federally funded research if the DOF reasonably determines that the interest could be affected by the research or involves an entity whose financial interest could be affected by the research. If the Significant Financial Interest is so related, the DOF shall determine whether a Financial Conflict of Interest (as defined below) exists and, if so, determine what conditions or restrictions, if any, should be imposed by the College to manage, reduce, or eliminate such conflict of interest. The DOF may, depending on the scope of the potential conflict, request that additional staff or faculty serve on an ad hoc review committee to assist in a timely review. When evaluating FCOIs, the DOF shall use policies and procedures in place at Trinity College for investigating allegations of unethical research practices, as set forth in the *Faculty Manual*.

2) "Financial Conflict of Interest". A "Financial Conflict of Interest" exists when the DOF reasonably determines that a Significant Financial Interest could directly and significantly affect the design, conduct, or reporting of federally funded research or educational activities.

3) Management of Financial Conflicts of Interest. If the DOF determines that a Significant Financial Interest constitutes a Financial Conflict of Interest, the DOF will convene a committee consisting of faculty, senior staff and/or outside experts as detailed in the procedures relating to unethical research practices set forth in the *Faculty Manual* (the "COI Committee"). The COI Committee will review the research, the financial interests in question, and the areas of conflict, and devise a plan for the management of the Financial Conflict of Interest (a "Management Plan") with a combination of elements it deems most conducive to the continued objective pursuit of research. The Management Plan may include conditions or restrictions to manage, reduce, or eliminate Financial Conflicts of Interest, which may include (but are not limited to): a) monitoring of research by independent reviewers; b) modification of the research plan; c) disqualification from participation in the portion of the federally funded research that would be affected by the Significant Financial Interest; d) divestiture of Significant Financial Interests; e) severance of relationships that create conflicts; or f) public disclosure of Financial Conflicts of Interest. The Investigator will be consulted as to the implementation of the Management Plan; the Investigator must agree to the plan before the research can proceed. If the COI Committee and the Investigator cannot agree upon a management plan, the relevant regulatory bodies and sponsoring agencies will be notified.

   If, during the course of an ongoing project, an Investigator who is new to a research project discloses a Significant Financial Interest, an existing Investigator discloses a new Significant Financial Interest, or an existing Significant Financial Interest is discovered that was not previously identified, the DOF will, within 60 days, review that Significant Financial Interest and determine whether a Financial Conflict of Interest exists. If so, the DOF will implement, on at least an interim basis, a Management Plan that will specify the actions that have been and will be taken to manage the Financial Conflict of Interest.

4) Retrospective Reviews. If a Financial Conflict of Interest is not identified or managed in a timely manner, the College will, within 120 days of its determination of noncompliance, complete a retrospective review to determine whether any of the research conducted during the period of non-compliance was biased in design, conduct or reporting. The College shall document this review as required by the sponsoring agency and shall

update the previously submitted FCOI report to specify additional actions to manage the FCOI going forward. If bias is found, the College shall notify the sponsoring agency promptly and submit a mitigation report that will include the key elements of the retrospective review, a description of the impact of the bias on the research project, and the College's plan of action to eliminate or mitigate the effect of the bias.

5) Reporting of Financial Conflicts of Interest.

   a) *Sponsoring agency.* A Significant Financial Interest that is determined by the DOF to be a Financial Conflict of Interest will be reported to the sponsoring agency in accordance with its requirements prior to the expenditure of federal funds or, if related to an ongoing research project or a new Investigator, within 60 days of identification of the FCOI. Retrospective reviews and Mitigation Reports will also be submitted to the extent required by the sponsoring agency.

   b) *Public request.* To the extent required by the sponsoring agency, information on the nature of a Financial Conflict of Interest will be made available to members of the public by the DOF in response to inquiries specifying the investigator name and the research project in question within 5 business days of receipt of such requests.

   c) *College reporting.* The DOF will also compile regular reports of conflicts and, where appropriate or necessary, a report shall be delivered to the Board of Trustees.

E. **Enforcement.** The College shall establish appropriate mechanisms, in accordance with sponsoring agency requirements, for enforcement of this Policy, which shall provide for sanctions where appropriate.[3] Disciplinary proceedings initiated in connection with this Policy shall be conducted in accordance with the Trinity College *Faculty Manual*, the Trinity College *Employee Manual* or the Student Code of Conduct. All relevant regulatory bodies and sponsoring agencies will be promptly informed of disciplinary sanctions.

F. **Records.** The College shall maintain records of all financial disclosures and of the College's review of and response to such disclosures, whether or not the disclosure involved a Financial Conflict of Interest, for at least three years beyond the termination or completion of the grant to which they relate, or until the resolution of any federal action involving those records, whichever is longer.

G. **Training.**

1) *Investigators on NIH/PHS-funded projects.* Each Investigator (including senior/key personnel) on projects funded by or proposed to NIH or other Public Health Service (PHS)-affiliated agencies must complete training in the College's Financial Disclosure Policy. For Investigators of NIH grants existing or pending as of December 31, 2012, this training will consist of a *mandatory* meeting with a representative of the Faculty Grants Office, which meeting will cover institutional policies, Investigator responsibilities under those policies, and the federal regulations that mandate those policies. The College will also require the completion of an online tutorial on FCOI at regular intervals during the life of the grant.

2) *New or previously unfunded Investigators.* New and/or previously unfunded Investigators who notify the Office for Faculty Grants of their intent to submit a research proposal to NIH or another PHS-affiliated agency after January 1, 2013 will be required to complete training (and make the disclosures described above) prior to submission of their proposal. This training will consist of a scheduled meeting with an assigned member of Faculty Grants Office staff and completion of an online tutorial.

3) *Investigators on **non**–NIH/PHS projects.* For Investigators sponsored by or seeking funding from NSF and/or other federal agencies, as well as any Investigators initiating research sponsored by a private, for-profit entity, the above training activities are optional but strongly recommended.

[3] Such sanctions may include, but are not limited to, any one or more of the following: Letter of Admonition; temporary suspension of access to active research funding, either for a fixed term or pending completion of a remediation plan; temporary suspension of rights to apply for internal and external research funding as a PI, either for a fixed term or pending completion of re-training and remediation; investigation and mitigation of possible research bias resulting from improperly disclosed Significant Financial Interests, and reporting of corrective action to the relevant sponsoring agency/ies; inquiry into possible research misconduct in accordance with the College's policies and procedures; non-renewal of appointment, as per the terms and procedures outlined in the *Faculty Manual*; and involuntary termination of employment, as per the terms and procedures outlined in the *Faculty Manual*. This passage shall not be construed to contradict or supersede any disciplinary policies and procedures detailed elsewhere in the *Faculty Manual*.

4) *Repeat training.* Group training of active NIH/PHS-funded Investigators, consisting of a mandatory workshop, will be repeated (i) every four years and (ii) on any occasion when the College revises its Financial Conflict of Interest policies and procedures in any manner that affects the requirements of Investigators. Any Investigator who is determined not to be in compliance with this Policy will also be required to immediately undergo repeat training.

H. **Disclosure Statement.** Copies of the College's Financial Disclosure Form are available on the College website, and are distributed by the Office of Faculty Grants together with the College's transmittal form, which must be completed before applying externally. This Disclosure Statement must be completed by all senior personnel who are submitting proposals to a federal funder. The certification page of a proposal cannot be signed until forms for all Investigators are submitted to the DOF. By signing this form the applicant certifies that the applicant a) does not have potential Financial Conflicts of Interest ("*I hereby certify that I have read the Financial Disclosure Policy in the Trinity Faculty Manual which is effective for all federal proposals submitted through the College. I certify to the best of my knowledge that neither I nor my spouse, partner, or dependents hold any significant financial interests that would reasonably appear to be related to my research, teaching and service responsibilities to Trinity College*") or b) does have potential conflicts ("*I have the following relationships, affiliations, activities, or interests (financial or otherwise) which constitute potential conflicts under the Trinity College Financial Disclosure Policy*"). In either case, the applicant also declares that the applicant will notify the DOF of any change or discovery requiring modification of the above statement.

I. **Subrecipients.** The College is responsible for ensuring that all subrecipients, (e.g., subcontractors or consortium members) comply with applicable federal regulations regarding Financial Conflicts of Interest. To this end, the College shall enter into a written agreement with each subrecipient that shall specify whether this Policy, or the applicable policy of the subrecipient's institution, will apply to subrecipient Investigators. If the subrecipient is to be subject to its own FCOI policy, the subrecipient shall certify as part of the written agreement referenced above that its policy complies with federal regulatory requirements. The written agreement will specify the timing for reporting of FCOIs by subrecipients to Trinity College to enable the timely review and reporting of such FCOIs in compliance with sponsoring agency requirements.

J. **Certifications.** The College shall provide all certifications required by the sponsoring agency, including that it maintains an up-to-date, written and enforced administrative process to identify and manage financial conflicts of interest, promotes and enforces compliance with requirements pertaining to disclosure of Significant Financial Interests, manages financial conflicts of interest, provide required reports, and agrees to make available promptly upon request information relating to disclosure of financial interests.

(*Issued November 2012*)

A.7 Types and Terms of Physical Education Faculty Appointments

Please see the PILOT Faculty Workload Guidelines 2024-2027 on the Academic Affairs SharePoint site for the current Types and Terms of Faculty Appointments at Trinity College, previously displayed here.

I. Physical Education Faculty Appointments

Responsibilities: Head coaches at Trinity have faculty appointments. This reflects our view that coaching is an essential form of teaching and advising. Physical education faculty also offer wellness experiences, which are a degree requirement. In their teaching, mentoring, recruiting, and retaining student-athletes, faculty in physical education contribute to the academic success of Trinity students.

Appointments: The Dean of Faculty appoints all instructors, assistant professors, associate professors, and professors of Physical Education, acting on the recommendation of the Director of Athletics. All searches for Physical Education faculty follow the process defined by Human Resources and the Office of Diversity, Equity, and Inclusion. A faculty member of the Athletic Advisory Committee, or their designee, always participates in the search process. All faculty appointments in physical education will be non-tenured.

Salaries: All salaries of physical education faculty are set by the Director of Athletics and Human Resources. Candidates receive a letter of appointment from the Dean of Faculty/VPAA, outlining their faculty status. They receive a separate letter from Human Resources, specifying their salary and benefits as long-term faculty members.

Faculty Titles in Physical Education: A candidate with only a bachelor's degree will be hired as an instructor of physical education. Candidates with a master's or doctoral degree will normally be hired as an Assistant Professor. Candidates hired from outside the College with substantial experience may be hired at the rank of Associate Professor or Professor. Professorial titles in physical education reflect Trinity's history and complement the athletic (i.e., coach) title.

Terms of Appointment for Physical Education Faculty: Instructors are appointed one to three years; Assistant Professors for three years; Assistant Professors promoted to Associate Professors, and Associate Professors promoted to Professors, are appointed for five years. A candidate hired as an Associate Professor will be given two three-year reviews, and a candidate hired as Professor will be given one three-year review before moving on to the five-year review cycle.

Terms for Renewal: The Dean of Faculty, following the recommendation of the Athletic Director and the review committee (as defined below), renews appointments of physical education faculty. Renewal of these appointments is neither automatic nor guaranteed. Renewal of an appointment requires demonstrated programmatic need and ongoing budget support for the position. Additionally, the candidate must meet the criteria for reappointment or promotion listed below, focused on teaching and service/ engagement and drawing on evidence from the most recent contract period.

Criteria for Reappointment and Promotion:

- *Teaching and Student Mentoring.* Demonstrated effectiveness as a teacher and mentor, as evident in coaching a team, teaching physical education courses, and recruiting and retaining students.
- *Service/Engagement.* A sustained record of 1) engagement at the college, beyond the primary responsibilities of their portfolio; and 2) professional contributions outside of the College, such as community engagement in Hartford or participation in and contributions to the profession (e.g., participation in sport clinics, attendance at meetings of professional organizations, etc.). Candidates for promotion should have a record of excellence in service/ engagement, with evidence of leadership for promotion to professor.

Timing of Promotion:

- Promotion generally requires completion of 6 years of continuous full-time service.
- The promotion review process is initiated by the Director of Athletics and an eligible candidate, at any time during or after the year in which the candidate will fulfill the 6-year service requirement.

Review Process for Reappointment and Promotion:

i. The reappointment/promotions process is initiated by the Director of Athletics, who also serves as the candidate's file keeper.

ii. The candidate's materials are reviewed by a reappointment /promotion review committee. The **review committee** is comprised of the following members:

- Athletic Director (AD), serving as the chair and file keeper.
- Senior Woman Administrator (SWA) or their designated representative.
- Two senior head coaches (defined as Associate or Full Professor coaches with only full professors sitting on potential promotions to Professor of Physical Education); these senior coaches may also be designated faculty representatives of Physical Education, attending the chairs meeting of academic departments/programs.
- One member of the Athletic Advisory Committee (AAC), or their designee; note that the faculty team liaison cannot serve on the review committee, although they may include a letter of support in the file.
- An associate dean (ex officio), representing the Dean of Faculty's Office.

iii. The review committee meets to discuss the extent to which the candidate has met the teaching and service criteria and votes whether to recommend reappointment/promotion. The committee should contextualize a candidate's record of performance, outlining strengths and areas of improvement as well as addressing explicitly any critical feedback from students or colleagues.

iv. The file keeper prepares a single comprehensive letter, reflecting the tenor of the review committee's discussion and specifying the outcome of the recommendation. All votes are recorded in the committee's letter without identifying review committee members. The members of the committee sign the letter, which is shared with the candidate who also signs the letter acknowledging receipt. The candidate has the option of writing a letter of response, which would be shared with the members of the review committee and become part of the submitted file.

Files for Reappointment and Promotion: All files for reappointment and promotion should include the following materials:

- Candidate Statement: Approximately 5 pages, outlining how the candidate has met the criteria for reappointment/promotion and contributed to supporting a diverse student body equitably and inclusively; candidates should address the full range of evidence that is included in their file.
- Annual performance reviews.
- Student evaluations from courses taught, with a cover sheet offering summary results and context.
- Feedback from students on their team solicited in the form of student letters and annual team surveys.
- Letters of support from colleagues within the department and faculty or staff beyond the department (solicited by the file keeper in consultation with the candidate).
- Letters from former students, including alumni (solicited by the file keeper in consultation with the candidate).
- *For promotion only*: Evaluation of coaches from peer institutions (solicited jointly by the Dean of Faculty and Director of Athletics).

Terms of Promotion: If the review is favorable, the promotion will become effective July 1 of the academic year following completion of the review. Upon promotion, there will be a one-time adjustment to the salary base of associate professors and professors. As of 2023, this amount will be 8% of base salary, comparable to the promotion increase for other long-term instructional faculty.

Appeal Process: In the case of a negative decision, the candidate may decide to appeal. The appeal committee, appointed by the Dean of Faculty, will be comprised to the extent possible of the following members: 1) a faculty member with experience in appointments and promotions; 2) a member of the AAC or their delegate; and 3) an additional member mutually agreed upon by the Dean of Faculty, the Director of Athletics, and

the AAC chair. The candidate will initiate the appeal with the Dean of Faculty, submitting a brief statement outlining the basis of the appeal. The appeal committee will determine whether the appropriate process was followed and will report their findings in writing to the Dean of Faculty, the Director of Athletics, the candidate, and the AAC. The Dean of Faculty, in consultation with Human Resources, will make the final decision.

(Section 6 added July 2016; modified January 2023)

A.8 Trinity College Patent and Invention Policy

Approved by the Board of Trustees on February 25, 1997. This policy is effective as to all inventions/discoveries made on or after February 25, 1997.

A. Introduction: The mission of Trinity College is to advance knowledge. Trinity recognizes that the various activities of its Faculty, students, and staff may produce patents and inventions. For the purpose of this policy, an "invention" shall mean any design, concept, technique, discovery, or improvement, whether or not patentable. The invention can be the result of research activities, or work, or study. The Trinity College Patent and Invention Policy is designed to make inventions developed in the course of College research or operations available to the public on a reasonable and effective basis and, at the same time, to protect the rights of the College and to provide adequate recognition to the inventors.

B. Applicability: This policy applies to inventions by Faculty, staff, or any other person performing research or engaging in work or study at the College, where such inventions are created or discovered: (1) within the course of, or relating to, their employment; (2) with the use of College resources or facilities; or (3) with the support of external sources (e.g. grants) obtained while employed at the College. Title to all such inventions will belong to Trinity College. The College makes no claim to inventions by College employees unrelated to the activities for which the individual is employed and which have not involved the use of College resources or facilities.

An invention made by a student will be deemed made under College auspices and therefore the property of the College pursuant to the Patent Policy if it is made by a student (1) in connection with work in a course in which the student is enrolled or which the student is auditing, or (2) in connection with Faculty-supervised independent work, or (3) in the course of the student's College employment, or (4) in the course of other work using College facilities or resources. Royalties from the College's licensing of any invention made by a student will be shared with the student on the same basis that royalties are shared with Faculty inventors.

C. Procedures: Any person who discovers an invention covered by this policy shall promptly disclose that invention by completing an invention disclosure form (attached) and submitting it to the Office of Faculty Grants.

Within 30 days of receipt of the invention disclosure form, the Director of Faculty Grants will convene a meeting of an ad hoc Committee on Patent and Invention, consisting of the Treasurer, Dean of the Faculty and Chairperson(s)/ Director(s) of the department(s)/program(s) of the Faculty member(s), staff, or student(s) submitting the invention disclosure forms and other chairs as the College deems appropriate.

The responsibilities of the ad hoc Committee on Patent and Invention shall be:

a. to determine whether to proceed with evaluation of an invention;
b. to determine the means of evaluation for patentability (internal or external evaluation);
c. to review evaluation results and determine a course of action.

If the Committee decides to pursue a patent, it may recommend that the College alone, or with the assistance of an external organization, make applications for letters patent. The College will retain title to all such patent applications and resulting patents.

If the Committee concludes that it does not wish, and has no legal obligation, to recommend College participation in the patenting or licensing of an invention, the College will release to the inventor the College's interest in the invention within ten working days of the decision, and the inventor shall then be free to dispose of the invention.

If it secures a patent, the College will seek to enter into appropriate licensing or other arrangements with third parties to commercialize the invention.

D. Income-Sharing Arrangements: After the recovery of costs related to the patent and commercialization process, including without limitation any royalties that are paid to an external organization, the net royalties[4] will be divided as follows:

[4] As used in this policy, "royalties" shall mean all amounts received from the exploitation of an invention, whether or not such amounts are designated as royalties and regardless of the form of such payments. Royalties shall include amounts received from the sale of a patent or invention.

50% to the inventor(s) and 50% to the College. In each of the first three years in which royalties are received, the College will allocate one-fifth of its share (i.e., 10% of net royalties) to the department(s)/programs(s) of the inventor(s)[5]. These funds may be used for equipment purchases, research and instructional activities, and other purposes approved by the Dean of the Faculty, but they may not be used to create or support Faculty positions.

The inventor(s) shall agree to assist the College in the prosecution of the patent application. In the event of multiple inventors, these individuals will be expected to agree among themselves on the fractional distribution of the "inventor" share of any royalties. The individuals involved shall sign a written form (available from the Office of Faculty Grants) specifying the fractional distribution of the inventors' share. It will be deposited for the record in the Office of Faculty Grants.

E. Dispute Resolution: In the event of any dispute arising under this policy, including, without limitation, the ownership of an invention or the allocation of the inventors' share of royalties, the ad hoc Committee on Patent and Invention shall arrange for arbitration of the dispute in the following manner:

Unless the disputing parties concur in the appointment of a single arbitrator, the matter in dispute shall be referred to a panel of arbitrators: one to be appointed by each disputing party, and an additional arbitrator to be appointed by the arbitrators selected by the disputing parties. If within a month after the Committee provides notification of arbitration a disputing party shall not have appointed an arbitrator, then such arbitrator shall be appointed by the American Arbitration Association. The arbitrator(s) shall determine the place or places where meetings are to be held. The decision of a majority of the arbitrators shall be final and binding on all of the parties. Judgment on the arbitration award may be entered in any court having jurisdiction thereof. Any fees charged by the arbitrators shall be shared equally by the disputing parties.

The foregoing notwithstanding, in the event of a dispute which involves only students, the Committee shall hear the positions of the disputing students and render a decision, which shall be final and binding on all of the students.

F. Revocation or Amendment: This patent policy is subject to revocation or amendment by the College. In case of doubt as to the interpretation of this patent policy, a definitive interpretation will be provided by the President after receiving the advice of the ad hoc Committee on Patent and Invention.

Invention Disclosure Form (Required Format)

I. Basic Information About the Invention

Please provide name or title for your invention and a brief description. Inventions include such innovations as the development or improvement of new processes, products, apparatus, compositions of matter, organic or inorganic organisms, and software which may be patentable. Use additional sheets and attach descriptive materials to expand answers to questions as needed. *(Sketches, drawing, photos, reports and manuscripts will be helpful.)*

A. Invention Name or Title:
B. Description:
C. What are the immediate and/or future applications of the invention/innovation?
D. Why is the invention/innovation better -- more advantageous -- than present technology? What are its novel and unusual features? What problems does it solve?
E. Is work on the invention continuing? Are there limitations to be overcome or other tasks to be completed prior to practical application? Are there any test data?
F. Have products, apparatus or compositions, etc., actually been made and tested?

II. Publications, Public Use and Sale

Note: valid patent protection depends on accurate answers to the following items:

A. Has invention been disclosed in an abstract, paper, talk, news story or thesis?
Type of disclosure:
Disclosure date:
(Please enclose a copy.)

[5] In the event of student inventor(s), this allocation to a department shall go to the department or program whose laboratory or other facility was used by the inventor(s). If there is necessity for an administrative decision in this matter, it shall be made by the *ad hoc* Committee on Patent and Invention.

B. Is a publication or other disclosure planned in the next six months?
Type of disclosure:
Date:
(Please enclose drafts, abstracts, preprints.)

C. Has there been any public use or sale of products embodying the invention?
(Please describe, giving date.)

D. Are you aware of related developments by others? If possible, attach copies of any relevant patents or publications.

III. Sponsorship

If the research that led to the invention was sponsored, please fill in the details and attach a copy of the contract or agreement if possible.

A. Government agency:
Grant no:

B. Name of industry, university, foundation or other sponsor.

C. Has the invention been disclosed to industry representatives? If "yes," please provide details, including the names and addresses of companies and their representatives.

IV. Inventors' Data and Signatures

A. Names and titles of inventors:
(Please list names, provide signatures and date signed.)

B. Contact for more information:
(Please provide name, phone number and e-mail address.)

C. Mailing address(es) for inventor(s):
(Please provide addresses and e-mail addresses for each party.)

A.9 Trinity College Policy on Consulting Contracts and the Use of Trinity Trademarks

Faculty who enter into private consulting contracts or other agreements for professional services that are not within the scope of their employment at Trinity College do so as individuals. (Any such contract entered into for services that are not within the scope of a faculty member's employment and without the express written approval by the Dean of the Faculty is deemed an individual arrangement.) All information provided for such contracts and agreements must pertain specifically to the faculty member. In particular, the use of Trinity College's name and employer identification number on such contracts or agreements is not permitted, and, unless approved by the Dean, Trinity College will provide no services, such as accounting or billing, for the contract. Further, only those persons authorized by the Trustees of Trinity College to sign contracts on behalf of the College may do so.

All contracts and amendments to contracts to be administered by the College must be submitted for approval by the Dean prior to execution by an authorized person. Work on the contract must be completed within the stated performance period and in accordance with the terms and conditions stated in the agreement. Subcontractors must process financial transactions and provide documentation required for financial reporting in accordance with the policies and procedures of the College.

The use of the name, seal, logo, or other trademarks of Trinity College and/or other intellectual property of Trinity College without the express written permission of the Dean of Faculty is prohibited. This applies particularly to private commercial arrangements where the use of such trademarks and/or intellectual property could be construed as an endorsement by the College or that the College has granted a license for its use.

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 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:

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

The teacher is entitled to freedom in the classroom in discussing their subject, but should be careful not to introduce into their teaching controversial matter that 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[1].

The college or university teacher is a citizen, a member of a learned profession, and an officer of an educational institution. When they speaks or writes as a citizen, they should be free from institutional censorship or discipline, but their special position in the community imposes special obligations. As a person of learning and an educational officer, they should remember that the public may judge their profession and institution by their utterances. Hence they should at all times be accurate, should exercise appropriate restraint, should show respect for the opinions of others, and should make every effort to indicate that they are not an institutional spokesperson.

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

[1] "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*.

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, and 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 that 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, programs, special review committees, the Appointments and Promotions Committee, and the Appointments 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; revised February 8, 2005*)

B.3 Non–Discrimination at Trinity College

Statement on Non-Discrimination

Trinity College prepares students to be bold, independent thinkers who lead transformative lives. Ours is a community that rewards intellectual curiosity, welcomes open debate and dialogue, and strives to expand the boundaries of knowledge and compassion. By eliminating discrimination and embracing diversity, equity and inclusion, we foster an environment of trust and mutual respect where everyone who lives, studies, and works at Trinity can meaningfully engage, connect, and transform themselves and the world around them.

Discrimination is contrary to the College's mission. Discriminatory acts infringe upon a victim's dignity and integrity, often denying or limiting a victim's access to academic life. Discriminatory acts are among the most egregious in our community and warrant the most serious penalties. The College is committed to responding to all reports of alleged discrimination and will use all reasonable means to prevent, confront, and eliminate such behavior. Some forms of discriminatory harassment may also violate criminal law (e.g., assault, battery) and complainants may wish to report the alleged conduct to law enforcement as well. Upon request, the College will assist individuals in filing such reports with law enforcement.

Maintaining our commitment to a campus climate where discrimination and discriminatory harassment are not tolerated must be a shared goal. By joining the Trinity College community, all Trinity community members accept that they too have an individual responsibility to help create an environment free of discrimination and discriminatory harassment. All members of the Trinity community should familiarize themselves with the College's non-discrimination policy, as found below; ignorance of the policy is not a reasonable defense in complaints of discrimination. The College encourages prompt reporting of any discriminatory behavior, and it expects full cooperation in any College investigation or judicial process regarding discrimination or discriminatory harassment allegations.

The College protects the rights and privacy of individuals reporting acts of alleged discrimination, individuals simply accused of discrimination, and individuals who participate in the College's investigation of, or efforts to address, alleged discrimination. Retaliation against any person who has made a complaint of discrimination, or who has cooperated in the investigation of such a complaint, is illegal and a violation of College policy.

Although certain actions, speech, and forms of expression may run contrary to individual beliefs, many of them are protected by law and are permissible under the principles of academic freedom. The College provides space for provocative and unpopular speech and expression so long as those actions do not violate the law and/or are not found to be targeted and intentional actions that violate the College's non-discrimination policy.

Non-Discrimination Policy

Trinity College prohibits discrimination on the basis of race, color, national origin, ancestry, religion or religious creed, gender or sex (including pregnancy), gender identity or expression, sexual orientation, disability, age, genetic information, marital status, veteran status or any other category protected by federal or state law. Broadly speaking, discrimination entails differential treatment of an individual or a group of individuals, based on one or more of these protected classes, that has the purpose or effect of depriving such individuals equal access or opportunity in employment or education. Discrimination may occur between parties of equal or unequal authority, whether students, faculty, or staff.

Discriminatory harassment is conduct that has the purpose or effect of creating a hostile, intimidating or offensive working, living or learning environment.

Retaliation is prohibited. Retaliation is defined as conduct that may reasonably be perceived to: adversely affect a person's educational, living, or work environment because of their good-faith participation in the reporting, investigation, and/or resolution of a report of a violation of this policy; or discourage a reasonable person from making a report or participating in an investigation under this policy, any other College policy, or any other local, state, or federal complaint process.

Even an individual absolved of alleged discrimination can be guilty of retaliation, if that individual behaves in a manner designed to "punish" or dissuade another individual who has complained of discrimination or participated in the investigation or adjudication of such a complaint.

Scope of the Non-Discrimination Policy

Trinity College's non-discrimination policy applies to all College community members, including all trustees, students, employees, alumni, visitors, and volunteers who participate in the College's programs and activities,

whether the program or activity is on- or off-campus, including any study away programs sponsored by the College. Any such individual may make a report of an alleged act of discrimination under this policy. Anyone who conducts business with the College or on College property, including vendors and independent contractors, also are expected to comply with this policy. Complaints against such individuals will be handled in accordance with existing contracts and agreements. Behaviors that violate the non-discriminatory policy may also violate other College policies, including the Trinity College Policy on Sexual Harassment.

This policy is Trinity College's official policy governing non-discrimination and is intended to comply with all relevant federal and state laws and the College's statements and policies. It replaces any other College policies prohibiting discrimination. The College will amend the Non- Discrimination Policy from time to time, to ensure compliance with applicable laws. The College will work in collaboration with the Faculty Conference, the Student Government Association, and the Staff Councils, prior to making any changes to this policy.

Procedures

All personnel who are responsible for hiring and promoting employees and for the development and implementation of College programs or activities are obligated to support this policy and to respond promptly and appropriately to any concerns that are brought to their attention. The College has established procedures for the reporting and prompt, fair, and impartial investigation and adjudication of discrimination and retaliation complaints. See Student Handbook for procedures involving claims against students; Faculty Manual for procedures involving claims against faculty; and Employee Handbook for procedures involving claims against non-faculty employees.

(*Passed April 10, 1984; Amended April 14, 2020*)

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 that 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 governance 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 structures and procedures. The statement does not attempt to cover relations with those outside agencies that increasingly are controlling the resources and influencing the patterns of education in our institutions of higher learning: for example, the United States government, state legislatures, state commissions, interstate associations or compacts, and other interinstitutional arrangements. However, it is hoped that the statement will be helpful to these agencies in their consideration of educational matters.

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 at present 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 was jointly formulated by the American Association of University Professors, the American Council on Education (ACE), and the Association of Governing Boards of Universities and Colleges (AGB). In October 1966, the board of directors of the ACE took action by which its 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." The Council of the AAUP adopted the statement in October 1966, and the Fifty-third Annual Meeting endorsed it in April 1967. In November 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 of the respective roles of governing boards, faculties, and administrations," and "commends it to the governing boards which are members of the Association." (In April 1990, the Council of the AAUP adopted several changes in language in order to remove gender-specific references from the original text.)

1. 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 authorities, at all levels, play 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 their interdependence, of the usefulness of communication among themselves, and of the force of joint action will enjoy increased capacity to solve educational problems.

2. 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.

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 or her 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 the 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 the manner of instruction or research, they impair the educational effectiveness of the institution.
Such matters as major changes in the size or composition of the student body and the relative emphasis to be given to the various elements of the educational and research program should involve participation of governing board, administration, and faculty prior to final decision.

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 operation 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 a 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. The president's dual role requires an ability to interpret to board and faculty the educational views and concepts of institutional government of the other. The president 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 5 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[2]

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 speaking of it in public. An individual who speaks unofficially should so indicate. An individual who speaks officially 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 the individual's own institution is a part of that person's right as a citizen and should not be abridged by the institution[3] There exist, of course, legal bounds relating to defamation of character, and there are questions of propriety.

3. The Academic Institution: The Governing Board

The governing board has a special obligation to ensure 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: for example, the community college to serve the educational 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 ensure 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.

[2]See the 1940 "Statement of Principles on Academic Freedom and Tenure," AAUP, Policy Documents and Reports, 11th ed. *(Baltimore: Johns Hopkins University Press, 2015), 13–19*, and the 1958 "Statement on Procedural Standards in Faculty Dismissal Proceedings," ibid., 91–93. These statements were jointly adopted by the Association of American Colleges (now the Association of American Colleges and Universities) and the American Association of University Professors; the 1940 "Statement" has been endorsed by numerous learned and scientific societies and educational associations.

[3]With respect to Faculty members, the 1940 "Statement of Principles on Academic Freedom and Tenure" reads: "College and university teachers are citizens, members of a learned profession, and officers of an educational institution. When they speak or write as citizens, they should be free from institutional censorship or discipline, but their special position in the community imposes special obligations. As scholars and educational officers, they should remember that the public may judge their profession and their institution by their utterances. Hence they should at all times be accurate, should exercise appropriate restraint, should show respect for the opinions of others, and should make every effort to indicate that they are not speaking for the institution" (ibid., 14).

One of the governing board's important tasks is to ensure the publication of codified statements that define the overall 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 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[4].

4. The Academic Institution: The President

The president, as the chief executive officer of an institution of higher education, is measured largely by his or her capacity for institutional leadership. The president shares responsibility for the definition and attainment of goals, for administrative action, and for operating the communications system that links the components of the academic community. The president represents the institution to its many publics. The president's 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 the institution, and can persuade others to see them and to work toward them, will often constitute the chief measure of the president's administration.

The president must at times, with or without support, infuse new life into a department; relatedly, the president 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 may also, in the interest of academic standards, 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 ensure 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 and the creation of new resources; has ultimate managerial responsibility for a large area of nonacademic activities; is responsible for public understanding; and by the nature of the office is the chief person who speaks for the institution. In these and other areas the president's work is to plan, to organize, to direct, and to represent. The presidential function should receive the general support of board and faculty.

5. 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.[5] 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, personnel 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.

[4]Traditionally, governing boards developed within the context of single-campus institutions. In more recent times, governing and coordinating boards have increasingly tended to develop at the multi-campus regional, systemwide, or statewide levels. As influential components of the academic community, these supra-campus bodies bear particular responsibility for protecting the autonomy of individual campuses or institutions under their jurisdiction and for implementing policies of shared responsibility. The American Association of University Professors regards the objectives and practices recommended in the "Statement on Government" as constituting equally appropriate guidelines for such supra-campus bodies, and looks toward continued development of practices that will facilitate application of such guidelines in this new context. [Preceding note adopted by the AAUP's Council in June 1978.]

[5]With regard to student admissions, the faculty should have a meaningful role in establishing institutional policies, including the setting of standards for admission, and should be afforded opportunity for oversight of the entire admissions process. [Preceding note adopted by the Council in June 2002.]

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 chair or head of a department, who serves as the chief representative of the 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 chair or department head should not have tenure in office; tenure as a faculty member is a matter of separate right. The chair or head should serve for a stated term but without prejudice to reelection or to reappointment by procedures that involve appropriate faculty consultation. Board, administration, and faculty should all bear in mind that the department chair or head 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.[6]

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.

The means of communication among the faculty, administration, and governing board now in use include: (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.

[6]The American Association of University Professors regards collective bargaining, properly used, as another means of achieving sound academic government. Where there is faculty collective bargaining, the parties should seek to ensure appropriate institutional governance structures which will protect the right of all faculty to participate in institutional governance in accordance with the "Statement on Government." [Preceding note adopted by the Council in June 1978.]

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

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.

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.

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.

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.

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. (*Passed December 8, 1992*)

B.6 Policy Statement on Sexual Harassment of Students by Faculty

Consistent with its commitment to professional responsibility in education, the Faculty of 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.

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 students' 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.

POLICIES:

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:

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

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.

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.

PROCEDURES:

The Trinity College Policy on Sexual Harassment is published at https://www.trincoll.edu/wp-content/uploads/2021/03/Trinity-College-Policy-on-Sexual-Harassment.pdf. Anyone who believes they have been sexually harassed by a Faculty member should refer to this policy, which includes definitions of forms of sexual misconduct, procedures for reporting complaints, and procedures for adjudicating complaints.

No actions concerning a Faculty member's behavior which could be construed to affect the Faculty member's status at the College should be taken outside of the procedures of the Trinity College Policy on Sexual Harassment.

(*Passed May 4, 1993; Amended May 5, 1998; February 10, 2016*)

B.7 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*)

No Trinity faculty member may be tenured full-time at two institutions for more than 12 consecutive months unless explicitly approved by both Trinity's Dean of Faculty and the department or program. If a faculty member, having or receiving tenure elsewhere, does not resign that second tenure within the twelve month period, this will be considered by Trinity to be a resignation of that faculty member's position at Trinity. (*Passed May 5, 2009*)

During each semester, beginning in the fall term of 2025, there shall be a student evaluation of each course offered. The form of the questionnaire shall be a course feedback form that includes a set of core questions as confirmed by an ad hoc Committee on Course Feedback Forms. Additional department/program-specific questions to be included shall be left to the discretion of department/program faculty pursuant to approval by the Curriculum Committee. The results from the student evaluation of each course shall be forwarded to the individual instructor and the chair/director of the department/program.

Revisions to the core questions, once approved by the faculty, shall be implemented no sooner than the semester following the approval.

Department/program-specific questions will be approved by the Curriculum Committee with a charge to 1) preserve the anonymity of student responses; 2) review for grammatical/spelling errors.

An ad hoc committee on Course Feedback Forms shall be formed with representation from the Curriculum Committee (2 members), the Appointments and Promotions Committee (1 member), the Center for Teaching and Learning (1 member), and the Office of the Dean of Faculty (2 members, Associate Dean for Curriculum and Associate Dean for Faculty Development).

Regular access to course feedback forms is limited to the instructor and the department chair/program director. The department chair/program director is expected to review course feedback forms every semester and, as needed, discuss areas of strengths and potential improvements with the individual instructor. Ultimately, each instructor is responsible for considering student feedback and using it to inform changes in their own teaching.

Access to the course feedback forms is given to members of departmental/programmatic review committees in the following limited circumstance: for the preparation of reappointment/tenure/promotion materials. Course feedback forms will also be provided to the Appointments and Promotions Committee by the individual instructor and filekeeper, as required for reappointment, tenure, and promotion.

Only aggregate data from the course feedback forms will be collected and shared as part of the College's reaccreditation process.

(*Passed November 12, 1974; Amended March 4, 2025*)

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 shall be September 1 of the academic year. 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 180 minutes/week for the entire semester calendar count as 1.0 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 counseling, 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. As compensation for their administrative duties, in accordance with the size of the department or program and the associated administrative workload, department chairs and program directors will normally teach one or two fewer courses than the standard teaching load, as determined by the Dean of Faculty. The Dean of Faculty may, in rare circumstances, replace or supplement course releases with a stipend. The Dean of Faculty will make the complete schedule of compensation public annually. The administrative duties of the Secretary of the Faculty normally count as the equivalent of one course each semester. (*Revised May 7, 2013*)

IV. In any biennium in which a Faculty member takes a one semester sabbatical leave, 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 a one semester quadrennial leave, or other leave of absence, the Faculty member will teach the equivalent of at least eight courses in the remainder of the biennium; in any biennium in which a Faculty member takes two terms off (quadrennial leave and/or leave of absence), the Faculty member will teach the equivalent of at least six courses in the remainder of the biennium.

Exceptions:

1. A faculty member who combines a one-semester quadrennial or junior faculty leave with a leave of absence fully or partially funded by a non-Trinity grant or fellowship will teach the equivalent of at least five courses in the remainder of the biennium.
2. A Faculty member who elects to extend either a quadrennial leave or junior faculty leave over a full year and elects to teach only five courses in the designated biennium, may request that 40% of the contract salary be pro-rated over the year of leave.

(*Revised May 4, 2004*)

V. Teaching done on an optional, individual basis, and not regularly scheduled, e.g., independent studies, senior thesis, honors thesis, internships, will not normally count as part of the 10 courses/two years.

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; Revised June, 2002*)

B.8 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 their academic career one course each semester to a maximum of four courses, not required by their major or General Education Distribution Requirement as "Pass/Low Pass/Fail" courses. **Traditional undergraduate students may not elect the Pass/Low Pass/Fail Option for summer courses.** Courses mandated "Pass/ Fail," e.g., student-taught courses and open semesters, will not count toward the four course maximum. Any student on Academic Probation shall not be permitted to elect a course "Pass/Low Pass/Fail" during the next semester of enrollment after the Probation is incurred. (*Amended April 6, 1999*)

A student wishing to take a course Pass/Low Pass/Fail will make that designation by the end of the Add/Drop Period and will receive from the Registrar a receipt of the designation. No course may be designated Pass/Low Pass/Fail after the end of the Add Drop Period. A student may change from the Pass/Low 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 grade of "NGR" (No Grade Received) will be recorded, which will convert to "F" 15 days from the last day of exams. (*Amended December 6, 1994*)

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 INCOMPLETEs. 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 transcript.

(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 uncompleted 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 INCOMPLETEs 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 that 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.

The instructor shall forward a request for a grade change 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 "Withdrawal" shall be used if a student withdraws from a course after the last day of the Add/Drop Period up to and including Mid-term (the day exactly halfway through the term is marked as Mid-term on the academic calendar), except in Physical Education, wherein a course must be dropped by the Friday of the fourth full week of the quarter. Students claiming extenuating circumstances may petition the Academic Affairs Committee for permission to withdraw from a course after the withdrawal deadline. (*Amended May 6, 1997; May 7, 2019*)

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*)

B.9 Disciplinary Procedures and Dismissal of a Faculty Member with Tenure or Prior to the Expiration of the Faculty Member's Appointment

The Faculty will publish an appendix to the *Faculty Manual* entitled "Procedures for Adjudicating Complaints Against Faculty Members" (see Appendix **??**, p. **??**) which will define the manner in which investigations of complaints against Faculty members for alleged violations of their professional obligations will be conducted. The procedures shall provide for both informal and formal processes for adjudication of complaints. The procedures may be amended by the Faculty Conference at any time. The Conference shall review the procedures at the request of any member of the Faculty, but the Dean of Faculty will routinely review all cases in order to bring suggestions to the Conference for procedural amendment if necessary. Anyone who requests a change must provide the Conference with the reasons for the requested changes. Changed procedures must be disseminated to the Faculty and included in the *Faculty Manual* before they may be used in a specific case, and the procedures may not be changed in a case currently being heard. At least every three years the Faculty Conference will consult with the Dean of Faculty to review the adequacy of the procedures. At the beginning of each semester the Faculty Conference will appoint a pool of tenured Faculty members from which persons will be chosen to carry out the duties of adjudication of complaints according to the procedures then in place.

The College may dismiss a Faculty member with tenure or prior to the expiration of the Faculty member's appointment only for adequate cause. Adequate cause will be directly and substantially related to the fitness of the Faculty member in their 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 themselves of this benefit, the College may dismiss the Faculty member with one year's salary in lieu of notice.

With respect to responsible conduct, it is noted that harassment of employees is an unfair labor practice under Connecticut state law and that sexual harassment of students is an illegal form of sexual discrimination under Title IX of the 1972 Education Amendments. Title IX applies to any program or activity receiving federal funds and protects anyone in a subordinate position, whether student or employee. These laws and regulations apply to all Trinity College employees including Faculty members.

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 follow the *Procedures for Adjudicating Complaints Against Faculty* (Appendix **??**, p. **??**). In cases in which suspension or dismissal is recommended there will be a hearing before the appropriate elected Faculty committee. That committee's hearing procedures shall include at least the following procedural safeguards. The Faculty member will be informed in writing of the charges against them 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 their own defense and will be permitted to have an advisor of their own choice who may act as counsel. A full stenographic record of the completed hearing will be made available, if requested, 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 hearing is not an appeal of the finding of facts of the case previously adjudicated; its only focus is whether the findings presented to it constitute adequate cause for the recommended suspension or dismissal. After completing its hearing, 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. Amended May 2, 1995.)*

B.10 Statement on the Relationship of Tenure and Disciplinary Action at Trinity College

The Faculty of Trinity College believes that the safeguarding of tenure is of crucial importance to good governance and the protection of academic freedom. In particular, it is essential that neither the awarding nor the withholding of tenure be involved in any manner with disciplinary action. In May, 1992 the Executive Committee of the Board of Trustees "suspended" the award of tenure to a member of the Faculty accused of an illegal act. At its meeting of January 19, 1996 the Board of Trustees voted unanimously to endorse *verbatim* the following principles and positions:

> Tenure and discipline are separate matters.
>
> The action of the Executive Committee in "suspending" tenure in response to the particular circumstances that occurred in May, 1992 should not be regarded as a precedent for mixing tenure and discipline.
>
> The *Faculty Manual* details procedures for discipline, which are the same for tenured and non-tenured members of the Faculty.
>
> The Faculty also endorses these three principles and positions.

(*Passed March 12, 1996*)

B.11 Statement on the Staffing of First-Year Seminars

In order to ensure adequate and equitable staffing of First-Year Seminars, each academic department, and each program that offers a major, shall annually allocate a minimum of 6%[7] of its teaching units to the First-Year Program as seminars, with every such department and program offering at least one seminar every year. Departments and programs offering courses to first-year students in one or more of the special programs (Interdisciplinary Science, Guided Studies, InterArts, and Cities) may count these courses toward meeting their allocation.

(Passed December 5, 2000)

[7]The 6% allocation will typically be sufficient to staff first-year seminars. However, should circumstances arise under which this allocation percentage would not yield the number of seminars necessary to keep their average size around 12, a slightly higher allocation number would be used (between 6% and 7%). These circumstances might include a larger than anticipated first-year class, an unusually large number of faculty leaves or other released-time activities that would reduce the total of teaching units across the curriculum, or a smaller than anticipated number of students going into the special programs.

B.12 Procedures for Hearing Faculty Grievances

Current faculty, staff, or students who have a grievance against a faculty member should consult with a department chair or other trusted colleagues, with the understanding that the matter will be kept confidential. They are especially encouraged to bring their grievance to the Ombud and the Dean of the Faculty's office, who have extensive experience resolving complaints while protecting confidentiality. If no satisfactory resolution of the matter can be reached through such avenues, the individual may file a formal grievance.

A grievance charging that one's academic freedom has been violated should be brought to the Academic Freedom Committee in accordance with *Faculty Manual* section 9.2 and Appendix A.5. A charge of sexual harassment should be brought to the Title IX office in accordance with the Trinity College Policy on Sexual Harassment. Charges of discrimination should follow the Trinity College Policy on NondiscriminationTrinity College Policy on Nondiscrimination. Appeals of reappointment, promotion, and tenure decisions should be brought to the Appointments and Promotions Appeals Board in accordance with *Faculty Manual* section 12.3. Allegations of unethical research practices shall be investigated according to *Faculty Manual* Appendix A.6. Conduct prohibited of all employees, including financial misconduct, workplace violence, or harassment, should be reported to Human Resources or the college's whistleblower process (found in Section 5.04 of the Human Resources Policy and Procedure Manual). Other complaints of professional misconduct by members of the faculty may be brought to the Faculty Grievances Committee. No grievance that is under formal consideration by another procedure at the College can be brought simultaneously to the FGC. Faculty members may inquire of the FGC as to where a given grievance should be directed, and the FGC shall issue an opinion to the inquiring faculty member and to other relevant parties.[8]

The FGC will be guided by the procedures below and by the AAUP Statements on Professional Ethics and on Faculty Misconduct and Discipline. A complainant can charge a faculty member, including one with administrative responsibilities, with professional misconduct, such as unfair or arbitrary treatment, negligence, or conduct that negatively affects students, faculty, or staff in the performance of their academic or professional responsibilities. This grievance procedure aims to protect the College's educational mission from violations of the rights and responsibilities held by members of an academic community. The FGC adheres to the principle that students are best educated by a community of faculty who study and teach in accordance with their professional responsibilities, and that all members of an academic community should be free of unfair, inconsistent, or hostile treatment by those entrusted with faculty status. The committee is charged to exercise the judgment born of extensive knowledge of the work of teaching and learning to redress whatever interferes with or degrades the quality of our academic community and each member's ability to do that work to the best of their ability.

General Procedures

When a member of the Trinity College community brings a complaint to the FGC, a process is set in motion that is academic rather than judicial in nature. While a complainant and respondent may wish to consult an attorney and/or may wish to have an attorney assist them in preparation for the process, the FGC will deal directly only with members of the Trinity faculty and other individuals the FGC chooses to consult. A complaint should be filed within 180 days of the occurrence of the alleged grievance.

The FGC's first step will be to decide whether it should hear a given grievance and, if it should, assess the suitability of its members to hear that grievance. After any recusals that may be necessary, three members will form a subcommittee (hereafter the "hearing committee"), one of whom will serve as chair of the hearing committee. The absence of a member of the FGC due to personal circumstances or a conflict of interest shall not delay or otherwise alter these procedures, provided at least three members of the FGC are present and able to participate. In the interest of achieving the highest level of fairness and integrity, the FGC is authorized to empanel other faculty members, provided they meet the eligibility requirements for the FGC. FGC members and any other faculty whom they may empanel must observe the highest standards of confidentiality regarding the cases before them.

All references to "days" shall mean calendar days unless expressly designated otherwise. References to "working" days shall include Monday through Friday excluding College holidays. Where the time allowed for any particular element of the procedure might extend the overall grievance timeline beyond expectations set forth below, the time allowed for individual elements will take precedence.

[8] Pending action by the Academic Affairs Committee, we anticipate the addition of a sentence to this paragraph indicating that complaints by students about grades must be pursued in accordance with a separate policy.

To assure adequate time for the grievance to be followed, respect the nature of academic calendars, and ensure maximal continuity of membership throughout the process, the committee will normally receive Grievance Petitions from September 1 to April 15. Only in very unusual circumstances will the FGC agree to receive Grievance Petitions outside the September 1–April 15 dates and only then if there are compelling reasons to decide the case more quickly than is provided by these procedures. The decision to accept such a Petition will rest solely with the FGC. If such an "emergency" Grievance Petition is accepted, the FGC may establish a shortened timetable.

The Grievance Petition

A person filing a formal grievance will begin the process by filing a Grievance Petition with the chair of the FGC. The Grievance Petition must list specific charges, the name(s) of the individual(s) against whom each charge is lodged, and the remedy sought. The Grievance Petition shall include relevant information in reasonable detail and documents available to the complainant that support the charges, e.g., copies of letters, emails, and other relevant material. The FGC chair will transmit the petition to all members of the committee. If at least four members of the FGC agree to deem the complaint inadmissible, the committee will explain its rationale to the complainant in writing and, if appropriate, recommend other avenues of redress. Otherwise, the FGC chair will transmit the petition to every person against whom the grievance is being lodged.

Should the Grievance Petition charge any member of the FGC, or should a member be a material witness, such individual(s) shall be excused from all further meetings of the committee relating to the grievance. In their Petition, the complainant may suggest reasons that an elected member of the FGC should be excluded from the case due to a conflict of interest. After receiving the petition and before the FGC forms a hearing committee, the FGC chair will inform the respondent of their right also to suggest reasons that an elected member of the FGC should be excluded from the case. The FGC will evaluate the merit of such suggestions and rule on members' suitability to participate.

The FGC will form a hearing committee, as described above, and pursue either a preliminary meeting or a full hearing. For a preliminary meeting, the hearing committee chair will invite the complainant, respondent, and one other member of the FGC to a meeting to discuss the grievance. A preliminary meeting should take place within 21 days of the filing of a Grievance Petition. If, at the conclusion of this meeting, the parties are satisfied that the grievance has been resolved, the case is closed. If the parties agree that a remedy to the grievance exists to which both parties consent, the hearing committee chair will document this agreement in writing and share it with both parties and with the rest of the FGC, and the case will be closed. If no such agreement can be reached, or if the FGC decides in the first instance that a preliminary meeting is unlikely to be fruitful, the case will proceed to a full hearing. In a full hearing, the FGC is charged to ascertain whether the grievance is substantiated by clear and convincing evidence.

Full Hearing

• Request for Clarification of the Charges

Within 10 working days of the filing of the Grievance Petition, or of the preliminary meeting if one occurred, the hearing committee may ask the complainant to clarify or make more specific any charges it finds unclear. A copy of such a request, if one is made, shall be sent to the complainant and respondent(s). The complainant shall have 5 working days to respond to the request. The written response shall be given to each member of the hearing committee and to all respondents.

• The Response to the Grievance Petition

Within 15 working days of receipt of the clarified charges or of a preliminary meeting, or within 30 days of receipt of the initial filing of the Grievance Petition if no clarifications were requested and no preliminary meeting was held, the respondent(s) may file with the chair of the hearing committee a Response to the Grievance Petition. This Response will in turn be sent to the complainant. It should answer in reasonable detail all the charges in the Grievance Petition and include all relevant information and documents available to the respondent. Like the Grievance Petition, the Response should include copies of letters, emails, documents, etc. which support the respondent's position.

• The Complainant's Reply

Within 5 working days of receiving the Response, the complainant will file a Reply. The Reply will acknowledge receipt of the Response and will either note that the complainant intends to proceed with the Petition as filed or will note that one or more of the original charges will be dropped. No new charges may be added. The Reply must be sent to each member of the hearing committee and to each respondent.

• The Hearing

Within 10 days of receiving the Response to the Grievance Petition, the chair of the hearing committee shall set a date for the Hearing. All parties will be consulted as to a convenient Hearing date, but the decision as to the date will rest ultimately with the chair of the hearing committee. The date must be scheduled within 30 days after receipt of the Response to the Grievance Petition unless the hearing committee, by a 2/3 vote, agrees to a later date and informs the complainant and respondent of a compelling rationale for a later date. Grievance hearings are generally held in person but may, in exceptional circumstances, be held via an online platform at the discretion of the hearing committee.

Prior to the Hearing, members of the hearing committee may examine whatever documents and interview whatever people they deem necessary to prepare for the Hearing. At least 5 days prior to the Hearing, the complainant and respondent will be informed which individuals the hearing committee has examined or intends to examine, and they will receive copies of any documents the hearing committee has gathered that it deems relevant to the Hearing. In turn, the complainant and respondent must inform the hearing committee chair at least 5 days in advance of any witnesses they wish to have summoned to the Hearing.

The purpose of the Hearing shall be for members of the hearing committee to ask whatever questions may be necessary to clarify the arguments contained in the Grievance Petition, the Clarification of the Charges, the Response to the Grievance Petition, and the Complainant's Reply. The hearing committee chair shall preside, and all rulings of the chair shall be binding. Those who may be present throughout the Hearing and who may participate shall be members of the hearing committee, the complainant, and the respondent. The complainant and respondent may each be accompanied by one non-participating support person (who must be a member of the Trinity College faculty or staff). If the hearing committee has summoned witnesses, they will be asked to appear individually at a time during the hearing established in advance by the hearing committee and agreed to by the complainant and respondent. No other individuals may attend the Hearing, and all participants must keep the proceedings confidential.

The complainant and respondent will be allowed to make opening and closing statements if they desire. All questions will be asked solely by members of the hearing committee, with the exception that the complainant and respondent may also question each witness. No party shall be put under oath. A recording will be made for the exclusive use of the FGC; this recording will be destroyed no more than 30 days after the Report has been transmitted to the Dean and President, subsequent to any appeals.

• Deliberation

After the Hearing, the hearing committee shall decide whether they have achieved sufficient understanding to proceed to the preparation of a report. If they have not, they may consult additional documents or individuals. The complainant and respondent(s) will be notified of all findings material to the committee's recommendations and will receive copies of any documents discovered after the conclusion of the hearing.

Once the hearing committee has obtained all information it intends to obtain or can obtain, the chair shall inform the complainant and respondent(s) that the Hearing is closed. Complainant and respondent(s) may then, within 7 days from the date notice is given of the close of the Hearing, file written Final Arguments with the chair of the hearing committee. Copies of the Final Arguments will be sent to each member of the committee and to all parties to the grievance.

The hearing committee shall exercise its judgment in deciding whether its findings have sufficient foundation to be reported or whether resolution of the grievance has been hampered by lack of access to information. Whenever possible, the hearing committee should resolve grievances based on its best understanding of the available evidence and make a report as described below. In the rare event that it cannot, the FGC may notify the faculty at large that it was unable to resolve a case.

• The Report

The hearing committee shall reach its decision in a timely manner, usually within 21 days after the end of the Hearing. It will transmit a written report of its findings on each charge, including such recommendations as it deems appropriate, to both the complainant and respondent(s). The Report shall include the Grievance Petition, the Request for Clarification of the Charges (if such a request has been made), the Response to the Grievance Petition, the Complainant's Reply, the Final Arguments (if they have been submitted), and a copy of all documents formally entered into the process that the hearing committee deems relevant to its recommendations.

If, after 15 days, neither party has appealed, the report shall be sent to the Dean of the Faculty and the President. In the event that an academic dean is a respondent to a grievance, the Report shall be transmitted to the President.

The Dean or President shall, within 30 days, acknowledge receipt of the Report and render a decision. In their written response, which should be sent to the chair of the FGC, they shall either indicate their acceptance of the recommendations or meet with the FGC to agree upon appropriate modifications. Where agreement cannot be reached, the Dean or President will provide a written rationale and inform the Academic and Faculty Affairs Committee of the Board of Trustees of the disagreement. The FGC may, without revealing confidential details of the case, report the fact of the disagreement to the faculty; if the disagreement concerns a matter of college policy, the FGC may also report their policy position to the faculty, without revealing confidential details of the case.

Recommendations involving sanctions against a faculty member must comply with any standing college policy on Sanctions.[9]

In cases where the committee recommends suspension or dismissal of a faculty member, the Report must be sent to the Academic Freedom Committee. These penalties are referred to the AFC for hearing in accordance with the procedures for dismissal of a tenured Faculty member or a Faculty member before the end of the Faculty member's appointment [*Faculty Manual* Appendix B.9]. This penalty can be imposed only by the Board of Trustees following the recommendation of the AFC. The AFC does not redetermine the findings of the case, but it does determine whether the suggested penalty should be recommended to the Board.

If the Report identifies problems with, or makes recommendations regarding, college policies, either the Dean or the President shall, before the start of the next academic year, respond to the identified policy issues within the context of shared governance. The Dean or the President should present any plan arising from this process to the FGC chair and to the Faculty Secretary.

• Appeals

Within 15 days of receiving the hearing committee's Report, the complainant or respondent may submit an appeal to the chair of the FGC. The chair will notify the non-appealing party and invite their response, which must be received within 15 days of notification. An appeal must be based on a claim that the hearing committee did not have access to sufficient evidence for its finding, that its members had conflicts of interest, that the committee did not follow its established procedures, and/or that it acted outside its jurisdiction. The three FGC members who were not on the hearing panel shall form the appeal panel. If needed, the FGC may appoint other faculty members to an appeal panel, provided they meet the eligibility requirements for the FGC. The appeal panel will read the Report and all accompanying material.

If the appeal panel sustains the original Report, the FGC will transmit the Report to both parties and to the Dean and the President, appending a statement that the appeal was considered and dismissed. If the appeal panel contests the Report, it will convey its opinion in writing to the chair of the FGC. The full FGC must meet and seek to resolve points of disagreement between the Report and the appeal panel's opinion. If the full FGC resolves the matter, it will append its final summary and transmit the Report to both parties and to the Dean and the President. In the event that the FGC cannot resolve the matter, it will forward its summary of the contested issues, along with the Report and the appeal panel's opinion, to both parties and to the Dean and the President. The Dean or President shall, within 30 days, acknowledge receipt of the Report and render a decision in writing. Except in cases of suspension or dismissal of a tenured faculty member, the decision of the President shall be final and binding on the parties.

(*Passed May 1, 2025*)

[9] AFC believes that a consistent set of parameters for faculty sanctions should exist outside of any given procedure that might result in sanctions. All procedures that could result in sanctions against faculty (Title IX, nondiscrimination, etc.) should adhere to a single set of principles. AFC aims to collaborate with Faculty Conference, the Dean of Faculty's office, and other relevant parties to develop such a policy, and bring it before the faculty for a vote, after this grievance procedure has been adopted.

C The Charter, Statutes and Standing Rules of the Board of Trustees of Trinity College

C.1 Charter of the Trustees of Trinity College

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 Croswell, 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 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 College, and also to prescribe and direct the course of study, and the discipline to be observed in the said College; 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 may be dismissed by the Trustees (whether for cause or without), absent the concurrence of at least two-thirds of the whole number of Trustees; and *Provided further*, That no Professor, Tutor, or officer (other than the President) shall be eligible to serve as a Trustee.

III. Resolved, That at least one-third of the whole number of 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 other officers 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 Chair or President, or, in his or her 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 Chair, or President, or the Senior Trustee, shall summon a meeting of the College, when required thereto in writing, by one-third or more of the whole number of Trustees; and *Provided also*, That he or she 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 Chair or Vice Chair 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 the College; *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, Professor, or other officer shall be made ineligible for or by reason of any religious tenet that he or she may profess, or be compelled, by the 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 College now incorporated, shall enjoy the like exemptions from taxation, and the College 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 the following provisions shall govern the Board of Trustees of the College, as may be supplemented by the provisions set forth in the Standing Rules and the Statutes.

Section 1. The activities, property and affairs of the College shall be managed by a Board of Trustees composed of that number of Trustees as set forth in the Standing Rules of the College.

Section 2. The present persons who have been elected to serve as Trustees shall be Trustees of the College, together with such other persons who may be elected from time to time as set forth in the Standing Rules of the College. The President of the College, while in office, shall be a 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. Such Trustees Emeriti shall serve without voting privileges. 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 the Standing Rules of the College.

Section 4. The Board of Trustees may establish, and at its pleasure alter, rules and regulations as to the manner in which votes for the election of Trustees shall be cast, and such rules and regulations shall be set forth in the Standing Rules or the Statutes of the College, and such other rules and regulations as the Board of Trustees may deem necessary to carry into execution the provisions of this resolution shall also be contained therein.

XI. Resolved, That no Trustee of the College shall be personally liable to the College for monetary damages for breach of duty as a Trustee in an amount that exceeds the compensation, if any, received by the Trustee for serving the College during the year of the violation if such breach did not (a) involve a knowing and culpable violation of law by the Trustee, (b) enable the Trustee or an associate to receive an improper personal economic gain, (c) show a lack of good faith and a conscious disregard for the duty of the Trustee to the College under circumstances in which the Trustee was aware that his or her conduct created an unjustifiable risk of serious injury to the College, or (d) constitute a sustained and unexcused pattern of inattention that amounted to an abdication of the Trustee's duty to the College.

XII. Resolved, That the College shall, to the fullest extent permitted by law, indemnify the Trustees for liability (including any obligation to pay a judgment, settlement, penalty, fine or excise tax, or reasonable expenses incurred with respect to any proceeding) to any person for any action taken, or any failure to take any action, as a Trustee, except liability that (a) involved a knowing and culpable violation of law by the Trustee, (b) enabled the Trustee or an associate to receive an improper personal economic gain, (c) showed a lack of good faith and conscious disregard for the duty of the Trustee to the College under circumstances in which the Trustee was aware that his or her conduct or omission created an unjustifiable risk of serious injury to the College, or (d) constituted a sustained and unexcused pattern of inattention that amounted to an abdication of the Trustee's duty to the College.

XIII. Resolved, That any lawful repeal or modification of Article XI or Article XII or the adoption of any provision inconsistent herewith by the Board of Trustees of the College shall not, with respect to a person who is or

was a Trustee, adversely affect any limitation of liability, right or protection of such person existing at or prior to the effective date of such repeal, modification or adoption of a provision inconsistent herewith.

XIV. Resolved, That this Charter of the College may be amended by a resolution adopted by not less than two-thirds of the whole number of Trustees, provided that the Charter shall not be amended to permit the College to engage in any activity that would be inconsistent with its status as an organization that enjoys exemption from taxation, as described in Article VIII. Any notice of a meeting of the Board of Trustees at which this Charter is proposed to be amended shall include notice of such proposed action.

XV. Resolved, That any provisions of Standing Rules or the Statutes of the College inconsistent with the foregoing resolutions shall be suspended for such time as said resolutions remain in effect.

The amendments and restatement set forth above were duly approved by the Board of Trustees of the Corporation on May 19, 2012 in the manner required by sections 33-1140 through 33-1147, inclusive, of the Act and by the Charter (Certificate of Incorporation), and member approval was not required.

This amended and restated Charter (Certificate of Incorporation) consolidates all amendments into a single document.

This amended and restated Charter (Certificate of Incorporation) of the Corporation shall become effective upon filing.

C.2 Statutes of Trinity College 1972

These Statutes of the College are intended to supplement and implement applicable provisions of the Connecticut Revised Nonstock Corporation Act, as amended from time to time, the Charter of the College and the Standing Rules of the College.

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 National Alumni Association

Section 1. The National Alumni Association 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 National Alumni 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 National Alumni Association has the right of nominating candidates for admission *ad eundem gradum*.

TITLE IV
Of The Board of Fellows

Section 1. The Board of Fellows of Trinity College shall be appointed by the President, with the approval of the Board of Trustees, to serve as visiting advisors on administrative and academic matters. Each Fellow shall continue in office for three years from the time of appointment and may be appointed for a second term.

Section 2. The Fellows shall be known, collectively, as the Board of Fellows and shall meet at least annually.

TITLE V
Of The Academic Year

Section 1. The Academic Year shall be divided into two terms of approximately equal length, named respectively Fall Term and Spring 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 or her appointee the following promise:

"I promise to observe the Statutes 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 or her.

TITLE X
Of Rooms and Boarding Places

Section 1. No student not residing with his or her 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 or her room during his or her occupancy. Every student shall also be accountable for all improper conduct of any kind occurring in his or her 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 the student 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 Fall Term there may be examinations upon the studies of that term, in whole or in part, and at the close of the Spring 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 or she 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 the Librarian 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 Statutes 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.

C.3 Amended and Restated Standing Rules of the Trustees of Trinity College

Adopted: January 23, 2015
Amended: October 2, 2015 (Article I, Section 9)
Amended: October 15, 2016 (Article I, Sections 16 through 19)

These Amended and Restated Standing Rules ("these Standing Rules") of The Trustees of Trinity College (the "College") are intended to supplement and implement applicable provisions of the Connecticut Revised Nonstock Corporation Act, as amended from time to time, and of the Charter of the College. These Standing Rules amend and restate in their entirety the Standing Rules of the College adopted on October 12 and 13, 2012.

I
The Board of Trustees

Stated Meetings. The Board of Trustees shall hold at least three stated meetings each year, one before the Annual Commencement of the College (the "Commencement Meeting"), the other two at such hours and dates as the Trustees on the recommendation of the President shall appoint. The Chair of the Board of Trustees shall preside at meetings of the Board of Trustees.

Number. The Board of Trustees shall be composed of not fewer than twenty nor more than thirty-six persons, including the President of the College and the President of the National Alumni Association of the College, each of whom shall be an *ex-officio* member of the Board of Trustees, shall be counted in determining a quorum, shall have full powers to vote as a member of the Board of Trustees, and shall be counted as a member of the Board of Trustees for purposes of the minimum and maximum number of Trustees prescribed by these Standing Rules. Trustees shall serve for four-year terms.

Notice. In all elections to fill vacancies in the Board of Trustees the names of persons put in nomination for Trustees shall be sent out with the notice of the succeeding meeting. Unless otherwise prohibited by law, any notice to the Board of Trustees may be delivered by electronic transmission. Electronic transmission means any process of communication not directly involving the physical transfer of paper that is suitable for retention, retrieval and reproduction of information by the recipient. Notice of a special meeting need not describe the purpose of the special meeting unless required by these Standing Rules.

Ballots. Elections of Trustees shall be by written ballot if requested by any Trustee.

Terms. No person shall serve more than two complete consecutive terms as a Trustee; *provided*, that service for any term as a Trustee, *ex-officio*, shall not count toward such limitation; and *provided further*, that a Trustee serving or elected to serve as the Chair or a Vice Chair of the Board of Trustees may continue to serve as a Trustee for one or more additional consecutive terms after serving two complete consecutive terms as a Trustee (and, so long as such Trustee is otherwise eligible to serve as a Trustee, such Trustee may complete any such additional term regardless of whether he or she serves as the Chair or a Vice Chair for the duration of such additional term). Following a one-year absence from the Board of Trustees, a person may again be eligible to serve not more than two complete consecutive terms as a Trustee. The term limits set forth in this Section shall apply to the election of Trustees under Article I, Sections 6, 7, and 8.

Charter Trustees. The Trustees may, by a majority of votes of the Trustees present at a meeting duly warned at which a quorum is present, elect Charter Trustees.

G. Keith Funston Trustee. 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 one person who has been admitted to any degree at the College no more recently than at the public commencement day at the end of the previous academic year nor later than ten years after admission to such degree to serve as the G. Keith Funston Trustee for a single term. There shall be not more than one G. Keith Funston Trustee at any time. Any Person so elected shall, after completion of his or her term, be otherwise eligible for election to the Board of Trustees as a Charter or Parent Trustee in accord with the requirements for election thereto.

Parent Trustee. 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 one person to serve as the Parent Trustee for a single term. There shall be not more than one Parent Trustee at any time. At the time of election, such person must be the parent (by birth

or adoption), step-parent, or legal guardian of a person then enrolled or committed to enroll within the next twelve months in a degree program in the College. Any Person so elected shall, after completion of his or her term, be otherwise eligible for election to the Board of Trustees as a Charter or G. Keith Funston Trustee in accord with the requirements for election thereto. If at any time during his or her term a Parent Trustee ceases to be the parent (by birth or adoption), step-parent, or legal guardian of a person then enrolled or committed to enroll within the next twelve months in a degree program in the College, then, immediately after the Commencement Meeting next following such cessation, such Parent Trustee shall cease to be the Parent Trustee, without the need for any action by the College or the Board of Trustees, and the seat of such Parent Trustee shall be deemed vacant.

Limits on Service. No person shall be elected as a Trustee who, on the date of election, is 70 or more years of age, *except* for Trustees elected at the May 2015 Meeting of the Board of Trustees. All Trustees, except trustees emeriti, shall retire from the Board of Trustees at the first regular meeting of the Board of Trustees on or following their 74th birthday, *except* for Trustees elected at the May 2015 Meeting of the Board of Trustees.

Classification of Trustees. The Trustees shall be divided into four classes, designated as Class I, Class II, Class III and Class IV, with each class containing approximately the same percentage of the total, as near as may be. The initial term of office of Class I shall expire at the Commencement Meeting in 2013; that of Class II shall expire at the Commencement Meeting in 2014; that of Class III shall expire at the Commencement Meeting in 2015; and that of Class IV shall expire at the Commencement Meeting in 2016. Subject to the foregoing, at each annual Commencement Meeting the successors to the class of Trustees whose term shall then expire shall be elected to hold office for a term expiring at the fourth succeeding Commencement Meeting and until their successors are elected and qualified or until their earlier resignation, removal, death or incapacity.

Subject to Article I, Sections 7 and 8, a Trustee elected to or serving an initial four-year term as a Trustee at the Commencement Meeting in 2012 may be elected to a second consecutive four-year term as a Trustee. Subject to Article I, Section 5, a Trustee elected to or serving a second consecutive four-year term as a Trustee at the Commencement Meeting in 2012 may not be elected to an additional consecutive four-year term as a Trustee.

Vacancies; Removal. The Board of Trustees, by a majority of those present at a meeting duly warned at which a quorum is present, may elect, upon the death, resignation, removal or other vacancy of the place of any Charter or G. Keith Funston or Parent Trustee, another to complete his or her term. The term of office of a Trustee elected to fill a vacancy shall commence immediately upon the close of the meeting at which he or she is elected as a Trustee and shall end on the last day of the unexpired term for which the vacancy occurred. Service as Trustee during the unexpired term of office of a former Trustee shall not be counted for purposes of the term limits of Trustees set forth above.

The Board of Trustees, by a majority of those present at a meeting duly warned at which a quorum is present, may remove any Charter, G. Keith Funston or Parent Trustee for "Cause." "Cause" shall mean that a Trustee (i) has been convicted of or pleaded guilty to a felony or any other crime involving dishonesty; (ii) has engaged in misconduct or other activity that, in the good faith judgment of the Board of Trustees, has or is likely to have a material adverse impact on the College (either economically or on its reputation), or (iii) has absented himself or herself for any four successive meetings duly noticed. Notice of a special meeting to remove a Trustee shall include reference to the proposed removal.

Election of Officers. The Trustees shall elect annually at the Commencement Meeting a Chair of the Board of Trustees. The Chair of the Board of Trustees shall be a Trustee who has not passed, as of the date of such meeting, his or her 70th birthday. No person shall be eligible for re-election as Chair of the Board of Trustees after serving five consecutive years. The Board of Trustees shall elect such other officers as they may deem appropriate from time to time to hold office at the pleasure of the Board of Trustees.

Trustees Emeriti. Former members of the Board of Trustees may become Trustees Emeriti. Trustees Emeriti shall be elected by the Trustees; *provided* that the Trustees shall not elect any former Trustee to be a Trustee Emeriti after the meeting of the Board of Trustees on January 23, 2015. At the discretion of the Chair, such Trustees Emeriti may be duly notified of the time of meetings of the Board of Trustees, and may be entitled to attend meetings of the Board of Trustees and to participate in the discussions and deliberations of the Board of Trustees, but shall not be entitled to vote upon any matter or questions pending before the Board of Trustees. Trustees Emeriti shall serve for such terms as the Board of Trustees may prescribe.

Action by Unanimous Written Consent. Except in cases where the Charter of the 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 of Trustees 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 of Trustees or such committee, as the case may be. Such unanimous written

consent shall be filed with the minutes of the proceedings of the Board of Trustees or the committee. A Trustee's consent may be withdrawn by a revocation signed by the Trustee and delivered to the Secretary prior to the delivery to the Secretary of unrevoked written consents signed by all of the Trustees.

Telephonic Meetings. The members of the Board of Trustees or any committee thereof may participate in a regular or special meeting of the Board of Trustees or such committee by, or conduct the meeting through the use of, any means of communication, by which all Trustees and other committee members participating may simultaneously hear each other during the meetings. A Trustee or other committee member participating in a meeting by this means is deemed to be present in person at such meeting.

Committees Generally. To further the effective discharge of the Board of Trustees responsibilities, the Chair of the Governance Committee, in consultation with the Chair of the Board of Trustees and the President of the College, shall annually, in advance of the first meeting of the Board of Trustees in the next academic year (and at such other times as desirable), assign Trustees to committees and subcommittees and appoint the chairs of such committees and subcommittees. All such assignments and appointments shall be ratified and confirmed by the Board of Trustees. Committee and subcommittee assignments shall take into account the talents and interests of each Trustee, and shall seek to achieve balance in numbers and in the diversity of membership.

The Chair of the Board of Trustees shall be an *ex officio* member of all committees and subcommittees. The President of the College shall be an *ex officio* member of all committees and subcommittees with the exception that the President shall not be a member of, and shall not vote on any matter before, the Audit and Risk Committee, the Compensation Committee, or the Evaluation and Success Committee. However, the President may be invited to participate in the work of each of these committees, as may be appropriate in the discretion of the corresponding committee chair.

Only a Trustee with voting authority may serve as member of a committee or subcommittee, and only members of a committee or subcommittee shall vote. Only members of fixed membership committees, of the Compensation Committee, and of the Evaluation and Success Committee shall be entitled to attend meetings of such committee. The meetings of all open membership committees and subcommittees and of the Awards for Excellence Committee shall be open to the members of such committee or subcommittee and, except when in executive session, to all other Trustees. Committees and subcommittees may invite persons who are not members (including administrative and faculty employees of the College and Trustees who are not members) to attend the meetings, and to participate in the deliberations, of such committee or subcommittee.

No committee or subcommittee shall have the authority to fill vacancies on the Board of Trustees or adopt, amend, or repeal the Charter, the Statutes, or these Standing Rules. All committees and subcommittees shall keep minutes of their meetings. Unless otherwise provided, a majority of the members of a committee or subcommittee shall constitute a quorum for the transaction of business. The Board of Trustees may create additional committees and subcommittees, from time to time, as deemed necessary or desirable.

Fixed Membership Committees. There shall be three fixed membership committees with principal oversight over the core governance functions of the College and of the Board of Trustees: (i) the Executive and Planning Committee, (ii) the Audit and Risk Committee, and (iii) the Governance Committee.

> ***Executive and Planning Committee.*** The Executive and Planning Committee shall be composed of the chairs of all fixed membership committees and of all open membership committees, the President of the College, the Chair and any Vice Chairs of the Board, and one additional Trustee. This committee shall be supported by the Secretary of the College, the Chief Financial Officer, and the Chief Academic Officer. It shall meet as needed; is empowered to act in the place of the full Board in accordance with applicable law; but shall defer any business that should be properly brought to the full board until the next scheduled meeting unless circumstances warrant immediate action. Additionally, this committee shall oversee the College's strategic planning, which should include a multi-year strategic plan that has clear institutional goals, processes for implementation and mechanisms for measurement, monitoring and adjusting outcomes as appropriate. The committee shall review the College's strategic plan and make recommendations to the Board of Trustees for approval thereof. The committee shall seek to achieve proper alignment between approved capital projects and approved fundraising priorities through coordination with the Comprehensive Campaign Committee and the Information Services and Facilities Committee.
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> ***Audit and Risk Committee.*** The Audit and Risk Committee shall be composed of Trustees and supported by the Chief Financial Officer, the Chief Academic Officer, the Chief Student Life Officer, the Chief Enrollment Officer, the Chief Information Officer, and the Chief Legal Officer. The Audit and Risk Committee shall

regularly review the financial reports of the College. The committee shall also receive periodic updates that evaluate the risk profile of the College (i.e., how the College is managing enterprise risk). It shall meet with the administration no less than three times annually and at least twice annually with the College's independent auditors. The Audit and Risk Committee shall be responsible for designating, retaining or terminating the College's independent auditors; reviewing annually their qualifications, performance and independence; approving audit engagement fees and terms; and reviewing and accepting the annual audited financial statements, auditor's management internal controls report and IRS Form 990. The Audit and Risk Committee shall discuss with the administration and the independent auditors the College's guidelines and policies with respect to risk assessment and risk management, including the College's major financial risk exposure and the steps the administration has taken to monitor and control such exposures. The Audit and Risk Committee shall review the litigation threatened or pending against the College. The Audit and Risk Committee shall also review and discuss with the administration, at least annually, the terms of the College's insurance coverage for directors and officers, and approve insurance limits. In conjunction with the Chair of the Board of Trustees and/or the President, as appropriate, the Audit and Risk Committee shall oversee the administration's mechanisms for employees and others to make complaints relating to accounting practices, internal accounting controls or audit matters, and unlawful business practices generally, with provisions for confidential anonymous submission by employees. The Audit and Risk Committee periodically shall review the complaints filed under such mechanisms. The Chair of the Audit and Risk Committee shall review the expense reports of the President of the College and is authorized to approve such expenses for payment or reimbursement by the College. The Audit and Risk Committee shall retain such outside counsel, experts, and other advisors as it may deem appropriate, in its sole discretion, consistent with the policies, budgets and controls established by the Board of Trustees.

Governance Committee. The Governance Committee shall be composed of Trustees and supported by the Secretary of the College and the Chief Advancement Officer. The Governance Committee shall review and present to the Board of Trustees candidates for Charter Trustees, the Funston Trustee, the Parent Trustee, and for Chair and Vice Chair of the Board of Trustees and such other officers as may be appropriate. The Governance Committee shall review and recommend to the Board of Trustees procedures and structures appropriate for the organization and operation of the Board of Trustees. In particular, working with the administration of the College, the Governance Committee shall remain current on important trends in the education of not-for-profit boards, and encourage Trustees to participate in workshops to further their own expertise. The Governance Committee shall report to the Board of Trustees annually and at such other times as may be requested by the Board of Trustees or as may seem appropriate to the Governance Committee.

Open Membership Committees. There shall be three open membership committees with principal oversight over the academic and operational functions of the College, each with its own committee chair: (i) Academic and Campus Affairs, (ii) Advancement, and (iii) Financial and Physical Resources. Each open membership committee shall have the constituent subcommittees set forth below and such other subcommittees as may be created from time to time. Each subcommittee shall have its own chair, and the collective members of these subcommittees shall comprise the membership of the overarching committee. The chair of each open membership committee shall be an ex-officio member of each constituent subcommittee of such open membership committee.

Academic and Campus Affairs. The following shall be subcommittees of the Academic and Campus Affairs Committee:

Academic Affairs Committee. The Academic Affairs Committee shall be composed of Trustees and supported by the Chief Academic Officer. The Academic Affairs Committee shall consider and make recommendations to the Board of Trustees regarding all matters of an academic nature requiring Trustee action, which include but are not limited to, recommendations for tenure, promotion, and emeritus/emerita status; changes in appointments and promotions policy; modifications of degree requirements; changes in the authorized size of the faculty; and the creation or elimination of academic departments, programs and majors.

Enrollment Committee. The Enrollment Committee shall be composed of Trustees and supported by the Chief Admissions Officer. It is charged with establishing and overseeing an enrollment management strategy that is informed by the College's mission and administered based, although not exclusively, on selectivity objectives, retention statistics, financial aid policy, and enrollment targets. The Enrollment Committee shall work closely with the Finance Committee to establish enrollment targets and a financial

aid budget for each academic year. Further the committee shall review strategies to encourage the successful immersion of a Trinity student into the life of the College along with ensuring they are properly prepared to engage in rewarding careers upon graduation consistent with the mission of the College.

Student Life Committee. The Student Life Committee shall be composed of Trustees and supported by the Chief Student Life Officer. Students and faculty will be invited to participate as appropriate to the agenda of the committee. The Student Life Committee shall oversee the programs and policies that support all aspects of the student experience including the residential experience, extracurricular and social activities, and the overall health and well-being of students. The Student Life Committee shall identify and regularly track metrics (especially non-voluntary hard measures such as GPAs, disciplinary actions and alcohol transports) on student development, success, and satisfaction as well as issues of campus community and climate. The Student Life Committee shall be responsible for informing the Board of Trustees of trends and emerging issues that impact student life and for providing guidance that follows best practices. To maintain a close connection to the student body, the Student Life Committee shall hold student forums during on-campus Board meetings. The Student Life Committee shall seek to incorporate the student perspective in strategic planning for the College. At least annually, the Student Life Committee shall meet with the Academic Affairs Committee to discuss issues of relevance to both committees in order to align non–academic initiatives with the academic mission of the College and to promote a harmonious campus community.

Advancement Committee. The following shall be subcommittees of the Advancement Committee:

Alumni Affairs Committee. The Alumni Affairs Committee shall be composed of Trustees and supported by the Chief Advancement Officer. The Alumni Affairs Committee of the College shall be responsible for informing the Board of Trustees of trends and emerging issues in alumni relations and development, and providing guidance in these areas that follows best practices.

Comprehensive Campaign Committee. The Comprehensive Campaign Committee shall be composed of Trustees and supported by the Chief Advancement Officer or such officer's designee. Members of the Comprehensive Campaign Committee shall assist Advancement staff through regular review of strategies to engage alumni, parents, and other benefactors of the College in stronger philanthropic relationships with the College; provide feedback on communication strategies for volunteer engagement and giving opportunities; and endorse fundraising priorities for the Campaign for Trinity College. The committee will seek to incorporate alumni and parent perspectives in strategic planning for the College. The Comprehensive Campaign Committee shall meet at least three times per year, and more often as necessary, to develop and support the overall strategy for a comprehensive campaign. In addition, the Comprehensive Campaign Committee shall seek to achieve proper alignment between approved capital projects and approved fundraising priorities through coordination with the Executive and Planning Committee and Information Services and Facilities Committee.

Communications and Marketing Committee. The Communications and Marketing Committee shall be composed of Trustees and supported by the Chief Communications Officer. The Communications and Marketing Committee shall assist and advise the Communications staff on efforts to advance the College's mission through the use of effective communications in promoting its people and programs, building its visibility and reputation, and deepening its engagement with diverse internal and external audiences.

Financial and Physical Resources Committee. The following shall be subcommittees of the Financial and Physical Resources Committee:

Finance Committee. The Finance Committee shall be composed of Trustees and supported by the Chief Financial Officer. The Finance Committee shall have financial oversight over the College's capital and operating budgets, and the establishment and monitoring of a long-range financial plan for the College. The Finance Committee shall review and make recommendations with respect to these fiscal matters for the approval of the Board of Trustees, prior to the beginning of the next fiscal year. The Finance Committee shall monitor operating results under the budget and inform the Board of Trustees of operating performance. The Finance Committee shall oversee the capital expenditures of the College. All proposed capital expenditures exceeding $350,000, not included in a budget previously approved by

the Board of Trustees and having first been recommended by the Information Services and Facilities Committee, shall be subject to review and approval by the Finance Committee. All proposed capital expenditures exceeding $1,000,000 and not included in a budget previously approved by the Board of Trustees shall also require review and approval of the Board of Trustees.

The Finance Committee shall have the power to authorize the borrowing of money for the purposes of the College, to authorize the giving of notes of the College to evidence such borrowings, and to designate the persons who shall sign such notes on behalf of the College. Any proposed borrowing of principal in the amount of less than $1,000,000 and for a term of less than five years shall not require review or approval of the Board of Trustees or any committee. Any proposed borrowing of principal in the amount of $1,000,000 or more or for a term of five years or more shall first require review of the Finance Committee, with final review and approval by the Board of Trustees. The Finance Committee shall oversee all borrowing arrangements on behalf of the College and report such borrowing arrangements to the Board of Trustees. The Finance Committee shall oversee compensation and benefit programs for the faculty and staff, and other business and financial activities of the College. The Finance Committee may establish and transfer funds to and from appropriate reserve accounts. The Finance Committee shall review other financial matters as may be referred to it by the Board of Trustees.

Investment Committee. The Investment Committee shall be composed of Trustees and supported by the Chief Financial Officer. 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 any documents and take such other actions, either alone or together with such others as the Investment Committee may designate, necessary or desirable in such transactions. The Investment Committee shall provide for the safe custody of all securities of the College. The Investment Committee shall supervise the voting of proxies of securities of the College. It shall formulate and report to the Board of Trustees policies and objectives with respect to spending and investment. At each meeting of the Board of Trustees, the Investment Committee shall report all transactions which it has completed or authorized since the previous meeting of the Board of Trustees.

Information Services and Facilities Committee. The Information Services and Facilities Committee shall be composed of Trustees and supported by the Chief Information Officer and the Chief Financial Officer. The Information Services and Facilities Committee shall oversee the planning and design of all physical facilities and grounds along with the Information Technology needs of the College. The Information Services and Facilities Committee shall review plans and cost estimates for new and renovated facilities and shall recommend appropriate action to the Board of Trustees, in consultation with the Executive and Planning Committee and the Comprehensive Campaign Committee. The Information Services and Facilities Committee shall review the annual plant upkeep and capital projects budgets of the Facilities Department and the Information Technology Department of the College and recommend approval to the Finance Committee. All proposed capital expenditures exceeding $350,000 not included in a budget previously approved by the Board of Trustees shall be subject to review and approval by the Information Services and Facilities Committee, before any such expenditure is considered by the Finance Committee.

Special Committees. Special Committees have narrowly defined charters and shall meet only as necessary, as determined by the members of the applicable committee.

Awards for Excellence Committee. The Awards for Excellence Committee shall be composed of Trustees and supported by faculty or staff appointed by the President of the College. The Awards for Excellence Committee shall review nominations from the Trinity Community and award annual Excellence Awards to a faculty member, a staff member, and a student, based on written recommendations and merit related to service to the College.

Compensation Committee. The Compensation Committee shall be composed of Trustees and supported by the Chief Human Resources Officer. The Compensation Committee shall have oversight and approval over the setting of policies for, and the compensation to be paid to, the President of the College and to the positions at the College that are reportable in the College's Form 990 filings. The Compensation Committee shall make

recommendations regarding the President's compensation to the Board of Trustees for its final approval. Prior to making a recommendation to the Board, the Compensation Committee shall review appropriate information regarding the President's compensation and performance, including any evaluative reports from the Evaluation and Success Committee.

Evaluation and Success Committee. The Evaluation and Success Committee shall be composed of Trustees and supported by the Chief Human Resources Officer. The Evaluation and Success Committee shall be responsible for approving the annual goals of the President of the College, evaluating the President's performance against such goals, and generating a performance evaluation of the President, which shall be subject to the review and approval of the Board of Trustees. The Evaluation and Success Committee shall report to the Compensation Committee at least annually, and as it otherwise deems appropriate, with respect to the President's performance and his or her goals.

II
Officers

President. The President shall be the chief executive officer of the College, and shall possess such powers, authority, responsibilities, duties and privileges usually devolving upon such officer.

Chair. The Chair shall preside at all meetings of the Board of Trustees. The Chair 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.

Vice Chair. One or more Vice Chairs, if any, shall discharge the duties usually devolving upon such officer. In the event of the absence or disability of the Chair, the Vice Chair (or, if there is more than one Vice Chair, (i) the Vice Chair appointed by the Chair, or (ii) absent such appointment by the Chair, the Vice Chair appointed by the Board of Trustees) shall perform the duties and exercise the powers of the Chair.

Treasurer. The Treasurer shall have charge of the capital funds of the College, except where otherwise provided. The Treasurer shall be bonded by a corporate surety in such amount as the Board of Trustees may from time to time direct. The Treasurer shall make an annual report to the Board of Trustees of the condition of the funds of the College.

Secretary. The Secretary, if any, shall keep the minutes of the meetings of the Board of Trustees, give notice of all such meetings as required by the Charter, the Statutes, and these Standing Rules, have custody of the seal of the College, and discharge all other such duties usually devolving upon such officer.

III
Amendments

These Standing Rules may be amended at any meeting of the Board of Trustees by an affirmative vote of two-thirds of the whole number of Trustees. Any notice of a meeting of the Board of Trustees at which these Standing Rules are proposed to be altered, amended, added to, or repealed shall include notice of such proposed action.